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Institutional Overview

Bates Technical College is a public, two-year institution of higher education authorized by the State of Washington. The college offers an extensive range of professional-technical programs, complimented by a related offer in extended learning, continuing education, basic skills, and English as a Second Language. The College has three campus locations. The main campus is in downtown Tacoma, and accommodates the central offices for most administrative services, a library, campus store and catering facilities, and a range of programs including (among others) Allied Health, Engineering, Information Technology, and office-based programs. Another campus in South Tacoma houses Fire Service, Biotechnology, and most shop-based programs, as well as offering administrative and support services and a campus library. A third campus, located southwest of the downtown campus, houses KBTC (a College-affiliated television station) and the Broadcast and Media programs.

Bates Technical College serves the nearly 800,000 residents of Pierce county, although the College attracts several students from 30 other counties, including neighboring King, Thurston, Kitsap and Lewis counties, as well as further afield in Washington, from other states (primarily Alaska and Oregon), and from abroad. In 2012-13, the college served 9,491 students on career training, contract, high school, continuing education and distance learning programs. The college currently offers 53 program areas with degrees and certificates, including 66 short term certificates of training, 69 Certificates of Competency, 55 Associates Degrees, and 9 AAS-T transfer degrees.

Bates also offers basic skills, ESL and developmental education classes, as well as general and related education classes in support of certificates and degree programs. Students attend these classes either as pre-college preparatory programs, or for personal attainment goals. The College has an extensive and active contract and corporate training division, the Business and Management Training Center, and a distinct Home and Family Life center. Bates’ continuing education and extended learning programs are closely linked to the core career training programs, and offer stand-alone or supplemental classes in most career areas.

In the 2012-13 year the college enrolled 8,473 state supported students (in full or in part). In the same year, the college recorded 700 students in Continuing Education classes and student funded courses, and 501 contract funded students. Bates also served 474 high school students, 4 international students, and the College had 1,861 e-learning course enrollments. Total quarterly enrollments for the 2012-13 academic year was 18,761, of which 51.72% were full time enrollments. Of students with a declared intent, 40.34% vocational preparatory and developmental education, 28.67% were vocational programs (upgrading job skills and vocational transfer), 11.95% apprenticeships, 9.65% vocational home and family life, 4.29% general non-degree studies, and 5.1% high school and GED.

Bates faculty are primarily full time faculty, in both career training and general education. In 2012-13, Bates employed 165 teaching faculty, of which 67.3% were full time. Teaching faculty was supported by 18 full time non-teaching faculty, 117 Classified staff, and 32 exempt administrative and professional/technical staff.
The college's student body reflects the diversity of its urban locale. In the 2012-13 academic year 45.6% percent of Bates students were female and 54.4% percent male; the average age of a Bates student was 34 years. Of reporting students, 64.1% percent of students were white and 35.9% percent were students of color. In the same year 211 students declared a disability, and 987 were registered as economically disadvantaged, with 1248 students receiving financial aid.

Bates is committed to diversity among students and staff, and is proud of a dedicated Diversity Center and a series of diversity themed events offered throughout the year. The diversity center is closely connected to the College's Associated Student Government, and ensures representation of and access for all students regardless of age, gender, ethnicity, disability, or sexual preference.

A five-member Board of Trustees governs the college, and each member is appointed by the state Governor. The trustees meet publicly in each of eleven months as well as in focused monthly meetings with the President. In 2011, two representatives of the Board of Trustees, along with the President, participated in the Governance Institute for Student Success, to further develop their understanding of State student data and success initiatives. One Board of Trustees member resigned in January 2013; the college is currently awaiting a replacement appointment from the State Governor's Office.

Faculty, classified staff, and representatives from the student government and other employee groups participate in the general governance of the college through representation on various committees and councils, which reflect the key areas of Standard Two, as well as focused groups on enrollment management and retention, diversity, transition students, assessment, and others. Faculty, staff, administration, and student representatives, as members of the College’s Strategic Planning Council, lead the college through planning and budgeting activities.

Bates Technical College's Institutional Data Form is available here. The College does not report financial information in a compatible form, so financial reports for the last three years are included separately (2010-11, 2011-12, and 2012-13 available here).
Basic Institutional Data Form

Northwest Commission On Colleges and Universities

Information and data provided in the institutional self-evaluation are usually for the academic and fiscal year preceding the year of the evaluation committee visit. The purpose of this form is to provide Commissioners and evaluators with current data for the year of the visit. After the self-evaluation report has been finalized, complete this form to ensure the information is current for the time of the evaluation committee visit. Please provide a completed copy of this form with each copy of the self-evaluation report sent to the Commission office and to each evaluator.

To enable consistency of reporting, please refer to the glossary in the 2003 Accreditation Handbook for definitions of terms.

Institution: Bates Technical College
Address: 1101 South Yakima Avenue
City, State, ZIP: Tacoma, WA 98405-4895

Degree Levels Offered: □ Doctorate □ Masters □ Baccalaureate □ Associate □ Other

If part of a multi-institution system, name of system: Washington State Board for Community and Technical Colleges

Type of Institution: □ Comprehensive □ Specialized □ Health-centered □ Religious-based □ Native/Tribal □ Other (specify) _____

Institutional control: □ Public □ City □ County □ State □ Federal □ Tribal □ Private/Independent (□ Non-profit □ For Profit)

Institutional calendar: □ Quarter □ Semester □ Trimester □ 4-1-4 □ Continuous Term □ Other (specify) _____
**Specialized/Programmatic accreditation:** List program or school, degree level(s) and date of last accreditation by an agency recognized by the United States Department of Education. (Add additional pages if necessary.)

<table>
<thead>
<tr>
<th>Program or School</th>
<th>Degree Level(s)</th>
<th>Recognized Agency</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Automotive Mechanic Degree (AT)</td>
<td>Associates</td>
<td>National Automotive Technicians Education Foundation (NATEF)</td>
<td>2013</td>
</tr>
<tr>
<td>Broadcasting/Audio/Video Production (AT)</td>
<td>Associates</td>
<td>Society of Broadcast Engineers (SBE)</td>
<td>2013</td>
</tr>
<tr>
<td>Dental Assisting Degree (AT)</td>
<td>Associates</td>
<td>Commission on Dental Accreditation (CODA), American Dental Association</td>
<td>2007</td>
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<td>Dental Lab Technician Degree (AT)</td>
<td>Associates</td>
<td>Commission on Dental Accreditation (CODA), American Dental Association</td>
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<tr>
<td>Digital Media</td>
<td>Associates</td>
<td>Society of Broadcast Engineers (SBE)</td>
<td>2013</td>
</tr>
<tr>
<td>Fire Service Degree (AT)</td>
<td>Associates</td>
<td>National Fire Protection Association (NFPA); standards by the Washington State Patrol, Office of the State Fire</td>
<td>2012</td>
</tr>
<tr>
<td>Occupational Therapy Assistant Degree (AT)</td>
<td>Associates</td>
<td>Accreditation Council for Occupational Therapy Education of the American Occupational Therapy Association (AOTA)</td>
<td>2012</td>
</tr>
<tr>
<td>Welding Degree (AT)</td>
<td>Associates</td>
<td>American Welding Society (AWS), Washington Association of Building Officials (WABO)</td>
<td>2013</td>
</tr>
</tbody>
</table>

*Revised February 2011*
Full-Time Equivalent (FTE) Enrollment (Formula used to compute FTE: Total quarterly credits divided by 15)

Official Fall 2012 (most recent year) FTE Student Enrollments

<table>
<thead>
<tr>
<th></th>
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<td>1,357</td>
<td>1,362</td>
</tr>
<tr>
<td>Graduate</td>
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<tr>
<td>Professional</td>
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</tr>
<tr>
<td>Unclassified</td>
<td>2,802</td>
<td>2,391</td>
<td>1,966</td>
</tr>
<tr>
<td>Total all levels</td>
<td>4,557</td>
<td>3,748</td>
<td>3,328</td>
</tr>
</tbody>
</table>

Full-Time Unduplicated Headcount Enrollment. (Count students enrolled in credit courses only.)

Official Fall 2012 (most recent year) Student Headcount Enrollments

<table>
<thead>
<tr>
<th></th>
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<th></th>
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</thead>
<tbody>
<tr>
<td>Undergraduate</td>
<td>1,610</td>
<td>1,589</td>
<td>1,541</td>
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<tr>
<td>Graduate</td>
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<tr>
<td>Professional</td>
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<tr>
<td>Unclassified</td>
<td>3,507</td>
<td>3,746</td>
<td>3,816</td>
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<tr>
<td>Total all levels</td>
<td>5,117</td>
<td>5,335</td>
<td>5,357</td>
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</table>

Numbers of Full-Time and Part-Time Instructional and Research Faculty & Staff and Numbers of Full-Time (only) Instructional and Research Faculty & Staff by Highest Degree Earned. Include only professional personnel who are primarily assigned to instruction or research.

Total Number  Number of Full Time (only) Faculty and Staff by Highest Degree Earned

<table>
<thead>
<tr>
<th>Rank</th>
<th>Full Time</th>
<th>Part Time</th>
<th>Less than Associate</th>
<th>Associate</th>
<th>Bachelor</th>
<th>Masters</th>
<th>Specialist</th>
<th>Doctorate</th>
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</thead>
<tbody>
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<td></td>
</tr>
<tr>
<td>Associate Professor</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assistant Professor</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Instructor</td>
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<td>7</td>
<td>25</td>
<td>18</td>
<td>28</td>
<td>31</td>
<td>3</td>
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<td>Research Staff and Research Assistant</td>
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<td>Undesignated Rank</td>
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<td></td>
<td></td>
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</tbody>
</table>

Mean Salaries and Mean Years of Service of Full-Time Instructional and Research Faculty and Staff. Include only full-time personnel with professional status who are primarily assigned to instruction or research.
<table>
<thead>
<tr>
<th>Rank</th>
<th>Mean Salary</th>
<th>Mean Years of Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor</td>
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</tr>
<tr>
<td>Associate Professor</td>
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<tr>
<td>Assistant Professor</td>
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</tr>
<tr>
<td>Instructor</td>
<td>$65,995</td>
<td>13</td>
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<tr>
<td>Lecturer and Teaching Assistant</td>
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<tr>
<td>Research Staff and Research Assistant</td>
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<td></td>
</tr>
<tr>
<td>Undesignated Rank</td>
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</tr>
</tbody>
</table>
Financial Information. Complete each item in the report using zero where there is nothing to report. Enter figures to the nearest dollar. Auxiliary and service enterprises of the institution (housing, food service, book stores, athletics, etc.) should be included. The institution’s audit materials should be an excellent reference for completing the report.

Financial Statements attached as an appendix. Also available through the Bates Technical College Accreditation website (log-in required).

### Balance Sheet Data

<table>
<thead>
<tr>
<th>ASSETS</th>
<th>Last Completed FY Dates:</th>
<th>One Year Prior to Last Completed FY Dates:</th>
<th>Two Years Prior to Last Completed FY Dates:</th>
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</thead>
<tbody>
<tr>
<td><strong>Current Funds</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Unrestricted</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Cash</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Accounts receivable gross</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Less allowance for bad debts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Inventories</td>
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<tr>
<td>Prepaid expenses and deferred charges</td>
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</tr>
<tr>
<td>Other (identify)</td>
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</tr>
<tr>
<td>Due from</td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Unrestricted</strong></td>
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</tr>
<tr>
<td>Restricted</td>
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</tr>
<tr>
<td>Cash</td>
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<td></td>
</tr>
<tr>
<td>Investments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (identify)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Due from</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Restricted</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Current Funds</strong></td>
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</tr>
<tr>
<td><strong>Endowment and Similar Funds</strong></td>
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<td></td>
</tr>
<tr>
<td>Cash</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (identify)</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Due from</td>
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<td></td>
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<tr>
<td><strong>Total Endowment and Similar Funds</strong></td>
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</tr>
<tr>
<td><strong>Plant Fund</strong></td>
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<tr>
<td>Unexpended</td>
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<td>Cash</td>
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<td>Investments</td>
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<tr>
<td>Other (identify)</td>
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</tr>
<tr>
<td><strong>Total unexpended</strong></td>
<td></td>
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</tr>
</tbody>
</table>
## Investment in Plant
- Land
- Land improvements
- Buildings
- Equipment
- Library resources
- Other (identify)

### Total investments in plant
- Due from Other plant funds (identify)

### TOTAL PLANT FUNDS

### OTHER ASSETS (IDENTIFY)

### TOTAL OTHER ASSETS

### TOTAL ASSETS

---

### BALANCE SHEET DATA (continued)

#### LIABILITIES

<table>
<thead>
<tr>
<th></th>
<th>Last Completed FY Dates:</th>
<th>One Year Prior to Last Completed FY Dates:</th>
<th>Two Years Prior to Last Completed FY Dates:</th>
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<tbody>
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<td><strong>CURRENT FUNDS</strong></td>
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<tr>
<td>Unrestricted</td>
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</tr>
<tr>
<td>Accounts payable</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Accrued liabilities</td>
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<td>Students’ deposits</td>
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</tr>
<tr>
<td>Fund balance</td>
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<tr>
<td><strong>Total Unrestricted</strong></td>
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<td><strong>Restricted</strong></td>
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<tr>
<td>Accounts payable</td>
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<tr>
<td>Other (identify)</td>
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<td>Fund balance</td>
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<tr>
<td><strong>Total Restricted</strong></td>
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<td><strong>TOTAL CURRENT FUNDS</strong></td>
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<tr>
<td><strong>ENDOWMENT AND SIMILAR FUNDS</strong></td>
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<tr>
<td>Restricted</td>
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<td>Quasi-endowed</td>
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<td><strong>TOTAL ENDOWMENT AND SIMILAR FUNDS</strong></td>
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<tr>
<td><strong>PLANT FUND</strong></td>
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<td>Unexpended</td>
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<td>Due to</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Fund balance</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total unexpended**

| Investment in Plant |   |   |
| Notes payable |   |   |
| Bonds payable |   |   |
| Mortgage payable |   |   |
| Other liabilities (identify) |   |   |
| Due to |   |   |
| Other plant fund liabilities (identify) |   |   |

**Total Investments in Plant Fund**

**Other Liabilities (Identify)**

**Total Other Liabilities**

**Total Liabilities**

**Total Liabilities**

**Fund Balance**
# Current Funds, Revenues, Expenditures, and Other Changes

<table>
<thead>
<tr>
<th>REVENUES</th>
<th>Last Completed FY Dates:</th>
<th>One Year Prior to Last Completed FY Dates:</th>
<th>Two Years Prior to Last Completed FY Dates:</th>
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<td>Tuition and fees</td>
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<tr>
<td>Federal appropriations</td>
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<td>Local appropriations</td>
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<td>Grants and contracts</td>
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<td>Endowment income</td>
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<tr>
<td>Auxiliary enterprises</td>
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</tr>
<tr>
<td>Other (identify)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Expenditure & Mandatory Transfers

**Educational and General**
- Instruction
- Research
- Public services
- Academic support
- Student services
- Institutional support
- Operation and maintenance of plant
- Scholarships and fellowships
- Other (identify)
- Mandatory transfers for:
  - Principal and interest
  - Renewal and replacements
  - Loan fund matching grants
  - Other (identify)

**Total Educational and General**

**Auxiliary Enterprises**
- Expenditures
- Mandatory transfers for:
  - Principal and interest
  - Renewals and replacements

**Total Auxiliary Enterprises**

## Other Transfers and Additions/Deletions

(identify)

**Excess** [deficiency of revenues over expenditures and mandatory transfers (net change in fund balances)]
### Institutional Indebtedness

<table>
<thead>
<tr>
<th>Total Debt to Outside Parties</th>
<th>Last Completed FY Dates:</th>
<th>One Year Prior to Last Completed FY Dates:</th>
<th>Two Years Prior to Last Completed FY Dates:</th>
</tr>
</thead>
<tbody>
<tr>
<td>For Capital Outlay</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>For Operations</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Domestic Off-Campus Degree Programs and Academic Credit Sites: Report information for off-campus sites within the United States where degree programs and academic coursework is offered. (Add additional pages if necessary.)

- **Degree Programs** – list the names of degree programs that can be completed at the site.
- **Academic Credit Courses** – report the total number of academic credit courses offered at the site.
- **Student Headcount** – report the total number (unduplicated headcount) of students currently enrolled in programs at the site.
- **Faculty Headcount** – report the total number (unduplicated headcount) of faculty (full-time and part-time) teaching at the site.

### Programs and Academic Credit Offered at Off-Campus Sites Within the United States

<table>
<thead>
<tr>
<th>Location of Site Name</th>
<th>City, State, ZIP</th>
<th>Degree Programs</th>
<th>Academic Credit Courses</th>
<th>Student Headcount</th>
<th>Faculty Headcount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Muckleshoot Tribal College</td>
<td>Enumclaw, WA 98092</td>
<td>Marketing and Business</td>
<td>22</td>
<td>12</td>
<td>1</td>
</tr>
</tbody>
</table>
**Programs and Academic Courses Offered at Sites Outside the United States.** Report information for sites outside the United States where degree programs and academic credit courses are offered, including study abroad programs and educational operations on military bases. (Add additional pages if necessary.)

**Degree Programs** – list the names of degree programs that can be completed at the site.
**Academic Credit Courses** – report the total number of academic credit courses offered at the site.
**Student Headcount** – report the total number (unduplicated headcount) of students currently enrolled in programs at the site.
**Faculty Headcount** – report the total number (unduplicated headcount) of faculty (full-time and part-time) teaching at the site.

**Programs and Academic Credit Courses Offered at Sites Outside the United States**

<table>
<thead>
<tr>
<th>Location of Site Name</th>
<th>Degree Programs</th>
<th>Academic Credit Courses</th>
<th>Student Headcount</th>
<th>Faculty Headcount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Zhejiang College of Construction Hangzhou, China</td>
<td>Architectural Engineering Technology (Online)</td>
<td>93</td>
<td>35</td>
<td>2</td>
</tr>
</tbody>
</table>
Preface

Introduction

Bates Technical College was exempted from a Year Three Report, due to the compressed accreditation schedule for the institution. Bates was assigned a three year time period for the seven year cycle, therefore the last report submitted was the Year One Report (with Financial Resources Review or FRR) in fall 2011.

The sections contained in Standard One include revised and updated content from the Year One Report, a current institutional overview and Basic Institutional Data Form reflecting the institution’s characteristics in the 2012-13 year, and updates on any institutional changes since the 2011 Year One Report and FRR.

Brief update on institutional changes since the institution’s last report

Since Bates’ submission of the Year One Report in September 2011, the college has continued to operate in a climate of change. recent developments include:

- The Board of Trustees appointed a new President in July 2012, Dr. Ron Langrell, after the retirement of President Lyle Quasim. In his first year at Bates, Dr. Langrell has implemented several organizational developments, restructuring instructional administration, implementing a new comprehensive baseline budget and planning process, and a revised Program Review process negotiated with Faculty. The President’s communication to the college on several of these changes can be viewed on the President’s blog.

- The college implemented an additional change to the instructional calendar altering quarter start and finish dates, and creating 5 additional professional development days for the 13-14 year as a result of the adjustment. This change brings Bates’ fall quarter start dates later into September (from September 5 to September 23). This change better aligns Bates’ quarter dates with those of other State Colleges. This will be beneficial to students who attend courses at multiple colleges or who are first time enrollments in fall. Administratively, this change will reduce delays in data processing with the State Board (which works to the ‘latest’ college in the system), and better align Bates with the State college system for grants and reporting.

- At the same time, the State Board for Community and Technical Colleges (SBCTC) approved a major capital project for Bates, which will result in a new building on our Central Campus (formerly the 'Mohler Campus'). This new building will house technology and engineering programs in state-of-the-art classrooms, provide student services and library resources for the Central Campus, and create additional instructional space at the Downtown Campus. The new building is scheduled for completion within 24 months.
Response to topics previously requested by the Commission

Recommendations from the Year One Report Evaluation, Fall 2011

1. Since receiving Recommendation 1 in the Fall 2010 Focused Interim Evaluation report, Bates Technical College continues to make progress on refining its program and department assessment plans, however, the evaluation panel found that the College has not yet fully implemented the assessment process across all programs and departments. The panel recommends that the College fully implement the assessment process in order to systematically use the results of assessment to influence planning and resource allocation for improvement of the College’s instructional and service programs (Standard 4.A.2 and 4.A.5).

Bates Technical College redesigned the College program and department assessment planning process in 2008-09. This process was based on a three year cycle of analysis, planning, and evaluation, with all programs and departments cycling through the process with staggered starts over a three year period. However, the process was held over through the clock hour to credit hour conversion, as the College was undergoing a complete restructure of instructional plans and designs, and of many student support services. Preparation for the conversion began in 2009-10, with the conversion effective May 2010. The 2010-11 year was reserved for essential corrections of curriculum, pedagogy, and student management systems for credit hour operation. Several programs and departments began assessment plans in this period, but the design of data analysis and administrative and instructional structures of credit operation proved too disparate from the original plan design, which was developed for a clock hour, competency based instructional model.

In the 2011-12 year, the College began a redesign of the assessment process for programs, resulting in two overarching structures that were subject to faculty labor management negotiation, the Program Effectiveness and Reporting Process and the Program Sustainability Analysis Process. These were approved in January 2013 and August 2013 respectively. In 2012-13, under the direction of the new President, programs and departments were shepherded through a complete redesign of the College’s budgeting process, one that enabled more comprehensive inclusion of program and department level plans and objectives, as well as accommodating numerous existing and new external program or department level accreditations, the recent negotiated Review and Sustainability memoranda, and which facilitated better correlation with College strategic priorities and the Core themes.

This new model is scheduled for implementation in fall 2013, and early examples will be available for review during the October visit, and is discussed in more detail in Standard 4.
2. For all indicators of success, the panel recommends that Bates Technical College fully implement its plan for developing its baseline performance, benchmarking based on peer comparators, and setting performance targets in order to more clearly define mission fulfillment, articulate an acceptable level of performance, and evaluate the College’s accomplishments and outcomes for mission fulfillment (Standard 1.A.2).

Bates Technical College has determined baselines and performance targets for each of its core theme success indicators. These targets are applied to identify levels of achievement of acceptable thresholds of mission fulfillment. This process is described in Standard 1.A.2, and the data and outcomes are described in Standard 3.B and Standard 4.A.4.

3. For each of its four core these, Bates Technical College has identified goals, strategic plans, objectives, and indicators of success. The panel recommends that the College continue to refine and focus the goals and objectives in order to reduce the number of indicators by identifying key institutional indicators that are direct, meaningful, measurable, verifiable, and provide a clear rationale for evaluating the accomplishment of the core theme goals and strategic objectives (Standard 1.B.2)

Bates Technical College responded to this recommendation with a process of evaluation and review of each Core Theme Success Indicator. That process and its outcomes are described in section 1.A.2., 1.B.1, and the final Core Theme Indicators are included in Standard 1.B.2.

Bates Technical College also submitted a Financial Resources Review (FRR), as requested by the NWCCU, as an addendum to the 2011 fall Self Evaluation Report. This Review was referred to the Financial Resources Review Subcommittee in 2012, but did not receive attention and no findings were received. The College was asked to submit a revised and updated FRR as an addendum to this Report, which is included after standard 5. The content of the FRR attached to this report includes the content of the previous submission, and updates to reflect progress since fall 2011.
Standard 1
Mission, Core Themes, and Expectations
Summary of Eligibility Requirements 2 and 3

2 Authority
The institution is authorized to operate and award degrees as a higher education institution by the appropriate governmental organization, agency, or governing board as required by the jurisdiction in which it operates.

Response
Bates is authorized by the State Board for Community and Technical Colleges in the State of Washington, under RCW Chapter 28B.50, and operates under the requirements described therein.

3 Mission and Core Themes
The institution’s mission and core themes are clearly defined and adopted by its governing board(s) consistent with its legal authorization, and are appropriate to a degree-granting institution of higher education. The institution’s purpose is to serve the educational interests of its students and its principal programs lead to recognized degrees. The institution devotes all, or substantially all, of its resources to support its educational mission and core themes.

Response
Bates Technical College adopted its mission, “to inspire, challenge, and educate”, with approval of the Board of Trustees, in 2006. The Core Themes described herein provide a framework for how Bates fulfills that mission, directs the allocation of resources, and structures evaluations of success. The Core Themes were approved and adopted by the Board of Trustees in May 2011.
Accreditation Standards (Standard 1)

1.A.1

Widely Published Mission Statement
The institution has a widely published mission statement—approved by its governing board—that articulates a purpose appropriate for an institution of higher learning, gives direction for its efforts, and derives from, and is generally understood by, its community.

Response
This Chapter, Standard One: Mission, Core Themes, and Expectations, describes Bates’ conceptual framework for mission fulfillment. This framework consists of the College’s mission, core themes, objectives, and indicators of achievement.

Mission
To inspire, challenge and educate.

Vision
Bates Technical College helps students realize their potential for growth and success through innovative instruction in a nurturing, diverse environment. Students achieve their career and personal goals, strengthening the region’s social and economic vibrancy. Strong local and global partnerships with business, industry, labor and the public make the College a respected contributor to community vitality.

Sources
- Bates Website: Our Mission and Vision
- College Catalog 2012-13 (Page 5)
1.A.2

Mission Fulfillment

The institution defines mission fulfillment in the context of its purpose, characteristics, and expectations. Guided by that definition, it articulates institutional accomplishments or outcomes that represent an acceptable threshold or extent of mission fulfillment.

Response

Bates defines mission fulfillment as the attainment of an acceptable level of performance within the Goals and Strategic Objectives of its Core Themes individually, and in the application of a collective evaluation of institutional effectiveness in the associated processes (Standard Four).

To monitor performance of the College against the Core Themes described herein, the College’s Strategic Planning Council (comprising faculty, exempt and classified staff, and student representation) identified a set of indicators to be monitored annually, as part of an annual data report. For each indicator, a baseline is established, based on 2010-11 performance data, that being the first year after the credit conversion. For some indicators, prior year data is included to facilitate trend mapping. Performance targets, contributing to an acceptable threshold of mission fulfillment, are established using these baselines, year on year performance, and enrolment forecasts.

Evaluation of Success Indicators

In response to the evaluation of the Year One Report, a committee was established with faculty, administration, students, and support staff to develop a system to evaluate indicators as a measure of mission fulfillment. The process they developed, and which was ratified by the Strategic Planning Council, is described here, and has been first applied in fall 2013.

In order to determine an ‘acceptable’ level of performance for each indicator, the indicators were assigned to college councils for review in fall 2012. Each council reviewed their set of indicators, and assessed each on its importance to each mission area (inspire, challenge, educate) according to the matrix below:

<table>
<thead>
<tr>
<th>Critical</th>
<th>Inspire</th>
<th>Challenge</th>
<th>Educate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Important</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Can affect</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does not affect</td>
<td></td>
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</tr>
</tbody>
</table>
This activity also contributed to the review requested by the evaluators of the Year One Report in 2011, recommending that the college ensure that the success indicators used are clear measures of mission fulfillment.

To set the performance threshold, evaluations are matched against mission importance such that:

- If an indicator falls into the red category of any mission area, it must reach ‘met target’
- If an indicator falls into the yellow area of any mission area, it must reach ‘improved’
- If an indicator falls into only green areas, review its relevance. If it remains included, it must reach ‘improved’
- If an indicator only falls into blue area of all mission areas, take it out.

Next, once baselines are established, year on year data is reviewed against enrollment projections and other significant external factors, and a performance target is set for each indicator. Then, each indicator’s performance is graded as:

- Exceeded target
- Met target
- Did not meet target but showed significant improvement
- Did not meet target and did not show significant improvement

This is mapped against the mission requirement above (the red, yellow, green, blue categories above), and if an indicator has reached its mission area requirements, it scores ‘Y’. If an indicator fails to reach its mission area requirements, it scores ‘N’.

Finally, mission fulfillment is assessed on ratio of ‘Y’ to ‘N’. A goal of 70% ‘Y’ was established by the Strategic Planning Council as a college expectation for ‘mission fulfillment’.

**Mission Fulfillment**

Bates recognizes that mission fulfillment is an ongoing goal. As the College improves performance, approaches and attains its targets and goals, it will of course, reset those targets and goals to a higher standard to drive continuous improvement. In the context of the Accreditation cycle, Bates will see mission fulfillment as the attainment of the goals and strategic objectives described herein, but with the understanding and expectation that as the college nears those goals it will push them further out. In this sense, much of Bates’ articulation of mission fulfillment relates to establishing a record of evidence of continuous improvement and expanding aspirations.

Given the compressed timescale of this first seven year cycle, Bates is approaching this first application of the described method of evaluating mission fulfillment as a pilot. As the college moves into the full seven year process in 2013-14, the effectiveness of this method will be reviewed and adapted, for presentation in the Year One Report in fall 2014. early discussion have indicated that the addition of comparable peer data (where available), and mid-year performance data reporting would be helpful, and are planned for the next cycle.
It is, of course, the College’s aspiration that all targets will be met, and exceeded. However, as previously described, as performance approaches or attains that level of success, the target will be re-evaluated, and in the majority of cases will be expanded to drive continuous improvement. The crux of mission fulfillment for Bates is therefore two-fold. First, the attainment of set performance targets, but second, and equally important, the climate of aspiration and challenge that takes the institution to ever higher goals. In other words, the mission, ‘to inspire, challenge, and educate’ applies not only to Bates’ services to students, but to the institution itself.
1.B.1

Core Themes Identified
The institution identifies core themes that individually manifest essential elements of its mission and collectively encompass its mission.

Response
The college established its current mission, vision, and associated values statements in response to a recommendation from the 2003 Full-scale evaluations. During the 2003 accreditation visitation, the College was commended for “creating a culture of planning and assessment by providing noteworthy institutional support, inviting community as well as College-wide participation, and demonstrating increasing sophistication and refinement of planning and assessment activities over time.” The activities of the College with regard to this recommendation were, as has become the College’s culture, carried out in a broad-based collegial fashion. In its desire to make the planning and assessment process more broad-based and participatory, in early 2004 the College created a Strategic Planning Council charged with developing and maintaining the College Goals and Strategic Plan. The Council includes the President, Vice-Presidents, exempt staff, faculty, and classified staff. Each of the College’s other seven Councils and three campuses are represented on the Strategic Planning Council. The Strategic Planning Council led the efforts to review the College’s mission and identify a single set of College goals and involve the college community in this process.

In January of 2005, approximately 70 members of the college community attended a daylong College Retreat. Attendees included students, faculty, administrators, classified staff, several Trustees, and Advisory Committee members, representing business, industry and labor. This group first recommended that the existing College Goals, developed during 2000, be converted to College Value Statements. Following this recommendation, the retreat participants divided into small groups and critiqued the mission and goals in the existing Strategic Plan, and to develop a College vision statement.

Subsequent to this retreat, a sub-committee of faculty, staff, and administrators, using the input from the retreat developed a revised draft mission. This was submitted to the Strategic Planning Council, who subsequently provided it to each of the other seven Councils for input. Even though these reviews involved a broad representation of college members, so as to increase the spectrum of participants included in this initiative, in March 2005, the entire college community was invited to a “town-meeting” formatted gathering, to review the final minutes and draft of the then new College goals.

During April 2005, the Bates Technical College Board of Trustees took two actions: they approved converting the existing College Goals into College Value Statements, and approved the new College mission along with the set of goals submitted at that time. The mission, “to inspire, challenge, and educate” continues to serve as the College mission, and has been very well received and supported across the College community.
In February 2009, in response to the emerging new standards for accreditation, the College began a process to reinforce the mission and develop core themes. The process began with a large workshop on February 20, 2009, in which nearly 120 participants, including students, faculty, staff, and trustees met to discuss the mission, the College’s identity, and its goals and responsibilities. The outcomes of this session then went to the College’s Strategic Planning Council for discussion.

The Core Themes, and the draft new accreditation process were introduced to staff at an in-service day on March 20, 2009. This was followed by a further, smaller consultation group, of approximately 30 members, representing administration, staff and faculty met on June 2, 2009 to further refine the core themes. By September of 2009, the Strategic Planning Council had prepared a draft set of Core Themes. These were presented to the College community for review and consultation via an on-line survey evaluation in October 2009. Responses to the survey were taken to the Strategic Planning Council and the Student Services Staff Group for further development in 2010, and in conjunction with College councils and committees, associated goals and indicators of success were drafted.

In 2010, the Strategic Planning Council also began work to align the College’s Council and committee structure, and overall institutional effectiveness procedures, with the new accreditation standards and the emerging Core Themes. Eight College Councils, including the Strategic Planning Council, as well as the College Assessment Committee, and other college committees, will be the vehicle by which the College ensures continued consultation, participation, and contribution from across the institution in ensuring mission fulfillment and attainment of accreditation standards.

