



Institutional Self-Evaluation Report

In Support of an Application for

Initial Accreditation

Submitted by

The College Program at San Quentin

to

Accrediting Commission for Community and Junior Colleges  
Western Association of Schools and Colleges

August 2019

## Certification

To: Accrediting Commission for Community and Junior Colleges  
Western Association of Schools and Colleges

From: Jody Lewen  
College Program at San Quentin  
PO Box 492  
San Quentin, CA 94964

This Institutional Self-Evaluation Report is submitted to the ACCJC for the purpose of assisting in the determination of the institution's accreditation status.

I certify there was effective participation by the campus community, and I believe the Self-Evaluation Report accurately reflects the nature and substance of this institution.

Signatures:



Jody Lewen  
Executive Director

[8/21/19]

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Maddy Russell-Shapiro  
Chairperson, Governing Board

[8/21/19]

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Amy Jamgochian  
Academic Program Director

[8/21/19]

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Theresa Roeder  
Chair of the Board Accreditation Working Group, Faculty member

[8/21/19]

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NOTE: Suggested total ISER page limit is 250 pages.

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# Introduction

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## College History

The College Program at San Quentin (CPSQ) is one of the largest and longest-running prison higher education programs in the United States. It was established shortly after passage of the 1994 Violent Crime Control and Law Enforcement Act barred incarcerated people from receiving Pell Grants, effectively ending higher education in prison in the U.S. At that time, virtually all of the approximately 350 programs around the country shut down for lack of funds. CPSQ was founded through the collaborative efforts of administrators at Patten College (later Patten University), the Education Department of San Quentin, and a faculty member at UC Davis. Since its founding, CPSQ has offered a general education Associate of Arts degree in General Studies. The AA degree has been run as an extension site of Patten; students enrolled in credit courses at CPSQ are registered at Patten, and Patten has conferred credits and degrees.

Any person in the mainline population of San Quentin with a high school diploma or GED is eligible to enroll, without regard to age, commitment offense, sentence length, or time left to serve. Students are charged no tuition or fees, and all instructional staff in the program have been volunteers.

Key developments in the history of the college include:

- 1996: CPSQ began with two classes, a volunteer coordinator (a San Quentin State Prison Education Department staff member), and no budget.
- 2000: Jody Lewen (the current Executive Director) became the Volunteer Program Coordinator for CPSQ and Extension Site Director for Patten College at San Quentin. Course offerings at this time included all requirements and electives for the AA degree in General Studies, as well as two non-credit College Preparatory courses, Math 50 and English 99. Student support services at this time included study hall tutoring.
- 2000 - 2003: The program continued to develop and expand. With the support of the Program Coordinator, teams of faculty planned and implemented improvements to the instructional programs. The College Preparatory program expanded from two to five courses. Academic advising was added.
- 2003 - 2005: The Prison University Project was formed to provide material, administrative, and financial support to the College Program. Initial fiscal sponsorship was obtained from the Tides Center. The formation of the Prison University Project greatly facilitated the Program's fundraising efforts as well as enhancing its ability to manage its own finances. The Program Coordinator and an additional Program Administrator position became paid positions. Academic advising and responsibility for volunteer faculty's security clearances were assumed by paid academic staff. Electives in

math and foreign language were added to course offerings to satisfy UC and CSU transfer requirements.

- 2006: The Prison University Project was incorporated as an independent 501(c)(3) non-profit with a governing Board, partially as a condition of a grant from the Sunshine Lady Foundation. Jody Lewen was named Executive Director of the Prison University Project, as well as the Extension Site Director of Patten College at San Quentin.
- 2007: The Prison University Project acquired its own office space. A third paid Administrative Assistant position was created.
- 2009 - 2015: The College Program and the Prison University Project entered a period of expansion, both in terms of paid staff and in terms of the classes and support services offered to CPSQ students. Paid staff members were added in development, communications, operations, and academic program oversight. With the support of paid staff, teams of faculty continued to plan and implement improvements to the instructional programs. Lab sciences were added in this period, allowing students to satisfy all UC and CSU transfer requirements. Additionally, co-curricular activities and academic workshops were introduced. Training for faculty beyond the introductory training was also developed.
- 2014: California passed Senate Bill 1391, allowing California Community Colleges to receive apportionment funding for teaching inside state prisons. The California Community College Chancellor's Office formed a consulting relationship with the Prison University Project, to receive technical assistance and advice as four state community colleges launched pilot programs.
- 2015: Dr. Amy Jamgochian was hired as the first paid Academic Program Director to oversee all instructional programs and to directly coordinate credit courses. The Prison University Project began advising and supporting various program sites and providing multi-day trainings to interested community college faculty and administrators.
- 2016: PUP was awarded the National Humanities Medal by President Obama.
- 2018: Patten University (formerly Patten College) informed CPSQ students of its planned closure. The leadership of the Prison University Project decided to seek independent accreditation.

Today, the College Program continues to provide an Associate of Arts degree program in General Studies and a robust College Preparatory program. Each academic year, the College Program at San Quentin places close to 300 instructors, tutors, research assistants, and other faculty, and serves more than 400 unique students. The Prison University Project (PUP), the nonprofit that administers the College Program, has continued to expand. From two paid staff members at its inception, PUP now employs sixteen paid staff members, including Development and Communications staff, Operations staff, and Program Team staff charged with the administration of the academic programs. (A-1 CPSQ History)

## Partnership and Independence

Over its many years of partnership with PUP / CPSQ, Patten University has undergone a number of fundamental changes. These included Patten's acquisition by UniversityNow, an organization focused on online education, and Patten's subsequent transformation from a nonprofit faith-based institution to a for-profit secular institution. In addition to changes in its mission, Patten has undergone periods of financial instability that raised concerns about its reliability as a partner. While the Prison University Project has funded all College Program operations independently since 2003, instability at Patten threatened the accredited AA degree program. In light of this, the leadership of PUP / CPSQ spent many years investigating alternative partnership arrangements. These attempts were unsuccessful; for a variety of reasons ranging from potential partners' financial situation, reluctance to confer degrees on incarcerated students, and lack of mission fit with the College Program, no new partnership was realized. (A-2 Town Hall Agenda)

Given the unique needs of CPSQ's student body and the college's historical and continuing commitment to radical equity and inclusivity, independence will best ensure the continued fulfillment of its mission. In seeking accreditation, PUP/ CPSQ hopes to become the first independent college in the United States with a primary focus on students who are incarcerated.

## Naming conventions

For ease of reading, the following conventions are used throughout this document.

**CPSQ or the College Program** refers to the College Program at San Quentin, founded in 1996, whose instructional programs currently consist of a single AA degree program in General Studies and a College Preparatory program.

**PUP** refers to the Prison University Project (PUP), which has administered the College Program since 2003. PUP was registered as a 501(c)(3) in 2006, and operates inside San Quentin State Prison with the authorization of the California Department of Corrections and Rehabilitation (CDCR).

**PUP / CPSQ** refers to the organization consisting of the Prison University Project (PUP) and the academic offerings it administers. As PUP transitions away from partnership with Patten University, PUP will undergo a legal name change to signal its status as an independent college. PUP / CPSQ will be a single independent institution of higher education, referred to by a single name.

**Staff** refers to the paid staff of the Prison University Project (PUP). Paid staff directly responsible for the academic and operational administration of the College Program are employed by PUP.

**The Program Team** refers to PUP's paid staff and two incarcerated Program Clerks directly responsible for administering and coordinating academic offerings and support services inside San Quentin. Members of the Program Team escort faculty in and out of the prison, facilitates faculty and other staff communication with students, and provides academic advising and other forms of support to students.

**The Academic Team** refers to the subset of the Program Team with direct responsibility for academic quality, faculty placements and training, supervising courses and study hall, and coordinating planning meetings and continuous improvement activities with faculty. All members of the Academic Team have academic credentials and experience appropriate to their roles.

**Faculty** refers to the volunteer educational personnel placed in the instructional programs and directly related services each term. Faculty include instructors, tutors, research assistants, teaching assistants, and co-curricular workshop leaders. All faculty serve as volunteers.

**Custody staff or prison administrators** refers to the employees of San Quentin State Prison and the California Department of Corrections and Rehabilitation (CDCR). Custody staff include corrections officers responsible for security, safety, and supervision of incarcerated people at San Quentin. Prison administrators include prison counselors, employees of the prison's Education Department, etc.

**Consultants** refers to individuals engaged on a contract basis by PUP to support paid staff, usually in capacity building work. Current consultants include:

- Kirsten Pickering, CPSQ's Accreditation Liaison Officer and former CPSQ faculty member
- Dr. Melanie Booth, consultant for educational effectiveness and accreditation, and the current Associate Vice President for Institutional Effectiveness at Dominican University of California
- Dr. Mary Ellen Petrisko, consultant for accreditation and former president of WASC Senior College and University Commission
- Julia Odom, consultant for PUP's Student Information System vendor selection process and current registrar at California State University Maritime Academy
- Stacey Smith, consultant for organizational development and partner at Contigo Partners
- Esther Kim, consultant for organizational development and head of Esther Kim Consulting

**Partners** refers to individuals or institutions providing free or low cost services or advising to PUP / CPSQ on an ongoing basis. Current partners include:



- Drs. Amy Lerman and Meredith Sadin of UC Berkeley's Goldman School of Public Policy
- The National Institute of Learning Outcomes Assessment (NILOA)
- JSTOR/Ithaka
- UCSF's Science and Health Education Partnership (SEP)
- Monterey County Free Library (MCFL)
- The California Department of Corrections and Rehabilitation (CDCR)
- San Quentin State Prison

## **Student Enrollment Data**

All students in the College Program are enrolled at its single campus, located inside San Quentin State Prison (San Quentin, CA 94964).

The College Program calculates its annual unduplicated headcount using course enrollment for the three academic terms in each calendar year. For example, the unduplicated headcount for 2016 is based on unique students enrolled in courses in Spring, Summer, and Fall of 2016.

Before each academic term, students register for credit and non-credit courses. Unique students who remained enrolled in at least one course past the add/drop deadline for each term are included in the headcount for that year. These include students later granted an "administrative drop." Administrative drops are given by staff when students are prevented from attending due to institutional obstacles. Such obstacles may include involuntary transfer away from San Quentin, parole, segregation for safety or discipline, and quarantine or lockdown of students' housing unit for a significant period during the semester.

The College Program also tracks oriented students (aka "active students"). After attending an orientation, students are considered "active" in the College Program (eligible to register for courses and other activities) while they remain at San Quentin, unless they request removal from the program. Active students may include graduates of the College Program. (Graduates at San Quentin may continue to audit courses, space permitting, and participate in other program events.) As of Summer 2019, approximately 700 students are active at CPSQ.

As the table below indicates, unduplicated headcounts for the past three full years (including the Spring, Summer, and Fall terms of each year) show a steady increase in students enrolled in all courses at CPSQ.

Unduplicated yearly headcount					
Registration type	Definition	SP-FA 2016	SP-FA 2017	SP-FA 2018	3-yr aver
Credit course headcount	Unique students enrolled in at least one credit course after drop period ends (#)	222	248	281	250
Non-credit course headcount	Unique students enrolled in at least one non-credit course after drop period ends (#)	185	242	273	233
All courses headcount	Unique students enrolled in at least one course after drop period ends (#)	342	419	476	412
<p>Note: Headcount includes auditors (who must officially enroll in courses and maintain attendance) and students administratively dropped from courses after the general enrollment period ends.</p> <p>“Administrative drops” are given when students are removed from courses by the prison administration in a given term. Reasons for removal include involuntary transfer away from San Quentin, parole, segregation for safety or discipline, and quarantine or lockdown of students’ housing unit for a significant period during the semester.</p>					

While CPSQ staff track student course loads, they do not use the notion of an FTE student for several reasons, including:

- **Student Time:** Students very rarely enroll in 15 credits in a given term in the AA degree program. Many students have conflicts that prevent them from taking courses at available times, including mandatory jobs inside the prison and enrollment in court-mandated rehabilitative programs.

- **Class Scheduling:** CPSQ only has access to at most six classrooms at any given time. With the exception of Friday mornings, courses can only be offered in the afternoons and evenings, due to competing demands on classroom space.

The course load calculations below exclude non-credit course enrollments, enrollments by auditors, and enrollments later dropped by students or administratively dropped by staff. Enrollments for each year include three academic terms, in the spring, summer, and fall.

Student yearly credit course load					
Credit course units per year	Definition	SP-FA 2016	SP-FA 2017	SP-FA 2018	3-yr aver
<4 units	Percentage of students taking credit courses enrolled in fewer than 4 credit course units during the year	40%	38%	38%	38%
4 to 8 units	Percentage of students taking credit courses enrolled in 4 to 8 credit course units during the year	22%	23%	25%	23%
>8 units	Percentage of students taking credit courses enrolled in more than 8 credit course units during the year	38%	40%	38%	38%
Note: All credit courses are 3 units, except lab science courses, which are 4 units. Course load calculations exclude enrollments in non-credit courses, audits, and enrollments dropped by the add/drop deadline or administratively dropped.					

## Student Demographic Data

CPSQ collects a range of demographic data from entering students, including:

- Gender identification
- Date of birth
- Place of birth
- Citizenship status
- Veteran status
- Race/ethnicity
- Native language and languages spoken
- CDC Housing assignment
- Goals for enrollment in the College Program
- Past educational history

With the exception of verifying GED/High School transcripts and updating student housing assignments in collaboration with prison administrators, CPSQ relies on students' self-report for demographic data. For example, CPSQ does not currently partner with CDCR in order to gather student birth dates or race/ethnicity data.

Student demographic data				
<b>Demographic data for all students registered in a College Program course when the general enrollment period ends</b>	<b>SP-FA 2016</b>	<b>SP-FA 2017</b>	<b>SP-FA 2018</b>	<b>2016-2018</b>
<i><b>Race/ethnicity: number and percentage of students self-identifying as in group</b></i>				
Asian	23 / 7%	27 / 6%	34 / 7%	84 / 7%
Black/African- American	175 / 51%	207 / 49%	232 / 49%	614 / 50%
Latino/Hispanic	38 / 11%	60 / 14%	61 / 13%	159 / 13%
White/Anglo	62 / 6%	81 / 19%	98 / 21%	241 / 19%
Native American	11 / 3%	14 / 3%	10 / 2%	35 / 3%
Pacific Islander	6 / 2%	8 / 2%	10 / 2%	24 / 2%
Decline to State / Unknown	14 / 4%	15 / 4%	20 / 4%	49 / 4%
Other	15 / 4%	18 / 4 %	18 / 4%	51 / 4%

<b>Age: number and percentage of students in age range</b>				
18 to 24	12 / 4%	38 / 9%	52 / 11%	102 / 8%
25 to 34	31 / 9%	49 / 12%	76 / 16%	156 / 13%
35 to 44	70 / 20%	87 / 21%	90 / 19%	247 / 20%
45 to 54	99 / 29%	102 / 24%	114 / 24%	315 / 25%
55 to 64	102 / 30%	113 / 27%	110 / 23%	325 / 26%
65 or older	25 / 7%	26 / 6%	30 / 6%	81 / 7%
None given	2 / 1%	4 / 1%	4 / 1%	11 / 1%
<p>Note: Demographic data includes auditors and students administratively dropped from all courses after the general enrollment period.</p> <p>“Administrative drops” are given when students are removed from courses by the prison administration in a given term. Reasons for removal include involuntary transfer away from San Quentin, parole, segregation for safety or discipline, and quarantine or lockdown of students’ housing unit for a significant period during the semester.</p>				

Prospective students may spend up to six months on the College Program’s waitlist before admission to its offerings. When space is available, students receive a letter inviting them to attend a New Student Orientation. Attending an orientation is a requirement for all new students, and marks students’ official admission to the College Program. After attending Orientation and completing an application, a student is considered “active” status, even if not currently enrolled in courses.

College Program staff offer multiple New Student Orientations before each of the three academic terms. The admissions data below indicates the number of students who attended an orientation and filled out an application for admission in one of the three terms of that year.

<b>Admissions Data</b>					
<b>Data element</b>	<b>Definition of element</b>	<b>SP-FA 2016</b>	<b>SP-FA 2017</b>	<b>SP-FA 2018</b>	<b>3-yr average</b>
Headcount of admitted students	Number of students who attend orientation that year	143	156	146	148

# Student Achievement Data and Institution-Set Standards

The staff of the Prison University Project maintain records student course enrollments and grades, which are stored in the organization's secure Salesforce database. The following achievement data refers to credit course enrollments as recorded by PUP.

