Plan of Action:

Response to the
December 16, 2015 Higher Learning Commission Determination
Corrective Plan of Action in Response to HLC Probation Sanction

• December 16, 2015 College of DuPage received a letter of formal notification of action from the Higher Learning Commission (HLC) stating that the HLC Board had voted to place the College on Probation.

• The conditions for this sanction can be found at the following web address:
Corrective Plan of Action in Response to HLC Probation Sanction

• The College is required to file an Assurance Filing no later than February 2017.

• This Assurance Filing “should provide evidence that the College has ameliorated the findings of non-compliance identified in this action that resulted in the imposition of Probation and that the College meets all the Criteria for Accreditation, the Core Components, Federal Compliance Requirements, and the Assumed Practices.”

• “While the College must address all of these requirements in its Assurance Filing, its particular focus should be on integrity, governance, the role of the Suburban Law Enforcement Academy in the College and its intersection with the criminal justice program, and effectiveness of governance and administration.”
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Criterion Two, Core Component 2.A, Not Met

A. Regular breaches of the College’s investment policies including exceeding the limits of specific types of investments that do not meet dollar, maturity, or asset requirements required by the Board Policy, and employees in the Financial Affairs Office, although regularly notified about this situation, failed to bring these matters to the attention of appropriate individuals.

1. The individuals responsible for this breach of Board Policy have been terminated. The Board will vote on an independent investment management firm to manage the institutional portfolio. The firm will be required to follow Board Policy and the Office of Internal Audit will annually audit the firm to review its compliance.

2. There will be three levels of compliance checking.
   – Monthly, the investment firm will be required to report financials to the Board.
   – Quarterly, the College treasurer will verify compliance and report to the Board.
   – Annually, the internal auditor will verify compliance and report to the Board.

3. All College employees will be required to undergo regularly scheduled ethics training.

4. The College has a whistleblower program in place, and this will also be included in the ethics training required for all employees.

5. The Board is also reviewing additional options through the introduction of in-house counsel to improve whistle blowing practices.
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Criterion Two, Core Component 2.A, Not Met

B. The College’s internal auditor brought 43 separate internal audits over the last three years about alleged illegal or unethical conduct or violations of College policy to the attention of senior administration at the College pursuant to the College’s audit plan, but the College could not document College actions taken in response to such information or that such information was regularly shared with the College’s Board.

1. Some of the 43 internal audit reports dealt with alleged unethical conduct, but many of them dealt with routine audits such as apportionment reviews, referendum-funded construction projects, and reviews of College programs and processes. Internal auditing is an additional step used by the College to improve the accuracy of our processes.

2. The Board has created Board Policy 5-220, which establishes a Board Audit Committee.

3. The internal auditor now has a dual reporting role to both the president and the Board Audit Committee. The Board Audit Committee will be responsible for documenting that proper actions have been taken in response to internal audit reports, and that the Board as a whole is informed of these actions. In addition, internal audit will create a follow-up memo to the file of each audit to ensure proper documentation of College response.

4. The Board has had the opportunity to review all 43 audits in closed session.
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Criterion Two, Core Component 2.A, Not Met

C. Charges for alcohol at the Waterleaf restaurant that violated administrative procedures.

1. The Board voted to eliminate the use of house accounts.
2. The Board also passed a specific resolution ending alcohol purchases.
3. The previous president associated with the charges for alcohol at the Waterleaf has been terminated and the leadership philosophy on alcohol reimbursement has changed.
4. The Waterleaf has been converted to a purely instructional operation. The prohibition of expensing alcohol to the College will be reinforced in the ethics training.
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Criterion Two, Core Component 2.A, Not Met

D. Monies paid to a former employee to his own private bank account for equipment and services not needed by the College.

1. This employee is facing criminal charges for defrauding the College. He had a supervisor who was the second signer on most of the questionable purchases. These two individuals no longer work for the College.

2. Alix Partners (interim finance officers) have strengthened the internal controls based on lessons learned from this experience.
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Criterion Two, Core Component 2.A, Not Met

E. Awarding of non-competitive bid contracts to vendors whose owners were on the College of DuPage Foundation Board without a clear determination of whether such awards raised conflict of interest issues and in one case even though the contract was entered into after the stated contract deadline.