A final draft of the Core Themes, with goals and indicators, began a final round of consultation in spring of 2011, after the clock to credit conversion was complete. The Core Themes were presented to the trustees, and to several College advisory groups, including the Associated Student Government (ASG) and the Colleges Community Diversity Advisory Committee (CDAC) and the Integrating Diversity and Equal-Access in Learning Council (IDEAL). A final cross-college survey was developed with the Strategic Planning Council and distributed to the College community, including ASG student officers. The responses to the survey were presented to the Strategic Planning Council for a final review, and the College’s final Core Themes were presented to the Board of Trustees for approval at their July 2011 meeting; these are the Core Themes and Goals currently in use.

In response to the recommendation of the evaluation team of the Year One Report in fall 2011, the college began a further process to refine and focus the Strategic Objectives. The College’s Strategic Planning Council conducted an initial evaluation of Objectives and indicators from January to April 2012, assessing indicators for relevance and measurability. A further review, led by the Strategic Planning Council, was conducted in fall and winter quarters of 2012-13. This review focused on the association of each indicator as an effective and contributing measure of mission fulfillment. This exercise was conducted by a sub group of Strategic Planning Council
members, by the Student Affairs Council, and by the combined community and college Diversity Council (CDAC/IDEAL). This activity not only evaluated the relevance of an objective to aspects of mission fulfillment for each of the mission elements (inspire, challenge and educate), but also identified the type of success threshold to be applied. This process was described in section 1.A.2 above (Mission Fulfillment). Indicators that were evaluated as 'blue' in all three areas were removed - although many were kept as internal performance criteria useful to a department in other contexts - and indicators that scored 'blue' in one or more area, and with no 'red' or 'yellow' were discussed. Several indicators were identified as useful, but not direct factors in the determination of mission fulfillment, and were removed from the Core Theme document.

This was a very useful process for Bates. In the early stages of discussing indicators, prior to the submission of the Year One Report, there was considerable interest from many departments to have extensive sets of indicators. Many staff were very protective of the indicators. On the one hand, this was very positive, as it showed enthusiasm for performance data, but on the other hand it made it difficult to have open discussions about the relative merit of a given indicator as a measure of mission fulfillment. As the discussion progressed, and through the color scoring activity described, many indicators were identified as not measurable (usually because structures were not yet in place to collect the data), or lacking a clear connection to mission fulfillment. In order to encourage staff to be comfortable with removing indicators, the Institutional Research team captured the removed indicators for future internal use. Many of these are being developed, with evidence collection strategies and systems, to be used in the future by individual departments for their own performance monitoring. The remaining indicators were captured within the Core Themes included in this chapter, and evaluated accordingly.
1.B.2

Objectives and Verifiable Indicators
The institution establishes objectives for each of its core themes and identifies meaningful, assessable, and verifiable indicators of achievement that form the basis for evaluating accomplishment of the objectives of its core themes.

Response

Core Theme One: Workforce Education

Description
Bates is committed to providing high quality education and training for students seeking advancement in the workforce. Core Theme One, Workforce Education, reflects the Bates Technical College’s career training programs, and the success of students during and after their programs. In addition, this Core Theme reflects Bates’ commitment to diversity, and to the value that all students should have equal opportunities for success.

Objectives
Within this theme, Bates has identified three goals for Workforce Education:

- Goal 1: Student access, retention, and achievement of degrees and certificates relates to and supports workforce education
- Goal 2: The College offers high quality degrees and certificates that prepare students for the workforce
- Goal 3: Provide diverse learning opportunities that enable all students to achieve success

Indicators of Success
For each of these goals, the College has identified strategic objectives that will indicate mission fulfillment in the context of this core theme. For each objective, Bates has selected indicators of achievement that will form the measures of success.
Goal 1: Student access, retention, and achievement of degrees and certificates relates to and supports workforce education

<table>
<thead>
<tr>
<th><strong>Strategic Objective</strong></th>
<th><strong>Indicators of success</strong></th>
</tr>
</thead>
</table>
| Students progress successfully to attainment of a credential | • Student Achievement Initiative (SAI) points earned by students  
• Retention and completion rates of students (fall to fall)  
• GPA of students |
| Students are offered a range of programs that complement area demand now and anticipated for the future | • Job placements of students  
• Non-traditional enrollment and completion rates |
| Programs are reviewed for relevancy on a regular schedule | • Programs complete a comprehensive curriculum validation every other year, and/or programs complete a graduate survey at least every other year |
| Students who complete a professional/technical degree or certificate possess the necessary skills for successful entry into a job that relates to the field of study. | • Job placement rates of students  
• Students successfully attaining industry credentials (where available) |
Goal 2: The College offers high quality degrees and certificates that prepare students for the workforce

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students are offered an increasing range of appropriate transfer options</td>
<td>• Number of programs with transfer options or articulation agreements</td>
</tr>
<tr>
<td>Students receive high quality instruction</td>
<td>• Number of faculty undertaking additional industry or pedagogic courses or other opportunities each year (includes in service)</td>
</tr>
<tr>
<td></td>
<td>• Number of faculty undertaking intercultural skill development courses to assess and address diversity in the classroom</td>
</tr>
<tr>
<td></td>
<td>• Student Input Response Forms: Overall instructor performance and average instructor effectiveness from student input form responses</td>
</tr>
<tr>
<td>Curriculum is accurate and in compliance with State and industry requirements, and represents exemplary teaching and learning opportunities</td>
<td>• Outcomes from curriculum validations</td>
</tr>
<tr>
<td></td>
<td>• Industry accreditations for programs</td>
</tr>
<tr>
<td>Students develop a range of transferable skills that they can apply in the workplace</td>
<td>• Development of ‘college-wide learning outcome (CLO)’ and inclusion in all program curriculum</td>
</tr>
</tbody>
</table>
Goal 3: Provide diverse learning opportunities that enable all students to achieve success

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students are provided with opportunities to develop as global citizens</td>
<td>• Number of students participating in activities to develop intercultural stewardship and competency</td>
</tr>
<tr>
<td></td>
<td>• Programs including identifiable diversity and citizenship elements in their curricula</td>
</tr>
<tr>
<td>Clear progression pathways are provided for students from precollege through credential attainment, irrespective of the point of entry</td>
<td>• SAI points attained by students</td>
</tr>
<tr>
<td></td>
<td>• Success of students from basic skills/GED/ESL transitioning into career training programs</td>
</tr>
<tr>
<td>Students of color, non-traditional students and students with disabilities attain credentials</td>
<td>• Number/Percentage of faculty of color, faculty in non-traditional occupational program areas and faculty with disabilities</td>
</tr>
<tr>
<td></td>
<td>• Completions/SAI points of students of color, non-traditional students and students with disabilities</td>
</tr>
<tr>
<td>Opportunities are available for flexible program delivery, including on-line, hybrid, and part time offers</td>
<td>• Number of courses available through flexible options (evening, on-line or hybrid)</td>
</tr>
</tbody>
</table>

**Rationale**

The indicators of achievement are all data indicators included in Bates' annual data reporting and analysis as part of the annual data book. The content of this data book was developed by the College Strategic Planning Council, and these indicators, from those included in the annual data book, were identified as appropriate for measuring and evaluating institutional performance against the Core Theme, its goals, and strategic objectives, and ultimately mission fulfillment. As such, these indicators represent measurable, and obtainable data and information.

**Goal 1: Student access, retention, and achievement of degrees and certificates relates to and supports workforce education**

The indicators were selected to show two aspects of student attainment. First, GPA, and student achievement initiative points show the persistence (or ‘distance travelled’) of students, and records credential attainment, and GPA measures student learning and on-course success. Bates is committed to supporting students through to credential attainment, and retention and completion rates are an essential indicator.
For most of Bates’ students, career advancement is a primary motivator. Ensuring relevance and application of programs to employment outcomes is addressed with curriculum validations with advisory committees, and job placement outcomes of students.

*Goal 2: The College offers high quality degrees and certificates that prepare students for the workforce*

The quality of the educational offer is critical to a student’s success after they complete their program and enter the workforce. The indicators here are selected to ensure that Bates offers high quality instruction, with industry standard curriculum, facilities, and equipment that prepares student for success in the workplace. Program-level accreditations conducted by industry specialists will ensure that individual programs met the expectations of their industries, and monitoring and enhancing faculty training will maintain the relevance and quality of instruction.

Many of Bates’ students begin their programs with the intent of transferring to a four-year degree, and others develop that ambition while at Bates. The inclusion of transfer opportunities and articulation agreements ensures that these students are supported and adequately prepared for the transition to further higher education in their field of study.

Bates believes that essential to its mission, is the development of the student not only in essential industry skills and knowledge, but in wider transferable skills such as diversity awareness, global citizenship, critical thinking, and effective communication. The importance of these skills has led to the creation of “College Wide Learning Outcomes” and widely included in the curricula delivered by faculty at Bates. Developing faculty intercultural skills, and the implementation of core college competencies, and students’ assessed attainment of these, will support his objective.

*Goal 3: Provide diverse learning opportunities that enable all students to achieve success*

Underpinning Bates’ mission and vision is a commitment to valuing diversity and ensuring access for all in a positive and nurturing environment that facilitates success. The indicators identified here will ensure that students at Bates are progressing and succeeding regardless of ethnicity, gender, age, or disability. Employee indicators will ensure that faculty and staff are appropriately trained and encouraged to embody the value of diversity, and skilled in supporting all students. Bates is expanding the inclusion of global citizenship content within the curriculum as part of this ambition.

Bates is also committed to maximizing access for all students, and supporting flexible learning opportunities for those students who need them because of personal circumstances, disability, or other factors. Bates has set targets to expand the use of technology, building on investments in distance learning and universal design, to increase access for students in challenging circumstances.
Core Theme Two: Student Centered

Description
Bates is committed to enabling students to succeed; to aspire to education, to reach their educational goals and also to transition successfully to further education or employment. Core Theme Two, Student Centered, reflects the Bates Technical College’s services to students in support of their attainment. Again, this Core Theme reflects Bates’ commitment to diversity, and to the value that all students should have equal opportunities for success.

This Core Theme reaches beyond student support services however. It includes the development of capacities that will enable students to succeed beyond the workplace, and develop them into confident, successful citizens. This Core Theme also includes strategic objectives for college-wide abilities, inter-cultural competency, and global citizenship. It includes student representation and involvement in the College community through activities such as the Associated Student Government. Other support services, such as the College Foundation and alumni association are included in this Core Theme.

Objectives
Within this theme, Bates has identified three goals for Student Centered:

- Goal 1: Provide strong engagement with prospective students that increases college knowledge & enrollment
- Goal 2: Provide the tools and services to enrolled students necessary for successful navigation of the college system
- Goal 3: Provide intercultural stewardship, development and involvement activities that create opportunities for expanded awareness, perspective and competency for students

Indicators of Success
For each of these goals, the College has identified strategic objectives that will indicate mission fulfillment in the context of this core theme. For each objective, Bates has selected indicators of achievement that will form the measures of success.
Goal 1. Provide strong engagement with prospective students that increases college knowledge & enrollment

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
</table>
| Enhanced processes that increase the rate of transition of prospective students into the college. | • Number and success rates of students transitioning from basic skills/GED/ESL into career training programs  
• Number of students moved from priority (waiting) lists into programs |
| Student Services staff are readily available and responsive to inquiries | • Student satisfaction survey responses on support areas |

Goal 2. Provide the tools and services to enrolled students necessary for successful navigation of the college system

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
</table>
| Provide the resources to increase the self-sufficiency of student registration transactions, student financial aid literacy & support services navigation | • Page Views to Student Financial Aid web pages (new site)  
• Ratio of priority to non priority financial aid recipients handled within deadline |
| Institute Academic Early Warning policies & processes that identify & intervene w/ vulnerable students | • Retention rate  
• Number of students transitioned off academic probation successfully |
| Library resources are appropriate and meet the needs of students and the curriculum | • Library student satisfaction responses  
• Number/value of library acquisitions  
• Library gate count |
| Support services lead to student success | • Retention and completion (Student Achievement Initiative points) of students of color, non-traditional students and students with disabilities |
Goal 3: Provide intercultural stewardship, development and involvement activities that create opportunities for expanded awareness, perspective and competency for students

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
</table>
| Opportunities are provided for students to participate in college and community events and activities | • Number of students involved in college opportunities (e.g. College Councils and Committees, ASG, Civics Week, SOCC, Cookie Day, etc.)  
• Outcomes from student ‘inspire and challenge’ assessments |
| Enhancement of intercultural & interpersonal knowledge, skills & abilities | • Number of students participating in activities to develop intercultural stewardship and competency  
• Numbers of disciplinary actions and Bias Incidents |
| Identify and implement new or enhanced strategies to recruit and retain a diverse student population | • Number of enrollments by students of color, students with disabilities, and non-traditional students |

Rationale
Again, the indicators of achievement are all data indicators included in Bates’ annual data reporting and analysis as part of the annual data book.

Goal 1. Provide strong engagement with prospective students that increases college knowledge & enrollment
Bates recognizes that the initial points of contacts students have with the institution are critical to a student’s subsequent enrollment, and ultimately to their success at the College. The indicators under this goal relate directly to the primary points of contact for students as they make initial enquiries and consider enrollment – general enquiries, advising, assessment testing and pre-college courses, registration and payment of tuition and fees, and orientation. Evaluating these areas through the measures described will ensure that the enquiry and enrollment process is clear, smooth, and supportive, and the evaluations will pinpoint any specific areas of weakness.
Goal 2. Provide the tools and services to enrolled students necessary for successful navigation of the college system
Once enrolled and underway on their program of study, students will draw on one or more areas of support, including financial aid, libraries, tutoring, and other services. Bates recognizes that a student’s success may depend on the awareness of these services, their availability, and their appropriateness to students. The indicators under this goal will evaluate several of the support services of significant influence on student success, and establish targets for high quality performance in support of student attainment. Outcomes from these indicators will also identify priorities for resource allocation, and measure the relative impact of different services on student success.

Goal 3: Provide intercultural stewardship, development and involvement activities that create opportunities for expanded awareness, perspective and competency for students
Bates recognizes that its institutional responsibilities to students go beyond career instruction and include developing students as effective citizens and contributors to their communities. The indicators here measure the college’s effectiveness in instilling values, skills, and awareness in several essential competencies, including valuing diversity, social responsibility, and global citizenship. It is largely in these measures that the evaluation of the college’s mission ‘to inspire’ will be evaluated.
Core Theme Three: General Education

Description
Bates recognizes that while the majority of its students choose their program of study and attend for the vocational training provided, that the skills and knowledge attained through general and related education are essential to success. The Core Theme, General Education, encompasses the general and related education components of career training programs, pre-college developmental education courses (including Basic Skills and GED), and ESL courses.

In addition, this Core Theme reflects the importance placed on general and related education at the College. Bates recognizes its responsibility to provide quality general and related education to support student attainment, but also to communicate the value of this associated instruction to students and the wider College community, and to ensure this instruction component is available to all students. The College also recognizes the significance of the general education component in the future success of transfer-intent students, and measures are included to ensure that the College is providing adequate general education instruction to prepare transfer students for success in their receiving institution.

Objectives
Within this theme, Bates has identified three goals for General Education:

- Goal 1: Provide general education instruction that enables students to progress to more advanced courses and entry into degree and certificate programs
- Goal 2: General Education students are satisfied with their academic progress and achievement
- Goal 3: Applied and Related Instruction components enhance the learning experience and contribute to student attainment

Indicators of Success
For each of these goals, the College has identified strategic objectives that will indicate mission fulfillment in the context of this Core Theme. For each objective, Bates has selected indicators of achievement that will form the measures of success.
Goal 1: Provide general education instruction that enables students to progress to more advanced courses and entry into degree and certificate programs

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Increased access to general education</td>
<td>• Participation in general education classes delivered by alternative methods (Number of students/Number of courses offered)</td>
</tr>
<tr>
<td></td>
<td>• Number of students undertaking General Education classes while on a priority (wait) list</td>
</tr>
<tr>
<td>ABE, ESL, and developmental general education students will transition successfully to a college level technical course.</td>
<td>• Number of ABE, GED, and ESL students transitioning to college level courses</td>
</tr>
<tr>
<td></td>
<td>• Success of students from basic skills/GED/ESL transitioning into career training programs</td>
</tr>
<tr>
<td></td>
<td>• Student Achievement Initiative points in ABE/ESL and quantitative reasoning</td>
</tr>
</tbody>
</table>

Goal 2: General Education students are satisfied with their academic progress and achievement

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Students understand the relevance of general education classes and can apply their learning.</td>
<td>• Number of students enrolling in required GenEd classes in first three quarters</td>
</tr>
<tr>
<td></td>
<td>• Student response rate on ‘I can apply the principles I learned’ from the Student Input Form</td>
</tr>
<tr>
<td>The College sends a clear and effective message of the importance of communication, mathematics and human relations classes</td>
<td>• Number and completion rate of students enrolling in required Gen Ed classes in first three quarters as specified by their delivery plan</td>
</tr>
</tbody>
</table>
Goal 3: Applied and Related Instruction components enhance the learning experience and contribute to student attainment

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applied and related education classes are of high quality and support student learning in career training programs</td>
<td>• GPA in applied and related classes, and in associated career training classes</td>
</tr>
<tr>
<td></td>
<td>• Completion rates of students taking programs with applied and related components</td>
</tr>
</tbody>
</table>

Rationale
Again, the indicators of achievement are all data indicators included in Bates’ annual data reporting and analysis as part of the annual data book.

Goal 1: Provide general education instruction that enables students to progress to more advanced courses and entry into degree and certificate programs
The measures here reflect the effectiveness of the general education component in preparing students for their programs of study, and for their subsequent programs if they transfer to further higher education. These indicators will measure the availability, efforts to promote broad access to by providing alternative formats for general education courses, and quality of general education provision to students preparing for enrolment, and preparing for transfer upon completion of their associates’ degree.

Goal 2: General Education students are satisfied with their academic progress and achievement
The indicators included here reflect the importance the college places on general and related instruction. These measures evaluate how effective the College is in communicating that message to staff and students. In addition, these measures evaluate the effectiveness of the general and related instruction, and its relevance to vocational instruction, to ensure that the message is reinforced in both the general and vocational curriculum.

Goal 3: Applied and Related Instruction components enhance the learning experience and contribute to student attainment
The indicators included here represent effort to ensure that general and related education components are effectively supporting student learning and success on their vocational programs. Many programs rely upon and have included in their curriculum applied or related instruction, and developed specifically for a particular program of study. These indicators will ensure that applied and related instruction deliver within or in conjunction with specific programs is of high quality and directly relevant to and supportive of the vocational component.
Core Theme Four: Community Relationships

Description
The College perceives its role as one not only in provision of education and training to students, but in serving as an effective community resource, contributing to the local community, its industries and economy, and serving as an advocate for technical education at the highest levels. The Core Theme Community Relationship embodies three aspects of that responsibility:

- The Business Community (through industrial partnerships including advisory committees, employers, employment support agencies, and the media)
- The Social Community (through outreach, alumni, and local community organizations)
- The Political Community (through advocacy and partnerships)

The College has set goals for the institution to ensure that it is proactive in developing and maintaining these relationships for the benefit of students, graduates, and the communities in which it operates. The Goals and indicators of success described here reflect how the College will contribute to those relationships in the context of learning and student success.

Objectives
Within this theme, Bates has identified three goals for Community Relationships:
- Goal 1: The College recruits and retains valuable partners to benefit the college, the students, and the community
- Goal 2: Public relations efforts benefit the College and students
- Goal 3: The College encourages and supports an effective learning community

Indicators of Success
For each of these goals, the College has identified strategic objectives that will indicate mission fulfillment in the context of this core theme. For each objective, Bates has selected indicators of achievement that will form the measures of success.
Goal 1: The College recruits and retains valuable partners to benefit the college, the students, and the community

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strong and valuable community partners/partnership</td>
<td>• Advisory committee membership (number of filled advisory committees, length of service)</td>
</tr>
<tr>
<td></td>
<td>• Professional organizations directly connected to instructional programs</td>
</tr>
<tr>
<td>Partnerships have a direct and positive effect on instructional programs, student services, or the College foundation</td>
<td>• New partnerships created that bring measurable benefits to the college community (donations, work placements, etc)</td>
</tr>
<tr>
<td></td>
<td>• Increased donations in cash or in kind</td>
</tr>
<tr>
<td></td>
<td>• Number of work placements and internships available</td>
</tr>
<tr>
<td></td>
<td>• Participation of CDAC and IDEAL Council members (Membership and Attendance at regularly scheduled CDAC or joint meetings with the IDEAL Council)</td>
</tr>
</tbody>
</table>

Goal 2: Public relations efforts benefit the College and students

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improved and/or enhanced communications</td>
<td>• Number of website page views</td>
</tr>
<tr>
<td></td>
<td>• Utilization of Bates public services (e.g. clinics, shop jobs)</td>
</tr>
<tr>
<td>Continued KBTC participation</td>
<td>• Number of internships at KBTC utilized by students</td>
</tr>
<tr>
<td></td>
<td>• Number /minutes of college promotional content broadcast</td>
</tr>
<tr>
<td>Enhanced social media and new media platforms</td>
<td>• Utilization of social media opportunities</td>
</tr>
</tbody>
</table>
Goal 3: The College encourages and supports an effective learning community

<table>
<thead>
<tr>
<th>Strategic Objective</th>
<th>Indicators of success</th>
</tr>
</thead>
<tbody>
<tr>
<td>Productive relationships with other Colleges</td>
<td>• Number of new and continued partnership activities with other colleges, schools, community-based organizations, and industry.</td>
</tr>
<tr>
<td></td>
<td>• Number of staff and students directly impacted by partnerships</td>
</tr>
</tbody>
</table>

**Rationale**

Again, the indicators of achievement are all data indicators included in Bates’ annual data reporting and analysis as part of the annual data book.

**Goal 1: The College recruits and retains valuable partners to benefit the college, the students, and the community**

The indicators included under this goal and its strategic objectives are designed to ensure that the college directs its resources effectively. The measures will evaluate how the college utilizes partnerships and networks to maximize opportunities for students, strengthen institutional effectiveness, and reinforce the college mission and values. These indicators relate directly to student attainment, curricular relevance and quality, and enhancement of College diversity goals.

**Goal 2: Public relations efforts benefit the College and students**

The strategic objectives and indicators under this goal reflect how effectively the College uses its available media for the benefit of the institution, its students, and the local community. Collaboration with the College Television station, use of social media for student and recruitment and communication, and the availability of College shop services to the local community are all indicators that will show how effectively the College communicates its role and responsibility.

Bates’ role in the wider community and technical college community is also included here. Indicators will measure how well Bates communicates its achievements, its challenges, and its strategic objectives to relevant local and state agencies, and how well it advocates for its success. Positioning itself strongly in this wider network is recognized as essential to protecting the institution’s identity, its mission, and its services to students.
Goal 3: The College encourages and supports an effective learning community
Bates recognizes that it does not, and cannot, operate in isolation from the wider learning community. The indicators included here will evaluate how Bates applies its influence and resources in this context to maximize the potential for students’ success, and develop opportunities for learning beyond the classroom. Bates believes that in challenging budget circumstances, that maximizing the potential of partnerships will result in measurable benefits to students; the indicators here will evaluate progress toward that goal.

Sources
- Core Theme Indicators Table of Contents
Conclusion

Standard One states Bates Technical College’s mission and vision, articulates the college’s definition of mission fulfillment, and identifies four core themes: Workforce Education, Student Centered, General Education, and Community Relationships. Within these four core themes are mission-based goals and strategic objectives, and associated measurable indicators of performance. Integrating the new accreditations standards very closely with College strategic planning has ensured that Bates can get maximum benefit from the guidance provided through the accreditation process, and maximize its capacity for success in the compressed timeline of the first round of the new standards.

The College’s framework for mission fulfillment is built upon a collegial model that enables all members of the College community to contribute at four points in the continuous improvement cycle:

- data collection, analysis and assessment;
- application of that knowledge to inform strategic planning and set goals;
- implementation of interventions, strategies, and actions to attain those goals; and
- evaluation of performance and success from which the cycle can begin again.

The process of developing the Core Themes and their associated goals, and designing supporting structures and processes, was very helpful to Bates. It coincided with a very tumultuous period for Bates, which had recently undergone a major change in the clock hour to credit conversion, and in the environment of significant budget reductions. The Core Themes also reflect a valuable process for Bates, of reaffirming the college mission, its priorities, and its strategic objectives, and helped the institution focus its energy and resources through what were very challenging times.
Summary of Eligibility Requirements 4 through 21

4 Operational Focus and Independence
The institution's programs and services are predominantly concerned with higher education. The institution has sufficient organizational and operational independence to be held accountable and responsible for meeting the Commission's standards and eligibility requirements.

Response
Bates Technical College operates under the authority of the Community and Technical College Act of 1991 (RCW 28B.50) and is one of 34 colleges under the governance of the Washington State Board of Community and Technical Colleges (SBCTC). However, the College operates independently and is guided by the Board of Trustees, appointed by the governor and confirmed by the state senate. As an independent institution of higher education, the College is accountable and responsible for meeting the Commission's standards and eligibility requirements.

Sources
- RCW 28B.50
- SBCTC System Direction

5 Non-Discrimination
The institution is governed and administered with respect for the individual in a non-discriminatory manner while responding to the educational needs and legitimate claims of the constituencies it serves as determined by its charter, its mission, and its core themes.

Response
Bates Technical College reaffirms its policies of equal opportunity and does not discriminate on the basis of race, color, creed, religion, national origin, sex, sexual orientation, age, marital status, disability, or status as a disabled veteran or Vietnam era veteran in its programs and activities in accordance with college policies and applicable federal and state statutes and regulations.

Sources
- Bates Technical College Bylaws and Policies (Page 30)
- Bates Technical College Bylaws and Policies (Page 46)
- Bates Technical College Bylaws and Policies (Page 65)
- Bates Technical College Bylaws and Policies (Page 71)
6
Institutional Integrity
The institution establishes and adheres to ethical standards in all of its operations and relationships.

Response
Bates Technical College adheres to the highest ethical standards in the management and operations of the College and in its transactions with students, employees, the public, and external organizations and agencies. The College regularly evaluates and revises, as necessary, its policies, procedures, and publications to ensure continuing integrity. The College publishes its policies and procedures on the College website. The College also collaborates with external agencies such as the Washington State Executive Ethics Board to promote ethical behavior and the highest standards of professional conduct.

7
Governing Board
The institution has a functioning governing board responsible for the quality and integrity of the institution and for each unit within a multiple-unit institution to ensure that the institution’s mission and core themes are being achieved. The governing board has at least five voting members, a majority of whom have no contractual or employment relationship or personal financial interest with the institution.

Response
Bates Technical College is governed by the Board of Trustees with five voting members who reside in and represent the College’s service district. Each member is appointed by the governor and approved by the Washington State Senate for a term of five years. Trustees may serve up to two terms subject to approval by the governor and the Senate. None of the board members has a contractual, employment, or financial interest in the College. The Board carries out its governance authority and duties as described in the College’s Board policies and Washington State law. The College currently has one vacant seat on the Board of Trustees after the resignation of Trustee Stan Rumbaugh in January 2013; the College is awaiting the appointment of a new member.
8

Chief Executive Office
The institution employs a chief executive officer who is appointed by the governing board and whose full-time responsibility is to the institution. Neither the chief executive officer nor an executive officer of the institution chairs the institution’s governing board.

Response

The Chief Executive Officer is Dr. Ron Langrell III. He was hired in July 2012 after a nationwide search which involved the Board of Trustees, faculty, staff, students, and community members. The President has full-time responsibility to the College and is accountable to the Board, which evaluates his performance annually. All Board authority delegated to the staff is delegated through the President.

Sources

- About President Langrell

9

Administration
In addition to a chief executive officer, the institution employs a sufficient number of qualified administrators who provide effective leadership and management for the institution’s major support and operational functions and work collaboratively across institutional functions and units to foster fulfillment of the institution’s mission and achievement of its core themes.

Response

Bates Technical College employs a sufficient number of qualified administrators who collaborate across institutional functions to provide effective leadership and management in order to fulfill the College’s mission and Core Themes. All administrators meet the requirements for their positions and are evaluated annually by their supervisor.
10
Faculty
Consistent with its mission and core themes, the institution employs and regularly evaluates the performance of appropriately qualified faculty sufficient in number to achieve its educational objectives, establish and oversee academic policies, and ensure the integrity and continuity of its academic programs wherever offered and however delivered.

Response
Consistent with the College's mission and Core Themes, Bates Technical College employs full-time faculty members who are highly qualified in their respective disciplines to achieve its educational objectives, establish and oversee academic policies, and ensure the integrity and continuity of programs. The hiring and evaluation of full-time faculty is outlined in the collective bargaining agreement (Pages 15-17) between the College and Bates Technical College LOCAL 4184 AFT WASHINGTON/AFL-CIO, and also detailed in Board of Trustee policies and procedures (Pages 29-63). Once hired, faculty are evaluated in accordance with the collective bargaining agreement (Pages 41-49) between the College and Bates Technical College LOCAL 4184 AFT WASHINGTON/AFL-CIO.

Sources
- 2010-2013 Faculty CBA (Page 16)
- 2010-2013 Faculty CBA (Page 42)
- Bates Technical College Bylaws and Policies (Page 29)

11
Educational Program
The institution provides one or more educational programs which include appropriate content and rigor consistent with its mission and core themes. The educational program(s) culminate in achievement of clearly identified student learning outcomes, and lead to collegiate-level degree(s) with degree designation consistent with program content in recognized fields of study.

Response
In addition to courses in Basic Studies, English as a Second Language, and Developmental Education that address the needs of students needing pre-college skill attainment for GED, High School Completion, and transition to college level degree/certificate programs, Bates offers 53 comprehensive technical educational programs. Within the vocational education offer, there are 9 Associate in Applied Science transfer (AAS-T) degrees that prepare students for transfer to a four-year college or university in pursuit of a bachelor's degree. Associate degrees at the College that satisfy the Direct Transfer Agreement (DTA) fulfill designations set by the Inter-College Relations Commission and are articulated with Washington State public baccalaureate institutions. All technical degrees represent recognized fields of professional practice and are delivered by qualified faculty through the applicable division, and monitored by the Faculty Curriculum Committee, and industry-based advisory committees for each program of study.
12
General Education and Related Instruction
The institution’s baccalaureate degree programs and/or academic or transfer associate degree programs require a substantial and coherent component of general education as a prerequisite to or an essential element of the programs offered. All other associate degree programs (e.g., applied, specialized, or technical) and programs of study of either 30 semester or 45 quarter credits or more for which certificates are granted contain a recognizable core of related instruction or general education with identified outcomes in the areas of communication, computation, and human relations that align with and support program goals or intended outcomes. Bachelor and graduate degree programs also require a planned program of major specialization or concentration.

Response
The College’s professional-technical programs include both degree and certificate options. Career and technical degrees and certificates of 45 or more total credits require related (general) instruction. In other cases, such as some Certificate-only programs (where there is no Degree offer), related (applied) instruction coursework is included within the program. For degree programs, related instruction is focused on the specialized areas of communication, computation, and human relations courses. Qualified discipline faculty teaches the related instruction courses. Program faculty members work with the Dean of Curriculum and Assessment and the Faculty Curriculum Committee in developing program outcomes. Advisory committees from local business and industry help the faculty determine curriculum for each career and technical program and provide feedback for program outcome review.

13
Library and Information Resources
Consistent with its mission and core themes, the institution maintains and/or provides access to library and information resources with an appropriate level of currency, depth, and breadth to support the institution’s programs and services wherever offered and however delivered.

Response
The Bates Technical College Library supports the career training and general education activities of the students, faculty and staff by providing access to information and promoting the knowledge about and practice of research and information literacy skills. The Library faculty and staff provide reference assistance and instructional services and are actively involved in service to the College. The physical collection is housed at the Downtown and South campuses, with another location planned for the Central Campus; meanwhile, materials for the Central Campus programs are housed at the Downtown Campus Library. The majority of the library’s holdings are in electronic form, and most of those electronic resources can be accessed on- or off-campus, from any internet-connected computer.
14  
Physical and Technological Infrastructure  
The institution provides the physical and technological infrastructure necessary to achieve its mission and core themes.

Response  
Bates Technical College maintains physical facilities that are accessible, safe, secure, and sufficient in quantity and quality to provide a learning and working environment that support the College’s mission, Core Themes, programs, and services. The College is currently updating a Facilities Master Plan and a 10-year capital development plan to ensure the continued adequacy and improvement of the College’s physical infrastructure.

Bates implements, develops and maintains a highly scalable, accessible and secure IT infrastructure environment that supports current technology, academic demands and the mission of Bates Technical College. The technology infrastructure is provides Active Directory services, e-mail services, LAN, WAN, telephony, support for Web environments, multimedia, and wireless connectivity as well as enterprise-level backup and restoration across all three campuses.

Sources  
- 2013 Facilities Master Plan Draft  
- Capital Budget Plan

15  
Academic Freedom  
The institution maintains an atmosphere in which intellectual freedom and independence exist. Faculty and students are free to examine and test all knowledge appropriate to their discipline or area of major study as judged by the academic/educational community in general.