From 2016 to 2019, PUP operations staff, in partnership with the research team of PUP's evaluation partner Dr. Amy Lerman, carried out an audit and reconciliation of all student records for credit courses in the past four years, using Patten University's transcript data. The following aggregated and disaggregated student achievement data is based on these audited records.

STUDENT ACHIEVEMENT							
Data element	Definition of measure	ISS	Stretch Goal	SP-FA 2016	SP-FA 2017	SP-FA 2018	3 year avg.
Degree completion (numbers)	Number of graduates of the AA program per year	10	20	9	14	9	10.67
Credit course completion (rate)	Successful credit course completion with grade C or better, over the number of course enrollments when the general enrollment period ends.	80%	90%	87%	86%	86%	86%
<p>Note: Credit course completion rates exclude "administrative drops."</p> <p>Administrative drops are granted when students are removed from courses by the prison administration in a given term. Reasons for removal include involuntary transfer away from San Quentin, parole, segregation for safety or discipline, and quarantine or lockdown of students' housing unit for a significant period during the semester.</p>							

Transfer to 4-year institutions of higher education (numbers)*	Number of students entering the College Program in that year, who completed at least 6 credits, who transferred to a 4-year institution in the next 6 years	None	None	In process	In process	In process	In process
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Historically, CPSQ has not tracked its students' transfer rates. PUP / CPSQ is currently in the process of entering a contract with National Student Clearinghouse to receive this information on an annual basis. (A-3 Draft National Clearinghouse Contract)

In order to work effectively with National Clearinghouse, CPSQ will first have to define the appropriate metric for 4-year transfer rates in its particular context. Incarcerated CPSQ graduates and students have access to a very few correspondence-based 4-year degrees. As a result, the transfer rate may examine only paroled students. However, within a given cohort of entering students, time left to serve can vary dramatically. Given this, CPSQ may seek transfer rates for each cohort at multiple points; for example, by querying the rate at which students transfer 6 yrs, 12 yrs, and 18 yrs from their date of admission.

CPSQ disaggregates its successful course completion data by race/ethnicity and age. While rates are similar across students of different racial and ethnic identities, there is some variation in successful course completion rates by age. In particular, students aged 18 to 24 have significantly lower rates of successful course completion than older students. This result requires further study to control for possible confounding factors and to plan staff interventions.

Disaggregated Student Achievement Data						
Data element	Definition of measure	Racial/ethnic identity	2016	2017	2018	2016-2018
Credit course completion rate by race or ethnicity	Successful course completions with C or better, by students self-identifying as of the group, divided by total	Asian	92%	84%	87%	87%
		Black/African-American	85%	85%	86%	85%

	course enrollments for students of that group when the general enrollment period ends.	Latino/Hispanic	96%	83%	94%	90%
		White/Anglo	90%	90%	85%	88%
		Native American	100%	94%	89%	94%
		Pacific Islander	88%	95%	93%	93%
		Decline to State / Unknown	83%	83%	75%	80%
		Other	75%	76%	86%	79%
<b>Data element</b>	<b>Definition of measure</b>	<b>Age</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>	<b>2016-2018</b>
Credit course completion rate by age	Successful course completions with C or better, by students in a given age range, divided by total course enrollments by students in that age range when the general enrollment period ends.	18 to 24	100%	63%	79%	74%
		25 to 34	89%	88%	86%	87%
		35 to 44	86%	87%	90%	88%
		45 to 54	85%	87%	87%	86%
		55 to 64	88%	87%	88%	88%



		65 or older	91%	88%	77%	85%
		Unknown	80%	0%	100%	75%

Note: Credit course completion rates exclude “administrative drops.”

Administrative drops are granted when students are removed from courses by the prison administration in a given term. Reasons for removal include involuntary transfer away from San Quentin, parole, segregation for safety or discipline, and quarantine or lockdown of students’ housing unit for a significant period during the semester.

Aggregated and disaggregated credit course completion rates exclude “administrative drops.” Administrative drops are given when a student is removed from courses by the prison administration in a given term. Reasons for removal include involuntary transfer away from San Quentin, parole, segregation for safety or discipline, and quarantine or lockdown of students’ housing unit for a significant period during the semester.

PUP’s Executive Director and Academic Program Director, in partnership with Dr. Amy Lerman, the program’s external evaluation partner, are working on defining metrics for further disaggregation. Among other categories of interest, and based on previous research, CPSQ will seek to disaggregate future achievement data by students’ prior education and CDC housing assignment. Disaggregating by prior education will help reveal any variations in the College Program’s impact on students with different educational histories, including history of previous higher education. Disaggregating by housing unit will aid staff in understanding variations in student outcomes resulting from delays or disruptions specific to students’ housing units. Currently collected data and/or data storage systems are not yet fine grained enough to associate these demographics with course completion.

# Organization of the Self-Evaluation Process

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## **PUP / CPSQ's Self-Evaluation: An Inclusive and Broadly Engaged Process**

The self-evaluation process has, from its inception, been an inclusive and intensive process, engaging all members of PUP's staff in addition to the Board of Directors, students, faculty and other volunteers, members of the broader PUP/CPSQ community, as well as the California Department of Corrections and Rehabilitation (CDCR). Additionally, PUP / CPSQ contracted with two consultants to support the self-evaluation process: initially, Dr. Mary Ellen Petrisko, former President of WASC Senior College & University Commission, and later, Dr. Melanie Booth, former Vice President of WASC Senior College & University Commission and current Associate Vice President for Institutional Effectiveness and the Accreditation Liaison Officer at Dominican University of California.

The ALO relied on ACCJC's Guide to Institutional Self-Evaluation and Improvement in organizing the self-evaluation process. However, given the unique nature of the College Program at San Quentin, completing certain parts of the self-evaluation required interpretation of the Standards and suggested evidence with reference to its particular context. While the ALO has been the primary self-evaluation leader, her work has been regularly and substantively supported by the Executive Director, Academic Program Director, a staff member in development with accreditation expertise, and the two accreditation consultants. Other staff and Board members have directly contributed throughout the self-evaluation process, assisting with the collection and analysis of data and evidence, writing of the report, and final editing and preparation of materials for the team and ACCJC.

## **Preparation for Self-Evaluation**

PUP / CPSQ achieved Eligibility status with ACCJC in February 2019. Leading up to and after this event, key preparation activities included:

- **February 2019:** Formation of the Accreditation Working Group of the Board
- **March 2019:** On-site training and preparation by Dr. Richard Winn, President of ACCJC
- **March 2019:** Creation of a comprehensive "Achieving Independence Project Plan" that guided the self-evaluation tasks, activities, and timelines
- **April 2019:** ALO's Attendance at ACCJC's New ALO Training & Conference
- **June to August 2019:** Training in Accreditation Basics completed by all Board members

- **August 2019:** On-site visit planning meeting with Dr. Keith Curry, ACCJC Team Chair, and Lauren Sosenko, Team Assistant

### **Broad & Regular Communication**

Multiple communication channels were employed during the course of the self-evaluation process to ensure the community's education about and appropriate engagement in the activities, including:

- Beginning in July 2018, formal letters to and a town hall meeting with CPSQ's students at San Quentin, in order to share information and answer their questions about becoming independent and ACCJC's accreditation process
- Beginning in November 2018, communications with the broader PUP / CPSQ community, including current and former faculty, staff, donors, and alumni, about the accreditation process and self-evaluation, through the organization's quarterly newsletter, website, and solicitations of feedback for the self-evaluation (see below)
- Beginning in December 2018, regular information in PUP's biweekly staff meetings on the accreditation process and, later, updates on the self-evaluation
- Beginning in February 2019, monthly to semi-monthly meetings of the Board's Accreditation Working Group, including updates from the ALO, Executive Director, and Academic Program Director on accreditation work
- Beginning in March 2019, one-on-one meetings between the ALO and staff in specific operational areas to gather documentation on PUP / CPSQ's compliance with Standards
- In June of 2019, a presentation by Dr. Richard Winn on accreditation to the full Board of Directors in their quarterly meeting.

### **Self-Evaluation and Improvement-Focused Activities**

Throughout the self-evaluation process, multiple measures were taken and tasks accomplished to ensure that PUP / CPSQ is in compliance with the Standards for Accreditation, including:

- Documentation of PUP's organizational policies, procedures, committees, and teams
- Assessment for needed new policies, policy revisions, human resources capacity, and administrative and academic processes
- Revision and adoption of CPSQ's AA in General Studies Program Learning Outcomes
- Revision and adoption of the Mission Statement

- Collection and analysis of volunteer faculty feedback via two Faculty Surveys: one collecting demographic data and feedback for staff, and another soliciting faculty's experiences and challenges serving in their particular roles in the program
- Collection and analysis of current student feedback via two Student Surveys: one about the College Program's offerings and one about PUP's Mission and Values
- Collection and analysis of community feedback about PUP's Mission and Values
- Collection and analysis of student achievement data and the inventory and analysis of existing student outcomes data
- Creation of the first version of the *Handbook for Educational Effectiveness*, detailing a comprehensive framework for the assessment of student outcomes; student services; co-curricular programs; library and learning services; and program review.
- Review and revision of bylaws and Board policies, with approval by the Board, as needed
- Revision of the charge for the Academic Affairs Committee of the Board
- Consultation about registrar functions and review of Student Information System (SIS) products
- Expansion of library services through the creation of formal affiliation partnerships
- Identifying needed staff and the creation of and recruitment for positions, including the Chief Operations Officer (COO) and Director of Student Services
- Creation of the Quality Improvement Plan resulting from the completion of the self-evaluation process in mid-August, 2019. (See Quality Improvement Plan, pg. 223 below.)

These and other self-evaluation activities ultimately resulted in the final Institutional Self-Evaluation Report, which was reviewed by the full Board of Directors and approved on August 14, 2019.

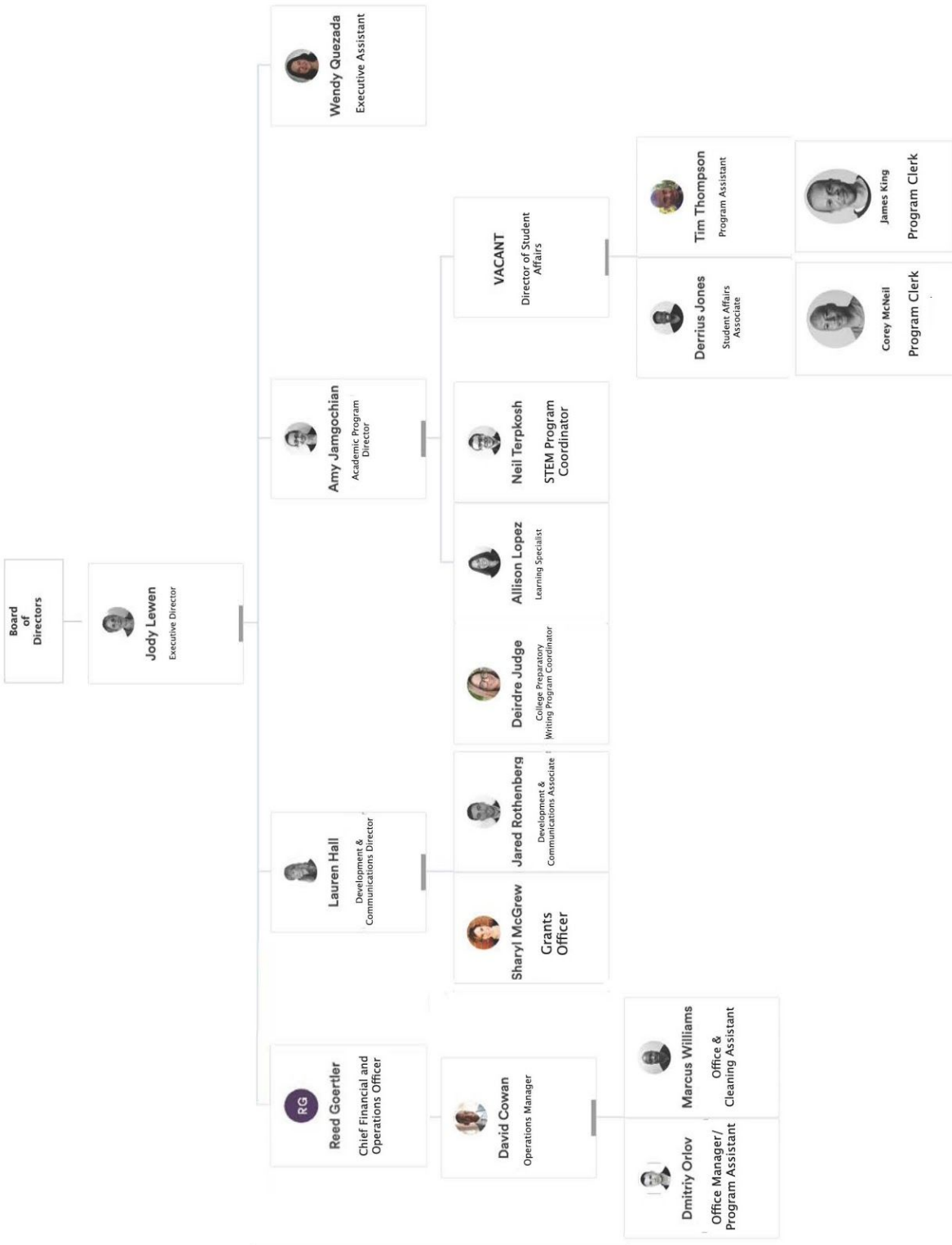
### **Introductory materials evidence list**

Intro-1 CPSQ History

Intro-2 Town Hall Agenda

Intro-3 Draft National Clearinghouse Contract

# Organizational Information



# Certification of Continued Compliance with the Eligibility Requirements

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## **Eligibility Requirement 1: Authority**

*The institution is authorized or licensed to operate as a post-secondary educational institution and to award degrees by an appropriate governmental organization or agency as required by each of the jurisdictions or regions in which it operates. Private institutions, if required by the appropriate statutory regulatory body, must submit evidence of authorization, licensure, or approval by that body. If incorporated, the institution shall submit a copy of its articles of incorporation.*

The Prison University Project, which administers the College Program at San Quentin (CPSQ), has been approved to operate in San Quentin prison by the California Department of Corrections and Rehabilitation (CDCR). Staff at the California Bureau for Private Postsecondary Education (BPPE) have indicated that this is sufficient to be recognized as State-approved entity.

### **Documentation**

*Degree-granting approval statement, authorization to operate, or certificates from appropriate bodies*

ER-1 Statement of authorization from CDCR

*Articles of incorporation (incorporated private institutions)*

ER-2 Articles of Incorporation

## **Eligibility Requirement 2: Operational Status**

*The institution is operational, with students actively pursuing its degree programs.*

The College Program's Associate of Arts degree in General Studies has been an extension site of Patten University (originally Patten College) since 1996. The College Program has been under the leadership of Jody Lewen since 2000, and administered by the Prison University Project since 2006.

Since 1996, CPSQ has awarded a total of 172 degrees, and served over 4,500 students. As of Summer 2019, there are 190 unique students enrolled in the College Program's credit courses for the AA degree and 110 unique students enrolled in its College Preparatory courses.

At the time of this report, CPSQ is transitioning from its partnership with Patten University, which is in a "teach out" period before its closure.

### **Documentation**

*Enrollment history of institution (most recent three years suggested)*

ER-3 3 years of enrollment history

*Enrollments in institutional degree programs by year or cohort, including degrees awarded*

ER-4 All graduates (identifying information removed)

ER-5 Class schedule for Summer 2019

ER-6 Class schedule for Spring 2019

### **Eligibility Requirement 3: Degrees**

*A substantial portion of the institution's educational offerings are programs that lead to degrees, and a significant proportion of its students are enrolled in them. At least one degree program must be of two academic years in length.*

The College Program at San Quentin (CPSQ) offers two instructional programs. Its Associate of Arts degree in General Studies is comprised of 61 credit units, equating to approximately two academic years. CPSQ also offers a robust noncredit College Preparatory Program, consisting of five courses in math and writing. Based on entry assessments, students are placed either into classes in the College Preparatory sequence or directly into credit courses for the AA degree.

Since its inception in 1996, the College Program at San Quentin has graduated 172 students but served over 4,500 enrollees.

Some additional context will be helpful in understanding these numbers: Students entering the College Program often have significant academic deficits from time missed at school and/or dropping out before graduating from high school, and GED programs have been found insufficient to remediate these deficits. (ER-7 SSEBS Write Up) Based on the initial assessment that CSPQ administers to all new students, approximately 90% are first required to take and pass college preparatory courses in order to build their reading, writing, critical thinking and math skills. Students who have diagnosed or undiagnosed learning challenges, and/or insufficient prior school experience, may need to spend more time in pre-college courses. This is encouraged. As a result, a significant proportion of students who may eventually earn degrees are first, and sometimes for an extended period, engaged in preparatory study.

