SECTION I
INTRODUCTION

The Cerritos College planning and resource allocation process has been developed collaboratively between the Executive Council, Management Leadership Council, and Faculty Senate. It represents a college-wide effort to further unify the planning and resource allocation process as well as to develop and document a transparent, uniform practice of planning, assessment, resource allocation, goal implementation, and self-evaluation.

The planning and resource allocation process is driven by planning priorities, which signify the partnership between the college-wide community and the Board of Trustees. As currently conceptualized, planning at Cerritos College is a six-year cycle, designed to coincide with the accreditation cycle. Although progress toward educational master plan goals is measured annually and the unit planning and resource allocation process occurs on an annual basis, an in-depth, mid-term evaluation of goal advancement is scheduled every third year.

Planning and resource allocation is an annual activity at Cerritos College. This guide outlines the overall process of planning and resource allocation, presents a timeline of scheduled activities, and contains the documents required to develop a unit or other plan as well as request resources. This guide should be viewed as a living document and may be updated to meet future needs.
SECTION II
PLANNING AND RESOURCE ALLOCATION OVERVIEW

The planning cycle at Cerritos College is represented visually in Figure 1. The upper circle, labeled Educational Master Planning and Resource Allocation, begins with the development and adoption of the college educational master plan (stage A). Once the Educational Master Plan has been adopted the college moves to stage B, Goal Implementation. In this stage, two to three priorities identified in the Educational Master Plan are selected as focus areas for the next one to three years. After the college-wide priorities are identified, the annual planning process begins with stage C, Unit or Other Plan development. This stage includes the development of unit plans and other plans that might involve collaborations between multiple units [(e.g., the Cerritos College Enrollment Management Plan 2007-2010 (to be adopted)]]. After the unit and other plans have been developed, the college proceeds to the resource allocation process.

All members of the campus community are members of the unit with which they are affiliated or to where they report. A unit is defined as an entity that can expend funds. A unit is associated with a division that, in turn, is associated with an area. Table 1 illustrates how the Math Department, for purposes of planning and resource allocation, is a unit in the Science, Engineering and Math Division, which is a division in the Academic Affairs area. The terms used in the planning and resource allocation process provide common definitions and are not meant to be used in place of the ways that units refer to or identify themselves. Rather, the terms are useful to identify steps of and online forms used in the process [e.g., Online Unit Planning Form and Online Capital Outlay Request Form (discussed in section III, Developing the Unit Plan, and section IV, Requests for Capital Outlay)].

<table>
<thead>
<tr>
<th>Unit</th>
<th>Division</th>
<th>Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Math</td>
<td>Science, Engineering &amp; Math</td>
<td>Academic Affairs</td>
</tr>
<tr>
<td>Foster and Kinship Care</td>
<td>Health Occupations</td>
<td>Academic Affairs</td>
</tr>
<tr>
<td>Publications</td>
<td>Information Technology</td>
<td>Business Services</td>
</tr>
<tr>
<td>Payroll</td>
<td>Fiscal Services</td>
<td>Business Services</td>
</tr>
<tr>
<td>Operations</td>
<td>Facilities</td>
<td>Business Services</td>
</tr>
<tr>
<td>Career Center</td>
<td>Career and Assessment Services</td>
<td>Student Services</td>
</tr>
<tr>
<td>Campus Police</td>
<td>Campus Police</td>
<td>Student Services</td>
</tr>
</tbody>
</table>

Table 1. Examples of Units, Divisions, and Areas in the Educational Master Planning and Resource Allocation Process
After stage B, Goal Implementation, where two to three priorities identified in the Educational Master Plan are selected as focus areas for the next one to three years, the annual planning process begins with stage C, Unit or Other Plan development (discussed in depth in Section III, Developing the Unit Plan). As described in Section III, the Unit or Other Plan articulates a program’s description, characteristics, strategic directions, goals, and resource needs. The Unit or Other Plan is based on findings from a unit’s Program Review (i.e., assessment) and is updated annually.