Response  
Bates Technical College supports an atmosphere of intellectual freedom where faculty and students are encouraged to examine and test all knowledge appropriate to their discipline or area of study. The College demonstrates this commitment in its negotiated agreement with Bates Technical College LOCAL 4184 AFT WASHINGTON/AFL-CIO.

Sources  
- Faculty CBA (Page 33)
16  
**Admissions**  
The institution publishes its student admission policy which specifies the characteristics and qualifications appropriate for its programs, and it adheres to that policy in its admissions procedures and practices.

**Response**  
As a public technical college serving students with a wide range of abilities and educational needs, Bates Technical College adheres to an open admission policy. Eligibility requirements for enrollment in programs and courses are published in the College catalog, quarterly class schedule, program-specific publications, and on the College website. Specific programs or courses may require prerequisite course work or instructor approval for enrollment. The College operates a practice of Prior Learning Assessment directed by the Registrar and the Dean of Curriculum and Assessment.

**Sources**  
- Bates Technical College Bylaws and Policies (Page 64)

17  
**Public Information**  
The institution publishes in a catalog and/or on a website current and accurate information regarding: its mission and core themes; admission requirements and procedures; grading policy; information on academic programs and courses; names, titles and academic credentials of administrators and faculty; rules and regulations for student conduct; rights and responsibilities of students; tuition, fees, and other program costs; refund policies and procedures; opportunities and requirements for financial aid; and the academic calendar.

**Response**  
Bates publishes in its catalog current and accurate information in regarding: its mission and core themes; admission requirements and procedures; grading policy; information on academic programs and courses; names, titles and academic credentials of administrators and faculty; rules and regulations for student conduct; rights and responsibilities of students; tuition, fees, and other program costs; refund policies and procedures; opportunities and requirements for financial aid; and the academic calendar.
This information is also made available on the college website. The communications office maintains a calendar to review and update information on a regular basis and this is done, at a minimum, annually.

- Mission and core themes
- Admission requirements and procedures
- Grading Policy - see page 9 of course catalog
- Information on academic programs and courses - Chapters 2, 4, 5 of course catalog
- Names, titles and academic credentials of administrators and faculty - see page 166 of course catalog
- Rules and Regulations for student conduct - Student handbook
- Rights and responsibilities of students - starting on page 15 of student handbook
- Tuition, fees and program costs
- Refund policies and procedures
- Opportunities and requirements for financial aid
- Academic calendar

Sources
- Admission Requirements and Procedures
- College Catalog 2012-13
- Course Catalog

18
Financial Resources
The institution demonstrates financial stability with sufficient cash flow and, as appropriate, reserves to support its programs and services. Financial planning reflects available funds, realistic development of financial resources, and appropriate risk management to ensure short-term solvency and long-term financial sustainability.

Response
Bates Technical College demonstrates financial stability with sufficient cash flow through its annual budgeting process and related reporting to the Board of Trustees. The Board of Trustees established a reserve policy directing the President to maintain adequate cash flows and fund balances (Bates Technical College Bylaws and Policies (Page 88)). Since June, 2010 the available fund balance has increased by 188% demonstrating the College's sufficient cash flows and fund balances.

Sources
- Bates Technical College Bylaws and Policies (Page 88)
19
Financial Accountability
For each year of operation, the institution undergoes an external financial audit, in a reasonable timeframe, by professionally qualified personnel in accordance with generally accepted auditing standards. Results from the audit, including findings and management letter recommendations, are considered in a timely, appropriate, and comprehensive manner by the administration and governing board.

Response
Bates Technical College is committed to excellence in reporting of its financial information. The College’s financial audits are conducted by the State Auditor’s Office (SAO), a state agency independent of Bates. Their office is staffed with professionally qualified personnel and they conduct the audit in accordance with generally accepted auditing standards.

The College is also audited by the Washington State Auditor’s Office as a division of the State of Washington and is included in the Comprehensive Annual Financial Report and the Statewide Single Audit annually. It is management’s intention to respond to any audit findings and/or management level recommendations as expeditiously as possible.

Comprehensive Annual Financial Report

Sources
- 2012 Statewide Audited CAFR
- Comprehensive Annual Financial Report
- Statewide Single Audit Report

20
Disclosure
The institution accurately discloses to the Commission all information the Commission may require to carry out its evaluation and accreditation functions.

Response
Bates Technical College accurately discloses to the NWCCU any and all information as may be required for evaluation and accreditation functions of Commission.
21

Relationship with the Accreditation Commission

The institution accepts the standards and related policies of the Commission and agrees to comply with these standards and policies as currently stated or as modified in accordance with Commission policy. Further, the institution agrees that the Commission may, at its discretion, make known the nature of any action, positive or negative, regarding the institution’s status with the Commission to any agency or members of the public requesting such information.

Response

Bates Technical College accepts and agrees to comply with the standards, eligibility requirements, and related policies of the Commission. Further, the College agrees that the Commission may, at its discretion, make known the nature of any action, positive or negative, regarding the institution’s status with the Commission to any agency or members of the public requesting such information.
Accreditation Standards (Standard 2)

2.A.1  
System of Governance
The institution demonstrates an effective and widely understood system of governance with clearly defined authority, roles, and responsibilities. Its decision-making structures and processes make provision for the consideration of the views of faculty, staff, administrators, and students on matters in which they have a direct and reasonable interest.

Response
The administrative organization of the college, summarized on the College administrative organizational chart guides the authority, roles, and responsibilities of all college administrators. Participation in college governance is ensured through the college’s local administrative organization and faculty and staff participation on committees, councils, and work groups. These structures are illustrated on the Council Organization document.

College Councils

In 2012-13, Bates implemented a system of College Councils. These Councils replaced a previous system of Councils, which represented the main College administrative and instructional areas. The new system included several changes:

- The Councils system absorbed the role of the Board of Trustees and of some Councils with community representation, such as the General Advisory Council and the CDAC/IDEAL Diversity Group. These are distinguished into ‘Governance Councils’, such as the GAC and Trustees, and ‘College Councils’. College Committees, both temporary (task-based) and permanent were included in the structure to define clear reporting lines.
- Council expectations regarding both compliance functions (such as Accreditation Standards) and additional areas of work were agreed and defined with each Council. In the first year, for many Councils work on the new accreditation standards was a main priority.
- Membership of College Councils was outlined, and included a requirement for all Councils to have:
  - Member(s) from administration, faculty and technical employee groups
  - A member that is a designated representative on the Strategic Planning Council
  - A student representative, normally appointed by the Associated Student Government
Student engagement in college governance is further provided for through the Associated Student Government (ASG) which serves as the primary representative body for students. The annually elected ASG president represents the student body at all Board of Trustees meetings. In summer of 2013, the College also implemented a schedule of program presentations to the Board. Student representatives from programs are expected to participate in these presentations, providing an opportunity for program-level participation from students in the system of governance.

Sources
- Administrative Organization Chart
- Council Organization
2.A.2  
Division of Authority/Definition of Policies, Regulations, and Procedures  
In a multi-unit governance system, the division of authority and responsibility between the system and the institution is clearly delineated. System policies, regulations, and procedures concerning the institution are clearly defined and equitably administered.

Response  
Bates Technical College is one of 34 public community and technical colleges under the governance of the Washington State Board for Community and Technical Colleges (SBCTC). The division of authority and responsibility is clearly defined in state statue (RCW 28B.50). The SBCTC is responsible for general oversight and coordination for the system; however, each college operates independently and is guided by its Board of Trustees. The SBCTC and local leadership at Bates Technical College work together in order to provide for a high quality education that leads to enhanced opportunities for students in their lives outside of the academic setting.

Sources  
- [RCW 28B.50](#)  
- [Washington SBCTC](#)
2.A.3  
**Monitoring Compliance with Standards for Accreditation**  
The institution monitors its compliance with the Commission’s Standards for Accreditation, including the impact of collective bargaining agreements, legislative actions, and external mandates.

**Response**  
The College’s accreditation liaison officer (ALO) reports directly to the President, in the additional role of Executive Dean of Research, Planning, and Instruction (Transfer). The ALO regularly attends training provided by the NWCCU, as well as participating in focus groups with partner colleges in the State to work on accreditation (through the State Board for Community and Technical College’s Research and Planning Commission), thereby addressing the potential impact of changes to State legislation. The College ensures regular communication of accreditation requirements to key decision-making groups through:

- The ALO reports monthly directly to the Board of Trustees, raising any changes, risks, concerns or achievements, as well as the College’s accreditation calendar.
- Establishment of a web-based accreditation reporting system to enable wide college participation.
- The ALO is a member of the College Cabinet and the Chief Officer Reports Group or CORE (the President’s direct reports, and their direct reports), to notify leadership of upcoming changes, compliance concerns, and accreditation updates. CORE also reviews all collective bargaining agreements (CBAs) and proposed memoranda. Faculty and Technical employee CBAs were reviewed by CORE in 2012-13.
2.A.4
Institution's Governing Board

The institution has a functioning governing board consisting of at least five voting members, a majority of whom have no contractual, employment, or financial interest in the institution. If the institution is governed by a hierarchical structure of multiple boards, the roles, responsibilities, and authority of each board—as they relate to the institution—are clearly defined, widely communicated, and broadly understood.

Response
The college’s Board of Trustees is a five-member board. Each member is appointed by the governor to a five-year term, with the possibility of an additional five-year term. Terms are staggered so there is continuity on the board. None of the board members has a contractual, employment, or financial interest in the college. The board members have clearly defined roles and responsibilities which are outlined in RCW 28B.50 and the Board Policy Manual.

The Board Policy Manual was established in 1999, and reviewed by the Board in 2005, although specific updates and focused revisions are occasionally made in response to legislative changes and requirements. A comprehensive review was begun in the 2012-13 academic year. The revised and updated policies will be reviewed by the Board of Trustees as part of a Trustee Retreat in November 2013, with ratification planned from January 2014. There is currently one vacancy on the Board of Trustees. Trustee Stan Rumbaugh resigned in January 2013 after election to a County Judicial position. The college is currently awaiting a Governor’s appointment to his vacant position. The current Board of Trustees are listed on the college website.

The board meets monthly, and meetings are announced in accordance with state regulations. All meetings are open to the general public. The board may meet in an executive session subsequent to the regular meeting to review personnel issues, confidential, and legal matters, if needed. In addition, the board may also hold special study sessions open to the public prior to the regular board meeting to explore topics at a deeper level. Board duties include establishing college policy, awarding tenure, approving the operating budget, and evaluating the president. The board ensures the institution’s mission and Core Themes are being achieved through regularly scheduled reports. Minutes of Board meetings from 2011-12 are published on the College website. Minutes from 2012-13 are held by the Human Resources department (as part of their Public Records Request function), and will be posted to the website in September 2013.

Sources
- Bates Technical College Bylaws and Policies
- Board of Trustees
- Meetings and Minutes
- Policy Handbook
- RCW 28b.50
2.A.5
Governing Board: Board Acts as a Committee of the Whole

The board acts only as a committee of the whole; no member or subcommittee of the board acts on behalf of the board except by formal delegation of authority by the governing board as a whole.

Response
The board fully understands its governing role with respect to the college and its employees. It always acts as a committee and understands that no member of the board may act on behalf of the board. Each new trustee attends trusteeship training that covers topics such as concept of board as a unit; board role and responsibilities; related laws and regulations; board policies; structure and operations of the board; code of ethics and conflict of interest; and relationships with the CEO and college employees. The board also participates in state meetings held by its state organization, the Trustees Association of Community and Technical Colleges.
2.A.6
Governing Board: Board Regularly Reviews Institutional Policies

The board establishes, reviews regularly, revises as necessary, and exercises broad oversight of institutional policies, including those regarding its own organization and operation.

Response
College Board of Trustee Policies were established in 1991. While sections or chapters have had regular review in response to legislative or other requirements, the policies have not had a full scale review for over five years. In response to this self-identified need, the College began a process to conduct a full scale review of all College Policies, across the 2013 calendar year.

At the January 2013 meeting the Board agreed to review policies after an initial internal review.

In March 2013 a College Policy Review Committee was established, met and agreed a detailed action plan to review Trustee and College policies beginning May 2013, College level policies beginning June 2013, with a review calendar established with both the Strategic Planning Council and the Board of Trustees. Members of the Committee have conducted an initial review of polices and provided comments; a finale version will be presented to the Board for review as part of a Trustee Retreat in November 2013, with ratification of revised policies in January 2014.

The objective is to establish updated, relevant, and correct policies and procedures for the College, including:
- Board of Trustee By-Laws and Policies, for review on a five year schedule and ratified by the Board of Trustees
- College Policies and Procedures, for review on a three year schedule (or as required), for internal review and approval through the Strategic Planning Council.

Sources
- Bates Technical College Bylaws and Policies
2.A.7
Governing Board: Board Selects and Evaluates CEO

The board selects and evaluates regularly a chief executive officer who is accountable for the operation of the institution. It delegates authority and responsibility to the CEO to implement and administer board-approved policies related to the operation of the institution.

Response
The Board of Trustees recruits and evaluates the President, and delegates responsibilities, in accordance with the Board of Trustee Policies, sections 2.1 to 2.3.

The Board recruited a new President for the college through a nationwide search, initiated in November 2011 and completed with the appointment of President Ron Langrell in May 2012. The recruitment process included:

- College wide forums and surveys to develop a current and relevant job description, which enabled all employees of the college to contribute
- Selection and appointment of a search firm to conduct a nationwide search
- Several public presentations by the search firm to the Board and to staff on the progress of the search
- Initial interviews with seven candidates, and wider college interviews with three finalists.
- Appointment of President Langrell by the Board in May 3102, with a start date in July 2012.

Performance appraisals of the President are conducted by Trustees on an annual basis; President Langrell completed his first performance evaluation with the Trustees in August 2013.

Sources
- Bates Technical College Bylaws and Policies (Page 16)
2.A.8  
**Governing Board: Regular Evaluations of Board Performance**

The board regularly evaluates its performance to ensure its duties and responsibilities are fulfilled in an effective and efficient manner.

**Response**

The Board of Trustees has evaluated its own performance in the past two years, as part of a State-wide initiative, funded by the ACCT, called the **Governance Institute for Student Success** (GISS). This initiative, with two cohorts of Trustees and Presidents, had its first round in Washington in June 2011.

GISS is designed to give trustees and presidents new training and support in the areas of evidence-based decision making, policy development, and accountability measures that directly support student success.

The three core components of GISS help assure achievement of those goals:

- **Data Review**: Each governing board participates in a self-assessment to evaluate board readiness to undertake and promote student success. In addition, each college works with a data coach to review longitudinal student cohort data focusing on student progress, e.g., course completion, persistence and degree attainment. Relevant policies are reviewed to assure they incorporate the data and include procedures to reach more successful outcomes.
- **Initial Convening**: Trustees and presidents from the state’s community colleges meet in person for a two-day institute to learn and share methodologies for effective governance, to create synergy to break down barriers, and to build awareness and propel action leading to student success.
- **Ongoing Engagement**: Additional training tools and online resources are available to maintain momentum and reinforce new policies and practices.

Two trustees along with then President Lyle Quasim participated in the first round in June 2011. All Trustees worked with the President, and State Board staff, through the Board self-assessment prior to attending the workshop. A second workshop was held in October 2012, to build on the outcomes of the self-assessment and the training.

**Sources**

- [Governance Institute for Student Success](#)
2.A.9
Leadership and Management: Effective System of Leadership

The institution has an effective system of leadership, staffed by qualified administrators, with appropriate levels of responsibility and accountability, who are charged with planning, organizing, and managing the institution and assessing its achievements and effectiveness.

Response
President Langrell led a reorganization of the College administration in spring of 2013. This did not result in any staff changes or new hires, but changed the leadership of the instructional and some administrative functions of the college. The current staff structure is represented by the organizational chart included below.

The administrative team is led by President Dr. Ron Langrell, and his College Cabinet:
- Ivan Gorne, Vice President, Executive Dean of Student Services
  - JD, University of Puget Sound
  - MA, Pacific Lutheran University
- Cheri Loiland, Executive Dean of Workforce Instruction, South Campus Provost, Bates Technical College Superintendent
  - MPA, City University
- John Ginther, Executive Dean of Administrative Services
  - BA, Western Washington University
- Summer Kenesson, Executive Dean of Academic Instruction, Institutional Research and Planning
  - MBA, University of Plymouth
  - PGCE, University of Portsmouth

The President is also supported by administrative area direct reports:
- Marty Mattes, Director of Facilities
- Tom George, Director of IT
- Ed Ulman, KBTC Director
- Kim Pleger, Director of Marketing and Communications
- Geof Kaufman, Director of Human Resources

The President’s Cabinet meets bi-weekly to discuss strategic and operational issues. Each Cabinet member is responsible for the planning, organization and management of the operations of his or her respective area. The President meets bi-weekly (in alternation with the Cabinet) with a wider Chief Officer’s Reports group, which includes the Cabinet, the administrative area direct reports in the table above, four Deans of Instruction, the Dean of Curriculum and Assessment, the Dean of Students, The Director of Diversity, and the Registrar.

Sources
- Administrative Organization Chart
2.A.10

CEO Appropriately Qualified
The institution employs an appropriately qualified chief executive officer with full-time responsibility to the institution. The chief executive officer may serve as an ex officio member of the governing board, but may not serve as its chair.

Response
Ron Langrell was appointed as president of Bates Technical College by the Board of Trustees on July 9, 2012. He brings more than 30 years of higher education experience, including postsecondary service in the roles of Chief Academic Officer, Chief Workforce and Economic Development Officer, and Chief Student Affairs Officer, all at two-year institutions in the Western United States.

In addition to his postdoctoral study with the Institute for Educational Management at Harvard University, Ron has been acknowledged nationally as an Exemplary Leader by The Chair Academy and as a Distinguished College Administrator by the Phi Theta Kappa Honor Society. Here in Washington State, Ron has been elected into leadership roles with the Continuing Education Council, the Workforce Education Council, as well as, the Partnership for Rural Improvement. Ron currently serves on the national Board of Trustees for the American Technical Education Association (ATEA).

President Langrell’s resume is available on the college website. President Langrell serves as an ex officio member of the Board of Trustees.

Sources
- Ron Langrell’s Resume
2.A.11

Leadership and Management: Sufficient Qualified Administrators

The institution employs a sufficient number of qualified administrators who provide effective leadership and management for the institution’s major support and operational functions and work collaboratively across institutional functions and units to foster fulfillment of the institution’s mission and accomplishment of its core theme objectives.

Response

President Langrell led a reorganization of the College administration in spring of 2013. This did not result in any staff changes or new hires, but changed the leadership of the instructional and some administrative functions of the college. The current staff structure is represented by the organizational chart included below.

The administrative team is led by President Dr. Ron Langrell, and his College Cabinet, and designed to directly reflect key areas of the Core Themes. The Cabinet includes:

- Ivan Gorne, Vice President of Student Services, and lead for 'Student Centered' Core Theme. Ivan is supported by the Registrar, Dean of Students, Director of Financial Aid, and is also responsible for Campus Public Safety.
- Cheri Loiland, Executive Dean Workforce, and lead for 'Workforce Education' Core Theme. Cheri is also South Campus Provost, providing leadership to the College’s other large campus, and High School Superintendent. She is supported by three instructional Deans.
- Summer Kenesson, Executive Dean Transfer, and lead for 'General Education' core theme. Summer is also Executive Dean for Research and Planning, and Accreditation Liaison Officer. Summer is supported by two instructional Deans, a Dean of Curriculum and Assessment, and a Research Analyst.
- John Ginther, Executive Dean of Business Administration. John is supported by two exempt financial support administrators and the General Services Manager.

Other senior administrators include:

- Tom George, Director of IT (direct report to the President)
- Marty Mattes, Director of Facilities (reports to VP of Student Services, supported by Health and Safety Manager)
- Ed Ulman, Director of the College’s television station, KBTC (direct report to the President)
- Kim Pleger, Director of Marketing and Communications (direct report to the President). Kim and Ed together are leads for 'Community Relationships' Core theme
- Geof Kaufman, Director of Human Resources (direct report to the President).
The Cabinet meets with the President every other week. The Cabinet, their direct reports, and other direct reports to the President comprise the 'Chief Officer Reports' (CORe). CORe meets every other week, on alternate weeks with Cabinet. This ensures weekly opportunities for direct communication across all administrative areas through one of the two groups.

Sources
- Administrative Organization Chart
2.A.12

Policies and Procedures: Academic Policies Clearly Communicated

Academic policies—including those related to teaching, service, scholarship, research, and artistic creation—are clearly communicated to students and faculty and to administrators and staff with responsibilities related to these areas.

Response

The college’s academic policies are readily available to students, faculty, administrators and staff through a variety of sources. The policies are clearly stated in the College Catalog and in the Student Handbook, while additional policies and responsibilities that pertain to faculty are included in the collective bargaining agreement between Bates Technical College and the faculty union, Bates Technical College Local 4184, AFT Washington/AFL-CIO. These academic policies include attendance, assessment, grading, academic standing, academic freedom, services for students, and student’s rights and responsibilities.

For example, academic freedom for students is described on page 17. Bates has opted to adopt the language used in the Washington Administrative Code related to academic freedom (WAC 495A-121-021). Academic Freedom related to faculty is found on page 33 of the Faculty CBA. These documents are provided to the student and available on the Bates website. As another example, policies related to academic to probation and the conditions that trigger probation are contained both in the handbook (page 5) and course catalog (page 9).

Sources

- College Catalog 2012-13
- Faculty CBA
- Student Handbook
- Student Handbook available on Website
- WAC 495A-121-021
2.A.13 Library and Information Resources Policies

Policies regarding access to and use of library and information resources—regardless of format, location, and delivery method—are documented, published, and enforced.

Response
Policies regarding access to and use of the library and information resources are available for research, reference, and review by all stakeholders. Bates Technical College Bylaws and Policies, Chapter 10--Library Policies is published on the college’s website.

It is the policy of the college to establish and support a library for the purpose of providing information resources and services to support teaching and learning in ways consistent with and supportive of the mission of the college. Covered in the library policies are topics such as collection development, customer responsibilities, confidentiality, intellectual freedom, and the American Library Association bill of rights. The library policies are enforced by the applicable dean of instruction and library staff.

Sources
- Bates Technical College Bylaws and Policies (Page 105)
2.A.14  
**Policies and Procedures: Transfer-of-Credit Policy**

The institution develops, publishes widely, and follows an effective and clearly stated transfer-of-credit policy that maintains the integrity of its programs while facilitating efficient mobility of students between institutions in completing their educational programs.

**Response**

The college catalog, which is available on the college’s website, contains clearly stated information on the transfer of credits from other colleges. This information can be found on page 6 ([page 9 of the PDF](#)) of the current catalog.

At Bates Technical College, the policy for transfer-of-credits is that each student transcript is evaluated individually and that official transcripts must be received from the prior higher learning institution in order to be considered. A student may request that prior courses taken be accepted as a transfer credit and used either to fulfill a general education requirement or comparable coursework in individual career training programs. Bates Technical College is not obligated to accept any claimed prior learning, but as standard practice at Bates is to honor prior learning by accepting transfer credit where appropriate. Transfer credits may be awarded on the basis of prior college work, military training, and the successful completion of a College Level Examination Program test to establish expertise.

**Sources**

- Bates Website: Transferring to Bates
- College Catalog 2012-13 (Page 9)
2.A.15
Policies and Procedures: Students Rights and Responsibilities - Policies and Procedures

Policies and procedures regarding students' rights and responsibilities—including academic honesty, appeals, grievances, and accommodations for persons with disabilities—are clearly stated, readily available, and administered in a fair and consistent manner.

Response
The student handbook contains all policies and procedures related to students in addition to the Students Rights and Responsibilities document (WAC 495A-121). The College last printed a student handbook in the fall of 2007 and removed the academic year reference at that time so the printed copies could be used for several years. Subsequently, the handbook has also been available through the college web page. The advantages of the online version include access for all with the ability to make updates as policies and procedures change. We do not anticipate reprinting the handbook as anyone can print desired sections of the handbook. A separate policy and procedure (the Grade and Academic Dismissal Complaint Policy and Procedure) was approved by the Board of Trustees in July 2009.

The Dean of Students is the primary student judicial officer with appeal steps available to the Vice President for Student Services, Facilities and Operations and/or the Student/Faculty Disciplinary Committee. Since July 2009, the appellate process for grade and academic dismissal complaints starts with the faculty member with steps to the designated dean of instruction and ultimately to the designated executive dean of instruction.

Sources
- Grade and Academic Dismissal Complaint Policy and Procedure
- Student Handbook
- Student Handbook (Page 4)
- WAC 495A121 Student Rights and Responsibilities
2.A.16
Policies and Procedures: Student- Admission and Placement Policies

The institution adopts and adheres to admission and placement policies that guide the enrollment of students in courses and programs through an evaluation of prerequisite knowledge, skills, and abilities to assure a reasonable probability of student success at a level commensurate with the institution’s expectations. Its policy regarding continuation in and termination from its educational programs—including its appeals process and readmission policy—are clearly defined, widely published, and administered in a fair and timely manner.

Response
Bates Technical College is an open admissions public institution consistent with the College’s stated mission and goals. Prospective students may apply for admission at any time. Specific career training programs however may have specific enrollment periods and may require prerequisite course work, department/instructor approval for enrollment, and appropriate placement scores.

Bates Technical College publishes its student admission policy which specifies the characteristics and qualifications appropriate for its programs on its website and in the college catalog and it adheres to those policies in its admission procedures and practices.

Weekly Information Sessions are held at the Downtown and South Campuses to provide information on career training offerings; academic choices and course pre-requisites; enrollment procedures; assessment for academic placement and course pre-reqs; enrollment dates; and general orientation to the college.

The Academic Standards Procedure and Academic Suspension information are listed in the college catalog.

The college has procedures in place for appealing both grades and academic dismissals. This paperwork for this process is available in both the Instruction and the Student Services offices.

Sources
- 2.A.16 Grade & Academic Dismissal Appeal
- Career Education info
- College Catalog 2012-13 (Page 12)
- College Catalog 2012-13 (Page 6)
- General Information Session
- Grade and Academic Dismissal Complaint Policy and Procedure
2.A.17
Policies and Procedures: Students- Co-Curricular Activities

The institution maintains and publishes policies that clearly state its relationship to co-curricular activities and the roles and responsibilities of students and the institution for those activities, including student publications and other student media, if offered.

Response
The term ‘co-curricular’ encompasses diversity and student life activities which complement the college’s official curriculum and includes: student clubs; associated student government leadership; student assemblies and athletic events; and, volunteering or participating in college, cultural and/or student programming. Policies are relevant and outline student roles and responsibilities as they relate to co-curricular participation, and students have access to related to co-curricular information.

Several Core Theme Indicators relate to student participation in these activities. While these indicators do not represent all of the activities that students engage in, the main cultural and college wide events are represented in the indicators.

Sources
- 2.A.17 20110815 ASG Constitution 2011-12
- Fall 2010 Core Theme Indicators (Page 13)
- Fall 2010 Core Theme Indicators (Page 14)
- Fall 2011 Core Theme Indicators (Page 13)
- Fall 2011 Core Theme Indicators (Page 14)
- Fall 2012 Core Theme Indicators (Page 13)
- Fall 2012 Core Theme Indicators (Page 14)
- Fall 2013 Core Theme Indicators (Page 13)
- Fall 2013 Core Theme Indicators (Page 14)
2.A.18
Policies and Procedures: HR Policies

The institution maintains and publishes its human resources policies and procedures and regularly reviews them to ensure they are consistent, fair, and equitably applied to its employees and students.

Response
The College’s human resources policies and procedures, referred to as Personnel Policies, are approved by the Board of Trustees and published on the college website. Review of these policies and procedures is performed on an on-going basis at the monthly Board of Trustees meetings, scheduled Board retreats, and as needed by the Human Resources Department to ensure equitable application, fairness, and consistency.

Sources
- 2.A.18 BOT Agenda (Example)
- Board Personnel Policies
2.A.19
Policies and Procedures: HR Communication with Employees

Employees are apprised of their conditions of employment, work assignments, rights and responsibilities, and criteria and procedures for evaluation, retention, promotion, and termination.

Response
The Human Resources Department (HR) issues written agreements and notifications in the form of employment agreements, appointment letters, and hire letters to ensure employees understand the institution’s expectations as they relate to work assignments, conditions of employment, and rights and responsibilities, as well as criteria and procedures for evaluation, retention, promotion, reduction-in-force, separations, and retirements.

HR publishes and enforces Collective Bargaining Agreements (Faculty, Professional Technical Employees, Custodial, and Campus Public Safety) which contain information regarding criteria and procedures for evaluation, retention, promotion, reduction-in-force, separation, and retirement. Employees are also subject to the Board Personnel Policies.

Sources
- 2.A.19 Exempt Appointment Letter
- 2.A.19 FT & PT Faculty Contract
- 2.A.19 Hourly Faculty Hire Letter
- 2.A.19 PT Hourly Faculty Hire Letter
- 2007-2010 Security CBA [Extended to 2014]
- 2009-2011 Custodial CBA
- 2010-2013 Faculty CBA
- 2012-2015 PTE CBA
- Bates Technical College Bylaws and Policies
- Board Policies
- Campus Public Safety CBA
- Custodial CBA
- Faculty CBA
- PTE CBA
2.A.20
Policies and Procedures: Security and Confidentiality of HR Records

The institution ensures the security and appropriate confidentiality of human resources records.

Response
The institution appropriately protects onsite and offsite human resources (HR) records and adheres to higher authority’s rules and regulations. HR records are handled and stored to prevent misuse, loss, and unauthorized access. Access to HR records is limited to HR employees with appropriate clearance. HR e-records are backed up by the institution’s information technology office on a regular basis.

Sources
- 2.A.20 HR Department Procedures for Safeguarding of Human Resources Records
- Records Retention Schedules for Specific State Government Sectors
2.A.21
Policies and Procedures: Publications Clear and Accurate

The institution represents itself clearly, accurately, and consistently through its announcements, statements, and publications. It communicates its academic intentions, programs, and services to students and to the public and demonstrates that its academic programs can be completed in a timely fashion. It regularly reviews its publications to assure integrity in all representations about its mission, programs, and services.

Response
Bates represents itself clearly and accurately through a wide measure of announcements, statements and publications, including but not limited to a website, course catalog, quarterly class schedules, printed brochures and flyers, social media and more.

All college-wide communications are channeled through the communications and marketing department and reviewed by appropriate staff to ensure their accuracy. College staff are asked to submit project requests via their supervisor and the information is checked by both the supervisor and by communications/marketing staff. For major publications, content is systematically reviewed by appropriate staff.

The course catalog is reviewed and updated twice a year and published on the website.

A class schedule is created, reviewed and printed and mailed three times a year, in the fall, winter and a combined spring/summer issue. It is mailed to approximately 217,000 households in Pierce County. This class schedule communicates to students and to the public items such as course offerings, cost, the time frames in which a program can be completed, and services available at the college.

The website is updated on a daily basis and is reviewed regularly by content experts. The website content management software archives all published content.

Sources
- 2.A.21 Class Schedule
- Bates Website
- College Catalog 2012-13
2.A.22

Policies and Procedures: Ethical Standards and Fair Treatment

The institution advocates, subscribes to, and exemplifies high ethical standards in managing and operating the institution, including its dealings with the public, the Commission, and external organizations, and in the fair and equitable treatment of students, faculty, administrators, staff, and other constituencies. It ensures complaints and grievances are addressed in a fair and timely manner.

Response

Bates Technical College and its staff advocates, subscribes to and exemplifies high ethical standards in the treatment of students, staff, the Commission, external organizations, and all other constituencies. Complaints and grievances are addressed by the college in an equitable and timely manner.

A number of policies and procedures are in effect to ensure fair and consistent treatment of Bates Technical College students and employees.

Code of Ethics for Employees, Trustees

The Washington Ethics law, Revised Code of Washington, Chapter 42.52 applies to all state employees. It governs the actions and working relationships of College employees with students and other stakeholders. The Human Resources Department of the College has designated an Ethics Representative from their staff, who advises on matters of ethical conduct. All new employees receive training in professional ethics as part of their initial orientation. Trustees are also expected to adhere to this legislation.

Nondiscrimination

The college complies with federal and state laws related to affirmative action and nondiscrimination, and all college policies and practices related to these areas conform to these laws. College policy prohibits discrimination and provides equal opportunity and access to its programs and services without regard to race, ethnicity, national origin, gender, gender identity, sexual orientation, age, marital status, status as a disabled or Vietnam era Veteran, the presence of any sensory, mental, or physical disability, or genetic information. The college is an equal opportunity employer, as is stated on all college employment recruitment materials.