The program is located inside a state prison, with a student body comprised in large part of adults serving long and/or life sentences and with lives and schedules to a great degree not under their own control. This reality changes the nature of students' progress through the program, and many of the generally accepted markers of educational success, including graduation rates and post-graduation employment, must be understood within this context. (See Standard II.A.6, below, for more on degree completion and time to degree at CPSQ.)

### **Documentation**

*List of degrees, course credit requirements, and length of study for each degree program*

As noted above, the College Program at San Quentin offers the associate's degree in General Studies, comprising 61 semester credits. Further specifics can be found in ER-8 CPSQ General Catalog 2019-2020.

*General education courses and requirements for each degree offered*

ER-8 CPSQ General Catalog 2019-2020 (pp. 7-8 lists requirements)

ER-9 CPSQ Course Flow Chart

*Catalog designation of college-level courses for which degree credit is granted*

ER-8 CPSQ General Catalog 2019-2020 (pp. 21-60 list courses; non-credit courses are numbered 00 - 99; credit-bearing courses are numbered 100 - 299)

#### **Eligibility Requirement 4: Chief Executive Officer**

*The institution has a chief executive officer appointed by the governing board, whose full-time responsibility is to the institution, and who possesses the requisite authority to administer board policies. Neither the district/system chief executive officer nor the institutional chief executive officer may serve as the chair of the governing board. The institution informs the Commission immediately when there is a change in the institutional chief executive officer.*

PUP's development has taken place under the leadership of Jody Lewen, who began working with the College Program in 1999 as a volunteer instructor, founded PUP in 2003 as a project funded by the Tides Center, and oversaw the process of PUP's becoming an independent non-profit in 2007. Lewen, who has served as PUP Executive Director since 2000, has played an important role nationally in prison education.

#### **Documentation**

ER-10 Jody Lewen bio with address

ER-11 Jody Lewen CV

*Certification of CEO's full-time responsibility to the institution signed by the CEO and governing board chair*

ER-12 Certification

#### **Eligibility Requirement 5: Financial Accountability**

*The institution annually undergoes and makes available an external financial audit by a certified public accountant or an audit by an appropriate public agency. Institutions that are already Title IV eligible must demonstrate compliance with federal requirements.*

PUP undergoes and makes available an external financial audit by a certified public accountant annually. (It should be noted in reviewing PUP budgets 2016-2018 that most of the labor provided by PUP faculty is provided on a volunteer basis, and that these budgets do not include the value of that labor.)

#### **Documentation**

*Past, current, and proposed budgets*

ER-13 Budget 2017

ER-14 Budget 2018

ER-15 Budget 2019



*Certified independent audits, including management letters (most recent three years suggested)*

ER-16 Audited financials 2015

ER-17 Audited financials 2016

ER-18 Audited financials 2017

*Financial aid program review/audits, if the institution is a participant*

Not applicable

*Student loan default rates and relevant USDE reports, if the institution is a participant*

Not applicable

### **Eligibility Requirements evidence list**

ER-1 Statement of authorization from CDCR

ER-2 Articles of Incorporation

ER-3 3 years of enrollment history

ER-4 All graduates (identifying information removed)

ER-5 Class schedule for Summer 2019

ER-6 Class schedule for Spring 2019

ER-7 SSEBS Write Up

ER-8 CPSQ General Catalog 2019-2020

ER-9 CPSQ Course Flow Chart

ER-10 Jody Lewen bio with address

ER-11 Jody Lewen CV

ER-12 Certification

ER-13 Budget 2017

ER-14 Budget 2018

ER-15 Budget 2019

ER-16 Audited financials 2015

ER-17 Audited financials 2016

ER-18 Audited financials 2017

# Certification of Continued Compliance with Commission Policies

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*The College Program at San Quentin certifies that it continues to be in compliance with the federal regulations noted below, and Commission Policies on Rights and Responsibilities of the Commission and Member Institutions; Institutional Degrees and Credits; Transfer of Credit; Distance Education and on Correspondence Education; Representation of Accredited Status; Student and Public Complaints Against Institutions; Institution Advertising, Student Recruitment, and Representation of Accredited Status; Contractual Relationships with Non-Regionally Accredited Organizations; and Institutional Compliance with Title IV.*

## **Public Notification of an Evaluation Team Visit and Third Party Comment**

*Regulation citation: 602.23(b).*

In mid July 2019, the College Program published a notice of the opportunity for submission of third-party comments on its application for accreditation on its website. The notice includes a link to the Commission's online Third Party Comment form. (CP-1 PUP Education page) On August 15, 2019, the College Program circulated a Third Party Comment form to all current and former students inside San Quentin, along with instructions for submitting the form to ACCJC. (CP-2 Third Party Comment form, with student letter)

## **Standards and Performance with Respect to Student Achievement**

*Regulation citations: 602.16(a)(1)(i); 602.17(f); 602.19 (a-e).*

The College Program has only one credit-bearing degree, the AA degree in General Studies. For its AA degree, the College Program has defined rates of successful course completion and number of graduates as elements of student achievement, and has identified the expected measure of performance within both elements. (CP-3 Student Achievement Data & Institution Set Standards) The program is currently in the process of defining elements of student achievement for its non-credit College Preparatory Program. Student achievement data in the College Program is published on its website, and is incorporated in its planned cycle of program review. (CP-4 Educational Effectiveness Handbook, pg. 20; [Link to Student Achievement Data on Website](#))

## **Credits, Program Length, and Tuition**

*Regulation citations: 600.2 (definition of credit hour); 602.16(a)(1)(viii); 602.24(e), (f); 668.2; 668.9.*

The College Program charges no tuition or fees. Its single AA degree program in General

Studies requires 61 credits, or 20 classes. Academic credit is awarded based on the Carnegie unit, i.e., one credit for 15 hours of class per term and the expectation of two hours of out-of-classroom work for each hour of class time. (CP-5 CPSQ General Catalog 2019-2020, pg. 12) Students must have attended 80% of course hours in order to pass and be awarded this credit. To ensure fulfillment of 15 hours of class contact per credit despite prison-related delays in student movement, courses typically include an additional 340 minutes of scheduled class time per credit. In the case of more serious interruptions, CPSQ alerts instructors and students that any academic term may be extended by up to two weeks.

## **Transfer Policies**

*Regulation citations: 602.16(a)(1)(viii); 602.17(a)(3); 602.24(e); 668.43(a)(ii).*

CPSQ's transfer policy is communicated to students in New Student Orientation, and in the General Catalog (pg. 14) in the following section:

### **TRANSFERRING CREDITS**

Students may transfer a *maximum* of 5 classes from accredited colleges and universities that fulfill comparable degree requirements for the College Program at San Quentin AA degree. However, students are required to complete the core English and math courses and science with lab through the College Program at San Quentin, so you cannot fulfill those requirements with transfer credits. Students may request to transfer credits after completing English 204.

Students who have earned credit from a college or university attended previously and wish to transfer credits to the College Program at San Quentin should complete and submit a "Transcript Request Form," which is available in the office in Education. On the basis of an evaluation of the transcripts, appropriate transfer credit will be awarded. Full transfer credit will be given for courses that carry a grade of "C" or above and are applicable to the student's program at Patten. Transfer courses and grades are not placed on the College Program at San Quentin transcript.

Students are required to complete the core English, math, and lab science courses through CPSQ in order to ensure quality of core courses recognized for the degree. Appropriate transfer credit is awarded on the basis of a positive evaluation of course transcripts for courses for which a student has received a grade of "C" or above and that are applicable to the AA in General Studies. This evaluation includes consideration of the academic quality and accredited status of the sending institution. CPSQ's General Catalog, including transfer policies, is published on its website.

## **Distance Education and Correspondence Education**

*Regulation citations: 602.16(a)(1)(iv), (vi); 602.17(g); 668.38.*

Not applicable. The College Program at San Quentin does not offer distance education, nor does it offer correspondence education.

## **Student Complaints**

*Regulation citations: 602.16(a)(1)(ix); 668.43.*

The College Program has written policies and procedures for handling student grade appeals and student complaints of non-academic misconduct by faculty or students. (CP-5 CPSQ General Catalog 2019-2020, pp. 13, 18; CP-6 Student Grade Appeal Form) For more general complaints directed at the College Program, students have been advised to write out their complaint and submit it to any College Program staff member for discussion and follow-up by staff. In anticipation of its transition away from partnership with Patten University, the College Program will institute a more comprehensive written student complaint policy. This policy will be published in its General Catalog and on the program's website, along with the names of all of the College Program's accrediting, approving, or licensing associations, agencies, or governmental bodies and their procedures for submitting complaints. These entities will include the California Department of Corrections and Rehabilitation (CDCR). San Quentin State Prison has its own inmate complaint policy and procedure that applies to programs run with the authorization of the prison, such as the College Program, and that is widely publicized within the institution. (CP-7 Statement of Authorization from CDCR, CP-8 602 Inmate Appeal Form)

## **Institutional Disclosure and Advertising and Recruitment Materials**

*Regulation citations: 602.16(a)(1)(vii); 668.6.*

The College Program discloses its programs, locations, and policies to students and the public in its General Catalog, published both in hard copy inside San Quentin and online. (CP-5 CPSQ General Catalog 2019-2020) The Catalog includes all required information listed in the *Policy on Institutional Advertising, Student Recruitment and Representation of Accredited Status*. In addition, all new students are provided with the first three sections of the Catalog—general program information, enrollment and registration information, and program policies and expectations—in the Student Handbook, distributed at New Student Orientation. (CP-9 2019-2020 Student Handbook, pp. 3-19)

## **Title IV Compliance**

*Regulation citations: 602.16(a)(1)(v); 602.16(a)(1)(x); 602.19(b); 668.5; 668.15; 668.16; 668.71 et seq.*

Not applicable. The College Program at San Quentin does not administer federal financial aid.

### **Commission Policies evidence list**

CP-1 PUP Education Page

CP-2 Third Party Comment form, with student letter

CP-3 Student Achievement Data & Institution Set Standards

CP-4 Educational Effectiveness Handbook

CP-5 CPSQ General Catalog 2019-2020

CP-6 Student Grade Appeal Form

CP-7 Statement of Authorization from CDCR  
CP-8 602 Inmate Appeal Form  
CP-9 2019-2020 Student Handbook

# Standards

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## Standard I: Mission, Academic Quality and Institutional Effectiveness, and Integrity

*The institution demonstrates strong commitment to a mission that emphasizes student learning and student achievement. Using analysis of quantitative and qualitative data, the institution continuously and systematically evaluates, plans, implements, and improves the quality of its educational programs and services. The institution demonstrates integrity in all policies, actions, and communication. The administration, faculty, staff, and governing board members act honestly, ethically, and fairly in the performance of their duties.*

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### A. Mission

I.A.1

The mission describes the institution's broad educational purposes, its intended student population, the types of degrees and other credentials it offers, and its commitment to student learning and student achievement. (ER 6)

### Evidence of Meeting the Standard

The College Program at San Quentin (CPSQ) recently underwent a process of review and revision of its mission statement in anticipation of its transition from partnership with Patten University to independence. The new mission, adopted by the Board of Directors on August 14, 2019, reads as follows:

The mission of the College Program at San Quentin is to provide an intellectually rigorous, inclusive Associate of Arts degree program and college preparatory program, free of charge, to people at San Quentin State Prison; to expand access to quality higher education for incarcerated people; and to foster the values of equity, civic engagement, independence of thought, and freedom of expression.

For over two decades, CPSQ has offered a single face-to-face credit-bearing program in General Studies, culminating in an Associate of Arts degree, as well as a face-to-face college preparatory program in math and writing, to prepare students to enter credit courses for the AA degree. All credit and non-credit courses are taught at the College Program's single campus, located inside San Quentin State Prison.

In addition to providing an excellent higher education to students at San Quentin, CPSQ works to expand access to quality higher education for incarcerated people throughout California and the United States. CPSQ carries out this aspect of its mission primarily through offering training, advising and logistical support to emerging prison higher education programs. For more on the relation between these aspects of the mission, see Standard I.C.14 below. (I.A-1 2018 Annual Report, pp. 13-16)

CPSQ's mission statement names the values it espouses in its work, including intellectual rigor, inclusivity, equity, civic engagement, independence of thought, and freedom of expression. Many of these values are reflected in its approach to assessing student learning and tracking student achievement. (I.A-2 Educational Effectiveness Handbook, pp. 3-6)

### **Analysis and Evaluation**

The College Program meets the standard. The mission describes the program's educational purpose, with reference to its student population at San Quentin State Prison, its Associate of Arts degree program, its College Preparatory program, and its commitment to expand access to education for incarcerated people. CPSQ's mission statement also describes the broader values the college seeks to promote through its educational programs and advocacy, values which are reflected in its approach to assessing student learning and tracking student achievement.

I.A.2 The institution uses data to determine how effectively it is accomplishing its mission, and whether the mission directs institutional priorities in meeting the educational needs of students.

### **Evidence of Meeting the Standard**

CPSQ has undertaken the collection, analysis, and presentation of data both in order to better understand the needs of its student body and to demonstrate CPSQ's effectiveness across a number of student outcomes central to its mission. Outcomes that CPSQ has evaluated include students' educational and professional outcomes, civic engagement, mental and physical health, family relationships, and social-psychological well-being.

In collecting data on the needs of its student population and in evaluating the outcomes of its program, CPSQ has partnered with social science researchers and data analysts, including Drs. Amy Lerman and Meredith Sadin, of UC Berkeley's Goldman School of Public Policy, and Dr. Melissa Saphir, an independent data analyst and evaluation consultant. In 2015-2016, Dr. Saphir and CPSQ staff collaborated to design and carry out a Social and Educational Background Survey, which resulted in the following data:

- 92% of students surveyed had a gap in their earlier schooling, often caused by financial problems that required them to get a job and leave school, or by disciplinary problems
- Almost 90% directly experienced violence or abuse while growing up
- Nearly one-half had experienced homelessness
- 36% had experienced not having enough food to eat
- One-third of students reported that they either have been diagnosed with a learning disability or suspect that they have one
- When asked to recall their earlier school experiences, 54% reported that they had found concentrating in class somewhat or very difficult
- Forty-six percent found sitting still to be difficult, while 26% found listening to be difficult. (I.A-3 SSEBS write-up)

This data reinforced available qualitative evidence of students' common experiences and challenges, drawn from direct student reports, observation of classroom dynamics by staff and faculty, and staff review of New Student Bios, completed by each entering student. (I.A-4 New Student Bios) The Learning Specialist staff position was added to the College Program in Spring of 2019, in part as a response to overwhelming evidence of student need for support in overcoming learning challenges related to trauma and learning differences. The Learning Specialist will enhance the College Program's student support services and integrate trauma-informed practices throughout its offerings, by increasing staff and instructor capacity to recognize learning differences and other barriers to success for our students; by devising effective strategies for supporting students and instructors in overcoming these barriers; and by increasing awareness about the field of learning differences throughout the program. (I.A-5 Learning Specialist Job Description)

In addition to collecting data on its student body, the College Program has evaluated a range of student outcomes in partnership with Dr. Lerman. In 2016, Dr. Lerman's team carried out in-person interviews with 27 College Program alumni, focusing on students' educational and professional outcomes, civic engagement, mental and physical health, family relationships and social-psychological well-being as a result of participation in the program. (I.A-6 2016 Qualitative Study) College Program alumni reported that "their education provided long-term improvements in outcomes for them, as well as for their families and the correctional administration as a whole." (pg. 1) The results of this study were published in a white paper available on the Program's website. (I.A-7 PUP R&E page)

Starting in 2017, Dr. Lerman's team began a longitudinal study of current CPSQ students, focusing on individual-level outcomes associated with higher education. (I.A-8 [Link to Draft 2019 White Paper, Longitudinal Study](#)) Outcomes included civic engagement and leadership, mental and physical health, healthy family and peer relationships, confidence in one's capacity to effect change and influence others, positive self-concept, and confidence in core skills (working with others, communicating verbally, communicating in writing, and speaking in public). For the first wave of the longitudinal study, Dr. Lerman's team surveyed 245 new and continuing students. The results of the first wave suggest that participation in CPSQ "not only improves [students'] skills and abilities, but also positively impacts students' relationships with their peers and their families, improves their self-identity, and encourages lifelong learning."