1. The Purchasing Department now requires a Conflict of Interest Disclosure form from all non-construction vendors for contracts of $25,000 or greater, and from construction vendors for contracts of $50,000 or greater.

2. Purchasing includes the Conflict of Interest Disclosure form with all bids, RFPs, RFQs, etc. It is clearly stated that failure to provide a completed form with the response could result in disqualification. Conflict of interest includes Foundation members.

3. At least annually, Purchasing will receive a list of Foundation Board members and their disclosed relationships from the Finance Department. This list will be checked against our current contracts to ensure the appropriate documentation is on file. If any conflict of interest is disclosed through the above actions, the information will be reviewed with the appropriate parties, including the College’s Chief Financial Officer, prior to contract award or immediately upon notification of such conflict.

4. Board of Trustees now requiring more detailed descriptions of bidding procedures and non-compliant bids in all contract submissions.
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Criterion Two, Core Component 2.A, Not Met

F. The College provides limited or no robust ethics training programs for faculty, staff and students.

1. The administration has identified a comprehensive ethics training program provided by Workplace Answers, which currently provides other training programs for College of DuPage.

2. The ethics training is designed for institutions of higher education and it will be tailored to address our specific policies and procedures.

3. All administrators, faculty, staff, and student employees, both full- and part-time, will be required to complete this training by July 1, 2016 and then on a biennial basis thereafter.

4. The Board and Cabinet will undergo additional training. The Board has issued an RFP to identify the vendor.
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Criterion Five, Core Component 5.B, Not Met

A. The Board of Trustees did not regularly receive and review financial statements in May-July of 2015.

1. Such statements had been prepared by financial staff in their regular course of work, but they were not presented to the full Board pending a complete review of, and changes made to, the reports.
2. Financial Statements will continue to be in Board Packet at least once each month.

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Criterion Five, Core Component 5.B, Not Met
B. The Board of Trustees did not enforce Board policies related to investments that had been placed in assets contrary to Board policy but were not apparent to the Board because of lack of detail in financial reporting.

1. The Board has increased financial report details through the work of Alix Partners based on recommendations from many Trustees (including Trustees Bernstein and McGuire); and will continue to enforce Board policy.
2. The Board has added additional monthly, quarterly, and annual compliance of investments to ensure Board policy is followed.
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Criterion Five, Core Component 5.B, Not Met
C. The Board of Trustees or its members directly involved itself in matters appropriately delegated to the administration including management of the Waterleaf restaurant and hiring administrative staff.

1. The issues referred to have been resolved. In addition, all Board members will participate in additional board governance training.
2. The Board has issued an RFP for a vendor to provide a retreat for the Board which will include discussion on these and similar matters.
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Criterion Five, Core Component 5.B, Not Met

D. Faculty governance did not function effectively at the College when neither the criminal justice faculty at the College nor Suburban Law Enforcement Academy instructors were consulted about or approved the increase in credit hours provided for non-credit courses taken in the Law Enforcement Academy.

1. The administration acknowledges that it erred in not including faculty in the decision to increase the number of Criminal Justice credits from nine to 18 for cadets in the Suburban Law Enforcement Academy (SLEA). In order to remove any doubt about the appropriateness of awarding credit to SLEA cadets, College of DuPage has ceased the awarding of any academic credit to SLEA cadets, effective October 29, 2015. The program has been moved from the educational unit to the auxiliary unit.

2. Any future credit program involving SLEA will be developed with the full cooperation and participation of the faculty.
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E. Criterion Five, Core Component 5.B, Not Met
The administration of the College did not perform effectively when the faculty took a vote of no confidence, but the administration took no actions to address the concerns that led to the vote, and practices that led to faculty concerns continue unchanged.

BOARD RESPONSE:
1. The new Board has proactively met with faculty leadership.
2. Faculty will attend the February 25 Board meeting to make a presentation on the issues raised in the vote of no confidence.