Student Rights and Responsibilities

The rights and responsibilities of students enrolled at the college are codified in state law in Chapter 132V-121 of the Washington Administrative Code (WAC). The College’s guide to student rights and responsibilities is published in the Student Handbook, which is available to students on the college website and in hard copy format from Student Services. This also includes guidance on the complaint and grievance procedures and policies for students.
Employee Rights and Responsibilities

Employee bargaining units have described grievance procedures contained within their respective Collective Bargaining Agreements. Exempt employees, students, and other stakeholders may access a range of resources through the Human Resources department in the event of a grievance through the initiation of review via the Human Resources Report Form.

Sources

- 2.A.22 HR Report Form
- Bates Technical College Bylaws and Policies (Page 30)
- Collective Bargaining Agreements
- Non Discrimination Policy
- RCW 42.52 Ethics
- RCW Student Conduct
2.A.23
Policies and Procedures: Conflict of Interest

The institution adheres to a clearly defined policy that prohibits conflict of interest on the part of members of the governing board, administration, faculty, and staff. Even when supported by or affiliated with social, political, corporate, or religious organizations, the institution has education as its primary purpose and operates as an academic institution with appropriate autonomy. If it requires its constituencies to conform to specific codes of conduct or seeks to instill specific beliefs or world views, it gives clear prior notice of such codes and/or policies in its publications.

Response
The college investigates and responds to alleged violations of the institution’s conflict of interest policy. The conflict of interest policy is included in the Board Personnel Policies which is published on the college website. The conflict of interest policy explicitly outlines various actions prohibited by the administration, faculty, and other employees or agents of the college.

Sources
- Bates Technical College Bylaws and Policies (Page 39)
2.A.24
Policies and Procedures: Intellectual Property

The institution maintains clearly defined policies with respect to ownership, copyright, control, compensation, and revenue derived from the creation and production of intellectual property.

Response
The intellectual Property section in the faculty negotiated agreement (CBA) is clear, on page 35, under section 8.6, lines 33-49. Employee created Intellectual Property / Ownership of Materials is not addressed in Board Policy, but this is scheduled for review as part of an overall review of Board Policy review as part of a Board of Trustees retreat in November 2013.

Sources
- Bates Technical College Bylaws and Policies
- Faculty CBA (Page 35)
2.A.25

Policies and Procedures: Accreditation Status

The institution accurately represents its current accreditation status and avoids speculation on future accreditation actions or status. It uses the terms “Accreditation” and “Candidacy” (and related terms) only when such status is conferred by an accrediting agency recognized by the U.S. Department of Education.

Response

The accreditation status of Bates Technical College is clearly and plainly stated in all documents where accreditation is mentioned. Two of the primary references that demonstrate the language and style used to convey accreditation status are found on the Bates Technical College website and in the course catalog.

From the website:
"Bates Technical College is accredited by the Northwest Commission on Colleges and Universities. Accreditation of an institution of higher education by the Northwest Commission on Colleges and Universities indicates that it meets or exceeds criteria for the assessment of institutional quality evaluated through a peer review process. An accredited college or university is one which has available the necessary resources to achieve its stated purposes through appropriate educational programs, is substantially doing so, and gives reasonable evidence that it will continue to do so in the foreseeable future. Institutional integrity is also addressed through accreditation."

From the Course Catalog (page 6):
"Bates Technical College is accredited by the Northwest Commission on Colleges and Universities, an institutional accrediting body recognized by the Council for Higher Education Accreditation and the Secretary of the U.S. Department of Education."

Sources
- Bates Website: Accreditation
- College Catalog 2012-13 (Page 6)
2.A.26
Policies and Procedures: Contractual Agreements Maintain Integrity of Institution

If the institution enters into contractual agreements with external entities for products or services performed on its behalf, the scope of work for those products or services—with clearly defined roles and responsibilities—is stipulated in a written and approved agreement that contains provisions to maintain the integrity of the institution. In such cases, the institution ensures the scope of the agreement is consistent with the mission and goals of the institution, adheres to institutional policies and procedures, and complies with the Commission’s Standards for Accreditation.

Response
The College requires all contracts to be reviewed, approved and signed by either the President or the Executive Dean of Business Administration, or as designated by the President. Each department prepares contracts either using a provided template or reviews the contract for consistency with College mission and goals. Each contract is reviewed by the Vice President or Executive Dean of the division. All contracts are then forwarded to Finance & Business division for review for clearly defined scope, roles, responsibilities and adherence to College policies and state regulations. Where required, contracts may also be referred to the delegated Assistant Attorney general for the college for review.
2.A.27
Policies and Procedures: Academic Freedom

The institution publishes and adheres to policies, approved by its governing board, regarding academic freedom and responsibility that protect its constituencies from inappropriate internal and external influences, pressures, and harassment.

Response
The colleges’ policies are available on the college’s website. They are also referenced in a variety of other documents including the college’s course catalog, the student hand book and the various faculty and employee collective bargaining agreements. All of these documents can be found on the college’s website. Academic freedom for students policy, WAC 495A-121-021 Academic Freedom, can be found on page 17 of the student handbook. Academic Freedom related to faculty can be found in the faculty collective bargaining agreement.

Sources
- Bates Technical College
- College Catalog 2012-13
- Faculty CBA
- Student Handbook
2.A.28
Policies and Procedures: Intellectual Freedom

Within the context of its mission, core themes, and values, the institution defines and actively promotes an environment that supports independent thought in the pursuit and dissemination of knowledge. It affirms the freedom of faculty, staff, administrators, and students to share their scholarship and reasoned conclusions with others. While the institution and individuals within the institution may hold to a particular personal, social, or religious philosophy, its constituencies are intellectually free to examine thought, reason, and perspectives of truth. Moreover, they allow others the freedom to do the same.

Response
Through our mission, values and core themes, the college supports independent thought and critical thinking. Through the CBA with our faculty bargaining unit, independent thought is supported within the right of academic freedom.

In addition, college policies contain several anti-discrimination and academic freedom protections that ensure an environment conducive to learning and intellectual freedom. Among these is the right to a learning environment that is free from sexual harassment and unlawful discrimination, as well as the right to the freedom of expression and inquiry. Student responsibilities, the abrogation of which is grounds for disciplinary action, include actively maintaining an atmosphere of respect for differences and the rights of other students. Intellectual freedom is closely connected with an environment where diversity is supported and protected from discrimination. We strive to create an environment that encourages students to explore ideas and express diverse viewpoints in order to support the development of global citizenship and intellectual freedom. Bates holds that diversity supports the mission of Bates Technical College and that respecting and promoting diversity is vital to the education of our students and to the learning environment of our campus community.

Sources
- 2.A.28 Guiding Expectations_College Wide Learning Outcomes
- Faculty CBA (Page 34)
- Student Handbook (Page 15)
- Student Handbook (Page 17)
2.A.29

Scholarship and Intellectual Property

Individuals with teaching responsibilities present scholarship fairly, accurately, and objectively. Derivative scholarship acknowledges the source of intellectual property, and personal views, beliefs, and opinions are identified as such.

Response

Supported by the faculty collective bargaining agreement (CBA), faculty members present scholarship fairly, accurately, and objectively. Faculty are protected by the provisions for academic freedom defined in the CBA, but also held to its expectations, including the clear identification of personal opinions. This provision is covered under section 8.1 of the CBA.

Ownership of intellectual property is addressed in the faculty negotiated agreement (CBA) on page 35, under section 8.6, lines 33-49. Employee-created intellectual property/ownership of materials is not addressed in Board Policy, but this is scheduled for review as part of an overall review of Board Policy scheduled for a Board of Trustees retreat in November 2013.

Sources

- Faculty CBA (Page 36)
- Mission, Values, and Core Themes
2.A.30

Oversight and Management of Financial Resources
The institution has clearly defined policies, approved by its governing board, regarding oversight and management of financial resources—including financial planning, board approval and monitoring of operating and capital budgets, reserves, investments, fundraising, cash management, debt management, and transfers and borrowings between funds.

Response
Board of Trustees has approved a series of policies related to the financial management of the College. Policies are posted on the College website (Chapter 7: Business and Finance). These policies address:

- Budgeting
- Accounting and Controlling of Funds
- Purchasing
- Capital Improvement Projects
- Financial Reports
- Special Business Functions
- College Vehicles
- Auxiliary Services
- Collections
- Public Information and Public Records

Sources
- Bates Technical College Bylaws and Policies (Page 82)
- College By-Laws and Policies
2.B.1
Human Resources: Sufficient and Qualified Personnel

The institution employs a sufficient number of qualified personnel to maintain its support and operations functions. Criteria, qualifications, and procedures for selection of personnel are clearly and publicly stated. Job descriptions accurately reflect duties, responsibilities, and authority of the position.

Response
The college employs a sufficient number of appropriately qualified employees to support teaching and learning. To support career education programs, along with general education and extended learning offerings, the college employs 44 exempt and 97 classified (i.e. Professional Technical Employees, Facilities and Maintenance, Campus Public Safety) employees who make it possible for the college to meet its mission.

Human Resources Department (HR) utilizes fair and equitable hiring processes and procedures to announce available positions and to ensure the employment of the overall best qualified candidate available for each position. The college’s application process includes written applicant selection procedures. Qualified applicants selected for an interview are notified via email or telephone; applicants not selected for an interview are notified by email.

HR ensures that employee job announcements and job descriptions include appropriate qualifications, and that all employees meet the qualifications specified for their positions. Additionally, job descriptions are developed by the Human Resources Department and supervisors, and annually reviewed to ensure accurate reflection of duties, responsibilities, and authority of the position.

Sources
- Frequently Asked Questions
- Job Announcement
- Job Description
2.B.2
Human Resources: Evaluation of Administrators and Staff

Administrators and staff are evaluated regularly with regard to performance of work duties and responsibilities.

Response
Regular evaluations with regard to performance of work duties and responsibilities for administration and staff at Bates Technical College is demonstrated by the current process where all employees receive annual performance evaluations as outlined in the Board Personnel Policy and/or Collective Bargaining Agreements (Campus Public Safety, Custodian, and Professional Technical Employees).

The Human Resources Department notifies supervisors of their evaluation responsibilities and tracks completion of evaluations. Original evaluations (Campus Public Safety, Custodian, and Professional Technical Employees) are maintained by the College.

Sources
- 2007-2010 Security CBA [Extended to 2014]
- 2009-2011 Custodial CBA
- 2012-2015 PTE CBA
- Board Personnel Policies
- Campus Public Safety CBA
- Campus Public Safety Evaluation Form
- Custodian CBA
- Evaluation Tracking Sheet
- Exempt Evaluation Form
- Facilities and Operations Evaluation Form
- Faculty Evaluation Form
- PTE CBA
- PTE Evaluation Form
- Staff and PTE Evaluation Log
2.B.3
Human Resources: Professional Growth and Development

The institution provides faculty, staff, administrators, and other employees with appropriate opportunities and support for professional growth and development to enhance their effectiveness in fulfilling their roles, duties, and responsibilities.

Response
The college provides appropriate opportunities for professional growth and development to all employees. Training topics originate from strategic plan initiatives, state and federal regulations, introduction of new processes and technology, and collaborative professional development planning committees. Various forums for training include:

- Professional development days for PTEs (per CBA)
- In-service days for faculty (per CBA)
- Mandatory training for faculty and staff (e.g. first aid/CPR, sexual harassment)
- Staff days, external and internal training, various meetings, and on the job for all employees.

The results of these professional development activities are reported to human resources and entered into a database that maintains an ongoing record of continuing education and maintenance of required training.

Sources
- 2010-2013 Faculty CBA
- 2011-10-14 Faculty In-Service Agenda
- 2012 Staff Day Agenda
- 2012-03-16 Professional Development Day Agenda
- 2012-2015 PTE CBA
- 2013 Faculty Professional Development Agenda Day 1
- 2013 Faculty Professional Development Agenda Day 2
- 2013 Faculty Professional Development Agenda Day 3
- 2013 Faculty Professional Development Agenda Day 4 (All Staff)
- First Aid-CPR Training
2.B.4
Human Resources: Sufficient and Qualified Faculty

Consistent with its mission, core themes, programs, services, and characteristics, the institution employs appropriately qualified faculty sufficient in number to achieve its educational objectives, establish and oversee academic policies, and assure the integrity and continuity of its academic programs, wherever offered and however delivered.

Response
The college employs a sufficient number of appropriately qualified faculty to achieve its educational objectives. For the more than 50 career education programs, along with general education and extended learning offerings, the college employs 116 full-time and 6 part-time faculty who make it possible for the college to meet its mission.

The Human Resources (HR) Department ensures that faculty job announcements and job descriptions include appropriate qualifications, and that all faculty meet the qualifications specified for their positions. HR maintains faculty qualifications and industry certifications in their personnel files. Class loads load standards are set by the collective bargaining agreement, as well as individual program accreditation, where applicable.

Sources
- 2010-2013 Faculty CBA
- 2010-2013 Faculty CBA (Page 84)
- Head Count Report
- Job announcement
- Job Description
2.B.5
Human Resources: Faculty Responsibilities and Workloads

Faculty responsibilities and workloads are commensurate with the institution's expectations for teaching, service, scholarship, research, and/or artistic creation.

Response
To ensure that faculty responsibilities and workload are commensurate with the institution's expectations for delivering and/or supporting teaching and learning, the College takes the following key actions:

- Executes annual employment agreements containing expectations for the satisfactory compliance of position requirements.
- Issues job descriptions and updates containing position responsibilities to the individual faculty member.
- Enforces the Collective Bargaining Agreement (CBA) which contains additional expectations concerning responsibilities and workloads.

The Human Resources (HR) ensures that all faculty members sign an annual employment agreement and an initial job description, and receive copies of both. The supervisor will update the job description as needed and HR will provide a copy of the update to the faculty member. The CBA is published and maintained on the College website.

Sources
- 2010-2013 Faculty CBA
- Faculty Contract Template
- Job Description Example
2.B.6

Human Resources: Faculty Evaluation

All faculty are evaluated in a regular, systematic, substantive, and collegial manner at least once within every five-year period of service. The evaluation process specifies the timeline and criteria by which faculty are evaluated; utilizes multiple indices of effectiveness, each of which is directly related to the faculty member’s roles and responsibilities, including evidence of teaching effectiveness for faculty with teaching responsibilities; contains a provision to address concerns that may emerge between regularly scheduled evaluations; and provides for administrative access to all primary evaluation data. Where areas for improvement are identified, the institution works with the faculty member to develop and implement a plan to address identified areas of concern.

Response

Faculty are evaluated annually per the Collective Bargaining Agreement (CBA) and every five years using the College’s Professional Development Plan. Both processes evaluate performance with regard to each faculty member’s roles and responsibilities. The CBA also contains provisions with which to evaluate performance between regularly scheduled evaluations and for use in attempting to correct performance deficiencies.

The Human Resources Department (HR) uses databases to track the completion of performance evaluations and Professional Development Plans. Additionally, HR collaborates with supervisors in the development and implementation of Corrective Action Plans, as needed. HR maintains copies of all evaluations and Professional Development Plans, and provides administrative access to those documents.

Sources

- 2010-2013 Faculty CBA
- Faculty CBA [Online]
- Faculty Evaluation Form
- Faculty Evaluation Log
- PDP Report by Name and JobCode
- Professional Development Plan Form
2.C.1  
Learning Outcomes, Lead to Degrees  
The institution provides programs, wherever offered and however delivered, with appropriate content and rigor that are consistent with its mission; culminate in achievement of clearly identified student learning outcomes; and lead to collegiate-level degrees or certificates with designators consistent with program content in recognized fields of study.

Response  
Bates Technical College delivers programs that are approved by the Board of Trustees and that following SBCTC policies and procedures. All programs are regularly reviewed both internally by the instruction council and by an external mainly industry based Advisory Committee in order to ensure that the programs offered provide a rigorous education consistent with our mission and result in students skilled in the areas demanded by industry. These reviews take place at least on a bi-annual basis and ensure that our programs create inspiring new pathways for students, challenge them to realize their potential for growth and success, and educate students in the skills demanded by industry. Two of our four core themes are focused on this outcome: Workforce Education and Student Centered. Degree and certificate titles are regularly reviewed to ensure that the designators assigned are consistent with program content.

One area that has been identified for continuing improvement is the documentation of learning outcomes. In response to this self-identified issue, we have created a full set of master course outlines that include clearly identified learning outcomes and express indication of whether a course is connected to the college wide learning outcomes or human diversity, effective communication, and critical thinking. At present, there have been over 1,100 master course outlines completed. Completion of all master course outlines is anticipated by the end of fall quarter.

Sources  
- College Wide Learning Outcomes  
- Master Course Outline Status as of 2013-09-13  
- Program Inventory 201306  
- Sample Curriculum Validation Letter  
- Sample MCO: DATA 101  
- Sample MCO: HEARS 201  
- Sample MCO: HVAC 201
2.C.2

Expected outcomes identified and provided

The institution identifies and publishes expected course, program, and degree learning outcomes. Expected student learning outcomes for courses, wherever offered and however delivered, are provided in written form to enrolled students.

Response

Information for program and degree learning outcomes is readily available; however, on a course level it is not consistent or in a standard format. This is an area that we have identified and prioritized for improvement and have already implemented the standardization of master course outlines for courses offered. Subsequently, syllabi will be reviewed for consistency and content. Syllabi found to be inconsistent with the standards agreed upon will be modified or updated as needed.

In addition to learning outcomes at the program level, we are currently in the first steps of reviewing learning outcomes at the degree level. This review will include a comprehensive review of the syllabi and existing course/program objectives in order to identify learning outcomes that cross instructional areas or that are part of a multi-course series. The outcomes will be reviewed in the context of the core theme indicators and advisory committee feedback to ensure that they are consistent with the mission of the college and current industry needs.

Sources

- College Wide Learning Outcomes
- Master Course Outline Status as of 2013-09-13
2.C.3
Awarding of Credit and Degrees Based on Student Achievement
Credit and degrees, wherever offered and however delivered, are based on documented student achievement and awarded in a manner consistent with institutional policies that reflect generally accepted learning outcomes, norms, or equivalencies in higher education.

Response
Bates Technical College awards credit and degrees based on documented student achievement. Credit awards are made in a manner consistent with college policies related to accepted higher education learning outcomes and equivalencies.

Bates Technical College course grades are awarded by instructors based on assessment of student learning outcomes identified on course syllabi. Institutional grading policies are published in the college catalog. Course grades determine credits awarded and determine the ability of students to progress to subsequent courses requiring satisfactory prerequisite achievement. Certificates and degrees are awarded based on student achievement of student learning outcomes at the course and program levels.

The consistency of our institutional policy on awarding credits and degrees with accepted learning outcomes and norms is demonstrated by the acceptance of our certificate and degree awards by the SBCTC and the articulation agreements that exist between Bates Technical College and other institutions of higher learning. While technical colleges like Bates are geared towards providing a robust preparation for immediate employment after completion, transfer and articulation agreements provide students with options to continue their higher education in many fields. Schools with articulation and transfer agreements with Bates Technical College include the University of Washington Tacoma, Evergreen State University, and Montana State University in addition to a number of other schools.

Sources
- Fall 2013 Core Theme Indicators (Page 4)
2.C.4

Degree programs, admission, and graduation requirements

Degree programs, wherever offered and however delivered, demonstrate a coherent design with appropriate breadth, depth, sequencing of courses, and synthesis of learning. Admission and graduation requirements are clearly defined and widely published.

Response

Degree programs at Bates Technical College are designed around a systemic progression of interrelated skills, starting from introductory coursework in the given field and general education and then steadily progressing to coursework where independent application of theory and skills are required in preparation for the work environment. All programs reflect the same general path of education from inexperience to competency in their chosen field. All programs prepare students for entry level positions in their field and are designed to build to skills that enable success after completion.

The courses required, the duration of the program, and commitment expectations are clearly communicated to the student through individualized delivery plans provided by academic advisers. In addition, standardized curriculum guides that have been approved by the State Board for Community and Technical Colleges are published in the course catalog and clearly show the required general education and vocational coursework necessary to achieve a credential within the program.

Sources

- College Catalog 2012-13 (Page 54)
- Delivery Model Example
2.C.5
Faculty Role in Curriculum Design
Faculty, through well-defined structures and processes with clearly defined authority and responsibilities, exercise a major role in the design, approval, implementation, and revision of the curriculum, and have an active role in the selection of new faculty. Faculty with teaching responsibilities take collective responsibility for fostering and assessing student achievement of clearly identified learning outcomes.

Response
Faculty have a direct and crucial role in the development and revision of curriculum and selection of new faculty members. Instructors responsible for curriculum development have expertise within their area of vocational instruction and, in cooperation with partners from local industry leadership, develop curricula that fosters broad and robust competency in that field among students. In order to further facilitate faculty participation in curriculum development, the curriculum committee was recently revived. This committee is in the process of reviewing structure and processes surrounding the development and revision of curricula at Bates Technical College.

The consistency and clarity of course outlines has been an issue that is currently being rigorously reviewed. Over the past year, a set of master course outlines has been developed in order to address the self-identified need for greater standardization and clarity in course outlines and learning outcomes.
2.C.6

Faculty Use of Library and Information Resources
Faculty with teaching responsibilities, in partnership with library and information resources personnel, ensure that the use of library and information resources is integrated into the learning process.

Response
Teaching faculty partner with library faculty and staff to integrate the use of library and information resources into the learning process. Library faculty and staff provide educational support to teaching faculty and students and actively encourage the use of library resources and services in the learning process.
The library provides this educational support through a variety of formats depending on the need. For example: face-to-face information literacy sessions, librarian-led instructional sessions tailored to student assignments, reference desk services, and online LibGuides uniquely designed for a specific career training program or general education class. In addition, the library provides access to computers, printers, copies, group study rooms, quiet rooms, and physical and electronic resources.

The integration of library and information resources into the learning process is evidenced by library statistics related to information literacy classes, reference questions, outreach activities to teaching faculty, and faculty use of and requests for LibGuide development.

Sources
- Library Website
- Online Databases available through Library
- Program Specific Library Resources
2.C.7
Credit for Prior Experiential Learning
Credit for prior experiential learning, if granted, is: a) guided by approved policies and procedures; b) awarded only at the undergraduate level to enrolled students; c) limited to a maximum of 25% of the credits needed for a degree; d) awarded only for documented student achievement equivalent to expected learning achievement for courses within the institution’s regular curricular offerings; and e) granted only upon the recommendation of appropriately qualified teaching faculty. Credit granted for prior experiential learning is so identified on students’ transcripts and may not duplicate other credit awarded to the student in fulfillment of degree requirements. The institution makes no assurances regarding the number of credits to be awarded prior to the completion of the institution’s review process.

Response
The college has established procedures that provide students the opportunity to petition for award of credit through an evaluation of prior experiential learning extracts submitted by the student or through a course challenge process.

Evaluations of student submissions for prior experiential learning and assessment and administration of course challenges are made by teaching faculty qualified in the discipline for which credit is petitioned.

Credit of prior experiential learning is awarded only for credential-relevant courses within a student’s program of study.

Credit awarded based upon assessment of prior experiential learning is identified as such on official transcripts and is restricted to no more than 25% of the credits required for any awarded credential.

Sources
- Compliance Course Challenge Transcript Example
- Course Challenge Results Form
- CPEL Evaluation Results Form
- CPEL Student Petition
2.C.8

Transfer Credit

The final judgment in accepting transfer credit is the responsibility of the receiving institution. Transfer credit is accepted according to procedures which provide adequate safeguards to ensure high academic quality, relevance to the students’ programs, and integrity of the receiving institution’s degrees. In accepting transfer credit, the receiving institution ensures that the credit accepted is appropriate for its programs and comparable in nature, content, academic quality, and level to credit it offers. Where patterns of student enrollment between institutions are identified, the institution develops articulation agreements between the institutions.

Response

The College has established processes for accepting credential-relevant credit awarded on transcripts by other accredited institutions and for documented formal training from non-collegiate instructional programs. Students with transcripts that have been evaluated as having equivalent outcomes to Bates’ college courses (i.e. ACE evaluated military training, ECE STARS training, etc.) receive credit based on those official transcripts or other documentation submitted to the Registrar. The Registrar may refer individual transcripts to the dean for curriculum and assessment or subject matter experts (SME) for recommendations regarding the award of credit. Grades of "C" or 2.0, or higher are required for transfer credit to be awarded. Transfer credit awarded is awarded and identified as such on official transcripts. The college provides students with a standardized form for use in requesting official transcripts from other institutions.

Sources

- 2006-08-05 Transcript to Bates Revised
- Example Transcripts with Transfer Credit Awarded
- Transfer Credit Evaluation Request
- Transfer Prior Prof and Military Credits Recommendation Examples
2.C.9
Integrated Course of Study
The General Education component of undergraduate programs (if offered) demonstrates an integrated course of study that helps students develop the breadth and depth of intellect to become more effective learners and to prepare them for a productive life of work, citizenship, and personal fulfillment. Baccalaureate degree programs and transfer associate degree programs include a recognizable core of general education that represents an integration of basic knowledge and methodology of the humanities and fine arts, mathematical and natural sciences, and social sciences. Applied undergraduate degree and certificate programs of thirty (30) semester credits or forty-five (45) quarter credits in length contain a recognizable core of related instruction or general education with identified outcomes in the areas of communication, computation, and human relations that align with and support program goals or intended outcomes.

Response
All of the college’s degree-generating career training programs have curriculum guides approved by the State Board for Community and Technical Colleges (SBCTC) indicating the required courses in the student’s degree area. These curriculum guides also list the related instruction / general education courses in the areas of quantitative reasoning (computation), human relations, and communications required for degree attainment. The college’s certificate programs also suggest the related instruction needed for certification, although many of these certificates only require coursework at the developmental education (90 level) instead of at the general education (100 level).
2.C.10

Identifiable and Assessable Learning Outcomes
The institution demonstrates that the General Education components of its baccalaureate degree programs (if offered) and transfer associate degree programs (if offered) have identifiable and assessable learning outcomes that are stated in relation to the institution’s mission and learning outcomes for those programs.

Response
Every instructor teaching a general education 100 level and above course at the college is responsible for maintaining a current syllabus document and to make that document available to students. The syllabus documents follow a standard form. Instructors also provide students with a course outline that identifies the assessable learning outcomes / primary course objectives, and typically indicates the point in the course particular material is taught.

In an effort to improve the clarity of learning outcomes and connection with the mission of the college, master course outlines have been updated for all courses, including the general education courses. These master course outlines have been standardized to follow a consistent format that includes clear articulations of learning outcomes and indication of inclusion of college wide learning outcomes. These documents have been centralized on the shared network folder where the college curriculum library resides.
2.C.11
Educational Resources: Learning Outcomes

The related instruction components of applied degree and certificate programs (if offered) have identifiable and assessable learning outcomes that align with and support program goals or intended outcomes. Related instruction components may be embedded within program curricula or taught in blocks of specialized instruction, but each approach must have clearly identified content and be taught or monitored by teaching faculty who are appropriately qualified in those areas.

Response
The related instruction components of general education course content embedded in career training courses are clearly identifiable on the program’s curriculum guide that is approved by the State Board for Community and Technical Colleges (SBCTC). Courses that meet the related education requirements may contain the descriptor "applied" in the title of the course and are usually taught by the career training faculty, who are qualified to teach it. However, career training instructors have the option having academic (general education) instructors teach a related ed course. (Math for Early Childhood Educators (MATH 173) is taught by general education faculty.) The related or embedded instruction course content / outcomes are clearly identified.
2.C.12

Graduate Programs
Graduate programs are consistent with the institution’s mission; are in keeping with the expectations of their respective disciplines and professions; and are described through nomenclature that is appropriate to the levels of graduate and professional degrees offered. They differ from undergraduate programs by requiring greater depth of study and increased demands on student intellectual or creative capacities; knowledge of the literature of the field; and ongoing student engagement in research, scholarship, creative expression, and/or appropriate high-level professional practice.

Response
Bates Technical College does not offer graduate level programs.
2.C.13

Graduate Admissions
Graduate admission and retention policies ensure that student qualifications and expectations are compatible with the institution’s mission and the program’s requirements. Transfer of credit is evaluated according to clearly defined policies by faculty with a major commitment to graduate education or by a representative body of faculty responsible for the degree program at the receiving institution.

Response
Bates Technical College does not offer graduate level programs.
2.C.14

Graduate Credit
Graduate credit may be granted for internships, field experiences, and clinical practices that are an integral part of the graduate degree program. Credit toward graduate degrees may not be granted for experiential learning that occurred prior to matriculation into the graduate degree program. Unless the institution structures the graduate learning experience, monitors that learning, and assesses learning achievements, graduate credit is not granted for learning experiences external to the students’ formal graduate programs.

Response
Bates Technical College does not offer graduate level programs.
2.C.15

Intention of Graduate Programs
Graduate programs intended to prepare students for research, professional practice, scholarship, or artistic creation are characterized by a high level of expertise, originality, and critical analysis. Programs intended to prepare students for artistic creation are directed toward developing personal expressions of original concepts, interpretations, imagination, thoughts, or feelings. Graduate programs intended to prepare students for research or scholarship are directed toward advancing the frontiers of knowledge by constructing and/or revising theories and creating or applying knowledge. Graduate programs intended to prepare students for professional practice are directed toward developing high levels of knowledge and performance skills directly related to effective practice within the profession.

Response
Bates Technical College does not offer graduate level programs.
2.C.16

CE Programs Consistent with Goals

Credit and non-credit continuing education programs and other special programs are compatible with the institution’s mission and goals.

Response

The mission of the College is “To inspire, challenge and educate”. Additionally, one of the College core themes is Workforce Education which states, “We are committed to providing high quality training that helps students realize their potential for growth and success through innovative instruction”. The continuing education programs accomplish the mission and core theme by providing a rich array of credit and non-credit courses in the following areas:

- Boiler Certification
- Business Administration
- Construction & Trades
- Engineering & CAD/CAM
- Health/Sciences
- Public Safety
- Transportation & Distribution

Continuing education courses range from a few weeks in length to an entire quarter via classroom and online. All the continuing education courses are taught by experienced faculty and experts from the community to advance career options and refine professional skills and knowledge for the workforce.

The non-credit continuing education courses are approved by the dean of instruction. All courses offered for college credit must be approved the instructional department and must adhere to all policies and procedures related to other credit courses offered by the College.

Sources

- Bates Class Schedule 2013 Spring/Summer
- Bates Class Schedule 2013 Spring/Summer
- Bates Continuing Education Website
- Bates Course Catalog 2012-2013
2.C.17
Academic Quality of CE Program
The institution maintains direct and sole responsibility for the academic quality of all aspects of its continuing education and special learning programs and courses. Continuing education and/or special learning activities, programs, or courses offered for academic credit are approved by the appropriate institutional body, monitored through established procedures with clearly defined roles and responsibilities, and assessed with regard to student achievement. Faculty representing the disciplines and fields of work are appropriately involved in the planning and evaluation of the institution’s continuing education and special learning activities.

Response
The Vice President of Instruction is responsible for the administration of continuing education and contract training activities. Dean of Instruction (Dean of Educational Systems, Dean of Continuing Education, Dean of Contract Training, and Deans of Apprentice Programs) are responsible for programming.

The Dean of Instruction hire faculty well-qualified and versed in their fields of expertise to teach continuing education courses. Approval paper work process for all new courses demonstrates that faculty from the proper disciplines have been appropriately involved in the planning and evaluation of the institutions continuing education and contract training courses.

At the end of each continuing education course, students will participate in the evaluation of the faculty by filling out a Course Faculty Student Input form. The results of the evaluation are used to improve the quality of teaching and learning at Bates Technical College.

Sources
- Bates Continuing Education Course Proposal Form
- Bates Continuing Education Course Student Input
2.C.18

CEUs
The granting of credit or Continuing Education Units (CEUs) for continuing education courses and special learning activities is: a) guided by generally accepted norms; b) based on institutional mission and policy; c) consistent across the institution, wherever offered and however delivered; d) appropriate to the objectives of the course; and e) determined by student achievement of identified learning outcomes.

Response
The college’s Extended Learning offerings follow established procedures which are consistent across the college for curriculum documentation and course approval regardless of instructional delivery method. The granting of credit, clock hours, or CEUs for Extended Learning offerings is appropriate to the course objectives and based on student achievement of identified learner outcomes.

The college maintains curriculum documentation which describe the courses, learner outcomes, and number of hours/credits for all non-credit/ungraded and for-credit/graded Extended Learning offerings. These records are maintained by the Educational Systems Department. The approval procedure requires the submission of a master course outline (course title, description, and learner outcomes), new/revision form, and class planning form to the Educational Systems Department. Documentation requires signed approval by the course originator (e.g., faculty), the applicable program dean, the curriculum and assessment dean, and the executive dean of instruction.

Sources
- Class Planning Form
- Course Costing Worksheet
- ForCredit Course Checklist
- ForCredit CurrDocumentation
- NotForCredit Course Checklist
- NotForCredit CurrDocumentation
2.C.19

Non-Credit Instructional Records

The institution maintains records which describe the number of courses and nature of learning provided through non-credit instruction.