(I.A-8 [Link to Draft 2019 White Paper, Longitudinal Study](#), pg. 1) Dr. Lerman presented her initial results to the full Board at its annual retreat on June 8, 2019. (I.A-9 2019 Board Retreat Agenda) Initial results will also be presented and discussed by the Program Team, once Dr. Lerman's report is finalized. (I.A-10 Program Team Org Chart)

Evaluation of mission fulfillment also takes place through practices of observation and documentation carried out by staff and faculty at CPSQ. Program Team staff, under the leadership of the Academic Program Director, coordinate and administer all CPSQ academic programs, including instructional programs and support services. These staff members also provide the primary points of contact and orientation for faculty (e.g. course instructors, tutors, research assistants) each academic term. The Program Team has generally relied on comprehensive practices of observation and documentation to become aware of the program's most pronounced challenges and successes in meeting the mission.

In addition to the two on-site Program Clerks, who work full-time inside San Quentin State Prison, the Program Team collectively spends approximately 30 hours per week inside the prison and an additional 20 hours escorting faculty in and out of the prison. Program Team staff know the approximately 280 students and 100 volunteers participating in each term, often by name, and are aware of individual students' struggles and successes as a result of personalized documentation practices. In addition to collecting entering students' demographic and educational background information, staff solicit and review a New Student Bio for every entering student. (See Standard II.C.8, below.) (I.A-4 New Student Bios) Throughout each academic term, Program Team staff document their observations and interactions with faculty and students, to allow for dissemination of information throughout the team and for the capture of trends. Conferencing sessions with students and conversations between staff and faculty about students are recorded in a Program Team chat called the Daily Debrief, stored in the organization's Salesforce database. (I.A-11 Daily Debrief Sample) In addition, course coordinators on the Program Team review course wikis. These are used by the instructors in each course to record information about class sessions, and about students' academic progress. (I.A-12 Sample Course Wiki; I.A-13 Team Teaching Materials) Wikis are used by instructors in a given academic term, and are also provided to instructors in later iterations of the course, to allow for the identification of themes that emerge across courses as well as to inform improvements for future courses. Program Team staff make use of information drawn from all these sources in improvement planning, which takes place in weekly and biweekly meetings. (See Standard II.A.2, for a description of all regular meetings held by Program Team staff.)

CPSQ is currently strengthening its internal systems and practices surrounding the collection, analysis, and presentation of data related to mission fulfillment. In this work, CPSQ has collaborated with experts in assessment at the National Institute for Learning Outcomes Assessment (NILOA). (I.A-14 Erick Montenegro CV) CPSQ has also engaged Dr. Melanie Booth, currently Associate Vice President of Institutional Effectiveness at Dominican University of California and national assessment consultant, to support its capacity building on an ongoing basis. (I.A-15 Melanie Booth CV) Going forward, CPSQ's Program Team, in collaboration with a Faculty Committee currently in development, will incorporate learning outcomes assessment

data in its program review cycle for the College Preparatory and AA degree programs. (I.A-2 Educational Effectiveness Handbook) Aggregated information recorded in New Student Bios, Daily Debriefs, and course wikis will also feature in the program review cycle, along with aggregated information from Individual Learning Plans, currently in development by the Learning Specialist. (I.A-16 Individual Learning Intake, beta)

### **Analysis and Evaluation**

The College Program meets the standard. The collection and reporting of data to demonstrate the achievement of key aspects of CPSQ's mission is a regular practice of the college, and influences improvement planning in combination with sources of evidence made available by staff's deep familiarity and engagement with the CPSQ student body. All CPSQ staff are deeply committed to the educational mission of the College Program. Staff members in charge of administering the academic program gather information on students' educational needs on a daily basis, and use this information in regular Program Team meetings to determine priorities. This information will be incorporated into the regular schedule of Program Team meetings, and into the meetings of the planned Faculty Committee. (See Standard II.A.2 for a description of existing meetings of the Program Team.)

In its current period of organizational expansion, CPSQ plans to strengthen its systems and processes for data collection and analysis, in order to better support institutional effectiveness and ensure mission fulfillment. Data aggregated and analyzed will include data from New Student Bios, the Daily Debrief, course wikis, and Individual Learning Plans, which will be incorporated explicitly in the improvement planning undertaken by the Program Team and Faculty Committee.

In the course of its capacity-building work, CPSQ has developed an Educational Effectiveness Handbook, which defines its key data collection and analysis processes for student achievement and student learning, as well as data-informed methods to continually monitor and improve the effectiveness of student services and co-curricular programming, all of which feed into the assurance of mission. (I.A-2 Educational Effectiveness Handbook) The Handbook was developed in collaboration with Dr. Booth, current Associate Vice President in charge of institutional effectiveness at Dominican University of California and national assessment consultant. Going forward, Dr. Booth will continue serving as a consultant at CPSQ on institutional effectiveness, and CPSQ will seek additional support from experts in the use of assessment data at NILOA. The Academic Program Director will be accountable for carrying out the cycle of assessment, systematically bringing in relevant data in the Program Team's improvement planning processes, and in reporting data to the Board's Academic Affairs Committee. (See Standard I.B.1 below for more on the Academic Affairs Committee.) This data will also play a role in the work of the Faculty Committee, which will be recruited in Spring 2020.

**I.A.3**

The institution's programs and services are aligned with its mission. The mission guides institutional decision-making, planning, and resource allocation and informs institutional goals for student learning and achievement.

**Evidence of Meeting the Standard**

CPSQ offers two face-to-face instructional programs: a credit-bearing program in General Studies, culminating in an Associate of Arts degree, and a non-credit College Preparatory program. All of CPSQ's instructional programs and supporting services are offered at the College Program's single campus, located inside San Quentin State Prison. In keeping with its mission, the College Program does not charge tuition or fees for its offerings.

In pursuing the General Studies curriculum, students gain a foundation of knowledge and skills from across the liberal arts, including the humanities, fine arts, mathematics, and the social and physical sciences. The General Studies program learning outcomes reflect this breadth of knowledge and skills. (I.A-17 CPSQ General Catalog 2019-2020) Typically, students enter the College Program with significant gaps in their educational history. (I.A-2 SSEBS write-up) Based on placement tests in math and writing administered when students enroll, the vast majority of CPSQ students are required to take non-credit College Preparatory courses before admission to credit courses, in order to build their reading, writing, critical thinking, and math skills, and to foster the social and psychological capacities needed to succeed in college level coursework. (See II.C.7, below, for recent placement results.) Outcomes for the College Preparatory program are that students will obtain hard and soft skills that (i) enable them to complete college coursework; (ii) equip them to advocate for themselves and shape their learning community as a student; and (iii) are transferable to a variety of academic, professional and social contexts. (I.A-2 Educational Effectiveness Handbook, pp. 9-11)

CPSQ's mission is to provide an intellectually rigorous and inclusive education to students at San Quentin, while promoting equity, civic engagement, independence of thought, and freedom of expression. (I.A-18 PUP Bylaws, pp. 1-2) Research on the college's alumni outcomes suggest that CPSQ's instructional programs are highly aligned with its mission. Alumni report that the College Program positions its students to think independently and critically, to overcome past experiences of marginalization in education in order to engage fully in their courses, and to give back to their communities. (I.A-5 2016 Qualitative Study, pp. 8-10, 18-20, 42-48) Both alumni and external reviewers suggest the College Program recruits high quality teachers and operates at a high level of academic rigor. (I.A-19 2014 External Review, pg. 1; I.A-5 2016 Qualitative Study, pp. 11-14)

In addition to its instructional programs, CPSQ also offers a variety of learning support services. Learning support services are designed to promote student success in both the AA degree program and College Preparatory program. Services are offered based on their role in promoting equity and inclusivity, as well as in support of student success more broadly. For example, CPSQ provides every student with the textbooks, library materials, and research

materials needed to complete its instructional programs, as well as a standard issue set of school supplies, free of charge. Similarly, through its training of study hall tutors, personalized New Student Bios, flexible student accommodations, and Individual Learning Plans overseen by its Learning Specialist, CPSQ seeks to include and effectively support students often pushed to the margins in educational institutions. (I.A-3 New Student Bios; I.A-15 Individual Learning Intake, beta; I.A-20 Study Hall Norms) See Standard II.B.1, for further learning support services offered at CPSQ.

Co-curricular activities are designed in accordance with multiple aspects of the mission, including promoting independent thought through student engagement with a diversity of ideas, opinions, perspectives, and cultures; promoting equity by preparing students for success in a broad range of academic and professional pathways; and promoting civic engagement by developing the capacity and opportunity for leadership and innovation by students. (I.A-18 PUP Bylaws, Bylaw 2.1, pg. 1; I.A-21 Co-curricular Activities Guidelines) For examples of such activities from the past two years, see Standard II.C.4 below.

In keeping with CPSQ's commitment to developing student leadership and fostering an inclusive learning community, students have multiple avenues for influencing college activities. Students are encouraged to propose new activities to Program Team staff using a designated form for this purpose. (I.A-22 Student Activities Suggestion Form) All student suggestions are evaluated by the Program Team based on logistical feasibility and purpose, and receive a response from staff. (I.A-21 Co-curricular Activity Guidelines; I.A-23 Co-curricular Activity Approval Process) In addition, CPSQ has begun developing mentorship and representative roles for students, such as the student teaching assistant program and student-led committees. (I.A-24 TA Letter; I.A-25 Annual Conference Committee Invitation) For a list of these opportunities, see Standard II.C.4.

Institutional decision-making, planning, and resource-allocation takes place through the weekly meetings of the Executive Team, composed of senior staff from across the organization. In the daily life of the organization, the Executive Team, made up of the Executive Director, Academic Program Director, the Director of Development and Communications, and Chief Operations Officer, seeks to ensure mission fulfillment. All members of the Executive Team have a strong commitment to the organization's mission. Decisions regarding resource allocation and long-term planning receive additional oversight at the level of mission fulfillment by the Board's Finance Committee, Academic Affairs Committee, and Governance Committee, as well as in the quarterly meetings of the full Board. (I.A-26 Finance Committee Charge, I.A-27 AAC Charge, I.A-28 Governance Committee Charge) Board members also demonstrate a strong commitment to the organization's mission, and include many former and current CPSQ faculty as well as a CPSQ graduate. See Standard IV.C.5 for a further description of the role of the Board in mission alignment.

### **Analysis and Evaluation**

The College Program meets the standard. The solid grounding in foundational academic and classroom skills provided by the College Preparatory program allows students with prior

disruptions in their education to build confidence and skills needed to be successful in college-level courses. Once they enter credit courses, students benefit from the broad knowledge and skills foundation provided by the AA degree in General Studies, which prepares them for a wide range of future educational and career trajectories. The instructional programs align with the mission by providing students with an inclusive, academically rigorous education, and promoting equity, civic engagement, and independence of thought among its students. Learning support services and co-curricular offerings are also chosen according to their alignment with the CPSQ mission, specifically with an eye to promoting equity and inclusivity, independent thought, and civic engagement.

In keeping with its mission, the College Program does not charge tuition or fees for its offerings. This is critical to upholding equity in its instructional programs. While some CPSQ students have the means to finance their education, for many other students, charging tuition or fees would either exclude them from the College Program entirely, impose financial burdens on their families and communities, or push them into debt without any immediate means of repayment. In foregoing tuition and fees, and in providing all other materials free of charge, CPSQ upholds its fundamental values of equity and inclusivity. (See Standard II.B.1, below, for more on materials at CPSQ.)

I.A.4 The institution articulates its mission in a widely published statement approved by the governing board. The mission statement is periodically reviewed and updated as necessary. (ER 6)

### **Evidence of Meeting the Standard**

The current mission statement is publicly available at the link below, and is also published in outward facing materials. These include the Student Handbook distributed in hard copy to every entering student and on the organization's website, as well as the General Catalog available for student reference inside San Quentin and on the website. (I.A-29 2019-2020 Student Handbook, pg. 3, I.A-17 CPSQ General Catalog 2019-2020, pg. 3)

<https://prisonuniversityproject.org/about-us/our-mission/>

It is important to note that currently incarcerated students are unable to access the internet directly; however, online resources are often accessed by those (typically family members, friends, supporters, prison staff, etc.) who are acting on behalf of current or prospective students. CPSQ strives to widely disseminate all official descriptions of its values and mission to students in written materials, as well as online. (I.A-29 2019-2020 Student Handbook, pg. 3)

The mission statement is periodically reviewed and updated. In Summer 2019, in anticipation of the college's transition from partnership with Patten University to independence, CPSQ's leadership reviewed and revised the mission statement. Key participants in this process were

the Board's Accreditation Working Group, the Executive Director, and the Academic Program Director. (I.A-30 AWG Minutes on mission statement revision)

As part of the revision process, the Executive Director requested community feedback on the purpose and values of the College Program through a single page survey sent to current and former faculty, students, staff, and donors. (I.A-31 Meaning Purpose and Values Survey Responses) The Executive Director received close to 200 responses. Community and student responses were reviewed by the Executive Director, the Academic Program Director, and the Board's Accreditation Working Group (AWG). (I.A-32 Responses from Students Meaning, Purpose, and Values; I.A-33 Responses from Community Meaning, Purpose, and Values; I.A-34 Board AWG 8:1:19 minutes) The revised mission statement was approved by the Board's Accreditation Working Group on August 1, 2019. (I.A-30 AWG notes on mission statement revision, pg. 13) The full Board voted to adopt the statement at its August 14, 2019 meeting. (I.A-35 8:14:19 Board minutes)

### **Analysis and Evaluation**

The College Program meets the standard. The mission statement is published on the organization's website and in hard copy on outward facing materials. It is periodically revisited and updated as necessary by the Executive Director, in partnership with the Board and the head of the Academic Program.

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### **Conclusions on Standard I.A. Mission**

Throughout its history, the College Program at San Quentin has consistently demonstrated its strong commitment to, and alignment of programs and services with, its values-driven mission, which emphasizes access and academic quality; inclusivity; student success; and equity, civic engagement, independence of thought, and freedom of expression.

### **Improvement Plan(s)**

One major area for improvement is planned in regard to Standard I.A.Mission: the use of data in evaluating the achievement of the mission is being deepened. Going forward, data will be incorporated more explicitly and systematically for the purposes of continuous quality improvement in programs and services to ensure alignment to the mission. Data aggregated and analyzed will include learning outcomes assessment data, as well as data from New Student Bios, the Daily Debrief, course wikis, and Individual Learning Plans. As CPSQ continues to develop its capacity and further sophistication in its internal systems and practices of collecting, analysing, and using data, staff will be better able to systematically assess and identify needed improvements to address students' needs and confirm mission fulfillment.

### **Evidence List**

I.A-1 2018 Annual Report

I.A-2 Educational Effectiveness Handbook  
I.A-3 SSEBS write-up  
I.A-4 New Student Bios  
I.A-5 Learning Specialist Job Description  
I.A-6 2016 Qualitative Study  
I.A-7 PUP R&E page  
I.A-8 [Link to Draft 2019 White Paper, Longitudinal Study](#)  
I.A-9 2019 Board Retreat Agenda  
I.A-10 Program Team Org Chart  
I.A-11 Daily Debrief Sample  
I.A-12 Sample course wiki  
I.A-13 Team Teaching Materials  
I.A-14 Erick Montenegro CV  
I.A-15 Melanie Booth CV  
I.A-16 Individual Learning Intake, beta  
I.A-17 CPSQ General Catalog 2019-2020  
I.A-18 PUP Bylaws  
I.A-19 2014 External Review  
I.A-20 Study Hall Norms  
I.A-21 Co-curricular Activities Guidelines  
I.A-22 Student Activities Suggestion Form  
I.A-23 Co-curricular Activity Approval Process  
I.A-24 TA Program Description  
I.A-25 Annual Conference Committee invitation  
I.A-26 Finance committee charge  
I.A-27 AAC charge  
I.A-28 Governance committee charge  
I.A-29 2019-2020 Student Handbook  
I.A-30 AWG Minutes on mission statement revision  
I.A-31 Meaning, Purpose, and Values Survey Responses  
I.A-32 Responses from Students, Meaning, Purpose, Values  
I.A-33 Community Responses Meaning, Purpose, Values  
I.A-34 Board AWG 8:1:19 minutes  
I.A-35 8:14:19 Board minutes

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## **B. Assuring Academic Quality and Institutional Effectiveness**

### **➤ Academic Quality**

I.B.1 The institution demonstrates a sustained, substantive and collegial dialog about student outcomes, student equity, academic quality,



institutional effectiveness, and continuous improvement of student learning and achievement.

### **Evidence of Meeting the Standard**

Dialogue concerning challenges and successes in bringing about positive outcomes for students, as well as in realizing equity, academic quality, and continuous improvement, takes place continuously at all levels of the College Program.