Within the unit, Unit Representatives, often a department chair or unit manager, have leadership or management responsibilities in their unit. Divisions Managers, who are most often deans and directors, have administrative responsibility for a division or offices. Finally, Area Administrators include the following: the President, Vice President of Academic Affairs, Vice President of Business Services, Vice President of Student Services, and Director of Human Resources.

Once the Unit or Other Plan is developed, the resource allocation process, shown visually in Figure 1, begins with the identification of Unit and Other Plan Goals (step 1), which are part of the Unit or Other Plan (see Section III, Developing the Unit Plan). Upon identifying unit goals, the resources needed to achieve those goals are also identified. Resources needed to achieve goals include (1) capital, (2) facilities, and (3) personnel. After resource needs have been identified, units prioritize their resource needs and submit requests for capital outlay to fund those resource needs (step 2).

The next several steps in the resource allocation process reinforce the importance of dialogue in decision-making processes at Cerritos College. After submitting prioritized resource needs or requests, a division manager will meet with his or her departments to prioritize resource needs for all units within the division. For example, an instructional dean may meet with all of his or her reporting units to prioritize the resource requests for the entire division (step 3). Step 4 indicates that after a division manager’s reporting units, in collaboration with the division manager, have prioritized their resource requests for the division, they are forwarded to the Area Administrator. The Area Administrators meet with their division managers and engage in a dialogue regarding area priorities. In conjunction with division managers, Area Administrators establish the priorities for their areas.

1 If additional non-capital resources that are above and beyond a unit’s current budget allocation are required to execute a Unit Plan, the unit will submit a request for other resources. Other resources are defined as expenditures for (1) non-faculty personnel, (2) supplies, and (3) other services.
The list of resource needs or requests from area prioritization are reviewed and studied by the Planning and Budget Committee (step 5). As part of the review and study, the Planning and Budget Committee will consider resource requests in the context of (1) themes or trends from Program Review (submitted by the Program Review Committee) and (2) priorities and goals of the Educational Master Plan. This step checks the process of unit, division, and area prioritization of resource requests. The review and study of the list of resource requests from area prioritization in the Planning and Budget Committee is forward with comments to the Executive Council (step 6) for prioritization of college-wide resource requests.

The college-wide prioritization process represents an effort to identify and fund college-wide exigencies and educational master plan priorities. As such, it is a complex process developed with the understanding that it is possible that not every unit will have its most urgent priorities funded in a given year. For
example, in a given year, the available funding and the college-wide priorities may necessitate that only capital priorities are funded or only educational master plan priorities are funded, etc. Once college-wide priorities are established, they are taken back to units, divisions, and the Planning and Budget Committee by the Area Administrator (step 7). This activity ensures that the individual departments and units as well as divisions and the Planning and Budget Committee are aware of and understand the college-wide needs, funded and unfunded, as well as the funding priorities for a given year.

The Planning and Budget Committee (step 8), then receives the college-wide priorities from the Executive Council. As a shared governance committee, the role of the Planning and Budget Committee is to review the college-wide priorities, ask questions about them, and provide advice and counsel to the Executive Council regarding the priorities for a given year.

After hearing the feedback from the Planning and Budget Committee, the Executive Council may choose to revise the college-wide priorities (step 9) and resubmit revisions to the Planning and Budget Committee (step 10). If no revisions are made, the resource allocation process proceeds to step 11, the President, for final approval, and then moves to step 12, the college budget development process, and concludes with the Board of Trustees adopting the college budget (step 13).

Figure 2. Resource Allocation Process at Cerritos College
Additionally, each unit should engage in a continuous cycle of planning, implementation, and evaluation. Individual units will develop unit plans, implement goals, and then assess progress toward goals with an evaluation component. Within all divisions, evaluation is accomplished, in part, by way of program review (discussed in detail in Section III, Developing the Unit Plan). This philosophy is represented visually in Figure 1 by the small circle to the right of the Unit or Other Plan stage.