Response

Course records for non-credit courses are maintained by the Office of Continuing Education Program and Business and Management Training Center, and are kept in the Student Management System (SMS). The Student Management System is the primary data system used to store records related to student performance and course offerings at Bates.

Sources

- 2.C.19 Bates Registration Form
2.D.1  
Student Support Resources: Effective Learning Environments

Consistent with the nature of its educational programs and methods of delivery, the institution creates effective learning environments with appropriate programs and services to support student learning needs.

Response
The college administers career training programs that provide students with instruction that provides the opportunity to learn from highly qualified faculty in settings which are comparable to industry work environments. The use of comparable equipment enables course outcomes to be structured to closely duplicate the performance standards in industry.

The college is committed to ensuring that learning environments are safe, free of drugs, alcohol, discrimination and harassment, and is a place where diversity is valued. There are policies and procedures in place to ensure these standards are maintained, which are communicated to students and staff through multiple channels including the student handbook and course catalog. The effectiveness of the college’s learning environment is enhanced by the availability of services and support for students in meeting their learning needs. These support services include assistance and accommodations for students with disabilities, tutoring services, financial aid services, student participation in governance through the Associated Student Government, a veterans assistance program, a co-located WorkSource affiliate, a college store, an online textbook purchasing program, and co-located assistance from the equal opportunity center which administers a TRIO program assisting first generation and low income students. The Veterans program and online textbook purchasing program are recent additions. Bates Technical College is proud to have been placed in the top 20% of military friendly school by Victory Media for the 2013-14 year. All other programs have established staffing, resources, and procedures.

Students are able to access information about these services on the Bates Technical College website.

The college provides broad access to information technology in order to ensure that students are supported by a robust IT infrastructure since some students do not have access to computers off campus. In several of our demographic populations, smart phone ownership is more common than computer or laptop ownership and internet access is mainly gained through smart phones. For these students, providing technology resources on campus is vital to their success. In order to meet this need, there are walk-in computer services and support in the downtown Library, the Diversity Center, and at the South Campus Library. The college has also expanded, and will continue to expand, the wireless internet access broadly across the campus for students with personal devices.

Sources
• Bates Bulletin: Bates in top 20 percent of military-friendly schools
• Bates Veterans Center
• Disability Support
• Diversity Center
• Financial Aid Services
• Military Friendly Methodology
• Military Friendly Schools Listing
• Non-discrimination Policy
• Online bookstore
• Student Government
• Tutoring
• WorkSource Affiliate
2.D.2

Safety and Security

The institution makes adequate provision for the safety and security of its students and their property at all locations where it offers programs and services. Crime statistics, campus security policies, and other disclosures required under federal and state regulations are made available in accordance with those regulations.

Response

To ensure the safety and security of Bates’ students and their property, the Campus Public Safety Department (CPS) provides various services that include, but are not limited to:

- Campus Patrols
- Parking/Traffic Enforcement
- Issuance of Parking Permits
- Resolving Conflicts
- Emergency Response
- Accident Investigations
- Lost and Found Management

Campus safety coverage is from Monday through Friday, from 6:30 am to 10:20 pm at Downtown, South, and Central campuses. The College has a total of 119 surveillance cameras installed at the three campuses. Safety Officers patrol all three campuses on foot and in their vehicles. In addition, Bates maintains an emergency alert system in order to effectively communicate with students in a timely manner if and when an emergency on campus occurs.

The CPS collects and publishes crime statistics in accordance with applicable federal regulations. In addition, the CPS sends our written notifications and alerts via email to students when significant incidents and accidents occur on campus.

Sources

- Campus Public Safety Services
- Crime Statistics DT/Central/South
- Rave Alert System
- Student Handbook (Page 15)
2.D.3  
**Student Support Resources: Student Admission, Orientation, Information, and Advising**

Consistent with its mission, core themes, and characteristics, the institution recruits and admits students with the potential to benefit from its educational offerings. It orients students to ensure they understand the requirements related to their programs of study and receive timely, useful, and accurate information and advising about relevant academic requirements, including graduation and transfer policies.

**Response**  
Bates Technical College is an open admissions public institution consistent with the College’s stated mission and goals. Prospective students may apply for admission at any time.

Some career training programs may have specific enrollment periods and may require prerequisite course work or department/instructor approval for enrollment.

Bates Technical College publishes its student admission policy which specifies the characteristics and qualifications appropriate for its programs on its website and it adheres to that policy in its admission procedures and practices.

Weekly Information Sessions are held at the Downtown and South Campuses to provide information on career training offerings; academic choices and course pre-requisites; enrollment procedures; assessment for academic placement and course pre-reqs; enrollment dates; and general orientation to the college.

**Bates Technical College Outreach and Recruitment:**  
- The Outreach & Recruitment’s mission is to inform students, increase access to educational opportunities, and connect students to critical resources. These services are provided to attract more students from the local and regional community, including the underserved student populations. Outreach & Recruitment builds a strong relationship with high schools, community organizations, regional businesses, the military other colleges, universities, students and parents.
- In an effort to make education accessible to all people, Bates Outreach extends services across twelve Washington counties.
- Outreach has built and maintained records of prospective students, employers, local businesses and organizations and promotional material locations.
- Outreach & Recruitment efforts included over 185 events & activities communicating with over 11,515 individuals.(2011-2012).

Prospective students schedule appointment with specific career advisors assigned to career training program of interest for assistance with making appropriate career training options; review of assessment scores; registration into career training program.
Students are provided with an outline of the career training program with outlines a quarterly breakdown of the classes required for the credential and the credit load each quarter for better financial planning.

Students will meet with their assigned advisor prior to the start of the successive quarter to review academic progress and register for the next quarter. Continuing students will register online.

**Sources**

- Advising contact information
- Career advising webpage
- Career training programs
- Delivery Model Example
- Getting started
2.D.4

Program Elimination

In the event of program elimination or significant change in requirements, the institution makes appropriate arrangements to ensure that students enrolled in the program have an opportunity to complete their program in a timely manner with a minimum of disruption.

Response

The college has eliminated certificate and degree programs in the past few years. In every case, the enrollment was discontinued and the full time qualified faculty were retained until the last currently enrolled student was allowed to complete the program. Here are the most current examples:

Program Elimination History:

<table>
<thead>
<tr>
<th>Program</th>
<th>Program Closed to New Students</th>
<th>Students Completed and Program Closed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accounting Bookkeeping</td>
<td>Last new students enrolled summer quarter 2010.</td>
<td>Teach out concluded fall quarter 2011.</td>
</tr>
<tr>
<td>Apparel Construction</td>
<td>Last new students enrolled summer quarter 2009.</td>
<td>Teach out concluded fall quarter 2010.</td>
</tr>
<tr>
<td>Architectural Engineering</td>
<td>Last new students enrolled Summer quarter 2009.</td>
<td>Teach out concluded fall quarter 2011.</td>
</tr>
<tr>
<td>Boat Building</td>
<td>Last new students began Summer 2010.</td>
<td>Teach out concluded winter quarter 2011/12</td>
</tr>
<tr>
<td>Cosmetology</td>
<td>Last new students began spring quarter 2010.</td>
<td>Teach out concluded spring 2011.</td>
</tr>
<tr>
<td>Electrical Construction</td>
<td>Last new students began spring quarter 2010.</td>
<td>Teach our concluded summer quarter 2011 with some students volunteering to move to day program.</td>
</tr>
<tr>
<td>Fashion Construction</td>
<td>Last new students were enrolled Summer 2009.</td>
<td>Teach concluded Winter 2011/12.</td>
</tr>
<tr>
<td>Land Survey Technology</td>
<td>Last new students began spring quarter 2010.</td>
<td>Teach out concluded fall quarter 2011.</td>
</tr>
</tbody>
</table>

Student Transitions to Program Changes:

When the college converted from clock hours to credits, all certificate and degree students were given a transition plan that mapped out the old program requirements, the student's completed courses to date, and which courses in new system they are given credit for completion. The remaining courses are identified including which upcoming quarter they will complete the
course. The students' progress was monitored by both their instructors and their student services career advisor.

Sources

- 2.D.4 Transition Crosswalk
2.D.5  
**Student Support Resources: Catalog Contents**  
The institution publishes in a catalog, or provides in a manner reasonably available to students and other stakeholders, current and accurate information that includes:

Institutional mission and core themes;  
1. Entrance requirements and procedures;  
2. Grading policy;  
3. Information on academic programs and courses, including degree and program completion requirements, expected learning outcomes, required course sequences, and projected timelines to completion based on normal student progress and the frequency of course offerings;  
4. Names, titles, degrees held, and conferring institutions for administrators and full-time faculty;  
5. Rules, regulations for conduct, rights, and responsibilities;  
6. Tuition, fees, and other program costs;  
7. Refund policies and procedures for students who withdraw from enrollment;  
8. Opportunities and requirements for financial aid; and  

**Response**  
Bates publishes a catalog annually and posts it to the website. The course catalog webpage has its own dedicated URL address ([www.bates.ctc.edu/catalog](http://www.bates.ctc.edu/catalog)) but is also posted in various spots for easy navigation. The course catalog includes information on the following topics:

1. Institutional mission;  
2. Entrance requirements and procedures;  
3. The college’s grading policy;  
4. Information on academic programs and courses, including degree and program completion requirements, expected learning outcomes, required course sequences, and projected timelines to completion based on normal student progress and the frequency of course offerings;  
5. Names, titles, degrees held, and conferring institutions for administrators and full-time faculty;  
6. Rules, regulations for conduct, rights, and responsibilities; (can also be found in the student handbook)  
7. Refund policies and procedures for students who withdraw from enrollment;  
8. Opportunities and requirements for financial aid.

The academic calendar is found on the college website at [www.bates.ctc.edu/registration](http://www.bates.ctc.edu/registration).  
A list of current tuition, fees, and other program costs are available on the college website at [http://www.bates.ctc.edu/student-resources/registration-office/tuition-and-fees](http://www.bates.ctc.edu/student-resources/registration-office/tuition-and-fees) and through
academic advisors. All students must meet with an academic advisor in order to enroll in a vocational program.

The core themes and mission statement are available on the college website at http://www.bates.ctc.edu/about-bates/our-mission-and-vision

Sources

- Academic Calendar
- College Catalog 2012-13 (Page 10)
- College Catalog 2012-13 (Page 12)
- College Catalog 2012-13 (Page 159)
- College Catalog 2012-13 (Page 28)
- College Catalog 2012-13 (Page 29)
- College Catalog 2012-13 (Page 5)
- College Catalog 2012-13 (Page 6)
- College Catalog 2012-13 (Page 8)
- College Catalog 2012-13 (Page 90)
- Course Catalog
- Mission and Core Theme Indicators
- Tuition and Fees
2.D.6
Support Eligibility Requirements for Licensure or Employment
Publications describing educational programs include accurate information on:

a) National and/or state legal eligibility requirements for licensure or entry into an occupation or profession for which education and training are offered;
b) Descriptions of unique requirements for employment and advancement in the occupation or profession.

Response
All certificate and degree programs are fully described on the college website under *Career Education Degree and Certificate Options* and in the on-line college catalog (pages 11, 26-86). Individual program pages include eligibility requirements for licensure or entry into a profession, and unique requirements for employment and advancement in an occupation or profession when applicable. As an example of the information published, please see the Occupational Therapy Assistant entries in the *Course Catalog* and on the [Bates Webpage](http://www.bates.edu).

The Educational Systems department in conjunction with the Communications and Marketing department ensures the accuracy of the program information contained on the college website and catalog.

Sources
- College Catalog 2012-13 (Page 14)
- College Catalog 2012-13 (Page 29)
- College Catalog 2012-13 (Page 78)
- College Catalog, Degrees & Certificate Programs
- College Website, Career Education Degree & Certificate Options
- Eligibility and Licensure Requirement Example: OTA
2.D.7

Student Support Resources: Secure Retention of Student Records

The institution adopts and adheres to policies and procedures regarding the secure retention of student records, including provision for reliable and retrievable backup of those records, regardless of their form. The institution publishes and follows established policies for confidentiality and release of student records.

Response

Bates maintains digital records in the Student Management System (SMS) as well as hard copies of initial transactions and some of the subsequent transactions. The SMS system is backed up regularly and the hard copies are archived. In addition, the information contained in the SMS system is also accessed by the SBCTC for use at the system level. The finalized data from the SMS system is provided to the Office of Institutional Research at Bates Technical College as an official record of student and institutional activities/performance.

Bates offers regular FERPA training for staff and has reminders when logging onto SMS. Release of information forms and non-disclosure forms are located on the website. Release of information forms are required for disclosure of anything outside of directory information. There are also statements regarding FERPA in the College Catalog on page 25 and on the college website.

Sources

- College Catalog 2012-13 (Page 28)
- FERPA information
- FERPA Release of Information Form
- Non-Disclosure Form
2.D.8
Student Support Resources: Effective and Accountable Financial Aid

The institution provides an effective and accountable program of financial aid consistent with its mission, student needs, and institutional resources. Information regarding the categories of financial assistance (such as scholarships, grants, and loans) is published and made available to prospective and enrolled students.

Response
The Bates Technical College Financial Aid Office provides effective and accountable service by facilitating, coordinating, and expediting the financial aid process. The financial aid team works closely with students, staff, and faculty to ensure that compliance standards for state, federal, and institutional funding are met. In the 2011-2012 financial aid year, 3,797 students received $8,833,437 in federal, state, and institutional aid. Comparable figures for 2012-2013 academic year will not be available until October 2013. By coordinating efforts with the finance and registration offices, and by utilizing financial aid tools and systems, financial aid staff ensure that accounts are reconciled, balanced, and that checks are received by students within required timelines.

The Financial Aid Office goes to great lengths to provide consumer information to prospective and enrolled students. Effective collaboration with the communications department to keep the online course catalog and financial aid homepage up to date is imperative for maintaining the Institutional Participation Agreements for Title IV and Veteran Affairs funding. All consumer information can be accessed in person at the Financial Aid Office, or online through the financial aid web page. Information is also provided in the Student Handbook, Course Catalog, and Class Schedule. Financial Aid continues to focus on being student-centered by refining, streamlining, and adding new processes to provide a better understanding of financial aid and how it works, and strives to provide the most up-to-date and current information for students, staff, and faculty.

The world of educational funding is ever changing and financial aid staff must ensure that relevant information regarding the changes is made available to the Bates Technical College community. Financial Aid demonstrates the drive to serve and keep the students, staff, and faculty aware of these changes and procedures by implementing new processes such as:

- Auto Application of fees, which results in releasing disbursements faster.
- Implementation of the Financial Aid Portal, which allows students to access their financial aid information 24 hours a day, 7 days a week.
- Electronic correspondence (Tracking and Follow Up Letters, Award Notices, and Loan Disbursement and Exit Notifications), resulting in quicker response times and reduced postage cost.
- Establishing a phone tree to address the high volume of calls received.
- Working towards reinstating the Financial Aid Orientation to help students better understand the financial aid processes.
- Maintaining the financial aid web page.
• Ensuring that all other materials are updated yearly.
The ability to process financial aid applications in an effective manner is included as a Core Theme Indicator under the “Student Centered” core theme (Fall 2010, Fall 2011, Fall 2012, and Fall 2013 available).

Sources
• 2.D.8 No Grants Letter
• 2.D.8 Tracking Letter
• 2013-2014 Information Sheet
• College Catalog 2012-13 (Page 10)
• Fall 2010 Core Theme Indicators (Page 10)
• Fall 2011 Core Theme Indicators (Page 10)
• Fall 2012 Core Theme Indicators (Page 10)
• Fall 2013 Core Theme Indicators (Page 10)
• Financial Aid Home Page
• Loan Disbursement Notification
• Loan Exit Notification
• Sample Award Letter
• Student Handbook (Page 9)
• Understanding Your Financial Aid 13-14
2.D.9
Student Support Resources: Student Loan Programs

Students receiving financial assistance are informed of any repayment obligations. The institution regularly monitors its student loan programs and the institution’s loan default rate.

Response
The Bates Technical College Financial Aid Office ensures that students are well informed of repayment obligation prior to, during, and after receiving a Federal Direct Stafford Loan. The College regularly monitors the student loan program and the cohort default rate by utilizing the schools and the financial aid systems.

All student loan recipients are required to complete Loan Entrance and Financial Awareness Counseling, a Master Promissory Note, and a Student Loan Application prior to receiving a Direct Stafford Loan. Once a student borrower has exited the college, they are required to complete Student Loan Exit counseling. This process is mandated to ensure that student borrowers understand how much they need to borrow and what their repayment obligations will be. For the 2013-2014 school year, a new financial literacy and debt management program, presented by SALT, has been implemented to increase borrower awareness and indebtedness.

The Financial Aid Office uses the National Student Loan Database, Common Origination and Disbursement system, Direct Loan Servicing Center, and SALT to help address the importance of successful loan repayment and in managing the cohort default rate.

Sources
- 2.D.9 SALT Executive Summary
- 2.D.9 Student Loan Application
- Loan Disbursement Notification
- Loan Exit Notification
- studentloans.gov
2.D.10
Student Support Resources: Academic Advisement

The institution designs, maintains, and evaluates a systematic and effective program of academic advisement to support student development and success. Personnel responsible for advising students are knowledgeable of the curriculum, program requirements, and graduation requirements and are adequately prepared to successfully fulfill their responsibilities. Advising requirements and responsibilities are defined, published, and made available to students.

Response
The College maintains an advising staff which includes four full-time faculty advisors; one advisor also serves as the Disability Support Services Coordinator; and one part-time faculty advisor who generally works 15–20 hours per week.

One advisor is located full time at Bates South campus; two are located at the Downtown campus; one advisor advises international students; and one advisor maintains an office and serves students at the Downtown, Central and South campuses.

Faculty advisors undergo a three tenure review process. Advisors are required by the Collective Bargaining Agreement to have a Professional Development Plan that outlines professional development activities linked to the further development of profession-technical skill standards. The professional development plans are reviewed with the supervisor each year. Advisors have a full evaluation once every three years. Advisors are reviewed by students as part of the student satisfaction survey and through informal surveys within the department. Advisors are encouraged to participate in the Washington State Academic Advising Coalition (WAAC). WAAC provides an avenue for speaking with a unified voice on professional issues directly related to academic and professional-technical advising programs in community and technical colleges in the state of Washington. WAAC is dedicated to assisting member institutions to make contributions to campus environments as well as enhancing the goals of advising within the community and technical college system.

Advisors are assigned responsibility for advising and enrollment of students into specific career training programs. Advisors work closely with career training faculty and instructional deans on a regular basis for program updates on changes in curriculum, program hours, costs, etc. Advisors attend career training program advisory meeting.

Advisors work closely with the Manager for Outreach and Recruitment and regularly participate in recruitment and outreach activities. Advisors lead and conduct weekly career training program Information Sessions at the Downtown and South Campus locations to provide information to prospective students on career training offerings; academic choices and course prerequisites; enrollment procedures; assessment for academic placement and course prerequisites; enrollment dates; and general orientation to the college.
Sources

- Advising Website
- Advisor program listing and contact information
- College Catalog 2012-13 (Page 24)
- Getting Started at Bates
- Outreach and recruitment
- Tenure review
- WAAC
2.D.11
Student Support Resources: Co-Curricular Activities

Co-curricular activities are consistent with the institution’s mission, core themes, programs, and services and are governed appropriately.

Response
Within the institution, the term "co-curricular" refers to the activities that complement the college's official curriculum including associated student government; attending student government assemblies; and, volunteering or participating in cultural and/or student programming. Co-curricular activities align with institutional goals, are meaningful to student success, and are consistently applied and available to students. Activities offered by Bates Technical College promote global citizenship, awareness and celebration of human diversity, personal skill development, leadership, and academic success. These student participation in these activities are part of the Core Theme Indicators.

Sources
- Fall 2013 Core Theme Indicators (Page 13)
- Fall 2013 Core Theme Indicators (Page 14)
- Phi Theta Kappa Honor Society Opportunity
- SkillsUSA Opportunities
2.D.12

Auxiliary Services Support the Mission

If the institution operates auxiliary services (such as student housing, food service, and bookstore), they support the institution’s mission, contribute to the intellectual climate of the campus community, and enhance the quality of the learning environment. Students, faculty, staff, and administrators have opportunities for input regarding these services.

Response

Auxiliary services include food service and campus stores. Food service is provided by the Culinary program at the Downtown Campus. Central and South campuses receive limited service through vending and the campus store at South Campus. The college surveyed students and staff regarding preferred food service items for South Campus following the consolidation of Culinary programs at the Downtown Campus. Subsequent offerings through limited campus store items met with limited success. The college is currently researching the purchase of a food truck or trailer along with a food truck certificate program in Culinary to offer better food and beverage services to the South and Central campuses.

The campus stores are open from 9 a.m. to 1 p.m. for required tools and instructional supplies, logo wear and snack foods. The Downtown location is open on Monday and Wednesday and the South Campus location is open Tuesday and Thursday. Students purchase textbooks through a contract program with Follett stores, which is linked on the college website.
2.D.13
Student Support Resources: Athletic and Co-curricular Programs

Intercollegiate athletic and other co-curricular programs (if offered) and related financial operations are consistent with the institution's mission and conducted with appropriate institutional oversight. Admission requirements and procedures, academic standards, degree requirements, and financial aid awards for students participating in co-curricular programs are consistent with those for other students.

Response
The term 'co-curricular' encompasses diversity and student life activities which complement the college's official curriculum and includes: student clubs; associated student government leadership; student assemblies and athletic events; and, volunteering or participating in college, cultural and/or student programming. College co-curricular programs are open to students in a consistent and standardized manner. The ASG is researching whether an intercollegiate athletic program is feasible within the instructional mission of the college. A pilot program for a club soccer team was launched in 2013. In previous years, local college basketball tournaments have been highly successful in engaging students, but these activities were organized as individual events instead of a formalized program.
2.D.14

Identity Verification for Distance Learning Students

The institution maintains an effective identity verification process for students enrolled in distance education courses and programs to establish that the student enrolled in the distance education course or program is the same person whose achievements are evaluated and credentialed. The institution ensures the identity verification process for distance education students protects student privacy and that students are informed, in writing at the time of enrollment, of current and projected charges associated with the identity verification process.

Response

Online learning students follow the same identity verification process upon enrollment as other students. Online learning students are also subject to the Student Rights and Responsibilities outlined in the college’s Student Handbook, including performance dishonesty. The college currently uses Blackboard as its Learning Management System (LMS). Students log into Blackboard with their unique user name and password which are only provided to students who are officially registered with the college and have a student identification number.

Registration in distance courses requires verification of personal information, such as social security number or name and birth date. In July of 2013, Bates Technical College retained the services of an online course development consultant as part of the Project: Next Steps initiative by President Langrell. The report from the consultant will be completed soon and will contain actionable items for improving our online and distance education offerings, including steps to strengthen identity verification processes. Additionally, Bates Technical College is actively monitoring legal developments at the federal level that will impact the requirements for enrolling distance education students and verifying their identities.
2.E.1
Library and Information Resources

Consistent with its mission and core themes, the institution holds or provides access to library and information resources with an appropriate level of currency, depth, and breadth to support the institution’s mission, core themes, programs, and services, wherever offered and however delivered.

Response

Bates Technical College provides books, videos and electronic materials to faculty, staff, students, administrators and the general public through libraries on two campuses - Downtown and South. The third campus (Central) is served by the Downtown Library. A library has been included in the plans for the potential new building on the Central campus. The Library employs 4 staff members (3.5 FTE) with a Librarian and a Library Technician at each campus. The Downtown and South Campus Libraries are open during the day for 39 and 35 hours per week, respectively.

The physical and electronic resources support the instructional needs of the Career Training, General Education and other ventures of the College. For example, videos are used by the Apprenticeship and Continuing Education programs and library staff recently recreated a Veterans’ Subject Guide [LINK] that was published at the same week the College announced its Veterans Career Advancement Placement Program.

The physical holdings include books, videos and equipment. The electronic resources include online subscription databases, software loaded on library computers and Subject Guides developed by Library staff. Library staff assist users in locating, accessing and using these materials in person, by email, by telephone and chat (through the statewide AskWA initiative).

Additionally, the Library serves as a general computer lab for students to complete assignments, job search, and check Bates email. The Library also provides students and staff with printing, copying, scanning and (for school related materials) faxing.

Sources

- Bates Library Page
- Fall 2010 Core Theme Indicators (Page 11)
- Fall 2011 Core Theme Indicators (Page 11)
- Fall 2012 Core Theme Indicators (Page 11)
- Fall 2013 Core Theme Indicators (Page 11)
- FY2010-2011 Annual Statistics for DC and SC
- FY2011-2012 Annual Statistics for DC and SC
- FY2012-2013 Annual Statistics for DC and SC
- LibGuides Page View Statistics
- Library Subject Guides
- Page Views - Bates Library page
- Veterans' Subject Guide
2.E.2  
**Planning for Library and Information Resources**
Planning for library and information resources is guided by data that include feedback from affected users and appropriate library and information resources faculty, staff, and administrators.

**Response**
The Library uses several tools to plan for library resources and services. First, we use regularly collected internal data to make decisions. Daily and monthly statistics on gate count, reference transactions, items circulated, and database use inform a number of decisions.

Second, we use external data to inform our decision-making process. The main source of external data is the College’s General Student Satisfaction Survey. This survey is administered to adult career training students once a year on a broad range of topics. Satisfaction with the Library and library resources is part of question 11. We also use the General Student Satisfaction Survey for additional information on students’ needs, priorities, and concerns. The Library also occasionally surveys students directly. The last survey was conducted in 2010 [LINK].

Feedback from faculty and staff is currently not as formalized as gathering feedback from students. The library staff seeks informal input from non-students through face to face communication, email, and phone calls. We also request feedback in the more formal setting of the Library Council. [LINK]

**Sources**
- [2012 Student Satisfaction Survey (Page 6)]
- [FY2010-2011 Annual Statistics for DC and SC]
- [FY2011-2012 Annual Statistics for DC and SC]
- [FY2012-2013 Annual Statistics for DC and SC]
- ![Library Council Membership]
- ![Library Survey 2010]
- ![Reference Statistics Year End Reports]
2.E.3
Library Instruction and Support
Consistent with its mission and core themes, the institution provides appropriate instruction and support for students, faculty, staff, administrators, and others (as appropriate) to enhance their efficiency and effectiveness in obtaining, evaluating, and using library and information resources that support its programs and services, wherever offered and however delivered.

Response
The Library supports the educational mission of the College through information literacy, reference desk queries, Subject Guides and other College commitments.

Information Literacy sessions are offered by the Librarians at the request of a faculty member. Librarians work with faculty to determine what concepts should and need to be delivered in a session.

Reference transactions play a large role in our daily tasks. Library staff field questions regarding career training and general education course work, job hunting, resume writing, using computers and navigating college resources and services. The reference statistics collected are reviewed to determine where to put our efforts in creating subject guides, and determining gaps in the collection.

The Subject Guides are relatively new to the Library's toolbox. Guides include recommendations on books, videos, subscription databases and websites. A Subject Guide is available for each career training cluster and the Librarians are slowly creating guides for each program. For General Education courses, Librarians develop pages for a specific course as needed.

The Library also advances Information Literacy initiatives through College events and Committee memberships. The Librarians are regularly invited to lead a session for Staff In-Service Day. Librarians have offered sessions highlighting information literacy concepts and library resources. Library staff also participate on committees such as the Curriculum Committee, IDEAL Council and the Strategic Planning Council where we seek to integrate the Library into the College and the College into the Library.

Sources
- Bates Technical College Library Subject Guides
- FY2010-2011 Annual Statistics for DC and SC
- FY2011-2012 Annual Statistics for DC and SC
- FY2012-2013 Annual Statistics for DC and SC
2.E.4  
**Evaluation of Library and Information Services**  
The institution regularly and systematically evaluates the quality, adequacy, utilization, and security of library and information resources and services, including those provided through cooperative arrangements, wherever offered and however delivered.

**Response**  
Library staff currently evaluates services and resources on an informal and on an as-needed basis.

The Librarians review the physical collection on an annual basis based on the Collection Development and Weeding Procedures [LINK]. Review includes examining the collection for currency, depth, and relevancy to College offerings as well as examining the physical state of the materials. Librarians make decisions regarding acquisition and de-acquisition of materials based on changes in knowledge or practices in their disciplines; condition, replace-ability, and past use of individual items and subject areas; ongoing or expected changes in the curriculum, etc. [LINK]

Library Services are evaluated informally on a continual basis to adjust to user needs and demands. A formal review of services is scheduled to occur in the next academic year. Existing services, policies and procedures are communicated to library users through a brochure [LINK] and an About the Library [LINK] page.

Faculty are involved in library planning in informal ways. When the library considers changing a service (either adding or removing), faculty are consulted through face-to-face communication, email, and phone calls. In addition, feedback from the student satisfaction survey is used in evaluating current provision of library staff [Results for 2011 and 2012].

**Sources**
- [About the Library](#)
- [Bates Technical College Library Acquisition and De-Acquisition Data](#)
- [Collection and Weeding Procedures](#)
- [Fall 2011 Core Theme Indicators (Page 11)](#)
- [Fall 2012 Core Theme Indicators (Page 11)](#)
- [Library Brochure](#)
2.F.1

Financial Stability and Financial Planning

The institution demonstrates financial stability with sufficient cash flow and reserves to support its programs and services. Financial planning reflects available funds, realistic development of financial resources, and appropriate risk management to ensure short-term solvency and anticipate long-term obligations, including payment of future liabilities.

Response

College cash flows and reserves have increased for the past several years. Programs which are a drain on resources are reviewed and adjusted as to not jeopardize the College financial position. Debt is kept at a minimum. This is demonstrated by the current operating revenue to debt ratio, which has increased (higher is better) between FY2011 and FY2012. In addition, the financial reports from the past three years show significant improvement between FY2010 and FY2012, as a result of ongoing work to save money through increased efficiencies and cost savings measures. These savings reflect systemic changes that will also be reflected in future years and contribute to the financial stability of the institution.

Sources

- [2013-14 Budget and Planning](#)
- [Fiscal Year Financial report 2010 11](#)
- [Fiscal Year Financial report 2011 12](#)
- [Fiscal Year Financial report 2012 13](#)
2.F.2
Financial Resources: Resource Planning and Development

Resource planning and development include realistic budgeting, enrollment management, and responsible projections of grants, donations, and other non-tuition revenue sources.

Response
College projections for retained tuition, grants and other non-tuition revenue sources have been on target the last several years. Enrollment, which had a significant drop following the conversion from clock to credit, has climbed in the years since. The College operating revenue to total debt ratio is 25.7, compared to a system average ratio of 2.0 for fiscal year 2012. Administrative policies are being reviewed and updated as necessary.

The College engages in realistic budgeting for resource planning and development using state funding allocation and tuition increases approved by the State Board of Community and Technical Colleges. Planning incorporates FTE forecasts and targeted enrollment plans that calculate the number of students enrolled and the number of credits those students are taking, by instructional program and quarter. Targeted enrollment numbers are typically set at 10% above the enrollment threshold defined by the faculty collective bargaining agreement for each program. Grant funding estimates from various resources i.e., State Needs Grant, State Work Study, Federal Student Aid, Federal Perkins Loan and Worker Retraining enter into the process by way of grant reserve notifications, funding worksheets, planning numbers and tentative funding account statements.

Sources
2.F.3
Defines and Follows Policies and Procedures
The institution clearly defines and follows its policies, guidelines, and processes for financial planning and budget development that include appropriate opportunities for participation by its constituencies.

Response
College policies define the budget as the approved educational plan stated in fiscal terms. The President is directed to establish the development and adoption processes for all areas of the College in this regard. The policies also direct the President to provide opportunities for all areas to be involved in budget recommendations.

Over the past several all College constituents (faculty, classified, exempt staff and students) been asked to participate in non-formal formats such as surveys, leadership team and labor-management meetings. For the development of the fiscal year 2012-13 budget, each division and each department (vice-presidents, executive deans, deans, managers and supervisors) developed the baseline budget request for review by the Chief Officers of the College and then approval by the Board of Trustees. This process was first used in March 2013. All employees (faculty, staff or administrator) were encouraged to submit a request that meet the focused target of the initiative and was aligned with the College’s Mission, Vision, Values and Core Themes (strategic plan) in order to ensure all constituents had the opportunity to participate the College developed a Planning and Budgeting Initiative process. The requests are then reviewed, scored and ranked by a group of employees on the Strategic Planning Committee. The initiatives recommended for approval are forwarded to the the President for final approval and implementation. Each initiative will be evaluated to determine if the desired outcomes were achieved.

This process (with refinements) will continued to be used the College as it creates the opportunity for employees to have direct influence on the budgeting process and creates an environment that is more responsive to student and institutional needs. The establishment of a more deliberative budgeting process with clear guidelines and core theme based review criteria will help ensure that budgeting is open, inclusive, and consistent.
2.F.4
Timely and Accurate Financial Information
The institution ensures timely and accurate financial information through its use of an appropriate accounting system that follows generally accepted accounting principles and through its reliance on an effective system of internal controls.