#### Dialogue among and with Faculty

New faculty are introduced to the College Program's focus on student equity, academic quality, and its goals for student learning, through CPSQ's process of orientation and training. Faculty trainings provide an introduction to the philosophy of the program, particularly as it relates to equity, accessibility, and academic quality. (See Standard III.A.8 below, for a description of required faculty trainings.) CPSQ's philosophy in these areas is reinforced through regular and ongoing course observations and instructor feedback by staff academic coordinators. With the exception of non-STEM credit courses, academic coordinators regularly observe teaching sessions in CPSQ courses and provide instructors feedback. While course observations are currently carried out in non-STEM credit courses on an as-needed basis only, planning is underway to institute regular observation in all courses. (I.B-1 Course Observation Protocol)

Among continuing instructors, tutors, and other faculty, dialogue about student equity and academic quality takes place with their staff coordinator, with co-instructors or fellow tutors, with other Program Team staff, and with students. Instructors discuss these themes on course site wikis and in faculty meetings coordinated by staff and other program leadership, as needed. (I.B-2 Sample course wiki; I.B-3 Team Teaching Materials; I.B-4 Notes from the Board's faculty meeting) Throughout its history, CPSQ's faculty and academic staff have planned and carried out improvements for all aspects of the College Program continuously, from student learning outcomes, to the academic quality of the curriculum, to the training and orientation of faculty. (See Standard II.A.2, for prominent examples, and I.B-5 CPSQ History.) Starting in 2020, the role of CPSQ faculty in college dialogue will be further formalized through the addition of a Faculty Committee. The committee's responsibilities and scope of authority are currently being refined by the Academic Program Director, in partnership with the Executive Director and the Board's Accreditation Working Group. (I.B-6 Faculty Committee Draft Charge; I.B-7 Educational Effectiveness Handbook)

#### Dialogue among and with Staff

Among staff, dialogue around student outcomes, academic quality, institutional effectiveness, and continuous improvement is also continuous. Informally staff engage each other, faculty, and students in conversations about the program's outcomes and its efforts to achieve equitable practices on a daily basis. Formally, staff dialogue takes place in the following fora:



- **Executive Team meetings:** The Executive Team, consisting of the Executive Director, Academic Program Director, Development and Communications Director, and Chief Operations Officer, meet every week to discuss the operation of the organization and staffing, with an eye to institutional effectiveness.
- **Staff meetings:** Full staff meetings take place twice monthly, and provide a forum to communicate major developments within each team to the broader staff. Staff also frequently use this space as a forum to seek feedback and suggestions regarding their projects, including projects related to the educational mission.
- **Program Team meetings:** Program Team staff meet on a weekly basis to discuss challenges with program coordination, student support services, and learning support services. These conversations often involve discussion of student outcomes and equity in the provision and design of learning and student services.
- **Academic Team meetings:** The Academic Team consists of the four members of the Program Team staff with primary responsibility for coordinating the instructional programs and study hall: the Academic Program Director, the STEM Program Coordinator, the College Preparatory Writing Coordinator, and the Learning Specialist. These four staff meet as a group on a biweekly basis to discuss recurring issues specific to these offerings, including the academic quality of offerings, student learning outcomes, and equity issues related to course design, materials, and pedagogical techniques.
- **Program Team supervisory meetings:** The Academic Program Director meets individually with the STEM Program Coordinator, the College Preparatory Writing Coordinator, the Learning Specialist, and the Director of Student Affairs on at minimum a biweekly basis, to remain current on their projects and challenges they have encountered.
- **Escorts:** Since only individuals with a certain level of clearance can walk unaccompanied between the entry gate of the prison and the Education buildings, CPSQ staff escort faculty to/from their courses. Instructors and Program Team staff regularly discuss student outcomes and the academic quality of courses during escorts into and out of San Quentin. This information is disseminated throughout the program team using the “Daily Debrief” tool.
- **The Daily Debrief:** Staff conferencing sessions with individual students and all conversations between staff and instructors are recorded in a Program Team chat called the Daily Debrief, stored in the organization’s Salesforce database. This tool allows staff to communicate and document evidence of student outcomes in particular offerings and the academic quality of particular courses, as well as any challenges the administration of the program. This documentation is used to inform program improvement. (I.B-8 Daily Debrief Sample)
- **Course observations:** In College Preparatory and STEM credit courses, academic coordinators regularly observe teaching sessions and provide instructors feedback on

improvement. While course observations in other credit courses are currently carried out on an as-needed basis only, planning is underway to institute regular course observation in credit courses. (I.B-1 Course Observation Protocol)

#### Dialogue among and with the Board

The Board's Academic Affairs Committee (AAC) also plays a role in overseeing student outcomes in collaboration with the Academic Program Director. (I.B-9 2016-2018 Board AAC Charge) From 2016 to 2018, the Committee contributed to dialogue around student outcomes, equity, and institutional effectiveness, as well as potential improvements, through the following activities:

- review of College Program policies regarding plagiarism, multiple repeats of courses, and faculty clothing and behavior, in order to suggest improvements (I.B-10 June 2016 AAC Meeting Agenda);
- discussion of indirect evidence regarding student learning, such as tutor concerns about student readiness for complex course materials (I.B-11 March 2018 AAC Meeting Notes);
- discussion of upcoming College Program goals, including the planned review of the AA degree composition sequence and the creation of workshops/lecture series (I.B-12 January 2017 AAC Meeting Agenda; I.B-13 August 2017 AAC Meeting Notes);
- coordination of one faculty meeting per term, to collect feedback and further formalize the faculty role in the governance of the College Program (I.B-4 Notes from the Board's faculty meeting).

In its first iteration, the Committee's oversight role in relation to the operational role of the Program Team and the academic role of faculty was not entirely clarified. In a series of meetings in Summer 2019, the Board's Accreditation Working Group (AWG), consisting of four Board members, the Executive Director, and the Academic Program Director revised the Committee's charge to clarify its role in reviewing key indicators of student success, as well as approving policy improvements and programmatic innovations. The AAC's responsibilities now include regular review of student learning and student achievement data, in addition to oversight of current academic policies, degree requirements, and identifying needed program policies. (I.B-14 New AAC Committee Charge)

#### Dialogue among and with Students

The College Program foregrounds students' voices and perspectives in evaluating its effectiveness, based on the shared belief that students have a privileged perspective on their own learning and development. (I.B-7 Educational Effectiveness Handbook, pg. 3) The College Program therefore strives to foster dialogue with and among its students about its assessment of student outcomes, student equity, academic quality, institutional effectiveness, and continuous improvement.

Staff regularly solicit student feedback on CPSQ's instructional programs, support services, organizational communications, and the broader goals and values of the College Program itself. (I.B-15 Summer 2019 Student Feedback Survey; I.B-16 Mission, Values, Meaning Student

Survey; I.B-17 Letter and Survey to Students for Communications Audit; I.B-18 2018 Student Goals Survey Sample) Depending on its subject, student feedback may be reviewed and discussed by Program Team staff, the Executive Director, staff in Operations or Development/Communications, and/or the appropriate organs of the Board. (I.B-19 AWG notes on mission statement revision, pp. 4, 6)

Recently, the Program has begun developing student mentorship and representational roles in the College Program, as well as spaces for community dialogue with students, staff, and other stakeholders. The recent Town Hall on Independence, held on June 29, 2019, provides one example of the latter kind. (I.B-20 PUP/CPSQ Town Hall Agenda) The former include the student-led Diversity Equity, and Inclusion Committee, currently in development, as well as the annual academic conference planning committee and the student teaching assistant program. (See Standard II.C.4 below for a detailed description of these student roles.)

### **Analysis and Evaluation**

The College Program meets the standard. The College Program maintains a strong and sustained focus on its students at all levels of the organization, and strives to address students as whole persons. Dialogue regarding student outcomes, and realizing equity, academic quality, and continuous improvement takes place on an informal and formal basis at multiple levels of the organization. This dialogue involves faculty, staff, Board members, and frequently students, and is included in training and orientation offered to all new faculty, including instructors, tutors, and research assistants. The College Program also continually undertakes improvements for these structured discussions.

I.B.2 The institution defines and assesses student learning outcomes for all instructional programs and student and learning support services. (ER 11)

### **Evidence of Meeting the Standard**

CPSQ has defined learning outcomes for all credit courses, all non-credit courses, and for the AA degree program in General Studies, as well as outcomes for the College Preparatory program. The following summarizes CPSQ's current progress toward defining and assessing student learning outcomes for instructional programs and its support services.

#### AA Degree Program Learning Outcomes

Throughout its twenty year history, CPSQ's AA degree in General Studies has been run as an extension site of Patten University (formerly Patten College). The program learning outcomes for CPSQ's sole degree program in General Studies were therefore originally determined by Patten University. These program learning outcomes were included in the Student Handbook given to all new students. (I.B-21 2018-2019 Student Handbook, pg. 3) As part of its assessment

activities, CPSQ's Academic Program Director mapped individual courses in the College Program to the program learning outcomes. (I.B-22 2016 Curriculum Map)

In anticipation of the closure of Patten, CPSQ has carried out a review and revision of the General Studies program learning outcomes, using feedback from recent course instructors about Patten's original outcomes. (I.B-23 Spring 2019 Instructor Survey on SLO's) After review of this feedback, consultation with Dr. Melanie Booth, an expert in learning outcomes assessment, and review of draft program learning outcomes by the Board's Accreditation Working Group, the following learning outcomes for the AA in General Studies were created and adopted:

- **Written and Oral Communication:** Students will be able to communicate clearly and effectively in written and oral forms in a broad array of social, professional, academic, and civic contexts.
- **Quantitative Reasoning:** Students will be able to use a variety of quantitative methods, including arithmetical, algebraic, geometric and statistical methods, to understand and solve problems.
- **Research and Information Competency:** Students will be able to locate, evaluate, analyze, interpret, and synthesize a broad range of source materials.
- **Critical Thinking:** Students will be able to think independently and creatively, to develop self- and other-awareness, including the ability to see the world through multiple perspectives, and to integrate these skills into daily life.
- **Values:** Students will be able to articulate and to critically reflect upon their own values and the values of others. They will be able to identify ethical concepts and principles, and to use them in reasoning.
- **Global Awareness:** Students will be able to demonstrate an awareness of a complex and interdependent world beyond their own surroundings and communities, and an understanding of their identities and actions as part of and related to that world.

In developing its learning outcomes assessment systems, CPSQ will create a new Curriculum Map in Fall of 2019 to align course activities and outcomes to these new program learning outcomes. The Educational Effectiveness Handbook details initial strategies that will be used to assess these outcomes. (I.B-7 Educational Effectiveness Handbook, pg. 9)

#### College Preparatory Program Outcomes

Outcomes for the College Preparatory program at CPSQ are that students will obtain hard and soft skills that:

- enable them to complete college coursework;
- equip them to advocate for themselves and shape their learning community as a student;

- are transferable to a variety of academic, professional and social contexts.

Hard skills developed in the College Preparatory Program include the ability to:

- Plan and draft essays with coherent sentences in a register and genre appropriate for the audience using standard conventions
- Develop argument structure with an analysis that includes a well-reasoned thesis supported with relevant evidence and examples
- Determine essay structure based on purpose, material, and audience
- Demonstrate ability to switch between language registers based on situation
- Critique the reasoning of others
- Employ reading strategies, comprehension, and critical reading skills for college success
- Use academic terminology and recognize college-related documents and their purpose
- Exhibit fluency in number systems, the foundations of Algebra, decimals, fractions, order of operations, introduction to exponents and roots, and applications
- Carry out basic mathematical operations
- Solve problems using quantitative reasoning

Soft skills developed in the College Preparatory courses include the ability to:

- Employ effective study skills, including organization, time management, note-taking techniques, problem solving, test taking, etc.
- Set and monitor goals
- Advocate for oneself
- Engage in reflection and self-assessment
- Practice metacognition
- Distinguishing one's learning style from that of peers
- Respond to feedback effectively
- Engage in learning as a process rather than a single event
- Participate effectively in collaborative and team-based learning

Students' hard and skills are assessed at multiple points in the College Preparatory program. All new students take assessments in math and writing. Entry assessments are designed to evaluate students' readiness for credit coursework, as well as to place students early or late in the noncredit sequence, depending on skill levels. Learning activities and assessments of the key skill areas have been developed that are aligned to the outcomes listed. Final student results in each course are delivered through an end-of-semester assessments by instructors. (I.B-7 Educational Effectiveness Handbook, pp. 9-11)

#### Credit and Non-Credit Course Learning Outcomes

Learning outcomes are defined for every credit and non-credit course at CPSQ and listed in the General Catalog. (I.B-24 CPSQ General Catalog 2019-2020) As part of the course qualification process for all credit courses, instructors must include course learning outcomes on their syllabi, and must also map learning outcomes to scheduled class content. For non-credit courses, syllabi and reading materials are standardized to align with the learning outcomes. Going forward, the direct assessment of course and program learning outcomes for both instructional programs will be systematized. (I.B-7 Educational Effectiveness Handbook, pp. 9-15)

#### Co-curricular and Support Services Learning Outcomes

Historically, staff have evaluated student support services and co-curricular activities based on anecdotal feedback from students and faculty, direct observation, limited collection of data on service usage, and formal collection of student and faculty feedback. (I.B-15 Summer 2019 Student Feedback Survey; I.B-25 Spring 2019 Volunteer Faculty Survey, pp. 1-5) Staff have recently begun to identify learning outcomes for these services and activities, and to define strategies for systematically assessing those outcomes. (I.B-26 Program Team Outcomes Map Meeting Notes) As these approaches are further defined, they will be codified in future versions of the Educational Effectiveness Handbook.

#### Capacity-Building for Learning Outcomes Assessment

While CPSQ has conducted assessment of learning at the student level, the program is currently developing its capacity to carry out learning outcomes assessment systematically and at all levels. In the course of its capacity-building work, CPSQ has developed an assessment cycle, described in its Educational Effectiveness Handbook. Program Learning Outcomes for the AA degree program will be assessed on a 5-year cycle, primarily through mapping of course learning outcomes to program learning outcomes and embedded course assignments and signature work within courses, but also through other direct and indirect means. This mixed method allows faculty who teach courses to not only ensure student learning at the student and course level, but also to engage in a larger assessment of the program learning outcomes that their courses contribute to. (I.B-7 Educational Effectiveness Handbook, pg. 12)

Going forward, the Academic Program Director will be accountable for carrying out the cycle of assessment, and for communicating results throughout the college community. (See Standard I.B.1 above for more on the Academic Affairs Committee.)

#### **Analysis and Evaluation**

As part of its transition away from partnership with Patten University, the College Program has taken ownership of its student learning outcomes and their assessment for all aspects of its programs. To date, assessment of student learning outcomes has been done less formally than is the intention in the future. However, the College Program has made significant progress in the realm of learning outcomes assessment. With the support of experienced practitioners in the field, CPSQ continues to build its capacity to conduct assessments of learning outcomes in both its instructional and support programs. Strong assessment practices exist in the College Preparatory program at the student level, and improvements are currently underway to collect

additional evidence of course and program-level outcomes. The Educational Effectiveness Handbook will continue to be developed to codify and systematize CPSQ's learning outcomes assessment practices.

I.B.3

The institution establishes institution-set standards for student achievement, appropriate to its mission, assesses how well it is achieving them in pursuit of continuous improvement, and publishes this information. (ER 11)

### Evidence of Meeting the Standard

CPSQ has established institution-set standards for student achievement measures, including graduation rates and rates of successful course completion. (See Student Achievement and Institution-Set Standards, above.) This information is published on the College Program's website. ([Link to Student Achievement Data on Website](#)) Student achievement rates were set by the Executive Director, in consultation with the Academic Program Director, the Board's Accreditation Working Group, and the program's external consultant in learning outcomes assessment and program quality, Dr. Melanie Booth. (I.B-19 AWG notes on mission statement revision, pp. 6-13)

In setting its student achievement rates, CPSQ considered its historical rates of achievement over the prior three years in successful course completion, as well as its number of graduates each year in the recent history of the College Program. Given the particular circumstances of CPSQ, it is difficult to draw conclusions from comparisons of its achievement rate with peer institutions; its graduation rate is significantly lower than other two year colleges in California, yet its course completion rate is significantly higher than some peer institutions.