Once the resource allocation process has concluded, the cycle of planning continues with the implementation of Unit or Other Plans (stage D). Progress toward educational master plan goals is evaluated by units, divisions, and Area Administrators as well as the Planning and Budget Committee and the Board of Trustees (stage E). Educational master plan goals are then refined, revised, or redesigned accordingly (stage F). In these final three stages of the planning and resource allocation process (stages D through F), an analysis of findings from Program Review in a particular year may yield themes that could inform the implementation, evaluation, and revision of the college’s educational master plan goals. Thus, themes or trends that emerge from an analysis of Program Review by the Program Review Committee for a given year may be used to inform these stages of the planning and resource allocation process.

The Cerritos College planning and resource allocation process is continuous. The model is evidence of how the planning and resource allocation processes are integrated and transparent and how progress toward unit or other plan goals informs future educational master planning and resource allocation activities (see Appendix A, Unit Planning and Resource Allocation/Annual Timeline).
SECTION III
DEVELOPING THE UNIT PLAN

The development of the Unit Plan commences once stage B, Goal Implementation, of the Educational Master Planning and Resource Allocation cycle has ended. That is, once the Goal Implementation stage has concluded and two to three priorities have been identified for the next one to three years, the annual planning process begins with stage C, Unit or Other Plan development. This stage includes the development of Unit Plans and Other Plans.

The Unit Plan will be an annually updated plan formed after a unit has undergone program review. The Unit Plan articulates a program's description, characteristics, strategic directions, objectives, and outcomes. The Unit or Other Plan is based on findings from a unit’s Program Review and is updated annually. Program review is the process by which program, departments, or units conduct an assessment or evaluation of their quality and effectiveness. Like in the instructional program review process, which occurs on a six year cycle, units will undergo a program review at least once every six years. Findings of the program review (or assessment) process will be used to inform the Unit Plan. Figure 3 shows the unit planning process over six years.

With the exception of instructional program review, which is under the purview of the Faculty Senate, Area Administrators (i.e., the President, Vice President of Academic Affairs, Vice President of Business Services, Vice President of Student Services, and the Director of Human Resources) will oversee the program review process for their administrative area. Area Administrators will meet with division managers and set a schedule for units to conduct a program review.

From the findings of the unit’s program review, the unit will complete a Unit Plan annually. In this way, results and findings from program review will be used to draft and/or update the Unit Plan for the succeeding six years (or until the unit conducts an assessment or program review again). In some cases, only one component of the Unit Plan may need to be updated from year to year. In other cases, a unit may need to update multiple components of the Unit Plan on an annual basis, if changes in the unit have been observed and impact the unit.
The Unit Plan has six components (see Table 1, Components and Tasks of the Unit Plan). The Mission Statement (component 1) asks a unit to state its mission. The next component is the Overarching Outcomes (component 2), which consists of identifying the unit’s Student Learning Outcomes (SLOs) or Support Services Outcomes (SSOs). The third component—Characteristics, Performance, and Trends (component 3)—is a description of the unit and can include data that a unit collected during the program review process. In this component, units will also assess their performance of their Overarching Outcomes (i.e., SLOs or SSOs). Next, the Unit Plan asks units to identify their key Opportunities and Challenges (component 4). Finally, units report on their 3-5 Year Strategic Goals (component 5) and the units’ Objectives (component 6) to achieve the 3-5 Year Strategic Goals.

---

3 WASC requires all accredited institutions to develop and assess learning outcomes, referred to here as Student Learning Outcomes (SLOs) for instructional units and Support Services Outcomes (SSOs) for noninstructional units.
Table 2. Components and Tasks of the Unit Plan

<table>
<thead>
<tr>
<th>Number</th>
<th>Component</th>
<th>Task</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Mission Statement</td>
<td>State the unit’s mission</td>
</tr>
<tr>
<td>2</td>
<td>Overarching Outcomes</td>
<td>Identify the unit’s SLOs or SSOs</td>
</tr>
<tr>
<td>3</td>
<td>Characteristics, Performance, and Trends</td>
<td>Describe and assess the unit and data</td>
</tr>
<tr>
<td>4</td>
<td>Opportunities and Challenges</td>
<td>Identify unit’s opportunities &amp; challenges</td>
</tr>
<tr>
<td>5</td>
<td>3-5 Year Strategic Goals</td>
<td>Identify 3-5 year strategic goals for the unit</td>
</tr>
<tr>
<td>6</td>
<td>Objectives</td>
<td>Identify unit’s objectives &amp; implementation</td>
</tr>
</tbody>
</table>