Response
The College uses the system-wide Financial Management System which is designed to comply with NACUBO standards which follow generally-accepted accounting principles. The System has effective internal controls which limit individual’s access to either no access, inquiry only or change ability to each system (accounting, payroll, enrollment management) as well as sub-functions (screens) within each system. Request for rights to each system must be initiated by system “owners”. (College should develop a system to review access and rights regularly to ensure all permissions are necessary for performing duties).

Bates Technical College ensures timely and accurate financial information through its use of the state developed computerized accounting system. The college uses the system wide Financial Management System which is designed to comply with NACUBO standards which follow generally-accepted accounting principles.

The System has effective internal controls which limit individual’s access to either: “inquire only”, “change, inquire”, “add, change, inquire” or “delete, add, change, inquire” (accounting, payroll, enrollment management) as well as sub-functions (screens) within each system. Request for rights to each system must be initiated by system “users” by filling out the appropriate form (reference example form) and requires the review and approval of specific application managers. Departments can access monthly reports electronically and can have access to electronic real time budget information as needed. Internal controls begin at each department on campus to ensure accurate information is provided and departments track their expenditures and reconcile those with the campus accounting system for another level of internal control. Month-end dates are published and followed. Requisitions (reference example form) are reviewed and signed by departmental supervisors and are reviewed by Business Office for appropriate coding and assurance that funds are available. All the state supported community and technical colleges share a single administrative system, have centralized allocation management and reporting through the State Board of Community and Technical Colleges. The State Board of Community and Technical Colleges provides the core set of administrative applications.
2.F.5

Capital Budgets and Plans

Capital budgets reflect the institution’s mission and core theme objectives and relate to its plans for physical facilities and acquisition of equipment. Long-range capital plans support the institution’s mission and goals and reflect projections of the total cost of ownership, equipment, furnishing, and operation of new or renovated facilities. Debt for capital outlay purposes is periodically reviewed, carefully controlled, and justified, so as not to create an unreasonable drain on resources available for educational purposes.

Response

College has a 10-year Master Facilities Plan that is updated on a regular basis. Capital Budget requests are reviewed against the Facilities Master Plan, College Strategic Plan and use the Facilities Condition Survey as criteria for justifications. The College has been extremely careful in taking on debt for capital projects.

Sources

- Facilities Master Plan Presentation
- Facilities: Ten Year Capital Plan
2.F.6
General Operations and Auxiliary Enterprises
The institution defines the financial relationship between its general operations and its auxiliary enterprises, including any use of general operations funds to support auxiliary enterprises or the use of funds from auxiliary services to support general operations.

Response
Board policies direct the President to provide such auxiliary services as necessary to provide facilities, services and activities for the educational and personal development of the students of the College.

To this end, the College provide Campus Stores both at Downtown and South locations, as well as culinary and childcare services at the Downtown location. In a cost-cutting measure, the sale of textbooks has moved online through a contract with an online bookseller. Students are directed to the Bates Online Bookstore from the College website and are provided a list of textbooks required for the program they are enrolled in. Tools, equipment and supplies are available through the Campus Stores including incidentals and snacks.

Childcare services provides easy access to students with children, usually at reduced rates based on household income.

The College also operates a PBS television station that provides opportunities for student in Broadcast Media programs to gain ‘hand-on’ experience in the industry.

Sources
- Bates Online Bookstore
- Campus Store
- Eleven O One Dining Services
- Program Supply Lists
2.F.7
Annual External Financial Audit
For each year of operation, the institution undergoes an external financial audit, in a reasonable timeframe, by professionally qualified personnel in accordance with generally accepted auditing standards. Results from the audit, including findings and management letter recommendations, are considered in a timely, appropriate, and comprehensive manner by the administration and the governing board.

Response
The College, as a part of the Washington State Community and Technical System and as a part of the State of Washington are included in the State Wide Single Audit (Federal Grant funds) and the State Wide CAFR audits performed by State Auditor’s Office. The College is also subject to periodic program and/or compliance reviews by the Washington State Community and Technical System and State Auditor’s Office.

Sources
- 2012 Statewide Audited CAFR
- 2012 Statewide Audited CAFR
- Statewide Single Audit Report
- Statewide Single Audit Report
2.F.8

Institutional Fundraising Activities

All institutional fundraising activities are conducted in a professional and ethical manner and comply with governmental requirements. If the institution has a relationship with a fundraising organization that bears its name and whose major purpose is to raise funds to support its mission, the institution has a written agreement that clearly defines its relationship with that organization.

Response

Bates fundraises through two vehicles - through the Bates Technical College Foundation as well as through its operations of KBTC-TV.

The Bates Technical College Foundation is a registered 501c3 non profit organization. The mission of the Bates Foundation is to support student and program success by securing resources through building community relationships and awareness. Bates Technical College Foundation is registered in the state of Washington with the Secretary of the State as a non profit corporation. The college has a written agreement with the foundation that defines its relationship with the Bates Technical College Foundation.

The Bates Foundation participates in an annual financial audit, performed by an independent auditor. In the last five or more years, there have never been any audit findings. The foundation also submits an annual IRS Form 990. All foundation board members sign a conflict of interest form and foundation staff adhere to the Association for Fundraising Professionals Code of Ethical Principles and Standards as well as the Donor Bill of Rights.

Sources

- 2.F.8 Foundation Agreement
- 2.F.8 Foundation Registration
- Washington State Registration
2.G.1

Physical Facilities
Consistent with its mission, core themes, and characteristics, the institution creates and maintains physical facilities that are accessible, safe, secure, and sufficient in quantity and quality to ensure healthful learning and working environments that support the institution’s mission, programs, and services.

Response
Facilities and operations are maintained under the guidelines of Washington State and federal codes, regulations and standards governing operations. Buildings are maintained to be accessible under the Americans with Disabilities Act Accessibility Guidelines (ADAAG), currently adopted jurisdictional codes and environmental agency requirements. Campus crime statistics are maintained and available in compliance with CLERY reporting requirements.

Sources
- Accident Prevention Plan
- ADA audit compliance
- Capital Budget Plan
- Employee Safety Health Manual
- Safety Procedures Guidebook
2.G.2

**Hazardous or Toxic Materials**
The institution adopts, publishes, reviews regularly, and adheres to policies and procedures regarding the safe use, storage, and disposal of hazardous or toxic materials.

**Response**
At any given time it is not known what types, quantities and conditions of dangerous/hazardous materials are on site. Sharps, petroleum products, chemicals, pcb's, lead, amalgams, asbestos, mercury, aerosol cans and other hazardous materials need to be reviewed and commented on by departments using, handling, generating, processing, storing or disposing of these materials.

The College Health and Safety Manager position has been filled as of August 15th, 2013. The Health and Safety Manager is beginning a one year project to ensure full compliance in this area. The college does not have a central receiving point for hazardous or toxic materials. The college will be using MSDS Online (software as a service) to track the location of all hazardous or toxic materials on its properties. Employees who order or receive hazardous or toxic materials will be trained on how to enter the product information in MSDS Online.

The Health and Safety Manager will identify all employees who handle hazardous or toxic materials and will ensure they are properly trained on safe use, storage, and disposal procedures. The Health and Safety Manager will establish a periodic training schedule for all employees who handle hazardous and toxic materials. The Health and Safety Manager will conduct both regularly scheduled and random inspections of hazardous and toxic materials storage, handling, and disposal procedures.

**Sources**
- Dangerous Waste Downtown Campus
- Dangerous Waste South Campus GM
- Dangerous Waste South Campus OI
- Dangerous Waste South Campus SI
- Pollution Prevention Plan
2.G.3

Master Plan for Physical Development
The institution develops, implements, and reviews regularly a master plan for its physical development that is consistent with its mission, core themes, and long-range educational and financial plans.

Response
The Facilities Master Plan is reviewed and updated in conjunction with major capital construction project submissions to the State Board for Community and Technical Colleges for capital budget requests. Due to fiscal constraints and turnover in leadership, the facilities Master Plan has not been updated since 2007. The Facilities Master Plan is currently in progress of an update revision. The update plan is anticipated to be completed before the end of this calendar year.

Sources
- Facilities Master Plan Presentation
- Facilities: Ten Year Capital Plan
2.G.4

Sufficient Equipment

Equipment is sufficient in quantity and quality and managed appropriately to support institutional functions and fulfillment of the institution’s mission, accomplishment of core theme objectives, and achievement of goals or intended outcomes of its programs and services.

Response

Equipment acquired in conjunction with capital projects, meets the standard. Through the Planning and Budgeting Initiative process the College has begun to develop a list of equipment needs that will be addressed over the next several years. In the first initiative, in which requests were limited to $5,000 each, a list exceeding $150,000 was developed. In the Planning and Budgeting Initiative in July, equipment requests exceeding $4 million was received. These requests must align with the College’s strategic plan, mission and core themes. These items are reviewed, evaluated and scored prioritized for funding. The evaluation committee recommended more than $400,000 in one-time and equipment initiatives to be funded this fiscal year. Additional recommendations will forwarded to the President as funds become available or solidified.
2.G.5
Appropriate and Adequate Technology Systems and Infrastructure
Consistent with its mission, core themes, and characteristics, the institution has appropriate and adequate technology systems and infrastructure to support its management and operational functions, academic programs, and support services, wherever offered and however delivered.

Response
Bates Technical College’s technology Infrastructure supports the mission of the college by creating and maintaining a physical environment that enhances the teaching and learning. The college operates three Campuses; the Downtown campus, the South campus and the Mohler Campus also known as the Central campus.

The Downtown campus is the location for the main Data Center and provides core services for the other two campuses.

The Bates Information Technology Department overseas operations, installation and maintenance of Technology resources for the three Campuses.

These include:
- Data, voice, video, and wireless networks
- Telephony and telecommunications
- Web environments and applications
- Electronic mail
- Security standards
- Multimedia equipment
- Technology purchasing
- Student computer labs
- Software licensing
- Hardware and software maintenance
- Hardware and software deployment
- Develop new interfaces for Business Application
- New technologies research
- Assist customers in applying technology to business needs

The information technology department currently has seven full-time positions: a systems and security administrator; a lead database developer and mail Service administrator; Network Specialist, Operations Specialist, Desktop Specialist, and six specialists. One of the six specialists is based full-time at the South campus. The department provides services at all college sites within Bates.

Technical Infrastructure
Bates provides a comprehensive technical infrastructure to support the college’s programs and services. The college employs industry standard network and server hardware sufficient in
capacity and quantity to meet existing and foreseeable future information systems needs. The technical infrastructure of the institution is maintained and upgraded to keep up with changing technological needs and requirements based on a five-year strategic plan that takes into account current technology forecasts, new potential uses of existing technologies, industry adoption, and maturity levels of current and emerging technology trends.

Bates standardizes on Microsoft products district-wide. Dell server hardware is the standard hardware platform used to deliver information services to students, staff, faculty, and administrators. Hardware and software standardization allows the Bates Information Technology (IT) department to keep maintenance of server hardware and software at manageable levels. Server systems of sufficient capabilities are deployed as deemed necessary by Bates IT and configured and secured according to Microsoft security best practices standards.

Bates maintains three dedicated server rooms with independent power and HVAC systems separate from the main building systems. Industry standard temperature monitoring systems are utilized and configured to alert Bates IT personal of temperature increases. Alerts are sent via email and text message to cell phones. Redundant power supply hardware is utilized in all servers to protect against power failures, brownouts, and power spikes and to facilitate an orderly shutdown of server hardware and related systems for extended periods of time. The HP 3000 platform provides administrative applications (finance, personnel, student records, etc.) common to the SBCTC system. SBCTC maintains HP3000 hardware and services off-site rather than at Bates’-IT’s centralized location in the Seattle area. These resources are fully integrated into disaster recovery plans as well as all other server hardware.

Network devices at Bates are standardized on a Cisco/HP platform. Fiber optics are used for connections between buildings as well as between floors in a building. CAT5E copper wire is used for the last leg to the end device. VLANs (virtual local area networks) and ACLs (access control lists) are used to separate the network traffic of different roles that end devices have (e.g. staff computers, student computers, servers, printers, etc.). Telephones are PBX base and will be replaced beginning December 2013 which will be powered by PoE (power over Ethernet) HP switches. These switches will have have redundant uplinks as well as redundant power supplies to ensure maximum uptime. These switches will be connected to backup battery supplies to give at least 30 minutes of power in case of power failure.

Bates network is connected to the Internet via a 100Mbit connection to CTCNet, the regional Internet service for all SBCTC colleges. Bates uses a Cisco firewall to prevent unauthorized access to internal devices. The configuration of this firewall follows best practices as recommended by Cisco. The remote Campuses, Tacoma Central(Mohler) and South are connected via Fiber provided by Tacoma’s Metro Network at an aggregated bandwidth of 200Mbs.
2.G.6
Technology Instruction and Support
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.

Response
The Information Technology Office provides readily accessible information resources to both students and faculty. Some of these resources include computer labs, help desk services, free and discounted software, training on a variety of software, technology orientations and guides, wireless networking, network storage with web pages, course management system support, e-mail, custom application development, technology enhanced classroom, and media delivery to technical classrooms.

Students have access to 6 general use computer labs and also 18 labs in occupation specific areas that are supported by IT. These labs contain more than 1,000 computers which include laptops and tablets with a variety of standard office software (Word, Excel, etc.) while some computers have specialized applications (Mathcad, Auto Cad, Master Cam, Auto Desk, Solid Works, Vericut, Noah, Practice Works, etc.). The 6 general access labs have most of the general-use software that students need to complete their coursework and are open to all students. The 18 specialized labs are customized for departments and colleges that require either special software or hardware specific to their discipline. These labs are often used as both classrooms and open labs for students to complete their coursework.

The help desk assists with logins/passwords for the computer labs, individual help with use of technology, e-mail, and other technology issues. In addition, help desk technicians assist with hardware and software troubleshooting. Services are available via e-mail, helpdesk tickets, work order, phone, or by visiting in-person. During the first week of the Spring 2012, the help desk received 918 service requests, 325 requests being resolved by help desk technicians without the need for escalation to other units in IT.

In addition to service requests, there is also a IT work order system in place. The work order system includes more complex requests, such as computer upgrades outside of a scheduled upgrade, software installs, and other non-emergency requests. The system for tracking help desk tickets issued by the work order system (which does not include regular daily service requests) has been improved between the current year and the last, resulting in more accessible information about IT support staff performance and more effective communication regarding work orders between faculty, staff, and the IT department.

Sources
- 2.G.6 IT Support Tickets 2012-01-01 to 2013-08-07 (Page 1)
- 2.G.6 IT Support Tickets 2012-01-01 to 2013-08-07 (Page 2)
2.G.7
Technology Infrastructure Planning

Technological infrastructure planning provides opportunities for input from its technology support staff and constituencies who rely on technology for institutional operations, programs, and services.

Response

The institution’s IT department consults with staff, students, faculty, and administrators via various institutional committees for input when considering architectural changes to technical infrastructures that significantly impact the quality and ability of the institution to deliver on its mission statement. When a technology need is identified, IT staff work with the departments or individuals involved to create a clear and shared understanding of the need. IT staff then research potential solutions to meet the need, and determine whether the most appropriate route is to purchase or develop. Extensive planning is undertaken to ensure proper adoption levels are achieved when new services and technologies are introduced. Feedback generated by these institutional committees is evaluated and changes made as necessary.

In the last year the IT department has worked with several Office Occupations programs to enhance and improve the Student Labs, designed and implemented the CNC Computer Labs, worked with the Library to implement Multipoint Servers to provide efficiency and power savings, increased availability for wireless access to students for their mobile devices. Currently the college is working on a strategic plan to convert the existing 1 gigabit backbone to 10 gigabit backbone. This will also provide support for the IP-Telephony and Unified communication services for the College.
2.G.8
Technology Update and Replacement Plan
The institution develops, implements, and reviews regularly a technology update and replacement plan to ensure its technological infrastructure is adequate to support its operations, programs, and services.

Response
The Replacement of systems in the classroom is implemented upon discussions with the Departments, their Deans and the Vice President. During the past several years we have replaced computer systems based on absolute need due to several Budget cuts. Regular review is done to check the inventory for age and relevance of functionality and departments are alerted when replacement is needed. A three year replacement plan is in place which will cycle all the computers in all the career training program. A document in a spreadsheet format is in the evidence file. The servers and switches for Infrastructure are also on a five year replacement plan. To maintain business continuity dual redundant SAN servers are in place which provides us 24/7 service. "Metal" or permanent backups are made daily for disaster recovery and also for retrieval of data accidentally lost.

Sources
- 2.G.8 IT: Computer Replacement Cycle
Standard 3
Institutional Planning
Accreditation Standards (Standard 3)

3.A.1
Institutional Planning
The institution engages in ongoing, purposeful, systematic, integrated, and comprehensive planning that leads to fulfillment of its mission. Its plans are implemented and made available to appropriate constituencies.

Response
Strategic Planning at Bates has, for many years, been led by the College’s Strategic Planning Council. This group, which was comprised of representatives from faculty, technical employees, and administration, traditionally compiled, reviewed and evaluated a college strategic plan. Strategic plans were based around eight goal areas, which correlated to Standards in the previous NWCCU Standards for Accreditation. Alongside this process, the College conducted a review of its mission, vision and values, described in Standard One, and which resulted in the current College mission, vision and values published on the College website.

With the implementation of the revised NWCCU Standards for Accreditation, the College began work on developing Core Themes and associated Goals and Objectives beginning in 2009. This process is described in Standard 1.B.1.

The Core Themes were ratified by the Board of Trustees in July 2011.

For the first cycle of the Accreditation standards, taking into account the compressed three year period for the seven year cycle, the Strategic Planning Council adopted the Core Themes, Goals and Objectives as the College’s Strategic Plan for this cycle only. This enabled the college to concentrate on developing the function and application of the Core Theme model across the college, and reduced the risk of confusion among stakeholders as to the role of different documents.

In 2012-13, the college expanded the membership and structure of the Strategic Planning Council and associated College Councils, so that the council now included all Presidential direct reports, representatives from each of the College’s other Councils, and student representation from the president of the Associated Student Government. This process is described in Standard 2.A.1 Alongside the Council expansion, and under the direction of the new president appointed in June 2012, Bates underwent a reorganization of its budget processes to better integrate with the planning function, and ensure that budget allocations are directly correlated to Core Themes, and therefore, to the College’s mission.

To initiate the budget planning process, the College engaged in a broad, college-wide series of activities to define priorities for resource allocation. First, in fall 2012, every employee group, plus the Board of Trustees and students participated in a facilitated SWOT (strengths, weaknesses, opportunities, threats) analysis. The outcomes of these activities were collated and
analyzed, and applied to the President’s planning sequence, called ‘CODE’. CODE stands for Compliance, Organization, Development, and Excellence, and reflects a pathway to organizational excellence building of priorities:

- **Compliance** - identifying critical areas for legislation, safety, accreditation, etc. that comprise the fundamental responsibilities of the organization. Identify areas of concern and develop immediate interventions and associated resources.
- **Organization** - Analyze the functions and objectives of the institution (through the core themes) determine effective administrative and operational structures to facilitate the attainment of these objectives, and implement them.
- **Development** - Establish targets and thresholds of performance (through the core themes), evaluate performance, and develop strategies for improvement.
- **Excellence** - through effective planning, organization, evaluation and development, exceed targets, set more challenging thresholds, identify new opportunities, and establish a culture of excellence

The data from the SWOT was analyzed, and focusing on ‘Compliance’ within code, resulted in the college further defining specific priorities. The results can be viewed [here](#), and comprise five areas within 'compliance':

- Improve **curriculum** processes
- Reframe, review, and update **policy**
- Migrate beyond **accreditation** to prioritized improvement and effectiveness
- Improve **data** management
- Establish sustainable **finance** processes

In March 2013, a college-wide survey was conducted, asking all employees to help establish specific priorities within each of the five areas; those specific actions, as determined by the College constituents through the survey, are represented in rank order in the post linked above.

These priorities were added to two other priority areas - performance funding expectations from the State Board (SBCTC), and targeted populations for the College (including Hispanic, Veteran, non traditional, and transitioning basic skills/ESL students) that had been identified as significant through demographic analysis and external agencies. For example, Bates had been challenged to meet targets for non-traditional student enrollment and attainment through Perkins funding, and transitioning basic skills students had been published as a target population for State Performance Funding.

In April 2013, the college identified some one-time savings of approximately $200,000, mainly through unfilled administrative vacancies arising in the winter and spring quarters. The President directed that these funds would be distributed as small (less than $5000) awards to programs and departments through an open application process, called ‘Project Next Steps’, to help target key risk areas as identified in the 'Compliance' priorities and targeted populations. Through project Next Steps 40 projects were selected through a review of 64 applications by the
Strategic Planning Council, and $173,000 in funds awarded. Activities supported included, *inter alia*:

- Replacement of unsafe or outdated classroom equipment
- Training opportunities for staff to update essential instructional or content skills
- Support for program level accreditations
- Hiring of specialists to support the college with developing online learning, diversity appreciation, and veteran student support.

In May 2013, the college released its first review of a revised baseline budget model, which used administrative area core functions objectives, and challenges identified through the evaluation process described above, to guide resource allocation. The Objectives were mapped against Core Themes to ensure that budget requests directly support mission fulfillment through the core themes. Any changes to the budget or requests for additional funding had to be clearly linked to a priority area under 'Compliance', associated with the support of one of the target initiatives, and aligned with Core theme goals and objectives. A separate application procedure, very similar to that piloted by Project Next Steps, was implemented. Approved changes and additions were not authorized without a strategic plan for the applicant program or department submitted.

The draft budget was presented to the Board of Trustees at its June meeting, with each administrative area giving a short presentation on their functions, goals and objectives. This represents the first iteration of an objectives-based combined budget and planning model for Bates. A final preliminary budget was presented to the Board of Trustees and approved, at the July meeting.

An initial evaluation of the implementation of Project Next Steps was conducted in August - mainly to ensure funds had been accessed and work was progressing. An impact study is scheduled for Fall quarter to assess how effective the Project was in addressing specific objectives and priority areas. The budget and planning process for the 13-14 year will begin in November, alongside a review of Core Theme goals and objectives, and an initiation of the seven year planning process for the next accreditation cycle. As with 12-13, in each future year evaluations of strategic priorities will be conducted, and priority areas identified, and again requests for budget changes or additional funding will be submitted through an application process focused on Core Theme alignment and contribution to 'CODE'.

**Sources**

- Preliminary Budget
3.A.2
Input on Planning Process
The institution’s comprehensive planning process is broad-based and offers opportunities for input by appropriate constituencies.

Response
The college established its current mission, vision, and associated values statements in response to a recommendation from the 2003 Full-scale evaluations. During the 2003 accreditation visitation, the College was commended for “creating a culture of planning and assessment by providing noteworthy institutional support, inviting community as well as College-wide participation, and demonstrating increasing sophistication and refinement of planning and assessment activities over time.” The activities of the College with regard to this recommendation were, as has become the College’s culture, carried out in a broad-based collegial fashion. In its desire to make the planning and assessment process more broad-based and participatory, in early 2004 the College created a Strategic Planning Council charged with developing and maintaining the College Goals and Strategic Plan. The Council includes the President, Vice-Presidents, exempt staff, faculty, and classified staff. Each of the College’s other seven Councils and three campuses are represented on the Strategic Planning Council. The Strategic Planning Council led the efforts to review the College’s mission and identify a single set of College goals and involve the college community in this process, a role it continues today.

In January of 2005, approximately 70 members of the college community attended a daylong College Retreat. Attendees included students, faculty, administrators, classified staff, several Trustees, and Advisory Committee members, representing business, industry and labor. This group first recommended that the existing College Goals, developed during 2000, be converted to College Value Statements. Following this recommendation, the retreat participants divided into small groups and critiqued the mission and goals in the existing Strategic Plan, and to develop a College vision statement. Subsequent to this retreat, a sub-committee of faculty, staff, and administrators, using the input from the retreat developed a revised draft mission. This was submitted to the Strategic Planning Council, who subsequently provided it to each of the other seven Councils for input. Even though these reviews involved a broad representation of college members, so as to increase the spectrum of participants included in this initiative, in March 2005, the entire college community was invited to a “town-meeting” formatted gathering, to review the final minutes and draft of the then new College goals.

During April 2005, the Bates Technical College Board of Trustees took two actions: they approved converting the existing College Goals into College Value Statements, and approved the new College mission along with the set of goals submitted at that time. The mission, “to inspire, challenge, and educate” continues to serve as the College mission, and has been very well received and supported across the College community.

In February 2009, in response to the emerging new standards for accreditation, the College began a process to reinforce the mission and develop core themes. The process began with a
large workshop on February 20, 2009, in which nearly 120 participants, including students, faculty, staff, and trustees met to discuss the mission, the College’s identity, and its goals and responsibilities. The outcomes of this session then went to the College’s Strategic Planning Council for discussion.

The Core Themes, and the draft new accreditation process were introduced to staff at an in-service day on March 20, 2009. This was followed by a further, smaller consultation group, of approximately 30 members, representing administration, staff and faculty met on June 2, 2009 to further refine the core themes. By September of 2009, the Strategic Planning Council had prepared a draft set of Core Themes. These were presented to the College community for review and consultation via an on-line survey evaluation in October 2009. Responses to the survey were taken to the Strategic Planning Council and the Student Services Staff Group for further development in 2010, and in conjunction with College councils and committees, associated goals and indicators of success were drafted.

In 2010, the Strategic Planning Council also began work to align the College’s Council and committee structure, and overall institutional effectiveness procedures, with the new accreditation standards and the emerging Core Themes. Eight College Councils, including the Strategic Planning Council, as well as the College Assessment Committee, and other college committees, became the vehicle by which the College ensures continued consultation, participation, and contribution from across the institution in ensuring mission fulfillment and attainment of accreditation standards, although these Councils were suspended in place of a range of workgroups and committees focused on the College’s clock to credit conversion. The Strategic Planning Council did, however continue to meet regularly to further refine the Core Themes, Goals, and Objectives.

A final draft of the Core Themes, with goals and indicators, began a final round of consultation in spring of 2011, after the clock to credit conversion was complete. The Core Themes were presented to the trustees, and to several College advisory groups, including the Associated Student Government (ASG) and the Colleges Community Diversity Advisory Committee (CDAC) and the Integrating Diversity and Equal-Access in Learning Council (IDEAL). A final cross-college survey was developed with the Strategic Planning Council and distributed to the College community, including ASG student officers. The responses to the survey were presented to the Strategic Planning Council for a final review, and the College’s final Core Themes were presented to the Board of Trustees for approval at their July 2011 meeting; these are the Core Themes and Goals currently in use.

In 2011-12, in response to findings from the Year One Report, the Strategic Planning Council worked with college subcommittees to refine the Core Theme Objectives and Indicators, and ensure a clear connection to mission fulfillment. In the 12-13 year, the eight College Councils (described in the document attached), began meeting again. Each of these Councils focuses on an operational area of the College, and includes representation from faculty, technical employees, administration and students. Each Council has a representative on the Strategic
Planning Council. This combination ensure a broad representation of college stakeholders in the planning and decision making process.

**Sources**

- Council Organization
3.A.3 Data Collection

The institution’s comprehensive planning process is informed by the collection of appropriately defined data that are analyzed and used to evaluate fulfillment of its mission.

Response

Outside of information directly under the control of the Office of Institutional Research and official data collection processes related to student enrollment, financial issues, class set up, and other information vital to the core functioning of the College, data collection practices at Bates Technical College historically did not result in a robust and consistent data set that was easily accessible for analysis. In many cases, information collected was either incomplete (particularly in regard to demographic data), unusable due to incorrect data codes, or stored in a format that significantly increased the amount of effort needed to use the information, or “siloed” among many different stakeholders. While this is a scenario that is faced by many organizations relating to their data, the amount of effort required to assemble and compile information at Bates Technical College as a result of these conditions was a significant barrier to an effective and efficient culture of evidence.

In recent years, Bates has significantly improved our data management and collection processes. In 2012, the College hired a 0.4 FTE Institutional Research Assistant and has since expanded that position to a 1.0 FTE position. Data management practices have undergone a thorough review resulting in a significant reorganization of databases provided by SBCTC. Coding practices have also been reviewed for consistency with the SBCTC data dictionaries for the different student management and personnel management system data tables. These efforts have been focused on improving data quality and accessibility for existing data collection processes and have already contributed to a more responsive and effective Office of Institutional Research. Data information flows will also be reviewed in order to engage in “silo busting” in 2013-14. This process will result in greater knowledge of the data that exists among different stakeholders and centralized stores for similar information documents (e.g. meeting minutes, program accreditation documentation, etc).

In addition to changes made to the underlying data collection processes, which is a transition that is still ongoing, new technologies have been introduced to augment the data collection processes. In 2008, online data collection via SurveyMonkey was first used by the Office of Institutional Research. Today, the use of SurveyMonkey has dramatically reduced the amount of surveys conducted on paper and has resulting in more efficient data collection and analysis. In 2013, the Office of Institutional Research worked with the Department of Information Technology to gain access to a new SQL Server database dedicated to IR and data collection. As part of this initiative, direct access to the HPSA tables (HP3000 Staging Area) was authorized, enabling real time data to be drawn and analyzed with the power of SQL. These tables are daily extracts of the Student Management System (SMS) that houses the essential functions of the College and is used by the SBCTC to create the official record of college activities. In addition, funding for Tableau, an advanced data visualization package, has been approved and will
deployed within the next year and the SQL based IR database increasingly play an important role in data collection.

Data from SBCTC databases are routinely used in the decision making process and data collection for those areas are ongoing. Data consistency, completeness, and accuracy have all been significantly improved and continues to be reviewed for opportunities to efficiently increase the amount and quality of data collected. These positive changes have been in line with a growing culture of evidence, understanding the value of data, and the increasing utilization of data in decision making processes at all levels.

Sources
- SBCTC Data Dictionaries
- SBCTC IPEDs Reporting Website
3.A.4 Resource Allocation and Institutional Capacity

The institution’s comprehensive plan articulates priorities and guides decisions on resource allocation and application of institutional capacity.

Response

In May 2013, the college implemented a revised planning and budgeting model designed to ensure coherent links between college resource allocation and the college’s core themes, mission, and priority or target areas. This model accommodates the 'CODE' planning described in 3.A.1. The budget is developed against both an established baseline, and a comprehensive review and application process that ensures programs and departments can identify areas of need as defined by CODE and the Core Themes.

The 13-14 budget, planning for which began in January 2013, is the first iteration of this model for Bates. The budget and planning process for the 13-14 year will begin in November 2013, alongside a review of Core Theme goals and objectives, and an initiation of the seven year planning process for the next accreditation cycle. As with 12-13, in each future year evaluations of strategic priorities will be conducted, and priority areas identified, and again requests for budget changes or additional funding will be submitted through an application process focused on Core Theme alignment and contribution to 'CODE'.
3.A.5

Emergency Preparedness
The institution’s planning includes emergency preparedness and contingency planning for continuity and recovery of operations should catastrophic events significantly interrupt normal institutional operations.

Response
Bates has an Employee Safety/Health Manual that is issued to each department and program area. The Employee Safety/Health Manual has a section with the college Emergency Management Plan which is available on the college website. The Emergency Management Plan’s most recent major revision occurred in February of 2012. The college has several staff from administration, Faculty, Professional and Technical Employees (PTE), Maintenance and Campus Safety who have been trained in various Emergency Management areas. These include FEMA’s National Incident Management System (NIMS) and Community Emergency Response Teams (CERT) program training. The CERT Program educates people about disaster preparedness for hazards that may impact their area and trains them in basic disaster response skills, such as fire safety, light search and rescue, team organization, and disaster medical operations.

The college has a Critical Incident Planning and Mapping System, referred to as Rapid Responder, established that local, state and federal emergency responders can access. The Rapid Responder system covers all aspects of Emergency Plans including: agency contacts, site maps, floor plans, building and site photographs, security, fire, tactical, staging, utility, chemicals, plans, teams and events, resources and references.

The college has emergency notifications systems in place. The system is known as “Rave Alert” and it is Bates Technical College’s official emergency notification system used to communicate with students and employees during campus emergencies. The system is licensed by Bates Technical College in order to offer the quickest and most reliable communications possible during time-critical situations. Students, staff, and faculty may elect to receive text messages on their cellphone and/or email alerts when an emergency or situations that cause a safety concern on campus.

The college has a continuity of operations plan outline for critical services areas to address continuation of essential functions in the event of an operations disruption. KBTC is our Public Broadcast Television Station. The station has emergency backup power to ensure building and broadcast security compliance to meet local, state and Federal Requirements.

Sources
- Emergency Alert System Web page
- Emergency Management
- Inclement Weather and Emergency Procedures Web page
3.B.1
Planning and the Core Themes
Planning for each core theme is consistent with the institution’s comprehensive plan and guides the selection of programs and services to ensure they are aligned with and contribute to accomplishment of the core theme’s objectives.