ADMINISTRATION RESPONSE:
Over the past 12 months, the acting interim president and academic administrators have worked with the faculty leadership to collaborate on a number of actions, such as:
1. elevating the Shared Governance Council (SGC) to a prominent role in institutional decision-making;
2. re-establishing a prominent role for the SGC in the College’s strategic planning process;
3. re-establishing the Quality Improvement Council, consisting of the SGC and the Institutional Effectiveness Council, to oversee the AQIP Action Project selection and implementation;
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ADMINISTRATION RESPONSE, CONTINUED:

4. conducting a series of meetings with key faculty and administrators to discuss the faculty concerns expressed on our employee satisfaction (PACE) survey;
5. enacting all the recommendations of that same PACE survey group;
6. expanding membership in the Constituency Leaders monthly meetings;
7. revising the faculty communications meeting to include faculty-elected representatives from the Faculty Senate;
8. settling a number of grievances, complaints, five Faculty Administrator Review Board appeals, and an unfair labor practice charge in an amicable agreement with the Faculty Association;
9. meeting with the president of the Faculty Senate to discuss a facilitated retreat between faculty and administration to work on resolving our differences;
10. establishing a regular monthly meeting between five faculty senators and five academic administrators; and
11. the creation of task forces to examine issues with parking, the hiring of retirees, the hiring of program advisors, and a review of our ESEIP project.
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Criterion One, Core Component 1.D, Met with Concerns
The Board of the College has not worked cooperatively with the administration of the College or with fellow Board members. In addition, the Board has not properly respected the role of the administration in providing appropriate operational oversight of the College, thus impeding the College’s ability to serve the public good and make decisions in the best interest of the College.

1. The Board has issued an RFP for governance ethics training for both the Board and Cabinet.
2. The Board is seeking mediation services.
3. The Board is in the process of scheduling a retreat to discuss these issues.
4. The Board and the administration are working on a Memorandum of Understanding better define more flexibly, yet with specificity, roles/ responsibilities with concrete examples that the Board and administration alike can use as a guideline to better respect each other's roles.
Criterion Three, Core Component 3.A, Met with Concerns

The College has inappropriately awarded college credits in criminal justice for the non-credit Suburban Law Enforcement Program (“SLEA”) without clear alignment with the College’s criminal justice program or a clear protocol for reviewing it as prior learning if it was intended as such and further increased this award without any increase in instruction or clock hours.

The College has ceased the awarding of any academic credit to SLEA cadets, effective October 29, 2015.
Criterion Four, Core Component 4.A, Met with Concerns

The College lacked appropriate oversight over the SLEA curriculum and did not, therefore, include the program in its regular academic program review process, which ensures that students in this program are meeting the learning objectives of the College’s criminal justice program, even though the College simultaneously awarded credit in its criminal justice program for the non-credit SLEA program credits.

The College has ceased the awarding of any academic credit to SLEA cadets, effective October 29, 2015.
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- The College has created the Accreditation Task Force, consisting of representatives from the core constituency groups on the Shared Governance Council.
- This task force will be responsible for reviewing and updating this Corrective Plan of Action through November of 2017, when the sanction of probation is expected to be removed.
- ATF will report through the SGC.
- ATF will provide monthly updates to the Board of Trustees.
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**Accreditation Task Force (ATF)**

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<th>Name</th>
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<tr>
<td>Jim Benté</td>
<td>ATF Chairman</td>
<td>HLC Liaison</td>
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<tr>
<td>Ami Chambers</td>
<td>Managerial</td>
<td>Community Relations</td>
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<tr>
<td>Susan Dreghorn</td>
<td>Part-Time Faculty</td>
<td>English</td>
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<td>David Goldberg</td>
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<td>Political Science</td>
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<tr>
<td>Saraliz Jimenez</td>
<td>Managerial</td>
<td>Latino Outreach Center</td>
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<tr>
<td>Christopher Johnston</td>
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<tr>
<td>Laurie Jorgensen</td>
<td>Administrator</td>
<td>Marketing and Creative Services</td>
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<tr>
<td>Miguel Marino</td>
<td>Classified</td>
<td>Administrative Assistant III</td>
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<td>Min Pan</td>
<td>Classified</td>
<td>Instruct Designer II</td>
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<tr>
<td>Gloria Roark</td>
<td>Student</td>
<td>Student Trustee</td>
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<tr>
<td>Ana Pliego</td>
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<td>Student Leadership Council</td>
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<tr>
<td>Donna Stewart</td>
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<td>Tom Tipton</td>
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