As a key stage (stage C) in the Educational Master Planning and Resource Allocation cycle, the Unit Plan or Other Plans will be developed and submitted online on an annual basis. The unit planning process can be seen visually in Figure 2. Per the Unit Planning and Resource Allocation Annual Timeline (Appendix A), each September the unit representative or responsible party for other plans (e.g., the Co-Chairs of the Enrollment Management Steering Committee for the Cerritos College Enrollment Management Plan 2007-2010) will utilize the Online Unit Plan Form to submit the Unit Plan or Other Plan online. The Online Unit Plan Form is to be developed.

At the conclusion of this stage (stage C, Unit or Other Plan), the Educational Master Planning and Resource Allocation cycle moves to the resource allocation process.
SECTION IV
REQUESTS FOR CAPITAL OUTLAY

After developing a unit plan, an individual unit will identify the resources required to execute the plan. If the resources required to execute the plan include capital expenditures, defined as tangible items with a cost of more than $500 and a life expectancy greater than three years (excluding computers), an Online Capital Outlay Request Form will be submitted.

On the Online Capital Outlay Request Form, unit members or representatives will identify their unit, division, and administrative area—Academic Affairs, Business Services, Student Services, Human Resources, and the President’s Office. Each unit will identify its request with a title and provide the name, extension, and e-mail address of its division manager. Additionally, the requestor will identify whether the request is eligible for funds other than the general fund such as instructional equipment funds, VTEA, other grants and contracts, and categorical programs.

Requestors should indicate how their request corresponds to educational master plan priorities. As well, the goal numbers of the educational master plan priorities should be identified. Finally, the requestor should categorize the request as Code Compliance, Accreditation, Educational Master Planning, Facility Preservation, Replacement of Obsolete Equipment, and/or a Growth or New Program Area priority.

A brief description of the purpose or rationale for the request should be provided as well as a description of anticipated consequences if the request is not approved. The requestor should also supply information related to all of the costs associated with the request. This includes the actual product and its description, and any related costs such as electrical, or facilities accommodations for the request.

All requests for capital outlay submitted through the Online Capital Outlay Request Form will follow the steps articulated in Figure 4, Capital Outlay Request Steps. The first and second steps in the capital outlay request process consist of presenting a draft capital outlay request timeline to the Management Leadership Council and the Planning and Budget Committee, respectively. Once these two steps have taken place, a notice to process to Unit Representatives, Unit Managers, and Area Administrators occurs in step 3. In step 4, units submit their prioritized requests online.
The process to prioritize the capital outlay requests submitted by units occurs in Step 5 (prioritization by division) and step 6 (prioritization by area). In step 7, the prioritized list of capital outlay requests from the five areas are reviewed and studied by the Planning and Budget Committee. As part of the review and study, the Planning and Budget Committee will consider capital outlay requests in the context of (1) themes or trends from Program Review (submitted by the Program Review Committee) and (2) priorities and goals of the Educational Master Plan. Step 7 represents a check on the process of unit, division, and area prioritization of capital outlay requests. After step 7, the prioritized list of capital outlay requests from area prioritization goes to the Executive Council with comments from the review and study in Planning and Budget (step 7) for college-wide prioritization (step 8).

Once submitted requests have been prioritized through these steps, Area Administrators give feedback to and receive feedback from units, divisions, and
the Planning and Budget Committee on the college-wide prioritized requests (step 9). After the Area Administrators has given and received feedback, the college-wide prioritized requests go to the Planning and Budget Committee for review, questions, and advisory feedback (step 10). Feedback from the Planning and Budget Committee is brought to the Executive Council (step 11). If additional changes occur in Executive Council from feedback received from the Planning and Budget Committee, the changes go back to the Planning and Budget Committee (step 12), after which the approved requests are submitted to the Purchasing Department (step 13).
SECTION V
REQUESTS FOR OTHER RESOURCES

If additional non-capital resources that are above and beyond a unit’s current budget allocation are required to execute a Unit Plan, the unit will submit a request for other resources. Other resources are defined as expenditures for (1) non-faculty personnel, (2) supplies, and (3) other services. The additional non-capital resources may be for one-time use or for on-going needs.