Response
Bate Technical College is an organization that adapts to current and changing conditions in a variety of areas. In order to provide students with relevant skills and an education that directly leads to a better career, we are constantly adapting to the changing realities of the economy and the needs of industry in our local region. The institution aims to remain agile in order to meet these current and future needs and the planning process at Bates Technical College mirrors this approach. Due to the comprehensive overhaul of programs during the clock hour to credit conversion and the significant changes in the accreditation standards implemented by the NWCCU, Bates has responded to this challenge by aligning the institutional planning process and the development of the core themes for this accreditation cycle. The clock hour to credit conversion was a significant undertaking at the college and no area of operations was left untouched by the improvements that came with the self-study required to complete the conversion. As a result, there were fewer institutional barriers to addressing both processes concurrently.

As outlined in Standard 3.A.1 and 3.A.2, the institutional planning process during this time was marked broad participation. During the process of developing the core themes and moving the conversion process forward, many differing point of points were discussed in the context of a sincere self-reflection and study. The fundamental questions about the mission and purpose of the college were discussed in a multidisciplinary setting that brought stakeholders together from all areas of operations. The result of these dynamic and extensive conversations both identified the areas that would be emphasized in the strategic plan and that also became the core themes for the college. The four themes, workforce education, student centered, general education, and community relationships encapsulate the four areas that are essential to achieving our mission to “inspire, challenge, and educate”. All four areas themes support one another and in turn, planning practice at Bates Technical College has naturally aligned to be consistent with each of the core themes and vice versa.

This development of ensuring that institutional planning and each of the core themes is reflected in the work done over the past two years. After the adoption of the core themes, which was completed shortly after the conversion to credits, Bates Technical College progressively built institutional plans in order to strengthen achievement in the core themes. Under the direction of President Langrell, additional business processes have been aligned to ensure consistency. This includes the more deliberative budget allocation process that defers to the core themes as a criteria for assigning additional funding, the improved data management practices already in place and planned for the upcoming year, and execution of both the master course outline review and future program reviews. The core themes that have been developed and ratified by
both the college community and the Board of Trustees will remain consistent with the comprehensive plan and the selection of areas to focus institutional development (programs and services) will remain aligned with the core themes due to the central role in planning these developments and broad stakeholder adoption of the core themes.

Sources
- Core Theme Indicators Table of Contents
- Fall 2010 Core Theme Indicators
- Fall 2011 Core Theme Indicators
- Fall 2012 Core Theme Indicators
- Fall 2013 Core Theme Indicators
- Source Guide for Core Theme Indicators
3.B.2
Planning for Core Theme Programs and Services
Planning for core theme programs and services guides the selection of contributing components of those programs and services to ensure they are aligned with and contribute to achievement of the goals or intended outcomes of the respective programs and services.

Response
The development of programs and services is informed by the core theme indicators that have been selected by the college. Programs and service areas engage in reviewing and reporting their own program or service level objectives and contributing components, which are then mapped to the core theme objectives. Budget requests for additional funding, whether it be an increase in the baseline budget or a one time funding request for equipment/services, are evaluated on the merit of the each proposal. Requests that address key priorities, primarily that the requests demonstrate "clear support for College mission, vision and core themes", are prioritized as a result of this process. As the budget requests are a merit based process, all requests are reviewed both for the connection of the request to the core themes and the quality of the underlying argument about the cause and effect relationship between the program and the outcomes claimed. This process reinforces the alignment of contributing components to ensure that lead directly to the achievement of the goals and intended outcomes.

Connecting the core themes to a more deliberative and transparent budgeting process reinforces the integration of the core themes into all aspects of program and service planning. The open nature of the process also allows for different stakeholders to see the work of other departments, and the subsequent funding results, in order to gain further adoption of the core theme and data driven approach in all areas of the college. This process, along with other efforts to integrate the core themes into the planning work of the college, directly contributes to an environment where the core themes and the activities of the College are purposefully and conscientiously aligned in order to achieve our strategic objectives and fulfill our mission to "inspire, challenge, and educate."
3.B.3

Data Used for Core Theme Planning

Core theme planning is informed by the collection of appropriately defined data that are analyzed and used to evaluate accomplishment of core theme objectives. Planning for programs and services is informed by the collection of appropriately defined data that are used to evaluate achievement of the goals or intended outcomes of those programs and services.

Response

Data used for Bates Technical College Core Theme Indicators was created or derived from a number of different sources. One of the primary data sources was finalized quarterly data provided by SBCTC to the college. These databases are snapshots of the Student Management System tables that have been re-engineered into a set of databases that reflect the official record of college activities. These databases include:

- A transcript database with one record for each course taken by a student and the results of their efforts.
- A completion database with one record for each certificate, degree, or other award issued by Bates Technical College.
- A financial aid database with several tables that together record student need and financial aid awards.
- An employee database with several tables that together record vital statistics and employment status of faculty and staff at Bates Technical College.
- A student database with several tables reflecting records for student demographics, class descriptions, and student enrollments in classes.
- An ABE/GED/ESL database with several tables that describe entry levels for students and the result of their efforts in basic education courses offered by Bates Technical College.
- A student achievement initiative database that records SAI points awarded for student progression towards degree attainment.
- A Data Linking for Outcomes Assessment (DLOA) database that contains post-college employment outcomes and pre-college employment data.

All of these databases have been produced by the Washington State Board for community and Technical Colleges and represent authoritative records of college performance. These databases have been used extensively throughout the core theme planning process and inform the majority of Core Theme Indicators.

In addition, other authoritative reports and original research/evidence held by stakeholders at the College level were used in the development of the Core Theme Indicators. These include SAI reports, IPEDs graduation and retention reports, program inventories, course catalogs, calendar records, specialized databases maintained by college departments (e.g. Faculty Training Database), surveys administered by the college and collected via online surveys, master course outlines, affirmative action reports, library collection database software and gate counts,
meeting minutes, Google Analytics, and similar sources. All sources were identified for collection and analysis as part of the Core Theme Planning process.

Sources
  • SBCTC Database Dictionaries
Standard 4
Core Theme Planning, Assessment, and Improvement
Summary of Eligibility Requirements 22 and 23

22

Student Achievement
The institution identifies and publishes the expected learning outcomes for each of its degree and certificate programs. The institution engages in regular and ongoing assessment to validate student achievement of these learning outcomes.

Response
The College identifies, publishes, and maintains expected learning outcomes for its degree and certificate programs at credential and course level. Outcomes are evaluated and addressed for all programs through the Program Review Process.

23

Institutional Effectiveness
The institution systematically applies clearly defined evaluation and planning procedures, assesses the extent to which it achieves its mission and core themes, uses the results of assessment to effect institutional improvement, and periodically publishes the results to its constituencies. Through these processes it regularly monitors its internal and external environments to determine how and to what degree changing circumstances may impact the institution and its ability to ensure its viability and sustainability.

Response
The Core Themes, Goals and Strategic Objectives, through their associated indicators, are monitored annually and key relevant indicators are reported to the College's Council System. The College's Strategic Planning Council advises on mission fulfillment evaluation processes, and reviews available data throughout the year. College Core Theme Leads review indicators, targets, and data to identify priorities. These priorities direct budget and other resource allocations. The Strategic Planning Council, College Cabinet, and Chief Officers review employment outcome data and data from commissioned environmental scans to direct College improvement actions.
Accreditation Standards (Standard 4)

4.A.1.a
Systematic Collection and Analysis of Data
The institution engages in ongoing systematic collection and analysis of meaningful, assessable, and verifiable data—quantitative and/or qualitative, as appropriate to its indicators of achievement—as the basis for evaluating the accomplishment of its core theme objectives.

Response
Bates Technical College maintains a detailed record of all activities related to course offerings and student performance while individual departments or programs store and maintain information pertaining to their areas of expertise and responsibility. Additionally, the Office of Institutional Research conducts several regular surveys of students and provides support for faculty and staff looking to create their own. Combined, data is collected on an ongoing basis and institutional data related to student performance and course offerings undergo a quarterly standardization by the State Board for Community and Technical College. Through this process, the raw data is transformed into meaningful and verified information and provided back to the college. These finalized quarterly tables are then integrated into a series of databases that are maintain onsite for analysis and monitoring of the core theme indicators.

In the past two years, data management and data collection have been significantly improved at Bates Technical College. Databases have been combined into an authoritative data source, and data access practices have been refined to ensure that the base, vetted data remains untouched as complex queries and analysis are performed on the total data set. The move from paper surveys to electronic surveys has resulted in more accurate responses and more efficient data analysis. The office of institutional research has worked diligently to develop a deep understanding of the data and the interconnections between different data elements. The net result is a data analysis infrastructure that better supports a culture of evidence and provides clear, assessable, and verifiable information about College performance.

There has been a significant change in how Bates relates to data. The data is increasingly available to faculty through more efficient ad hoc research and ongoing data analysis, such as the Core Theme Indicators and the Data Book. Data analysis is used to demonstrate the success of individual instructors, the overall program, and ultimately the college itself. The new structure of how data finalized by SBCTC is stored at the college has reduced the time required to conduct data analysis, enabled the synthesis of information across numerous databases, and underwrites the core theme indicators used to evaluate the core theme objectives.

Sources
- Core Theme Indicators Table of Contents
- Fall 2010 Core Theme Indicators
- Fall 2011 Core Theme Indicators
- Fall 2012 Core Theme Indicators
• Fall 2013 Core Theme Indicators
• Source Guide for Core Theme Indicators
4.A.2.a
Evaluation of Programs and Services
The institution engages in an effective system of evaluation of its programs and services, wherever offered and however delivered, to evaluate achievement of clearly identified program goals or intended outcomes. Faculty have a primary role in the evaluation of educational programs and services.

Response
Bates Technical College redesigned the College program and department assessment planning process in 2008-09. This process was based on a three-year cycle of analysis, planning, and evaluation, with all programs and departments cycling through the process with staggered starts over a three-year period. However, the process was held over through the clock hour to credit hour conversion, as the college was undergoing a complete restructure of instructional plans and designs and of many student support services. Preparation for the conversion began in 2009-10, with the conversion effective May 2010. The 2010-11 year was reserved for essential corrections of curriculum, pedagogy, and student management systems for credit hour operation. Several programs and departments began assessment plans in this period, but the design of data analysis and administrative and instructional structures of credit operation proved too disparate from the original plan design, which was developed for a clock hour, competency-based instructional model.

In the 2011-12 year, the college began a redesign of the assessment process for programs, resulting in two overarching structures that were subject to faculty labor management negotiation, the Program Effectiveness and Reporting Process and the Program Sustainability Analysis Process. These were approved in January 2013 and August 2013 respectively. In 2012-13, under the direction of the new president, programs and departments were shepherded through a compete redesign of the college's budgeting process, one that enabled more comprehensive inclusion of program and department level plans and objectives, as well as accommodating numerous existing and new external program or department level accreditations, the recent negotiated Review and Sustainability memoranda, which facilitated better correlation with college strategic priorities and the core themes.

The program review process for 2013-14 is scheduled for implementation in fall 2013-14. Instructional programs, including non-credential areas of study, will be rolled into the process over a three-year period. That schedule, in draft, is attached. Features of the process include:

- Use of a web-based program planning tool that guides faculty through program performance data, setting objectives, developing improvement plans, and evaluating outcomes.
- Opportunities for presentation and feedback at Trustee meetings and college council meetings.
- Design to incorporate industry accreditation of programs to reduce duplication of effort.
• Determination of specific correlations to core theme indicators and Student Achievement Initiative (SAI) outcomes.

This new model is scheduled for implementation in fall 2013, and early examples will be available for review during the October visit. This process will address program offers under Core Themes Workforce Education and General Education.

Service evaluation procedures will be reviewed in 2013-14. Already the college has targeted some initiatives to support systematic evaluation of Core Themes Student Centered and Community Relationships.

Student-centered service area reviews will be developed by the Student Affairs Council with student representation from ASG and building on the administrative area core functions and objectives outlined in the 2013-14 budget planning document attached and the Core theme goals and objectives as they emerge in the Year One Report preparation in 2013-14. Redesign of the Student Satisfaction Survey to be a better tool for performance evaluation is scheduled for spring 2014 (the next scheduled run of the survey).

Community Relationships evaluation will be conducted using the Carnegie 'Community Engagement' model. While the college - at this point in time - does not intend to apply for the Carnegie elective classification, it provides an excellent and challenging framework around which to review our own efforts in developing and maintaining effective community relationships. We anticipate this Core Theme to change significantly in the 2014 Year One Report as a consequence of review against this standard of excellence.

Sources
• 2013-14 Budget and Planning
• 4.A.2.a Program Review Schedule
4.A.3.a

Assessment of Student Achievement

The institution documents, through an effective, regular, and comprehensive system of assessment of student achievement, that students who complete its educational courses, programs, and degrees, wherever offered and however delivered, achieve identified course, program, and degree learning outcomes. Faculty with teaching responsibilities are responsible for evaluating student achievement of clearly identified learning outcomes.

Response

In an effort to standardize learning outcomes and connection with the mission of the college, master course outlines (MCO) have been updated for all career training and general education courses. These MCOs follow a consistent format that includes clear articulations of learning outcomes and indication of inclusion of college-wide learning outcomes. The three CLO areas for Bates students are human diversity, critical thinking, and communications; they are included on the MCOs along with the individual course learning outcomes.

These college-wide learning outcomes are clearly identifiable and, thus, assessable. These documents have been centralized on the shared network folder where the college curriculum library resides.

Sources

- College Wide Learning Outcomes
- Sample MCO: DATA 101
- Sample MCO: HEARS 201
- Sample MCO: HVAC 201
4.A.4.a

Evaluation of Accomplishment of Core Theme Objectives

The institution evaluates holistically the alignment, correlation, and integration of programs and services with respect to accomplishment of core theme objectives.

Response

The current Core Theme performance assessments as of September 2013 are published in the Mission Fulfillment Evaluation. The College Strategic Planning Council will review the findings in the October meetings. Areas of under-performance will be delegated to the appropriate college councils and improvement plans developed. Where possible, indicators with improvement plans will be supplied with quarterly performance data to enable mid-year performance reviews. At the program level, the Instruction Council will work in alignment with the program review process to identify priority areas for improvement or development. The program review process for 2013-14 is scheduled for implementation in fall 2013-14. Instructional programs, and ultimately non-credential areas of study, will be rolled into the process over a three-year period. That schedule, in draft, is attached. This new model is scheduled for implementation in fall 2013, and early examples will be available for review during the October visit. This process will address program offers under Core Themes Workforce Education and General Education.

Service evaluation procedures will be reviewed in 2013-14, but in fall 2013 the Strategic Planning Council will review outcomes of the core theme evaluations and identify priority areas for improvement. These will be referred to the appropriate college council to develop improvement plans.

As part of planning for the Year One Report and the new accreditation cycle beginning in 2013-14, core theme goals, objectives and indicators will be reviewed. It is the college’s objective to maintain effective indicators to better enable long-term evaluation and performance through consistent data, but some indicators may be adapted, changed, or removed, according to the development of the revised goals and objectives and overall college strategic planning.

Sources

- 4.A.2.a Program Review Schedule
- Council Organization
- Mission Fulfillment Evaluation DRAFT
4.A.5.a

Achievement of Goals and Outcomes of Programs and Services
The institution evaluates holistically the alignment, correlation, and integration of planning, resources, capacity, practices, and assessment with respect to achievement of the goals or intended outcomes of its programs or services, wherever offered and however delivered.

Response
In May 2013, the college implemented a revised planning and budgeting model designed to ensure coherent links between college resource allocation and the college's core themes, mission, and priority or target areas. This model accommodates the 'CODE' planning described in 3.A.1. The budget is developed against both an established baseline and a comprehensive review and application process that ensures programs and departments can identify areas of need as defined by CODE and the core themes. The 13-14 budget planning which began in January 2013, is the first iteration of this model for Bates. The budget and planning process for the 13-14 year will begin in November 2013, alongside a review of core theme goals and objectives and an initiation of the seven year planning process for the next accreditation cycle. As with 12-13, in each future year, evaluations of strategic priorities will be conducted and priority areas identified. Requests for budget changes or additional funding will be submitted through an application process focused on core theme alignment and contribution to 'CODE'. Over the upcoming three years, the college will be able to integrate outcomes from the new program review process for 'Workforce Education' and 'General Education' and separate evaluations of 'Student Centered' and 'Community Relationships' to ensure that college planning and resource allocation adequately supports the identified goals and priority areas for each core theme.
4.A.6.a
Regular Review of Assessment Processes
The institution regularly reviews its assessment processes to ensure they appraise authentic achievements and yield meaningful results that lead to improvement.

Response
With the implementation of the new accreditation standards, Bates Technical College revised its strategic planning process to better align with its mission and new core themes. This has provided the college with a framework to evaluate the outcomes of strategic initiatives, planning and resource allocation, and overall effectiveness. The outcomes of the core theme indicators will be reviewed by the Strategic Planning Council in their October meetings, and consideration will be give to the effective implementation of improvement planning for under-performing areas through the College Council structure. As 13-14 is the first year of working with this performance data, that process will be evaluated at the end of 13-14.

In the 2011-12 year, the college began a redesign of the assessment process for programs, resulting in two overarching structures that were subject to faculty labor management negotiation, the Program Effectiveness and Reporting Process and the Program Sustainability Analysis Process. These were approved in January 2013 and August 2013 respectively. In 2012-13, under the direction of the new president, programs and departments were shepherded through a compete redesign of the college's budgeting process, one that enabled more comprehensive inclusion of program and department level plans and objectives, as well as accommodating numerous existing and new external program or department level accreditations, the recent negotiated Review and Sustainability memoranda which facilitated better correlation with college strategic priorities and the core themes. The program review process for 2013-14 is scheduled for implementation in fall 2013-14. Instructional programs, including non-credential areas of study, will be rolled into the process over a three-year period.

Service areas will work with their respective college councils in fall 2013 to review core theme outcome data, assess validity and relevance of indicators, and develop improvement plans for under-performing areas under the guidance of the Strategic Planning Council.

The college as a whole will work on a review of core theme goals and indicators in 13-14 as part of the preparation for the Year One Report. Aligned with this review will be an evaluation of existing assessment methods and tools, identification of gaps in assessment practice, and development of new strategies to address those gaps.

Sources
- Program Effectiveness Three-year Review and Reporting Review
- Program Sustainability Analysis
4.B.1.a

Results of Assessments
Results of core theme assessments and results of assessments of programs and services are: a) based on meaningful institutionally identified indicators of achievement; b) used for improvement by informing planning, decision making, and allocation of resources and capacity; and c) made available to appropriate constituencies in a timely manner.

Response
The college is in the process of consulting its first assessment of mission fulfillment using the core theme indicators described in Standard One. The college has compiled available data for each indicator for the fall 2010, 2011, and 2012 years. As 2012-2013 data becomes available, each indicator is updated.

The current assessments as of September 2013 are included in the Mission Fulfillment Sums Table below. With the compressed accreditation cycle, this is the first year the college has been able to assemble a sequence of core theme indicator data to inform setting of thresholds and make meaningful determinations of performance. The next steps, for fall quarter 2013-14, are:

- The College Strategic Planning Council will review the findings in the October meetings. They will prepare an evaluation and a response plan for the Board of Trustees to review in their November Trustee Retreat.
- Areas of under-performance will be delegated to the appropriate college councils, and improvement plans will be developed. Where possible, indicators with improvement plans will be supplied with quarterly performance data to enable mid-year performance reviews.
- Identified areas for improvement will inform the selection of priority areas for resource allocation for interim budget year 13-14 and for budget planning for 14-15.

As part of planning for the Year One Report and the new accreditation cycle beginning in 2013-14, core theme goals, objectives and indicators will be reviewed. It is the college’s objective to maintain effective indicators to better enable long-term evaluation and performance through consistent data, but some indicators may be adapted, changed, or removed according to the development of the revised goals and objectives, and overall college strategic planning.

Sources
- Mission Fulfillment Evaluation DRAFT
4.B.2.a
Results of Student Learning Assessment
The institution uses the results of its assessment of student learning to inform academic and learning-support planning and practices that lead to enhancement of student learning achievements. Results of student learning assessments are made available to appropriate constituencies in a timely manner.

Response
Student achievement at Bates Technical College is monitored through analysis of several different metrics, including but not limited to, retention rates, completion rates, student grades, and the attainment of student achievement points. Student input forms from every program of study and a student satisfaction survey conducted every other year provide additional insight into the quality of education that the student is receiving and their own self-evaluation of their progress. Student performance is also monitored through our probation policy, which requires that students with a cumulative GPA of less than 2.0 receive additional guidance from academic advisors.

The results of student input forms are available to faculty, staff, and deans after the students have completed the survey. The turn around time for student input form results by the Office of Institutional Research is generally within the day of request because of the streamlined process of creating the report for the faculty member. In addition, the establishment and adoption of the core theme indicators has led to a focused and standardized reporting of college performance, including the data book and core theme indicator reports. As we move into program reviews, the same data drive metrics will be used at the program level in order to better understand enrollment patterns and patterns of success in the individual programs.

In reviewing our recent performance using these tools, several strategies have already been implemented to improve student success. Examples include:

- The college developed final quarter options for career training programs heavily impacted by students withdrawing because the received employment opportunities. The identification of low completion rates in programs that were otherwise successful (e.g. had good retention rates) showed that these programs were often hard hit by students reaching employability levels in high demand occupations before they had completed their program of study. The college now offers, in those programs, final quarter work-based learning options that allow students to complete their degree through project-based work that accommodates employment in their field.
- Bates implemented a 'Math First' project to improve student success. Most career training students take only one general education class per quarter until they have met the requirements for graduation. Many students were deferring math until late in their program, then either avoiding the math classes and jeopardizing their completion, or discovering that they faced a math sequence (due to their placement levels) that would take them past the completion of their career training courses. Recognizing the
importance of math skills as a factor in completion, Bates now requires new students to take the general education math requirement first, beginning in the first quarter of their program. This not only protects students from a late graduation, it imparts essential skills applicable to their career training programs, and enables students to complete math while their career training course load is at the introductory level. While it is too early to say if this initiative is impacting completion, early indicators show a 7% rise in SAI quantitative point completion, suggesting that significantly more students are meeting their graduation requirements in math.

- The college has implemented increased efforts to target existing basic skills students to encourage the transition to developmental education and on to college-level programs. While this is in its early stages, increases in transition students are already being realized (as shown in the Core Theme Success Indicators), and the college has developed a new 'transition specialist' function within a faculty position to further expand this work. One factor limiting transition was the length of course sequence needed for some students whose initial assessment tests showed low basic skills levels - particularly in math. Many of these students progressed rapidly in early courses as they became accustomed to classwork again as many had been away from a structured learning environment for many years. The college is currently developing several strategies to support these students, including COMPASS assessment test prep classes, and a 'bucket class' for basic skills math. The 'bucket class' allows students to enroll at a general course level (such as '080' or '090'), and midway through the course they are assessed again. The instructor evaluates the student at this points, makes a determination of the level they are likely to complete by the end of the class, and enrolls the student at that level. These classes have been piloted in other colleges in the state and have been shown to successfully and significantly reduce the course sequence at pre-college level.

Sources

- Student Achievement Initiative SBCTC
Standard 5
Mission Fulfillment, Adaptation, and Sustainability
Summary of Eligibility Requirements 22 and 23

24  
Scale and Sustainability  
The institution demonstrates that its operational scale (e.g., enrollment, human and financial resources and institutional infrastructure) is sufficient to fulfill its mission and achieve its core themes in the present and will be sufficient to do so in the foreseeable future.

Response  
The College utilizes an active Strategic Enrollment Management Committe to establish an enrollment forecast and projections annually and provide monitoring reports to College leadership and the Board of Trustees throughout the year. The SEM Committee reviews environmental data and State initiatives to ensure that the College continues to provide relevant opportunities for current and potential students, maximizing enrollment and retention. The College has developed and implemented a revised baseline budget and planning process to target high priority areas and facilitate year on year planning to directly support mission fulfillment.

The college has a Facilities Master Plan, 10 year Capital Plan and biennial Facility Condition Surveys that address facility infrastructure growth and improvements to accommodate fulfillment of mission and achieve core themes of college physical assets. The Information Technology Strategic Plan and the yearly Targeted Improvement Plan supports the Technology requirements to achieve and fulfill our mission and achieve our core themes for the present and scalable for the future.

The college is adequately staffed across faculty, administration, professional-technical support staff, facilities and maintenance and public safety staff to deliver its mission through each of the four Core Themes. The Human Resources department ensures sustainability through a system of anticipated vacancies and internal professional development and recruitment to supplement wider selection processes.
Accreditation Standards (Standard 5)

5.A.1
Assessment of Accomplishments
The institution engages in regular, systematic, participatory, self-reflective, and evidence-based assessment of its accomplishments.

Response
Bates Technical College has been through an extraordinary period of change over the last five years. The clock to credit conversion, significant budget cuts and reductions in force, and four presidents have resulted in a challenging environment for Bates to grow and excel. However, as the college moves out of this period, and under new leadership, there is a focus on building on the opportunities created by those challenges and directing the college toward excellence. Features of that include:

- Approval of capital funds for a major new building scheduled to open in early 2015
- A reorganization of administrative and instructional leadership for more effective growth and which will foster partnerships and innovation
- Focused efforts on improving and documenting curriculum and assessment now that the clock to credit conversion is closed
- A positive budget outlook at the state level resulting in the first time in four years the college has not faced significant state budget reductions
- A revised planning and budgeting process that applies resources more effectively to support strategic goals

Fall 2013 is the first year that the college will be able to apply core them indicator data to effectively evaluate performance achievements. This, combined with excellent outcomes from the State’s Student Achievement Initiative (SAI) received recently, and included below, creates a positive environment for the College to develop evidence-based planning. Successes from both Core Theme evaluation and the SAI will be shared across the college through an in-service day in October, and with the Board of Trustees in their November 2013 Retreat.

Core Theme assessment outcomes will be reviewed through cross-college planning processes as part of planning for the Year One Report and for the next seven year cycle, beginning in fall 2013. The set of indicators, and underlying data, will be collected annually and guide ongoing evaluation, planning, and resource allocation practice.
Additionally, in spring 2013, as part of developing the revised budget and planning process, each administrative area (led by a Dean or Director), completed a review of accomplishments from the 2012 calendar year. These were collected and are currently being published in sequence on the President’s blog. This is scheduled to be an annual process of reflection and publication of accomplishments.

**Sources**
- Bates and System SAI performance
- President’s Blog
5.A.2

Mission Fulfillment Assessment and Conclusions

Based on its definition of mission fulfillment, the institution uses assessment results to make determinations of quality, effectiveness, and mission fulfillment and communicates its conclusions to appropriate constituencies and the public.

Response

The college is in the process of consulting its first assessment of mission fulfillment using the Core Theme indicators described in Standard One. As shown in sections of Standard Four, the college has compiled available data for each indicator for the fall 2010, 2011, and 2012 years. Based on that data, formulas were applied and adjusted to set performance targets were set for 2013. As 2012-2013 data becomes available, each indicator is evaluated against the performance target, the actual performance assessed, and a determination made as to whether the indicator has met acceptable levels of performance based its requirements as defined in 1.A.2 (the 'color codes').

Not all data for 2012-13 is available, and a few some indicators produced variable data and need refinement. The available indicators include:

- 49 indicators assessed
- 5 indicators awaiting data (for example, fall enrolments are required to complete retention data figures)
- 4 indicators combined into a related data unit (two indicators’ data combined)
- 2 indicators requiring clarification

The current assessments as of September 2013 are included in the Mission Fulfillment Sums Table below. Of the unique and assessable indicators, the college met the required threshold in 32 of 49 indicators, or 65%. This does not meet the ‘mission fulfillment’ criteria of 70%. This may change as additional indicator data (particularly retention data) is received in the early weeks of fall quarter 2013.

With the compressed accreditation cycle, this is the first year the College has used this method to assess mission fulfillment. The next steps, for fall quarter 2013-14, are:

- The College Strategic Planning Council will review the findings in the October meetings. They will prepare an evaluation and a response plan for the Board of Trustees to review in their November Trustee Retreat.
- Areas of underperformance will be delegated to the appropriate College Councils, and improvement plans developed. Where possible, indicators with improvement plans will be supplied with quarterly performance data to enable mid-year performance reviews.
As part of planning for the Year One Report and the new accreditation cycle beginning in 2013-14, core theme goals, objectives and indicators will be reviewed. It is the College's objective to maintain effective indicators to better enable long term evaluation and performance through consistent data, but some indicators may be adapted, changed or removed, according to the development of the revised goals and objectives, and overall College strategic planning.

Sources
- Mission Fulfillment Evaluation DRAFT
5.B.1

Evaluation of Resources, Capacity, and Effectiveness of Operations
Within the context of its mission and characteristics, the institution evaluates regularly the adequacy of its resources, capacity, and effectiveness of operations to document its ongoing potential to fulfill its mission, accomplish its core theme objectives, and achieve the goals or intended outcomes of its programs and services, wherever offered and however delivered.

Response
The College’s ability to develop a strategy for assessment and continuous improvement initiatives has been significantly expanded in 12-13 through the following:

- The new budget and planning model, that clearly prioritizes resource allocation and ensures consistency with the college mission and Core Themes
- The reinstatement of the system of College Councils, ensuring broad representation of college stakeholders in college planning and assessment processes
- The appointment of a full time research analyst to improve data collection procedures, and the effective analysis, reporting, and application of data

In 13-14, the College’s Strategic Planning Council, along with the associated College Councils, will continue to identify, develop, and implement strategies to evaluate adequacy of resources, capacity and operational effectiveness. In line with the new accreditation cycle beginning in fall 2013, the college will initiate a review of Core Theme goals, objectives and indicators, and establish planning goals for three year, five year, and seven year strategies. The College plans to build on its experience of this compressed accreditation cycle to further solidify its work in the ‘CODE’ progression (compliance, organization, development and excellence), described in Standard 3.A.1; capitalizing on the initial work completed in compliance procedures and institutional organization, and making the progression into development and excellence through systematic planning and evaluation guides by the Accreditation Standards.
5.B.2


The institution documents and evaluates regularly its cycle of planning, practices, resource allocation, application of institutional capacity, and assessment of results to ensure their adequacy, alignment, and effectiveness. It uses the results of its evaluation to make changes, as necessary, for improvement.

Response

With the implementation of the new accreditation standards, Bates Technical College revised its strategic planning process to better align with its mission and new core themes. This has provided the College with a framework to evaluate the outcomes of strategic initiatives, planning and resource allocation, and overall effectiveness. The College plans to use the outcomes of this evaluation to direct the design and implementation of an improved system for capturing and sharing data between internal stakeholders and a deliberative planning process that results in broad and consistent adoption of core themes and the programs and services necessary to achieve the core theme objectives. The accelerated accreditation cycle has yielded many lessons that shape both policy and program outcomes in the coming years.

With the operational improvements described in 5.B.1, the College looks forward to building on the outcomes and improvements inspired by this initial compressed accreditation cycle and fully apply the principles in a complete seven year cycle beginning in 13-14.
5.B.3 Monitoring of Internal and External Environments

The institution monitors its internal and external environments to identify current and emerging patterns, trends, and expectations. Through its governance system it uses those findings to assess its strategic position, define its future direction, and review and revise, as necessary, its mission, core themes, core theme objectives, goals or intended outcomes of its programs and services, and indicators of achievement.

Response

The College participates in an environmental scan and impact study in 2011, in conjunction with a state-wide scan managed by the State Board (SBCTC). The Office of Institutional Research reviews publications and current research to identify patterns and trends in area demographics and job demand. In 2012, the Office produced several ad hoc reports reviewing 10-11 area data alongside college characteristics. These ad hoc reports will be reviewed by the Strategic Planning Council in the 13-14 year to identify relevant components for an annual environmental scan report. This report will aim to guide the Strategic Planning Council in program implementation and redevelopment, act as a resource for ensuring ongoing relevance of Core Themes and associated goals and objectives, and identify emerging target or in-need student populations, or changes to student demographics significant to the College.
I. Introduction

Response
The financial health of Bates Technical College has been significantly improved over the past four years as a result of the changes undertaken by the College. Bates continues to adapt to changing economic realities, workforce demand, and enrollment patterns, and will continue to do so as the broader economy moves increasingly towards recovery.

The following sections will establish the current and projected financial situation at Bates. They will highlight the actions taken by the college to remain ahead of changes caused by the clock hour to credit conversion and show the significant progress made in improving the financial outlook through targeted cost reduction and enrollment strategies and improved fundraising results.
II.a

Current Status
Current status (actions/changes since last report and outcomes achieved)

Response
Enrollment management strategy at Bates comprises two elements in four stages. The two elements, head count and FTE, represent the number of students actually enrolled, and the full time equivalency (FTE) of these students. Headcount and FTE are then considered in four stages of the student pathway:
- Enrollment, or registration with the College
- Retention
- Attainment
- Progression (to employment, further enrollment at the College, or transfer to another institution)

FTE production is a reflection of head count combined with many other factors. Technical college students generally produce around 1.8 to 2 FTE per enrolled student, depending on the classes they take, and the type of program they choose. The length of the program is also a factor; for example, a program that has a high credit load – and therefore generates a lot of FTE – is also likely to finish in fewer quarters, making marketing and enrollment of new students more challenging.