In keeping with its mission of offering an excellent education to students, CPSQ has the goal of increasing the size of its graduating student class despite numerous predictable obstacles, including:

- Scheduling conflicts that prevent students from taking course loads sufficient for degree completion before their parole, including mandatory jobs inside the prison and court-mandated rehabilitative programs
- Space constraints, which often prevent CPSQ from offering multiple sections of high demand courses at different times
- Interruptions to students' course of study caused by involuntary transfer to another correctional institution, lockdowns, or placement in administrative segregation for disciplinary or protective reasons
- Disincentives to graduate from CPSQ, as a result of rules created by San Quentin or the state-level California Department of Corrections and Rehabilitation (for example, past policies that put students in danger of transfer out of San Quentin after graduation,

giving those who wished to remain at San Quentin a strong reason to slow their progress through the degree)

- Court proceedings, parole board preparation, and other engagement with the judiciary system that result in gaps in enrollment, or that lead to early parole and release before graduation
- The stressors of prison, separation from family, and various ramifications of trauma that impact mental, emotional and/or physical health and lengthen a student's course of study

As part of setting out to achieve this goal, CPSQ will study current obstacles, discuss strategies to address them, and create a plan for implementation. In addition to judging its effectiveness in terms of its successful graduates, the College Program will continue to assess other measures of effectiveness, taking into account students' stated interests and goals. (I.B-18 2018 Student Goals Survey Sample; I.B-7 Educational Effectiveness Handbook, pp.16-19)

Also in keeping with its mission, CPSQ aims for a high rate (90%) of successful course completion by its students. CPSQ seeks to support every student in achieving the learning outcomes of the General Studies degree and the College Preparatory program. However, a high rate of successful course completion is not meaningful without balancing quality and aligning grades with achievement of course learning outcomes. Appropriate academic rigor at CPSQ has been a subject of ongoing discussion in the college community, both presently and historically. (I.B-5 CPSQ history, pp. 3-7) CPSQ's new instructor orientation activities for credit courses address syllabus design and the alignment of learning activities and grading to learning outcomes. Greater calibration of grades and systematization of learning outcomes assessment across the programs will be an aspect of CPSQ's work with its assessment consultant, Dr. Melanie Booth. (I.B-27 Melanie Booth CV) Accordingly, a process for standard-setting for course and program learning outcomes will be undertaken in Fall 2019.

Historically, CPSQ has not tracked its students' transfer rates. PUP / CPSQ is currently in the process of entering a contract with National Student Clearinghouse to receive this information on an annual basis. (I.B-28 Draft PUP-National Clearinghouse Contract)

In order to work effectively with National Clearinghouse, CPSQ will first have to define the appropriate metric for 4-year transfer rates in its particular context. Incarcerated CPSQ graduates and students have access to a very few correspondence-based 4-year degrees. As a result, the transfer rate may examine only paroled students. However, within a given cohort of entering students, time left to serve can vary dramatically. Given this, CPSQ may seek transfer rates for each cohort at multiple points; for example, by querying the rate at which students transfer 6 yrs, 12 yrs, and 18 yrs from their date of admission.

## **Analysis and Evaluation**

The College Program meets the standard. It has established institution-set standards and stretch goals in course completion and annual graduates with reference to its mission. It collects and reports its results in student achievement, and publishes these through the college



website. In the future, this information will also be published in hard copy in student facing materials. In reaching its stretch goals, CPSQ is mindful of contextual factors that might influence both its success and failure. CPSQ aspires to expand the measures of student achievement it tracks and to continually devise strategies to address some of the highly unique challenges that its students encounter in the course of their studies, in order to better support student achievement.

#### **I.B.4 The institution uses assessment data and organizes its institutional processes to support student learning and student achievement.**

##### **Evidence of Meeting the Standard**

In improving instructional programs and student and learning support services to better support student learning and student achievement, Program Team staff have historically relied on many sources of indirect assessment data and evidence. These include student surveys, faculty surveys, comments from constituents collected in the Daily Debriefs, diagnostic assessments for entering students, written instructor-led assessments of students in College Preparatory courses, and course wikis for all courses with faculty comments. (I.B-15 Summer 2019 Student Feedback Survey; I.B-25 Spring 2019 Volunteer Faculty Survey, I.B-18 2018 Student Goals Survey Sample, I.B-8 Daily Debrief Sample, I.B-2 Sample Course Wiki)

Direct observation and documentation of common struggles and successes among students also plays a key role in designing processes to support student learning and achievement. In addition to the two on-site Program Clerks, the Program Team collectively spends approximately 30 hours per week inside San Quentin and an additional 20 hours per week escorting instructors in and out of the prison. Staff know the 280 students and 100 volunteers participating in each term, often by name. Information about program effectiveness is collected, analyzed for common themes and needs, and shared continuously among Program Team staff. For more on the Program Team's collection of information and practices of data sharing, see Standard I.A.2 above.

CPSQ regularly engages external evaluation partners in order to assess students' personal enrichment outcomes as a result of their time in the program. In 2016, Dr. Amy Lerman's team carried out in-person interviews with twenty seven College Program alumni, focusing on students' educational and professional outcomes, civic engagement, mental and physical health, family relationships and social-psychological well-being. (I.B-29 2016 Qualitative Study) College Program alumni reported that "their education provided long-term improvements in outcomes for them, as well as for their families and the correctional administration as a whole." (I.B-29 2016 Qualitative Study, pg. 1) Starting in 2017, Dr. Lerman's team began a longitudinal study of current CPSQ students, focusing on individual-level outcomes including civic engagement and leadership, mental and physical health, healthy family and peer relationships, confidence in one's capacity to effect change and influence others, positive self-concept, and

confidence in core skills (working with others, communicating verbally, communicating in writing, and speaking in public). First wave results suggest that participation in CPSQ “not only improves [students’] skills and abilities, but also positively impacts students’ relationships with their peers and their families, improves their self-identity, and encourages lifelong learning.” (I.B-30 [Link to Draft 2019 White Paper, Longitudinal Study](#)) Dr. Lerman presented her initial results to the full Board at its annual retreat on June 8, 2019. (I.B-31 2019 Board Retreat Agenda)

In the past, CPSQ has undergone assessment through the cycle of its accredited university partner, Patten University. (I.B-32 2014 Patten Self-Evaluation, San Quentin Site) CPSQ is currently organizing its processes to better support student learning and student achievement, through developing its internal capacity to carry out learning outcomes assessment. In collaboration with Dr. Melanie Booth and experts at the National Institute of Learning Outcomes Assessment, CPSQ is currently developing its capacity to carry out learning outcomes assessment systematically and at all levels. In the course of its capacity-building work, CPSQ has developed an assessment cycle, described in its Educational Effectiveness Handbook. Program Learning Outcomes for the AA degree will be assessed on a 5-year cycle, primarily through mapping of course learning outcomes to program learning outcomes, and embedded course assignments and signature work within courses, but also through other direct and indirect means. This mixed method allows faculty who teach courses to not only ensure student learning at the student and course level, but also to engage in a larger assessment of the program learning outcomes that their courses contribute to. (I.B-7 Educational Effectiveness Handbook, pp. 12-15)

CPSQ staff, including the Program Team and the Executive Director, use all of these sources of data and evidence in designing processes to support student learning and achievement. Academic Team and Program Team meetings are the primary fora where assessment data is brought to bear on improvement planning. (I.B-33 Program Team Org Chart) Some review of evidence and institution-side improvement planning will also continue to take place in supervisory meetings between the Executive Director and the Academic Program Director, and between the Academic Program Director and staff on the Academic Team. Going forward, high level review of assessment data will also take place in the meetings of the Board’s Academic Affairs Committee (AAC). The charge of the AAC was recently revised, and includes review of student achievement and learning outcomes assessment data. (I.B-14 New AAC Committee Charge)

## **Analysis and Evaluation**

The College Program meets the standard. Staff use assessment data, specifically personal enrichment data, in order to evaluate and improve the Program, with an eye to supporting student learning and student achievement. CPSQ is currently undertaking efforts to systematize its use of learning outcomes assessment data, with the support of experienced practitioners in the field of higher education. While learning outcomes assessment has until recently taken place through the efforts of its university partner, plans are in place to conduct appropriate, well-designed assessment of learning internally. CPSQ continues to build its

capacity to conduct assessment of learning outcomes in both its instructional and support programs.

### ➤ **Institutional Effectiveness**

I.B.5 The institution assesses accomplishment of its mission through program review and evaluation of goals and objectives, student learning outcomes, and student achievement. Quantitative and qualitative data are disaggregated for analysis by program type and mode of delivery.

### **Evidence of Meeting the Standard**

CPSQ has only two instructional programs, the Associate of Arts degree in General Studies and the College Preparatory Program. These programs are connected and are offered face-to-face, at its single campus located inside San Quentin State Prison.

In the past, CPSQ has undergone assessment and program review through the cycle of its accredited university partner, Patten University. (I.B-32 2014 Patten Self-Evaluation, San Quentin Site) In 2014, the program hosted a site visit in connection with this cycle. (I.B-34 2014 Review Report) In anticipation of its transition to independence, CPSQ has devised its own detailed cycle of program review for both the Associate of Arts degree program and the College Preparatory program, in collaboration with Melanie Booth, currently Associate Vice President of Institutional Effectiveness at Dominican University of California. This cycle is described in the Educational Effectiveness Handbook as follows:

Every six years, CPSQ will complete a comprehensive, evaluative program review process. The primary purpose of the program review is to ensure the continued quality of academic, co-curricular, and student support programs. Through systematic inquiry, data analysis, reflection, and external review, the reflective and comprehensive program review process allows CPSQ to maintain its standards and rigor, continuously improve, and more effectively plan for the future.

Periodic holistic program review is structured so that staff and faculty can focus their time and attention on big-picture and systemic findings. Using a rich collection of institutional research data, program assessment data, and other forms of evidence, members of the CPSQ community reflect on and analyze multiple programmatic elements, including the design of the curriculum, student learning outcomes achievement, delivery of student support services, faculty development needs, and effectiveness of co-curricular offerings, to name a few areas. Program review holistically assesses the impact of the program on students, the academic community, and society, and serves to inform CPSQ's planning and improvement moving forward.

The inquiry required by this review has among its aims fostering a common culture of reflection, learning, improvement, and internal accountability. Such inquiry and reflection is undertaken with multiple program participants and leaders, and is augmented by an external review team and process.

(I.B-7 Educational Effectiveness Handbook, pg. 20)

For students in its AA degree program, the College Program currently collects and reports its student achievement data, including successful credit course completion and degree completion, through publication on the college's website. ([Link to Student Achievement Data on Website](#)) This information will also be published in hard copy in student facing materials.

Going forward, CPSQ will also report student achievement measures for its College Preparatory program, including a metric for matriculation from non-credit writing and math courses to credit courses, a metric for frequent repeats of College Preparatory courses, and a metric for pass/retention in College Preparatory courses. To enable an accurate representation of these trends, CPSQ must undergo a data audit using Program Team records and information stored in its Salesforce database, similar to the audit carried out for its credit course enrollments. (See Standard III.C.8 for more information on CPSQ's recent data audit.) This will be addressed by CPSQ staff in 2019-2020.

### **Analysis and Evaluation**

To date, program review has taken place on the cycle of CPSQ's institutional partner. (I.B-35 WASC folder) However, the College Program has made significant progress in designing its own cycle of program review. With the support of experienced practitioners in the field of assessment and institutional effectiveness, CPSQ continues to build its capacity to carry out program review, and regular evaluation of goals, student achievement, and student learning outcomes for its AA degree and College Preparatory programs. (I.B-7 Educational Effectiveness Handbook, pp. 20-21)

I.B.6 The institution disaggregates and analyzes learning outcomes and achievement for subpopulations of students. When the institution identifies performance gaps, it implements strategies, which may include allocation or reallocation of human, fiscal and other resources, to mitigate those gaps and evaluates the efficacy of those strategies.

### **Evidence of Meeting the Standard**

CPSQ disaggregates its credit course completion data by student race/ethnicity and age. (See student enrollment data above.) This disaggregation revealed some variation in successful course completion rates: in particular, students aged 18 to 24 had significantly lower rates of

course completion than older students. This result requires further study to control for possible confounding factors and to plan staff interventions. This will take place in the meetings of the Academic Team in the upcoming 2019-2020 academic year.

In its next cycle of program review, learning outcomes and other metrics of student achievement will be disaggregated using further categories. The Executive Director and the Program Team, in partnership with Dr. Amy Lerman, CPSQ's external evaluation partner, will define further categories for disaggregation based on the college's unique mission and population. Among other categories of interest, and based on previous research, achievement data will likely be disaggregated by students' prior education and current housing assignment within San Quentin. CPSQ is interested in understanding variations among students depending on prior education, particularly prior experience with higher education. Furthermore, staff have long been aware that students housed in different parts of the prison experience significant variation in the quality of their program engagement, due to delays or disruptions specific to their housing unit. While the College Program tracks and responds to these logistical challenges continuously, it aspires to understand their effects on student outcomes and to track trends over multiple terms.

Currently, members of the Program Team frequently discuss student achievement outcomes by subpopulations of students based on observation and other qualitative evidence, and implement strategies to address observed performance gaps. Staff discuss differential student outcomes resulting from race, age, housing, and other factors, and address these through the provision of additional support to students, and, when the gaps result from the prison environment, through advocating on behalf of students with the prison administration. To take one example, in recent years individuals belonging to the Youth Offender Population (YOP) have been granted permission to transfer to San Quentin in order to attend the College Program. YOP have a higher than medium security classification (the usual classification of the mainline population at San Quentin). Staff have observed that pass rates for YOP students in College Preparatory courses have tended to be lower. Hypotheses as to the reasons for this, and possible interventions, are frequent and ongoing topics of discussion among Academic Team staff. To take another example, students housed in West Block frequently arrived at evening classes late. Staff determined that this was due to later dinner hours for West Block relative to other housing units. In response, staff communicated with prison administrators and succeeded in obtaining permission for students in West Block to eat dinner with an earlier group, allowing them to arrive on time.

In the course of its capacity-building for assessing student achievement in meaningful and actionable ways, CPSQ has developed an Educational Effectiveness Handbook in collaboration with Dr. Melanie Booth, current Associate Vice President in charge of institutional effectiveness at Dominican University of California, as well as with experts in assessment at the National Institute for Learning Outcomes Assessment. (I.B-7 Educational Effectiveness Handbook) Going forward, the Academic Program Director will be accountable for carrying out the cycle of assessment, and for communicating results throughout the college community. (See Standard I.B.1 above for more on the Academic Affairs Committee.) Version 2 of this

Handbook, with a planned completion date of end of Fall 2019, will contain further references to CPSQ's categories for disaggregation.

## **Analysis and Evaluation**

The College Program disaggregates student achievement data for subpopulations of students and observes variations in outcomes. In its informal practices of documenting differential student outcomes and achievement, CPSQ also implements strategies to address variations among subpopulations of students. Going forward, CPSQ will extend this approach in responding to student achievement and learning outcomes data. Achievement and learning outcomes for CPSQ's diverse student body will be strengthened by identifying more meaningful categories for data disaggregation and by systematizing the collection and analysis of assessment and achievement data.

I.B.7 The institution regularly evaluates its policies and practices across all areas of the institution, including instructional programs, student and learning support services, resource management, and governance processes to assure their effectiveness in supporting academic quality and accomplishment of mission.

## **Evidence of Meeting the Standard**

### **Policies and practices for instructional programs and student and learning support services:**

Evaluation of policies and practices of instructional programs and support services take place in the weekly Program Team meeting, the biweekly Academic Team meeting, in supervisory meetings between the Academic Program Director and individual staff, and/or in communications and meetings with faculty individually or as a group. The Academic Affairs Committee (AAC) also provides oversight and evaluation of College Program policies. They have carried out this oversight role in the past through review of the Volunteer Manual, Instructor Manual, Study Hall Resource Guide, and Student Handbook, particularly as they address plagiarism, multiple repeats of courses, and faculty clothing and behavior (I.B-10 June 2016 AAC Meeting Agenda).