To request additional funds for other resources, units will complete and submit one of two paper-based forms, depending on the type of other resource: (1) Request Form for Personnel or (2) Request Form for Supplies and Services. On the form, an individual unit will identify the name of its unit, division, and administrative area on the form. Units will identify a request with a title and provide the name, extension, and e-mail address of its division manager. Requestors should indicate in the request narrative whether the request meets one-time or on-going needs. Requestors should note if the request is eligible for funds other than the general fund such as other grants and contracts or categorical programs.

Requestors should indicate how their request corresponds to educational master plan priorities by identifying goal numbers of the educational master plan priorities. A brief description of the purpose or rationale for the request should be provided and a description of anticipated consequences if the request is not approved. Finally, requests should have information related to all of the costs associated with the request. Both the Request Form for Personnel and Request Form for Supplies and Services are to be developed.
Figure 1. Educational Master Planning and Resource Allocation Process at Cerritos College
Figure 2. Resource Allocation Process at Cerritos College

Resource Allocation Process

Step 1
Unit/Other Plan Goals
Resources Needed as Identified in Unit Plan:
✓ Capital
✓ Facilities
✓ Personnel

Step 2
Prioritization by Unit
(A)

Step 3
Prioritization by Division
(R)

Step 4
Prioritization by Area
(C)

Step 5
Planning & Budget Committee
(Review and Study of Area Prioritization)

Step 6
Executive Council
(College-Wide Prioritization)

Step 7
Feedback to Units, Divisions, and Planning Budget Committee from Area Administrators

Step 8
Planning & Budget Committee
(Review/Questions and Advisory Feedback)

Step 9
Executive Council
(For Feedback and Possible Revision)

Step 10
Planning & Budget Committee
(Only if additional changes)

Step 11
President

Step 12
College Budget Development

Step 13
Board Adopts Budget

Footnotes:
(A) Unit Representatives will meet with Unit Members to identify and prioritize unit resource needs.
(B) Division Managers will meet with Unit Representatives to prioritize division resource needs.
(C) Area Administrators will meet with Division Managers to prioritize area resource needs.

Definitions:
Unit Representatives = Department Chairs and Unit Managers
Division Managers = Deans and Directors
Area Administrators = President, Vice Presidents, and Director of Human Resources
Figure 3. Unit Planning Process Over Six Years at Cerritos College

Unit Planning Process Over Six Years

Program Review → Year 1: Unit or Other Plan Annual update and review → Year 2: Unit or Other Plan Annual update and review → Year 3: Unit or Other Plan Annual update and review → Year 4: Unit or Other Plan Annual update and review → Year 5: Unit or Other Plan Annual update and review → Year 6: Unit or Other Plan Annual update and review

Mission Statement
Overarching Outcomes
Characteristics, Performance, and Trends
Opportunities and Challenges
Strategic Goals
Objectives

Resource Needs

Resource Allocation Process
Figure 4. Capital Outlay Request Steps at Cerritos College

Capital Outlay Request Steps

Step 1: Present DRAFT Timeline to Management Leadership Council
Step 2: Present DRAFT Timeline to Planning & Budget Committee
Step 3: Notice to Proceed to Unit Representatives, Unit Managers, Division Managers, and Area Administrators
Step 4: Prioritized Requests submitted by Unit - (A)
Step 5: Prioritization by Division - (B)
Step 6: Prioritization by Area - (C)

Step 7: Planning & Budget Committee (Review and Study of Area Prioritization)
Step 8: Prioritization by Executive Council
Step 9: Feedback to Units, Divisions, and Planning and Budget Committee from Area Administrators
Step 10: Planning & Budget Committee (Review, Questions & Advisory Feedback)
Step 11: Executive Council (For Feedback & Possible Revision)
Step 12: Planning & Budget Committee (Only if Additional Changes)
Step 13: Approved Requests to Purchasing Department

Footnotes:
(A) Unit Representatives will meet with Unit Members to identify and prioritize unit requests.
(B) Division Managers will meet with Unit Representatives to prioritize division requests.
(C) Area Administrators will meet with Division Managers to prioritize area requests.