FTE is not the only source of revenue. In preparing for the clock to credit conversion, Bates expected that, like most other colleges that converted in recent years, students would generate about 10% FTE less than they had under the clock hour system. This was mitigated for by increases in other fees and charges. Base tuition is fixed by the state, but there is flexibility in the additional fees a college can charge. Bates increased these fees slightly to remain ‘revenue neutral’ through the transition.

Over the course of 2010-11, Bates saw a significant drop in its FTE student numbers. This drop was largely in the Career Training student population, although extended learning also saw drops in FTE. In other areas, such as Basic Education, FTE generation has remained strong, and even increased.

The FTE loss from 2009-10 to 2010-11 is shown below:

<table>
<thead>
<tr>
<th></th>
<th>Summer</th>
<th>Fall</th>
<th>Winter</th>
<th>Spring</th>
<th>Annual</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>1888</td>
<td>4119</td>
<td>3893</td>
<td>4265</td>
<td>4721</td>
</tr>
<tr>
<td>2010-11</td>
<td>2165</td>
<td>3328</td>
<td>3439</td>
<td>3695</td>
<td>4209</td>
</tr>
<tr>
<td>Difference</td>
<td>277</td>
<td>(791)</td>
<td>(454)</td>
<td>(570)</td>
<td>(512)</td>
</tr>
</tbody>
</table>
Bates operates under a state FTE allocation. This determines the funding received that is connected to a certain amount of FTE, which is the ‘target’ FTE. If the College generates additional FTE over the allocation, it does not receive additional funds within a fixed allocation. This allocation is currently based on a two-year rolling FTE average; to maintain FTE funding allocation, the College needs to produce a two year FTE average within +/- 4% of our allocation. This is why the drop in FTE in any given year is significant – FTE generated funding could have been reduced if the FTE average could not be recovered in the 2011-12 year. As it happened, through a variety of efforts, FTE generation recovered enough to meet the required two year averages and protect the college’s allocation.

There are several reasons behind the drop in FTE for Bates. Below is a summary of the key factors causing the low FTE for 2010-11, and in the next section the actions Bates took to face these challenges for 2011-12, and actions that are ongoing from 12-13 to grow FTE.

**Closure of programs**
Severe budget reductions, described in the Financial Sections of this report, forced some instructional faculty and technical employee Reductions in Force in 2010-11, and resulted in program closures. With every program that is closed, savings are made for the College, but FTE and tuition revenue from the students that were formerly enrolled is lost. In addition, during the teach-out period, the college normally incurs the costs of running the program, but FTEs drop as students complete their programs and are not replaced.

Based on closed programs’ enrollment at the fall quarter prior to their notice of closure, the programs closed in 2009-10 and 2010-11 ultimately resulted in a loss of approximately 158 students and approximately 266 FTE. Further program closures are not anticipated, and the college is currently expanding several existing programs. Closing some Home and Family Life (now Child Studies) classes also reduced FTE generation. These classes were discontinued as part of overall cost savings measures, but there was a resulting loss of FTE.

**Clock to Credit conversion – continuing students**
This was potentially the most significant factor in low FTEs in 2010-11. Students that began their programs under the clock hour system, prior to May 2010, continued their programs using a ‘crosswalk’ to identify the courses they need to take to complete their credentials. These students took, on average, around 15 to 16 credits per quarter, which means they generated about 68% of the FTE they did under the clock hour system.

Some of these students may also have had difficulty accessing the classes they need, as under the credit system not all courses are available each quarter. This slowed down the progress of
some students, and resulted in some students taking lower than anticipated credit loads. In addition, many of these students found the higher tuition levels of the credit system a difficult transition to make, and enrolled in fewer credits to maintain their balance of financial aid. 361 transition students were still enrolled in classes in summer quarter of 2011. Many of those continued into the 2011-12 year in fall quarter, although all 'clock to credit transition' students have completed their studies and none remained on reduced loads at the end of the 12-13 year.

Low course enrollment by new students

When low FTE generation was first identified in the fall quarter of 2010, one factor recognized early on was that many students were not following the delivery plans (the list of courses required each quarter) for their programs. Some students were opting to take fewer than the expected number of classes, and in particular many were opting out of general education classes in the first few quarters. This included a significant number of students - nearly 50% of new start students in fall quarter 2010 that had general education classes in their delivery plan did not enroll in them. New students were taking, on average about 18 to 19 credits, where we had expected then to take an average of around 22 to 23 credits. This is a significant factor in low FTE, as prior to the conversion a clock hour student generated an average of 2.0 FTE through attendance. This FTE generation would be replicated at 22.5 credits per quarter per student. At 18 credits per quarter, a student generates only 1.6 FTE.

Overall low enrollment

In 2010-11, career training student head count was lower than expected. The expectation was that as the economy remained in recession, and unemployment levels were high, that we would continue to see an increase in students seeking to retrain for new careers. However, as unemployment benefits began to expire, more students opted to return to more immediate, non-career employment options and temporary work, and the demand from new students is gradually decreasing. This, combined with the loss of capacity through program closures, presented a significant challenge.

Other areas have also been affected by low demand. The economy impacted the training budgets of other agencies, and contract training enrollments fell. This also impacted apprenticeship enrollments, as general low employment reduced apprenticeship opportunities. Apprenticeship programs also require a greater investment from Bates to deliver than career training programs, so the FTE reduction in apprenticeships should be considered against overall budget reductions.

The next section describes action taken and ongoing efforts to grow FTE.
II.b

Goals and Action Plans
Goals and specific action plans to achieve goals, including new programs, facilities, or other initiatives

Response
In response to the drop in FTE in 2010-2011, Bates Technical College implemented several strategies to target improvements in FTE generation. These included strategies aimed at recovery from identified impacts from the clock to credit conversion, and longer term approaches.

Closure of programs/New programs
FTE loss from closed programs represents permanent FTE losses, however they should be considered against the overall savings to the College from terminating the programs. In some cases, new programs are developed that are strong, in demand, and highly viable. Programs such as Occupational Therapy Assistant have been started which meet a known area employment demand, have maintain high (at capacity) enrollment, and which can replace the enrollment lost by discontinued programs. The College is working to develop new programs where appropriate, to offer short-term certificates available during teach-outs of closing programs, and to expand international student enrollments. The College also added one faculty member to the Business Management and Training Center in response to specified demand for contract training.

Other programs expanded or developed include Industrial Robotics and Electronics Technician (increased capacity in fall 2013), and CNC Machinist/Manufacturing (increased capacity and credential options in 2011-12), both of which were expanded through other funding sources in their initial stages.

Clock to Credit conversion – continuing students
The impact of the conversion on continuing students led to the development of several strategies to ensure continuing students take (and are able to take) the required credits. Advisors and faculty receive enrollment rosters in the first week of each quarter. From this roster they can identify under enrolled students and ensure they can, and do, enroll in the courses they need to complete their credentials in a timely fashion. Once completed, their places can be filled with new students on full course loads. Also, Bates applied a tuition waiver option that will reduced the impact of high credit loads on students, and encouraged them to take the full course load required by their programs. The loss of tuition revenue was balanced by the increased FTE generated by these students taking more credits. The implementation of the on-line ‘Advisor Dashboard Portal’ in 2011 created a platform where advisors and instructors can monitor the credit loads of students - this not only ensures students are generated the expected FTE, but that they are taking the necessary courses to compete their credentials on time.
**Low course enrollment by new students**
The college implemented, in summer quarter 2011, a system of ‘block enrollment’ that requires students to enroll in the full course load of career training classes each quarter. Including general education classes is more complex, but the block registration identifies students that need to take a general education class, and make it easier to recognize those students who have not enrolled in general education. Many students may not need the general education classes (e.g. if they have taken them prior to starting their program), but this is a useful first step to correcting the under-enrollment in general education overall. In cases where programs are consistently enrolling students with high levels of general education already completed, these delivery models are reviewed and redeveloped to maximize the course enrollment of new students.

The college, in accordance with accreditation expectations, is also working on plans to develop the related education components of programs, utilizing both existing general education classes and developing applied options. This is in the very early stages of development, but it will help to facilitate the inclusion of general education into the block scheduling system.

**Overall low enrollment**
In summer quarter 2011, programs that were under-enrolled were identified, and worked with their deans, marketing and communications, and outreach to improve enrollment. As of August 3, 2011, Bates enrollments were at 71.61% of capacity, with 1032 students enrolled out of an overall capacity of 1441. This, combined with an expected drop in capacity as faculty and technical instructional staff reductions took effect, was a cause for concern.

Targeted actions such as an additional enrollment fair, accelerated placement testing, and calls to students who had taken placement test but not enrolled were implemented in August 2011. The result was a sudden increase in enrolments as of the fifth day of fall quarter. Enrollments increased to 1103 adults and 268 high school (1371 students, or 98.07% of capacity) and excluding the afternoon high school programs, Bates is still at 97.52% of capacity. This represents a significant step toward recovering lost FTE.

Since that time, Bates has developed a planning model that identifies upcoming space availability in programs (through graduation or known withdrawals), which enables Advisors to plan for upcoming shortfalls, manage wait lists, and target marketing. Most programs at bates have at least two quarters in which new students can start; this system ensures that as students complete, move to work based learning or internships, or withdraw, their space can be filled at the next available intake point.

**Retention, Completion, and Progression**
As defined in the previous section, FTE generation is also a formula of student retention or persistence with the institution. Retention has been adequate under the credit system (around 60% fall to fall), but some programs are able to over-enroll in the early quarters and better protect them from withdrawing students. This practice will be further developed where appropriate to help improve overall enrollment. A new process to identify withdrawn students early (within one week of a pattern of non-attendance) and to contact these students by telephone is aimed at supporting withdrawn student to return to classes. Additionally, the College has added adjunct faculty to increase General Education and college preparatory enrollment capacity, particularly for students who are on wait lists.

The college also published ‘retention newsletters’ in 11-12 and 12-13, focusing on strategies for faculty to support retention and persistence, and emphasizing the importance of credential attainment. A particular concern for Bates was students that drop out late in their program, because they have been offered employment. Curricular options were developed for those programs where this occurred most frequently, to enable students to take up job offers but remain enrolled and compete their credentials through work-based learning or variable credit (part time) projects.

Bates implemented a ‘Math First’ project, to improve student success. Most career training students take only one general education class per quarter, until they have met the requirements for graduation. Many students were deferring math until late in their program, then either avoiding the math classes and jeopardizing their completion, or discovering that they faced a math sequence (due to their placement levels) that would take them past the completion of their career training courses. Recognizing the importance of math skills as a factor in completion, Bates now requires new students to take the general education math requirement first, beginning in the first quarter of their program. This not only protects students from a late graduation, it imparts essential skills applicable to their career training programs, and enables students to complete math while their career training course load is at the introductory level. While it is too early to say if this initiative is impacting completion, early indicators show a 7% rise in SAI quantitative point completion, suggesting that significantly more students are meeting their graduation requirements in math.

The college has implemented increased efforts to target existing basic skills students to encourage the transition to developmental education and on to college level programs. While this is in its early stages, increases in transition students are already being realized (as shown in the Core Theme Success Indicators), and the College has developed a new ‘transition specialist’ function within a faculty position to further expand this work.

Other enrolment initiatives
The development of afternoon high school programs created additional opportunities for the College’s high school student population, which had previously been integrated in the Career Training programs. This meant that high school students, who do not generate FTE or tuition revenue, were utilizing places needed for adult students. The development of six dedicated
afternoon high school programs meant that where there were waiting lists and high demand for career training programs that have a related afternoon high school option, more spaces could be made available for career training students as the high school students can switch to the afternoon programs.

A particular emphasis has been placed on the enrollment of ‘non-traditional’ students (students in programs normally dominated by the other gender, such as male students in nursing programs, or female students in truck driving), and the strategic enrollment management group is working on some specific actions to improve enrollment and attainment of students in programs for non-traditional occupations. The College has recently utilized an external consultant to evaluate the potential for expanding online course options for both on-campus students (thereby increasing capacity) and distance learning students. The College is currently developing a strategic plan for expanding online learning.
II.c
Schedule of Actual and Projected Enrollments - Total

Response

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
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<tbody>
<tr>
<td>Undergraduate FTE</td>
<td>1974</td>
<td>1732</td>
<td>1785</td>
<td>1835</td>
<td>1745</td>
<td>1775</td>
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<tr>
<td>Graduate FTE</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Other Programs FTE</td>
<td>2755</td>
<td>2477</td>
<td>3011</td>
<td>3308</td>
<td>2939</td>
<td>2750</td>
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<tr>
<td>Total FTE</td>
<td>4729</td>
<td>4209</td>
<td>4796</td>
<td>5143</td>
<td>4684</td>
<td>4525</td>
</tr>
</tbody>
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II.d
Schedule of Undergraduate Students

Response

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>New First-time</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
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<td>Full-time</td>
<td>2015</td>
<td>1896</td>
<td>2198</td>
<td>2162</td>
<td>2175</td>
<td>2200</td>
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<tr>
<td>Part-time</td>
<td>300</td>
<td>245</td>
<td>246</td>
<td>334</td>
<td>325</td>
<td>325</td>
</tr>
<tr>
<td>Total Undergraduate</td>
<td>2315</td>
<td>2138</td>
<td>2444</td>
<td>2496</td>
<td>2500</td>
<td>2525</td>
</tr>
</tbody>
</table>
II.e  
Schedule of Actual and Projected Retention

Response

<table>
<thead>
<tr>
<th>Career Training Student Retention (Cohort)</th>
<th>Actual Current Year -3</th>
<th>Actual Current Year -2</th>
<th>Actual Current Year -1</th>
<th>Actual Current Year* (Fall 2013-14)</th>
<th>Projected Current Year +1</th>
<th>Projected Current Year +2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retention %</td>
<td>52.71%</td>
<td>61.12%</td>
<td>59.39%</td>
<td>&gt;45.68% (60%)</td>
<td>(60.5%)</td>
<td>(61%)</td>
</tr>
</tbody>
</table>

Current year is 2013-14 (B342). Current retention reflects current enrollment for fall quarter as of 9/10/2013 and is not final. Retention calculated in same manner as IPEDs.
II.f

Number of Resident Students

Response
Bates does not collect residency data.
III.a
Institutional Fundraising
How does the institution’s fundraising contribute to the financial health of the institution? (Discuss annual and campaign staffing, goals, and initiatives, as well as any changes in fundraising plans or personnel)

Response
Bates Technical College Foundation exists to support student and program success by securing resources through building community relationships and awareness. The foundation was established in 1992 as a 501(c)(3) non profit organization to help raise funds for the college. The college employs one half-time executive director and a full time classified staff member.

Despite a small staff, limited resources and recent economic conditions, the foundation has incrementally increased its net assets. Ten years ago, in 2003, the foundation’s total net assets were just $165,135. As of the end of 2013, assets totaled over $1.07M. Including both cash and in-kind, the foundation provides close to $250,000 in support to the college annually.

The foundation has a mix of both brand-new and long-standing board members and is poised to grow in the next five years. As part of its 2013-14 budget, the board approved a line item to hire an outside consultant to help with an analysis of strengths and its readiness to advance new initiatives such as conducting a capital campaign. The next year will be one of exploration and a new strategic plan and goals will be set in consultation with the college. The foundation is expecting to contribute in an even greater way in the coming years to the financial health of the college and is working towards setting those goals this year.

Sources
- 2.F.8 Foundation Agreement
- 2.F.8 Foundation Registration
- 20130630 Foundation Financial Report (Page 1)
- Bates Foundation Website
III.b  
Schedule of Fundraising

Response

<table>
<thead>
<tr>
<th>Fundraising</th>
<th>Actual Current Year -3</th>
<th>Actual Current Year -2</th>
<th>Actual Current Year -1</th>
<th>Actual Current Year</th>
<th>Projected Current Year +1</th>
<th>Projected Current Year +2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Fundraising Staff</td>
<td>2</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
</tr>
<tr>
<td>Unrestricted Gifts</td>
<td>$56,469</td>
<td>$74,427</td>
<td>$55,954</td>
<td>$59,269</td>
<td>$63,500</td>
<td>$65,000</td>
</tr>
<tr>
<td>In-kind Gifts</td>
<td>$187,495</td>
<td>$180,586</td>
<td>$202,112</td>
<td>N/A</td>
<td>$185,000*</td>
<td>$185,000*</td>
</tr>
<tr>
<td>Total Unrestricted Gifts</td>
<td>$272,327</td>
<td>$344,983</td>
<td>$243,920</td>
<td>TBD</td>
<td>$250,000</td>
<td>$250,000</td>
</tr>
<tr>
<td>Temporarily Restricted Contributions</td>
<td>$120,561</td>
<td>$125,646</td>
<td>$94,562</td>
<td>82,195</td>
<td>$90,000</td>
<td>$90,000</td>
</tr>
<tr>
<td>Permanently Restricted Contributions</td>
<td>$22,846</td>
<td>$480</td>
<td>$150,500</td>
<td>$0</td>
<td>$10,000</td>
<td>$10,000</td>
</tr>
<tr>
<td>Total Net Assets</td>
<td>$742,798</td>
<td>$867,900</td>
<td>$1,020,773</td>
<td>$1.071M</td>
<td>$1.15M</td>
<td>$1.24M</td>
</tr>
</tbody>
</table>

Current Year is 2012-2013. Fiscal Year 12-13 accounts (ending 6/30/2013) are unaudited at the time of writing.  
Total unrestricted gifts includes unrestricted gifts, in-kind gifts, and the sum of all other miscellaneous income/interest income/investment gains. Information for prior years are based on the 2012 Audited Financial Statements, 2011 Audited Financial Statements, and 2010 Audited Financial Statements for the Foundation.
<table>
<thead>
<tr>
<th>Fundraising</th>
<th>Actual Current Year -3</th>
<th>Actual Current Year -2</th>
<th>Actual Current Year -1</th>
<th>Actual Current Year</th>
<th>Projected Current Year +1</th>
<th>Projected Current Year +2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Fundraising Staff</td>
<td>2</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
</tr>
<tr>
<td># Alumni Donors/ # Alumni</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
<td>n/a</td>
</tr>
<tr>
<td>Unrestricted Gifts</td>
<td>$71,019</td>
<td>$56,469</td>
<td>$74,427</td>
<td>$55,954</td>
<td></td>
<td></td>
</tr>
<tr>
<td>In-kind Gifts</td>
<td>$250,985</td>
<td>$187,495</td>
<td>$180,586</td>
<td>$202,112</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Unrestricted Gifts</td>
<td>$247,616</td>
<td>$272,327</td>
<td>$344,983</td>
<td>$243,920</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Sources
- 2010 Foundation Fiscal Audit (Page 4)
- 2010 Foundation Fiscal Audit (Page 6)
- 2011 Foundation Fiscal Audit (Page 4)
- 2011 Foundation Fiscal Audit (Page 6)
- 2012 Foundation Fiscal Audit (Page 4)
- 2012 Foundation Fiscal Audit (Page 6)
IV.a

Change to Financial Health

How has the financial health of the institution changed over the last 4 years? What factors have had the greatest impact? What initiatives have been implemented to improve the institution’s financial health? What outcomes have been achieved, or are projected to be achieved in the next two years? What are the qualifications of the staff responsible for financial management and how long have these individuals been in their positions?

Response

As evidenced by the most recent financial report, the financial health of the institution has improved significantly over the last four years. As of June 30, 2010 the available operating fund balance (excluding capital, agency and restricted funds) was a $1,180,922, an increase of 300% from June 30, 2007. As of June 30, 2013 the available operating fund balance was $4,412,035, an additional increase of nearly 400%.

The College has continued to reduce expenditures as state appropriated funding has decreased. Reductions in costs have been achieved primarily through attrition in administrative personnel costs and faculty retirements in low-enrollment programs as well as goods and services. Total personnel costs have decreased more than $3 million during this period. Additionally non payroll expenditures have been reduced by more than $1.5 million over the same period. Increased enrollment coupled with increases in tuition charges and student fees has increased local operating revenue by $2.36 million over the past 4 years. During the same period, enrollments increased by 401 full-time equivalent (FTES).

The College has responded to budget reductions by closing some low-enrollment programs and adding new programs that are in-demand and relevant to the current job market. In addition the College has increased both retention and recruitment efforts the last several years through the efforts of the Strategic Enrollment Management council. The College has continued to carefully monitor all expenditures ensure resources are used only for essential services and materials. The College has also aggressively negotiated cost reductions in service contracts. For example the new contract for copy services reduces the College costs by approximately $30,000 per year. The College energy conservation projects have reduced utility costs by more than $100,000 per year. Each faculty and staff vacancy due to attrition has been evaluated to determine if the position is still required to meet the goals of the College. This is led to a reduction in administrative staff.

The College has stemmed the losses in the campus stores. To reduce the operating losses, the Campus Stores have been reorganized. The sale of textbooks has moved online through a contract with an online bookseller. Average annual losses of $129,000 over the previous six (6) years were virtually eliminated with the Campus Stores showing a loss of less than $2,000 for Fiscal Year 2012-2013.
The available fund balance (after reserve for Certificate of Participation) in the local operating accounts has increased from $1,181,000 in FY2010 to $4,235,000 in FY2013. Total fund balance has increased from $4,142,000 to $5,535,000. This has positioned the college in a much more sustainable position financially.

Over the last four years the College has consistently reduced and or eliminated administrative positions when possible. The College has eliminated several Dean positions, several administrative positions in Finance and Budget, etc. From May, 2012 to June, 2013 the College eliminated 2 faculty positions, 4 exempt positions and 2 classified positions.

The Executive Dean of Financial Services has been at the College for nearly 3 years and has 19 years of experience working in State government in addition to several years working in the private sector. In State government he worked for 12 years at the Washington State Auditor’s Office performing financial, compliance and IT audits of state and local governments and 5 years as the Audit Coordinator for Washington Community and Technical Colleges performing operational and compliance reviews at the 34 community and technical colleges.

The Associate Director of Fiscal Services has 26 years of experience in the Community and Technical College System working at both Pierce Community College and Columbia Basin College before coming to Bates.
### IV.b

**Schedule of Financial Management**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Audited Financials Complete (Yes/No)</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Increase/(Decrease) in Unrestricted Net Assets</td>
<td>1,330,902</td>
<td>(2,765,056)</td>
<td>3,481,561</td>
<td>35,334</td>
<td>35,687</td>
<td>36,044</td>
</tr>
<tr>
<td>Increase/(Decrease) in Total Net Assets</td>
<td>832,661</td>
<td>(2,532,139)</td>
<td>3,065,655</td>
<td>(285,092)</td>
<td>24,035,687</td>
<td>36,044</td>
</tr>
<tr>
<td>Total Net Assets</td>
<td>37,397,301</td>
<td>34,865,162</td>
<td>37,930,817</td>
<td>37,645,725</td>
<td>61,681,413</td>
<td>61,717,457</td>
</tr>
<tr>
<td>Total Debt</td>
<td>8,967,432</td>
<td>8,303,630</td>
<td>8,088,206</td>
<td>7,993,206</td>
<td>7,898,206</td>
<td>7,803,206</td>
</tr>
<tr>
<td>Primary Reserve Ratio</td>
<td>6%</td>
<td>0%</td>
<td>8%</td>
<td>8%</td>
<td>8%</td>
<td>8%</td>
</tr>
<tr>
<td>Net Operating Revenue Ratio</td>
<td>4%</td>
<td>-9%</td>
<td>11%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>Return on Net Assets Ratio</td>
<td>2%</td>
<td>-7%</td>
<td>8%</td>
<td>-1%</td>
<td>39%</td>
<td>0%</td>
</tr>
<tr>
<td>Viability Ratio</td>
<td>138%</td>
<td>6%</td>
<td>128%</td>
<td>94%</td>
<td>98%</td>
<td>101%</td>
</tr>
</tbody>
</table>

Note: Since Bates is a unit of the State of Washington, we are included in the state Comprehensive Annual Financial Report and audited by the State Auditor’s Office annually (See 1.e for additional detail).

**Sources**

- [2012 Statewide Audited CAFR](#)
- [2013 IV Schedule of Financial](#)
- [Statewide Single Audit Report](#)
V.

Conclusion
Please provide any concluding statements that summarize the financial condition of your institution now and in the foreseeable future.

Response
The financial health of Bates Technical College has been significantly improved over the past four years as a result of the changes undertaken by the College and described in the previous sections. Bates continues to monitor enrollment patterns closely, and has improved its use of student registration, retention, completion and progression data to effect successful strategies to maintain and increase enrollment. Bates will continue to develop new strategies and initiatives based on student data and environmental trends to protect and enhance enrolment and sustainability for the future.

Bates Technical College has demonstrated a commitment to taking concrete actions when issues are identified. The path the College is currently on is sustainable and will enable the College to better fulfill its mission to inspire, challenge, and educate.
1.a

Institution’s Current Financial and Enrollment Situation

Explain and appraise the institution’s current financial and enrollment situation in terms of its strengths and concerns (for example, if the institution has debt, an explanation should be provided of how the institution is addressing the issue of debt).

Response

The College’s current financial situation is the best it has been in many years. The available operating fund balance has grown from a deficit of nearly $650,000 in June, 2006 to a positive available balance of nearly $4.5 million in June, 2013. For the first time in 5 years, state allocations increased leading to additional stability and sustainability.

Deficits in other funds are being addressed as well. For example, the Campus Stores improved from an average annual deficit of $117,000 from 2006 to 2012 to a loss of less than $2,000 in 2013. The Technical High School program went from a deficit of ~$364,000 in FY2012 to ~$20,000 in FY2013. Projections for FY2014 show a gain of ~$92,000. Several other programs have been identified and will be addressed to ensure all programs are sustainable.

College debt remains extremely low compared to other colleges in the state of Washington. The operating revenue to debt ratio for Bates Technical College is more than 10 times higher than system colleges. The current Certificate of Participation ($1,122,587) for Energy Retrofits is funded entirely by utility savings generated by updated utility equipment.

The enrollment for 2013-14 (5,114) was the highest since 2003-04. However, based on our observation of softening of enrollments in the system as well as reports of reduced college enrollments nationwide, the College reduced it enrollment projections for 2013-14. In addition, the College has identified low-tuition programs as a cause for concern and is making plans for replacing low-tuition programs with programs that meet workforce and community needs, but also generate sufficient tuition revenue to remain viable.

Sources

- Fund Balance
1.b Plans and Frameworks
Describe the institution’s plans and a framework for working through the above identified challenging issues (for example, how does the institution plan to enhance and strengthen available resources);

Response
Bates Technical College’s primary fiscal concern relates to enrollments. First, increasing the percentage of high retained tuition (career training and full cost) classes and programs, and reducing the percentage of low retained (tuition waiver) offers, and second, ensuring the stability of FTE generation through targeted initiatives throughout the student pathway. Addressing the balance of high to low retained tuition, and stabilizing FTE generation, will enable the College to better withstand fluctuations in both economic factors and state allocations. The College has outlined above several strategies, including, *inter alia*:

- Targeting recruitment through the early identification of vacancies in programs
- Ensuring vacancies for high retained tuition students are available, by developing alternative offers for low retained tuition students (such as the afternoon high school)
- Improving real-time monitoring of student credit load through the implementation of the Advisor Dashboard (ADP)
- Implementing retention initiatives for targeted groups such as non-traditional or basic skill transition students
- Increasing the progression of basic skills students though developmental education and into career training programs

In addition, the college has implemented a wholly new planning and budgeting process, that ensures financial resources are targeted at priority areas that:

- Ensure compliance at college, program, or department level with accreditation, industry, federal and state requirements
- Ensure safe and effective learning environments
- Align with Core Themes and the college mission
- Are designed to maximize performance funding through the Washington State Student Achievement Initiative

These initiatives are described more fully in the main body of the report.
1.c

Board's Involvement

Address the Board’s involvement in financial planning. This includes providing evidence (through minutes of Board meetings and Board actions) of the Board’s understanding of the fiscal challenges facing the institution and how they are being addressed.

Response

The Board of Trustees, as required by Board policies, reviews and approves the budget for all funds. After the budget is developed as described above, on June 25th, 2013, the Board was presented the Preliminary Budget Book [Evidence 1.c.1] with each Division/Administrative Area asked to present a brief discussion of their budgets. The Board had an opportunity to ask clarifying questions. Following the approval of the biennial budget by the Legislature and allocated by the State Board for Community & Technical Colleges, a summary of the final budget [Evidence 1.c.2] was approved by the Board of Trustees at the July board meeting.

The Board hears financial reports each month at the regularly scheduled board meetings to demonstrate compliance with the approved budgets [1.c.3]. Also, as additional allocations are received from the State or additional funds are secured, budget revisions are presented to the Board on a regular basis [1.c.4].

Special reports on specific concerns or challenges are also presented to the Board to ensure they understand challenges facing the College. For example, the Board was presented a Fiscal Health report showing the concerns regarding low-tuition programs and how Bates compared to other colleges in the system [1.c.5].

Sources

- Budget Revision
- Budget Summary
- Fiscal Health
- Monthly Board Reports
- Preliminary Budget
1.d  
**Budgetary and Enrollment Projections**

Explicate the assumptions underlying the institution’s budgetary and enrollment projections.

**Response**

Enrollment projections are based upon a variety factors including, but not limited to:

- Input from career training advisors regarding program demand
- Input from deans
- Historical trends
- Economic forecasts
- Environmental factors (SBCTC system enrollment trends, instructor retirement, grant expiration, program creation, etc.)

Based on the trend of reduced enrollments in the colleges in the system, reports of nationwide enrollment drops and the improving economy, the College anticipates reduced tuition revenue for the next several years. To mitigate these trends over the next three years, we plan to increase the percentage of enrollments in higher, retained tuition programs and reduce the percentage of total college enrollments in low retained tuition programs, thus mitigating the effects of predicted, overall lower total enrollments.

While the improving economy likely will result in reduced enrollments, it may also result in increases in state allocations or, at a minimum, no further reductions in state funding. Therefore, budgeted revenue was reduced in fiscal year 2014 from the prior year, but state allocations increased by a greater proportion.
1.e

Audited Financial Statements
Discuss the contents of the audited financial statements, including any data which may require explanation to be understood.

Response
Since Bates is a unit of the State of Washington, we are included in the state Comprehensive Annual Financial Report and audited by the State Auditor’s Office annually. The State Auditor’s Office performs a Single Audit meeting Federal regulations annually. The College has not received a compliance audit by the State Auditor’s Office since fiscal year 2009.

Sources
- 2012 Statewide Audited CAFR
- Statewide Single Audit Report
1.f

Efforts Taken Since Last Commission Review

Address the nature and results of efforts taken since the last Commission review to respond to noted fiscal concerns and the outcomes of those efforts.

Response

The College has continued to reduce expenditures as state appropriated funding has decreased. Reductions in costs have been achieved primarily through attrition in administrative personnel costs and faculty retirements in low-enrollment programs as well as goods and services. Total personnel costs have decreased more than $3 million during this period. Additionally non payroll expenditures have been reduced by more than $1.5 million over the same period.

The College has responded to budget reductions by closing some low-enrollment programs and adding new programs that are in-demand and relevant to the current job market (for example, Occupational Therapy Assistant & CNC Machinist). In addition, the College has increased both retention and recruitment efforts the last several years through the efforts of the Strategic Enrollment Management Committee. The College has continued to carefully monitor all expenditures ensure resources are used only for essential services and materials. The College has also aggressively negotiated cost reductions in service contracts. For example the new contract for copy services reduces the College costs by approximately $30,000 per year. The College energy conservation projects have reduced utility costs by more than $100,000 per year.

Each faculty and staff vacancy due to attrition has been evaluated to determine if the position is still required to meet the goals of the College. Over the last four years the College has consistently reduced and or eliminated administrative positions when possible. The College has eliminated several Dean positions, several administrative positions in Finance and Budget, etc. From May, 2012 to June, 2013 the College eliminated 2 faculty positions, 4 exempt positions and 2 classified positions.

Each addition to the baseline budget requires alignment of the use of resources with the College’s Strategic Plan, Mission, Vision, Values and Core Themes. Administrators, faculty and other staff are directed to seek funding through a Planning & Budgeting Initiative process. The Planning & Budgeting Initiative requests have enabled to the College to not only evaluate each request for alignment with the Strategic Plan but also to develop a priority list of needs for the future.

The College has stemmed the losses in the campus stores. To reduce the operating losses, the Campus Stores have been reorganized. The sale of textbooks has moved online through a contract with an online bookseller. Average annual losses of $129,000 over the previous six (6) years were virtually eliminated with the Campus Stores showing a loss of less than $2,000 for Fiscal Year 2012-2013.
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