**Policies and practices for resource management:** Policies and practices regarding resource use are evaluated for their effectiveness on an ongoing basis and at multiple levels of the organization. The Executive Team, consisting of the Executive Director, the Academic Program Director, the Development and Communications Director, and the Chief Operations Officer, review the organization's practices and policies for resource management. Practices and policies related to financial resources are reviewed by the organization's COO, as well as by third-party accountants, and annually in the course of the independent audit. (I.B-35 Sample Third Party Audit PUP 2017) The Board's Finance Committee also plays a significant role in the evaluation of these policies for effectiveness. CPSQ's internal evaluation of these policies and



practices will be greatly enhanced, as a result of the addition of a Chief Operations Officer to its permanent staff in summer 2019. (I.B-36 Reed Goertler CV)

**Governance policies and practices:** Governance policies and practices are evaluated for their effectiveness on an ongoing basis by the Executive Team and by the Board's Governance Committee. The Board's Governance Committee conducts evaluations of CPSQ's governance systems on multiple levels, including annual self-evaluations with each Board member and the annual evaluation of the Executive Director. (See Standards IV.C.3 and IV.C.10 below.) As part of this process, the Governance Committee also reviews the evaluation procedures and updates them to address areas of weakness. For example, following the 2018 review of the Executive Director, the Committee collected suggestions for improvements to the evaluation process and incorporated them into the Evaluation Checklist. These included suggestions regarding the forum of the review, number of participants, and division of labor among the evaluating Board members. The Board's Governance Committee recently developed a process and policy for annual evaluation of the effectiveness of the full Board, which was adopted by the Board in its August 14, 2019 meeting and will be put into effect in Fall of 2019. (I.B-37 PUP Board Evaluation Policy)

In addition to these internal processes, the Executive Team regularly leads efforts to generate proposals for strategic planning and organizational development, with the support of consultants with relevant areas of expertise. (I.B-38 PUP Strategic Plan 2018) These efforts include reviews of leadership roles and structures, with an eye to improving organizational effectiveness. Recent examples include the following:

- **Core Team Process:** In anticipation of CPSQ's transition away from partnership with Patten University and toward existence as an independent college, the Executive Director convened an ad hoc "Core Team" in 2018-2019, under the guidance of Stacey Smith, a consultant in organizational development at Contigo Partners. The Core Team's role was to help guide the expansion of the organization, and specifically to make recommendations about defining key functions and roles, strengthening organizational capacity and leadership, and plotting the sequence of hiring and investing in organizational functions and roles. The Core Team consisted of the Executive Director, members of the Board, supervisory staff from the Operations, Development and Communications, and Program Teams, and external stakeholders in nonprofit management and higher education. (I.B-39 2019 PUP Core Team Meeting Materials, pg. 12) Over a series of meetings in 2018-2019 the Core Team produced a draft organizational chart, growth budget, and schedule of hiring for organizational growth. The proposed expansion and reorganization plans will be under review by the Board in the upcoming academic year, and have been previewed in a full staff meeting. (I.B-40 PUP Staff Meeting Agenda 19-06-18)
- **Hiring Process for Chief Operating Officer:** The Executive Team, in partnership with the Board's Finance Committee, recently launched and successfully completed a search for a senior staff person with expertise in both finance and human resources, in order to build out the organization's financial planning and human resources functions.

Outstanding needs for this position and the definition of its areas of responsibility were discussed by the full Board, the Finance Committee, and the ad hoc Organizational Development Committee. The hiring process was also a major project of the Executive Team, which sent regular updates to the Board. The new COO started at the organization on August 5, 2019. (I.B-36 Reed Goertler CV)

- **Development of the Center For Excellence:** CPSQ's strategic goals include strengthening its institutional research capacity, both to guide improvements to its academic programming and to inform the training and technical support it offers for emerging programs in prison higher education. (I.B-38 PUP Strategic Plan 2018) In the longer term, CPSQ therefore aspires to create a Center for Excellence to house institutional research and training. The vision for the Center is currently under development. CPSQ's Executive Director, Academic Program Director, and Development and Communications Director are collaborating on this project with Esther Kim, a consultant for nonprofit social impact work. The proposed leadership structure for this new component of the organization is currently in development.

Proposed changes to the leadership structure of the organization are discussed extensively by senior staff, reviewed by the Board prior to implementation, and communicated to all staff in full staff meetings. (I.B-40 PUP Staff Meeting Agenda 19-06-18)

### **Analysis and Evaluation**

The College Program meets the standard. CPSQ regularly evaluates its policies and practices across the organization and seeks to understand their role in ensuring achievement of the mission. CPSQ's internal capacity for evaluation of resource management processes will be greatly enhanced by the addition of the COO to the senior staff of the organization.

I.B.8 The institution broadly communicates the results of all of its assessment and evaluation activities so that the institution has a shared understanding of its strengths and weaknesses and sets appropriate priorities.

### **Evidence of Meeting the Standard**

In the past, CPSQ has undergone assessment through the cycle of its accredited university partner, Patten University. (I.B-32 2014 Patten Self-Evaluation, San Quentin Site) In addition, CPSQ has publicized assessments carried out by external evaluation partners Dr. Amy Lerman in its quarterly newsletter, sent to all current and former faculty, staff, donors, and students remaining at San Quentin. (I.B-41 Sample PUP Newsletters, pp. 3, 21, 44) This work is also available to the public on the program's website. (I.B-42 PUP R&E Page) Dr. Lerman's study focused on assessing students' personal enrichment outcomes as a result of their time in the program. Outcomes assessed include educational and professional outcomes, civic



engagement, mental and physical health, family relationships and social-psychological well-being of College Program Alumni. (I.B-29 2016 Qualitative Study)

The ongoing longitudinal study of continuing students, also carried out by Dr. Lerman, focuses on individual-level outcomes including civic engagement and leadership, mental and physical health, healthy family and peer relationships, confidence in one's capacity to effect change and influence others, positive self-concept, and confidence in core skills (working with others, communicating verbally, communicating in writing, and speaking in public). Dr. Lerman presented her initial results to the full Board at its annual retreat on June 8, 2019. (I.B-31 2019 Board Retreat Agenda) This evaluation will also be summarized in the newsletter and made available through the college website.

In the course of its capacity-building for assessment, CPSQ has developed an Educational Effectiveness Handbook to guide its work in deepening program evaluation and learning outcomes assessment. (I.B-7 Educational Effectiveness Handbook) Going forward, the Academic Program Director will be accountable for communicating results throughout the college community, including to current students and Program Team staff.

### **Analysis and Evaluation**

The College Program meets the standard. Its evaluation work is widely shared throughout the college community, through the College Program newsletter, received by all constituencies, through its website, and through presentations to college leadership. CPSQ will continue these practices as it continues its capacity-building in the domain of learning outcomes assessment and program review.

I.B.9

The institution engages in continuous, broad based, systematic evaluation and planning. The institution integrates program review, planning, and resource allocation into a comprehensive process that leads to accomplishment of its mission and improvement of institutional effectiveness and academic quality. Institutional planning addresses short- and long-range needs for educational programs and services and for human, physical, technology, and financial resources. (ER 19)

### **Evidence of Meeting the Standard**

Under the leadership of the Executive Director, CPSQ engages in strategic planning processes at regular intervals. Beginning in 2015, with the support of Esther Kim, a consultant in nonprofit development, the college set a series of concrete goals falling under five categories:

1. Expanding and improving its educational programs at San Quentin

2. Providing technical assistance to expand in-prison higher education in California and the U.S.
3. Educating the public to build a movement and inform change
4. Conducting rigorous research and evaluation to generate data and support continuous improvement
5. Strengthening the organizational capacity of its staff

The strategic plan was revised in 2018, with the assistance of organizational strategy consultant Stacey Smith, in order to incorporate CPSQ's efforts to obtain independent accreditation. The strategic plan was the subject of a 2018 staff retreat. (I.B-38 PUP Strategic Plan 2018)

In the daily life of the organization, the Executive Team, made up of the Executive Director, Academic Program Director, the Director of Development and Communications, and Chief Operations Officer, seek to implement the organization's strategic goals through a comprehensive process. The Executive Team's function is to guide the organization toward achieving its priorities, to ensure effective decision making and resource allocation across the organization, and to provide a forum for the Executive Director to seek input and discussion in making key decisions. Through the meetings of the Executive Team, staff perspectives from all parts of the organization are brought to bear on decision-making at the highest level of the organization.

The Executive Team prepares the organizational budget. Annual organizational budgets are then reviewed by the Board Finance Committee, which presents the budget for approval to the full Board. The Academic Program Director prepares the budget for academic programs for inclusion in the organizational budget, partly by soliciting feedback from all Program Team members on needed items. Going forward, the Board's Academic Affairs Committee will provide additional support in the annual creation of the budget for academic programs.

CPSQ also engages in the creation of long term budget projections in order to plan for organizational growth. In 2018-2019, an ad hoc "Core Team" was convened to help guide the expansion of the organization. The Core Team was mediated by consultant Stacey Smith, of Contigo partners, and included the Executive Director, members of the Board, supervisory staff from the Finance and Operations, Development and Communications, and Program Teams, and external stakeholders in nonprofit management and higher education. (I.B-39 2019 PUP Core Team Meeting Materials) This process resulted in a schedule of hiring for organizational growth and a four-year projection of expenses. The budget projection was reviewed by the Board's Finance Committee, and will be discussed by the full Board in Fall 2019.

In the past, CPSQ has undergone program review through the cycle of its accredited university partner, Patten University. (I.B-32 2014 Patten Self-Evaluation, San Quentin Site) In 2014, the program hosted a site visit in connection with this cycle. (I.B-34 2014 Review Report) In anticipation of its transition to independence, CPSQ has devised its own detailed cycle of program review for both the Associate of Arts degree program and the College Preparatory program, in collaboration with Dr. Melanie Booth, currently Associate Vice President of

Institutional Effectiveness at Dominican University of California. This cycle will result in an internal report in the sixth year of the cycle, and includes an external review. The final report will be reviewed by CPSQ leadership on the Executive Team, the Board's Academic Affairs Committee, and the Faculty Committee, to be recruited in Spring of 2020. (I.B-7 Educational Effectiveness Handbook, pp. 20-21)

### **Analysis and Evaluation**

The College Program meets the standard. Planning processes are integrated through the work of the Executive Team, and processes are devised to allow for comprehensive long-term planning, in part by seeking support from external consultants with experience in strategic planning and organizational development. CPSQ's internal capacity for long-term and systematic planning will be greatly enhanced by the addition of the COO to the senior staff of the organization.

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### **Conclusions on Standard I.B. Academic Quality and Institutional Effectiveness**

The College Program at San Quentin demonstrates its clear focus on and assurance of academic quality and institutional effectiveness while systematically addressing some unique context-based challenges, such as being situated within a state prison as well as the reliance on volunteer faculty. Advocacy on behalf of students; clarity of its values, purpose, and mission; and a variety of policies, processes, and practices illustrate that CPSQ continuously places emphasis on student support and achievement, equity, and continuous improvement.

### **Improvement Plan(s)**

Two key areas of improvement are underway related to Standard I.B as CPSQ separates from Patten University and becomes an independent institution of higher education:

- 1) CPSQ is focused on building its institutional capacity for and expertise in leading its own continuous improvement practices, including assessment of student learning, institutional research, and program review.
- 2) Through implementation of these new processes, CPSQ will also be ensuring that these more systematic approaches for evaluation directly support and inform institutional planning and resource allocation.

### **Evidence List**

I.B-1 Course Observation Protocol  
I.B-2 Sample course wiki  
I.B-3 Team Teaching Materials  
I.B-4 Notes from the Board's faculty meeting

I.B-5 CPSQ History  
I.B-6 Faculty Committee Draft Charge  
I.B-7 Educational Effectiveness Handbook  
I.B-8 SDaily Debrief Sample  
I.B-9 2016-2018 Board AAC Charge  
I.B-10 June 2016 AAC Meeting Agenda  
I.B-11 March 2018 AAC Meeting Notes  
I.B-12 January 2017 AAC Meeting Agenda  
I.B-13 August 2017 AAC Meeting Notes  
I.B-14 New AAC Committee Charge  
I.B-15 Summer 2019 Student Feedback Survey  
I.B-16 Mission, Values, Meaning Student Survey  
I.B-17 Letter and Survey to Students for Communications Audit  
I.B-18 2018 Student Goals Survey Sample  
I.B-19 AWG Notes on Mission Statement Revision  
I.B-20 PUP/CPSQ Town Hall Agenda  
I.B-21 2018-2019 Student Handbook  
I.B-22 2016 Curriculum Map  
I.B-23 Spring 2019 Instructor Survey on SLO's  
I.B-24 CPSQ General Catalog 2019-2020  
I.B-25 Spring 2019 Volunteer Faculty Survey  
I.B-26 Program Team Outcomes Map meeting note  
I.B-27 Melanie Booth CV  
I.B-28 Draft PUP-National Clearinghouse Contract  
I.B-29 2016 Qualitative Study  
I.B-30 [Link to Draft 2019 White Paper, Longitudinal Study](#)  
I.B-31 2019 Board Retreat Agenda  
I.B-32 2014 Patten Self-Evaluation, San Quentin Site  
I.B-33 Program Team Org Chart  
I.B-34 2014 Review Report  
I.B-35 Sample Third Party Audit PUP 2017  
I.B-36 Reed Goertler CV  
I.B-37 PUP Board Evaluation Policy  
I.B-38 PUP Strategic Plan 2018  
I.B-39 2019 PUP Core Team Meeting Materials  
I.B-40 PUP Staff Meeting Agenda 19-06-18  
I.B-41 Sample PUP Newsletters  
I.B-42 PUP R&E Page

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## C. Institutional Integrity

I.C.1 The institution assures the clarity, accuracy, and integrity of information provided to students and prospective students, personnel, and all persons or organizations related to its mission statement, learning outcomes, educational programs, and student support services. The institution gives accurate information to students and the public about its accreditation status with all of its accreditors. (ER 20)

### **Evidence of Meeting the Standard**

CPSQ ensures the clarity, accuracy, and integrity of information provided to all constituencies and to the public through review at multiple levels of the college.

The Program Team regularly reviews information and resources given to students, prospective students, and faculty for clarity and accuracy. Students receive information related to the mission statement, learning outcomes, and student support services through the following channels:

- prospective student communications (I.C-1 Sample Prospective Student Letters);
- New Student Orientation, a trust-building and informative event to help new students identify as students and to become familiar with differences between the culture, norms, and rules of the classroom and those of the prison yard (I.C-2 Summer 2019 Orientation Agenda);
- the Student Handbook given to all incoming students at orientation, and describing CPSQ degree requirements, learning outcomes, policies, and expectations (I.C-3 2019-2020 Student Handbook);
- syllabi for all courses containing course learning outcomes, as well as descriptions of relevant student support services, such as study hall and any dedicated tutors for the course (I.C-4 Sample Syllabi, pp. 1, 7, 29-30, 40, 50-51, 56, 58, 62-63);
- registration letters sent to all active students before each term, describing courses and other offerings for the upcoming term, as well as relevant CPSQ policies related to registration priority and prerequisites (I.C-5 Spring 2019 Registration Letter);
- in-class announcements, made in the second week of each academic term by Program Team staff, which describe available student support services and any College Program news or developments;
- the Course Catalog, available from the Program Clerks, which contains requirements for the degree, all learning outcomes for each course, and established course descriptions (I.C-6 CPSQ General Catalog 2019-2020);

- in-person conferencing with Program Team staff, who are available to students during every class session, including consultation with on-site Program Clerks;
- information offered by fellow students, including student teaching assistants (particularly in the case of student support services);
- the college's monthly newsletter, sent to current and former students, instructors, and supporters of the program (I.C-7 Sample PUP Newsletters);
- the student bulletin, containing announcements, opportunities and resources available to students, and staff updates (I.C-8 Sample PUPdate);
- other College Program mailings to all active students, such as invitations to lectures, workshops, graduation, and co-curricular activities, as well as notifications regarding their enrollments in courses or other offerings.

In 2016, the Board's Academic Affairs Committee, carried out a review of CPSQ policies and procedures, including the accuracy of information. The review included the Volunteer Manual, Instructor Manual, Study Hall Resource Guide, and Student Handbook, which contain written policies regarding plagiarism, multiple repeats of courses, and faculty clothing and behavior. (I.C-9 June 2016 AAC Agenda; I.C-10 August 2016 AAC Meeting Agenda) From this review, the Academic Program Director determined that significant work remained in communicating CPSQ policies and procedures clearly and comprehensively to students, and that other modalities besides class announcements and mailings needed to be explored. A further review will take place in Fall of 2019, incorporating recent faculty feedback, as well as feedback from the Summer 2019 Student Feedback Survey, in which staff asked students about the primary ways they access information and resources from the College Program. (I.C-11 Summer 2019 Student Feedback Survey Responses, pg. 3)

The Development and Communications Team regularly reviews publications of CPSQ meant for the public at large and its donors, for clarity, integrity, and accuracy. These include its quarterly newsletters, website, informational mailings, and the annual report. (I.C-7 Sample PUP Newsletters, I.C-12 2018 Annual Report) Recently, the Team carried out an audit of its communications practices using student feedback, in order to better represent the program to the public as students experience it. Student feedback was solicited using a questionnaire and a focus group. (I.C-13 Letter and Survey to Students for Communications Audit) Overall, students felt that current communications materials represented their experience in the College Program. They also offered many suggestions for how to better communicate the impact and value of the program to external audiences. Development staff has identified a number of improvements that will be made in the coming months to incorporate their ideas. Some of the changes include using more diverse photos, incorporating more data and evaluation of our impact, and showcasing perspectives of people impacted by the College Program beyond just students (e.g., instructors, teaching assistants, and prison staff).