Definitions:
Unit Representatives = Department Chairs and Unit Managers
Division Managers = Deans and Directors
Area Administrators = President, Vice Presidents, Directors and Human Resources
## APPENDIX A

### PROPOSED UNIT PLANNING AND RESOURCE ALLOCATION TIMELINE

<table>
<thead>
<tr>
<th>Year 1</th>
<th>September</th>
<th>For units that are scheduled to undergo program review (at least once every six years), program review(^4) (assessment) process commences; units develop, design, and execute an assessment of the unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>January</td>
<td>Program review (assessment) validation process commences</td>
<td></td>
</tr>
<tr>
<td>March</td>
<td>Individual units begin development of unit plans</td>
<td></td>
</tr>
<tr>
<td>May</td>
<td>Program review (assessment) validation report shared with unit members and others</td>
<td></td>
</tr>
<tr>
<td>August</td>
<td>Strategic focus areas identified</td>
<td></td>
</tr>
<tr>
<td>September</td>
<td>Individual units review, revise, and submit a unit plan online and prioritize unit resource needs; college-wide units (e.g. enrollment management) submit unit plan online</td>
<td></td>
</tr>
<tr>
<td>October</td>
<td>Division managers meet with unit representatives to prioritize division resource needs</td>
<td></td>
</tr>
<tr>
<td>November</td>
<td>Area Administrators meet with division managers to prioritize area resource needs; Planning and Budget Committee reviews, studies, and comments on capital outlay requests from area prioritization</td>
<td></td>
</tr>
<tr>
<td>December</td>
<td>Executive Council prioritizes college-wide resource needs</td>
<td></td>
</tr>
<tr>
<td>Year 2</td>
<td>February</td>
<td>Communication of budget assumptions and prioritized college-wide resource needs from Area Administrators to units, divisions, and Planning and Budget Committee</td>
</tr>
<tr>
<td>March</td>
<td>Initial presentation of college-wide priorities presented to Planning and Budget Committee</td>
<td></td>
</tr>
<tr>
<td>May</td>
<td>Final review of preliminary budget, including tentative identification of prioritized college-wide resource needs to be funded</td>
<td></td>
</tr>
<tr>
<td>August</td>
<td>Open Planning and Budget Committee meeting to review final draft of annual adopted budget</td>
<td></td>
</tr>
<tr>
<td>Year 3</td>
<td>September</td>
<td>Approve adopted budget and allocate resources to individual units and departments</td>
</tr>
</tbody>
</table>

---

\(^4\) Because instructional program review is under the authority of the Faculty Senate and has a timeline set by the Faculty Senate and/or Program Review Committee, program review in this timeline refers to non-instructional units.

\(^5\) The Executive Council prioritizes college-wide resource needs with the exception of full-time faculty positions, which will be completed through a parallel process by Academic Affairs and Student Services.
APPENDIX B

PROPOSED UNIT PLANNING AND RESOURCE ALLOCATION TIMELINE (CHART)

Unit Planning and Resource Allocation Timeline

YEAR 1

Units Scheduled for Program Review
- Fall
  - Program Review (Assessment)¹
  - Units Develop, Design, and Execute Assessment
- Spring
  - Program Review (Assessment) Results
  - Program Review Validation
  - Unit Plan Development

YEAR 2

- Fall
  - Unit Plan Review, Revision, and Submission
  - Resource Allocation Process
- Spring
  - Resource Allocation Process and Budget Development

YEAR 3

- Fall
  - Final Adopted Budget Review and Approval
  - Resources Allocated

Footnote:
¹Because instructional program review is under the authority of the Faculty Senate and has a timeline set by the Faculty Senate and/or Program Review Committee, program review in this timeline refers to non-instructional units.