The Board's Governance Committee and the Operations Team regularly review information given to PUP employees through the Employee Handbook and other onboarding materials for

accuracy. (I.C-14 Employee Handbook) Every new employee undergoes onboarding, which includes an introduction to the mission of the institution and the programs and support services it offers. Going forward, review of the Employee Handbook and associated human resource materials will take place under the direction of the Chief Operations Officer, with the support of the Governance Committee.

The College Program strives to represent its accreditation status accurately. Until recently, its Education page, one click from its home page, described its AA degree program as “an extension site of Patten University—our accredited university partner. Students enrolled in credit courses are registered at Patten as if they were enrolled at its main campus in Oakland.” The Student Handbook, given to all entering students, also described the relationship between the College Program, the Prison University Project, and Patten University:

### **RELATIONSHIP BETWEEN PATTEN UNIVERSITY AND THE PRISON UNIVERSITY PROJECT**

The College Program at San Quentin is an extension site of Patten University, which is located in Oakland, CA. The Prison University Project is an independent non-profit organization that organizes, staffs, and fundraises for the College Program at San Quentin. Students enrolled in credit classes with the College Program are registered at Patten. (I.C-3 2019-2020 Student Handbook, pg. 2)

After learning that Patten University would close and deciding to seek its own independent accreditation, the College Program informed all active students by letter of impending changes at Patten and plans to seek independent accreditation. (I.C-15 Student Independence / Patten closure Communication #1) The College Program again informed all active students by letter as its plans progressed, and after its application for eligibility was accepted by the Commission. (I.C-16 Student Independence / Patten closure Communication #2) On July 29, 2019, the Executive Director led a Town Hall on Independence inside San Quentin. In attendance were approximately 50 current and former students, as well as alumni from outside San Quentin, CPSQ staff, key consultants involved in accreditation activities, and members of the Board. This event allowed students to pose questions related to the current status of their credit courses and the AA degree, the implications of forming a college with a prison as its main campus, and the College Program’s current efforts toward independent accreditation. (I.C-17 Town hall sign up; I.C-18 Town Hall Agenda)

In addition to its communications with students, CPSQ notified its broader community of faculty, donors, and other stakeholders of its efforts toward independent accreditation through its organizational newsletter. (I.C-19 November 2018 newsletter) Most recently, the College Program posted an update on the closure of Patten University and solicited Third Party Comments on its application for accreditation through its website. (I.C-20 PUP Education page)

CPSQ staff are in continuous communication with Nate Breitling, interim president of Patten University, and with Patten’s liaison at the WASC Senior College and University Commission. When the closure of Patten University is imminent, likely at the end of Fall 2019, the College

Program will update all outward-facing materials, including its website and CPSQ General Catalog, to remove references to its relationship with Patten University. The College Program will also add a statement describing the College Program's current accreditation status with ACCJC, with reference to conformity with the Commission's Policy on the Representation of Accredited Status.

### **Analysis and Evaluation**

The College Program meets the standard. CPSQ staff ensure the integrity, accuracy, and clarity of information provided to all constituencies about the College Program's mission, programs, and services. This includes information about the program's accreditation status. However, work remains to be done in communicating academic policies and procedures clearly to the CPSQ student body, without overwhelming students with mailings or lengthy classroom announcements. The Program Team is currently exploring alternative ways of making information available to students, given their lack of access to email or any other internet-based mode of communication.

I.C.2 The institution provides a print or online catalog for students and prospective students with precise, accurate, and current information on all facts, requirements, policies, and procedures listed in the "Catalog Requirements". (ER 20)

### **Evidence of Meeting the Standard**

CPSQ provides a print Catalog for students and prospective students, as well as posting its Catalog online for the general public. As of August 2019, the Catalog has been updated for compliance with all listed catalog requirements. (I.C-6 CPSQ General Catalog 2019-2020) It is important to note that currently incarcerated students are unable to access the internet directly. Online resources are often accessed by those (typically family members, friends, supporters, prison staff, etc.) who are acting on behalf of current or prospective students. CPSQ provides all informational resources in hard copy, including its catalog. Information is also provided in summary form regarding AA degree and College Preparatory Program requirements, policies, and procedures in the Student Handbook provided to all entering students, the registration letters sent out every term to students eligible to enroll in courses, and in standardized letters sent to prospective students at other prisons under the California Department of Corrections and Rehabilitation. (I.C-3 2019-2020 Student Handbook, I.C-5 Spring 2019 Registration Letter, I.C-1 Sample Prospective Student Letters)

### **Analysis and Evaluation**



The College Program meets the standard. Its Course Catalog provides all required information, and is available both in print inside San Quentin and online. Information of these kinds is also provided in summary form to students at all stages of program involvement.

I.C.3

The institution uses documented assessment of student learning and evaluation of student achievement to communicate matters of academic quality to appropriate constituencies, including current and prospective students and the public. (ER 19)

### **Evidence of Meeting the Standard**

In the past, CPSQ has publicized assessment of students' personal enrichment outcomes, undertaken in partnership with Dr. Amy Lerman, on its website, in order to communicate the academic quality and impact of the program to the broader public. (I.C-21 PUP R&E page) Dr. Lerman's research has also been presented in multiple venues, including the recent Board retreat (I.C-22 2019 Board Retreat Agenda), as well as at the 2018 National Conference for Higher Education in Prison held in Indianapolis. Student achievement data is published on the program's website. ([Link to Student Achievement Data on Website](#)) The results of CPSQ's current self-evaluation process with ACCJC will also be published on the program's website. Summaries of information from the self-evaluation, including student achievement data, will be circulated to all college constituencies in its college newsletter, including its results for student achievement data.

In the course of its capacity-building for assessment, CPSQ has developed an Educational Effectiveness Handbook. The Handbook was created in collaboration with Dr. Melanie Booth, current Associate Vice President of Institutional Effectiveness at Dominican University of California, as well as with experts in assessment at the National Institute for Learning Outcomes Assessment. (I.C-23 Educational Effectiveness Handbook) Going forward, the Academic Program Director (APD) will be accountable for carrying out the cycle of assessment, and for communicating results throughout the college community, including current and prospective students and the public. For this purpose, the APD will make use of the College Program newsletter, sent to all constituencies, emails to current course instructors, prospective student letters, and the student bulletin.

### **Analysis and Evaluation**

The College Program meets the standard. In its evaluation activities and its collection of student achievement data to date, the College Program has used its results to communicate the quality of the program across all its constituencies. CPSQ will continue to take this approach as it strengthens its implementation of the Educational Effectiveness Handbook.

I.C.4 The institution describes its certificates and degrees in terms of their purpose, content, course requirements, and expected learning outcomes.

### **Evidence of Meeting the Standard**

CPSQ has only one instructional program leading to a degree: the AA degree program in General Studies. The goals of the College Program, including the AA degree, are stated in the Student Handbook distributed to all entering students:

The central goals of the College Program at San Quentin are to educate and challenge students intellectually; to prepare them to lead thoughtful and productive lives inside and outside of prison; to provide them with skills needed to obtain meaningful employment and economic stability post-release; and to prepare them to become leaders and engaged citizens in their communities. (I.C-3 2019-2020 Student Handbook, pg. 2)

In addition to these goals, the Student Handbook contains the program learning outcomes for the AA degree in General Studies: Written and Oral Communication, Critical Thinking, Research and Information Competency, Quantitative Reasoning, Global Awareness, and Values. The Handbook also covers required courses for CPSQ's AA in General Studies, as well as suggested electives for junior transfer to the California State University and University of California systems. (I.C-3 2019-2020 Student Handbook, pp. 6-8)

CPSQ also publishes its General Studies degree requirements, AA degree and College Preparatory program outcomes, and course learning outcomes in both credit and non-credit courses, in its Catalog. This document is available in hard copy to all current and prospective students at San Quentin, as well as on the college's website. (I.C-6 CPSQ General Catalog 2019-2020)

### **Analysis and Evaluation**

CPSQ meets the standard. Its single degree in General Studies is described in its written materials in terms of its purpose. Course requirements are set out clearly, along with the learning outcomes, in the Student Handbook and CPSQ General Catalog.

I.C.5 The institution regularly reviews institutional policies, procedures, and publications to assure integrity in all representations of its mission, programs, and services.

### **Evidence of Meeting the Standard**

College Program policies and procedures, as well as publications describing CPSQ's mission and instructional programs, are reviewed regularly at multiple levels of the organization for mission adherence.

In 2016, the Academic Program Director conducted a review of CPSQ policies and procedures, in part to evaluate their consistency with the mission. The Board's Academic Affairs Committee (AAC) supported the APD in reviewing College Program written policies. These included policies in the Volunteer Manual, Instructor Manual, Study Hall Resource Guide, and Student Handbook regarding plagiarism, multiple repeats of courses, and faculty clothing and behavior. (I.C-9 June 2016 AAC Agenda, I.C-10 August 2016 AAC Meeting Agenda)

In the Summer 2019 Student Feedback Survey, Program staff surveyed students currently enrolled and signed up to the opt-in mailing list for student feedback about the primary ways they access information and resources from the College Program. (I.C-11 Summer 2019 Student Feedback Survey Responses) The Program Team is currently reviewing this information, and will use this information to consider what alternative methods of communication with students to explore. Staff aim to have carried out additional improvements in the communication of college policies and procedures by October of 2019.

The Development and Communications Team regularly updates publications of CPSQ, including its newsletter, website, informational mailings, and the annual report. Before their release, all such materials are also reviewed by the Executive Director for accuracy in the representation of the organization's mission. Recently, in keeping with the college's aim of student-centered practices, the Development and Communications Team carried out an audit of its communications practices using student feedback. See Standard I.C.2 above, for a description of this audit and its results.

### **Analysis and Evaluation**

The College Program meets the standard. It reviews College Program policies, procedures, and publications regularly and at multiple levels of the organization, in order to assure their integrity in representing the mission and current policies and practices. This review takes place in existing staff teams, with the support of the Executive Director and the Board AAC.

I.C.6

The institution accurately informs current and prospective students regarding the total cost of education, including tuition, fees, and other required expenses, including textbooks, and other instructional materials.

### **Evidence of Meeting the Standard**

All College Program offerings, including credit courses, non-credit courses, learning support services, and co-curricular offerings, are provided to students free of charge. Students are also provided with all materials, including textbooks, research articles, readers, and lab materials, as well as “standard issue” school supplies, free of charge in every term for which they enroll in a credit or non-credit course.

Prospective students who request information about the College Program are sent a standardized letter that includes the following information about costs:

Since 1996 all courses in the College Program at San Quentin have been taught by volunteer instructors and teaching assistants, using textbooks donated through the generosity of publishers. All of our courses and textbooks are provided entirely free of charge. There is neither tuition nor any other fees for students of the College Program. (I.C-1 Sample Prospective Student Letters)

Entering students are also informed that their enrollment is free of charge at New Student Orientation. At this orientation, the Program is accurately described as funded by “donations from individuals and foundations.” (I.C-2 Summer 2019 Orientation Agenda)

### **Analysis and Evaluation**

The College Program meets the standard. Current and prospective students are accurately informed of the costs of their education, as well as the sources of funding that the program relies on in order to maintain its mission of providing an excellent education free of charge, to its students.

I.C.7

In order to assure institutional and academic integrity, the institution uses and publishes governing board policies on academic freedom and responsibility. These policies make clear the institution's commitment to the free pursuit and dissemination of knowledge, and its support for an atmosphere in which intellectual freedom exists for all constituencies, including faculty and students. (ER 13)

### **Evidence of Meeting the Standard**

CPSQ's Board-approved mission statement declares the aim of fostering “independence of thought” and “freedom of expression.” (I.C-24 PUP Bylaws, pp. 1-2)

The College Program also publishes a policy expressing its commitment to academic freedom in its Student Handbook, given in hard copy to all new students and available publicly on its website. This policy was recently added to CPSQ's Instructor Manual and its General Catalog.

(I.C-3 2019-2020 Student Handbook, pg. 19; I.C-6 CPSQ General Catalog 2019-2020, pg. 29; I.C-26 2019-2020 Instructor Manual, pg. 13)

It is important to note that San Quentin State Prison and the California Department of Corrections and Rehabilitation (CDCR) have the legal authority to disallow or censor educational materials in order to ensure the safety and security of the institution, or to satisfy “legitimate penological interests.” (*Turner v. Safley*, 482 U.S. 78, 89, 107 S.Ct. 2254, 96 L.Ed.2d 64 (1987); see also *In re Martinez* 216 Cal.App.4th 1141 (2013)) Historically, both the level of scrutiny and the nature of the standards applied to the program’s educational materials and supplies by San Quentin administrators and staff have fluctuated widely. Most often, it has been program supplies that were deemed potential “weapon stock” or visual images (including film) that were considered incendiary or “inappropriate” that have been disallowed; print materials are rarely scrutinized closely for content.

Both Departmental policy and local institutional rules on allowable educational materials are generally vague, often contradictory, inconsistently interpreted and/or unevenly applied, as are procedures for resolving disputes or appealing decisions related to educational materials. Stability in procedures is typically achieved through the development of rapport with key individual staff or administrators. Thus staff turnover, as well as significant changes in the social or political climate of the institution, are those factors most likely to create significant challenges. (I.C-25 Allowable Materials Presentation, PUP Statewide Training)

Over the program’s two decades of existence, CPSQ leadership has worked continuously to build and maintain strong relationships with multiple administrations both at CDCR and at San Quentin State Prison to ensure the smooth operations of its academic programs. College Program leaders have worked informally and as needed with correctional authorities to facilitate access to necessary program supplies and materials, and to preserve free intellectual inquiry inside the program. It is a long-term goal of CPSQ to support CDCR in clarifying and revising rules and procedures surrounding academic materials.

### **Analysis and Evaluation**

The College Program meets the standard. Its mission statement and its policies regarding academic freedom, freedom of expression, and independence of thought demonstrate its commitment to an atmosphere in which intellectual freedom exists for faculty, students, and program staff. In upholding independence of thought, in particular, as a foundational value in its mission statement, CPSQ also declares its commitment to the free pursuit and dissemination of knowledge, and to continuing to make each possible in its particular environment.

I.C.8 The institution establishes and publishes clear policies and procedures that promote honesty, responsibility and academic integrity. These policies apply to all constituencies and include specifics relative to

each, including student behavior, academic honesty and the consequences for dishonesty.

### **Evidence of Meeting the Standard**

The Student Handbook, Instructor Manual, and General Catalog specify CPSQ's policy on academic honesty, including descriptions of the forms of honesty expected in student work, the responsibility of students to avoid plagiarism and cheating, and the danger to academic integrity for a trusting learning community. (I.C-3 2019-2020 Student Handbook, pg. 17; I.C-26 2019-2020 Instructor Manual, pg. 12; I.C-6 CPSQ General Catalog 2019-2020, pp. 17-18) This policy reads, in part:

Academic dishonesty is a serious offense that undermines the bonds of trust between members of the community and betrays those who depend upon the community's standard of integrity and academic excellence.

Any work that a student produces as part of progress toward a degree or certificate must be the student's own, unless the given instructor specifies otherwise. Such work includes examinations, whether oral or written; papers, oral presentations or reports; weekly homework assignments; research papers; and other written work. In all work other than examinations, students must clearly indicate the sources of information, ideas, opinions, and quotations that are not their own. While instructors should specify (and teach) the citation format they require, the minimum citation required should be a statement in parenthesis of Author, Title, and Page or Line Number, for any and all cited information.

The policy goes on to specify procedures for instructors who suspect a student of academic dishonesty, as well as possible consequences for proven cheating or plagiarism by students. These include "retak[ing] the exam or re-submit[ting] the paper; failure on the assignment or test; failure in the course; and suspension from the college program," depending on the severity of the violation, or whether the student has repeatedly violated standards of academic honesty. (I.C-3 2019-2020 Student Handbook, pp. 16-17; I.C-26 2019-2020 Instructor Manual, pg. 12; I.C-6 CPSQ General Catalog 2019-2020, pg. 17) It is important to note that CPSQ staff do not keep records on student disciplinary actions inside San Quentin, and do not share academic disciplinary decisions with prison authorities. It is the policy of the College Program to keep its academic disciplinary procedures strictly separated from correctional disciplinary procedures.

CPSQ also specifies conduct policies for all constituencies regarding harassment, disruption of learning, and rules about behavior specific to the prison setting. These policies are communicated in multiple trainings taken by faculty, as well as in onboarding procedures with new staff members. These policies are written in the Student Handbook, the General Catalog, and the Instructor Manual. (I.C-3 2019-2020 Student Handbook, pg. 18; I.C-6 CPSQ General Catalog 2019-2020, pg. 18; I.C-26 2019-2020 Instructor Manual, pp. 13, 38-40)



## Analysis and Evaluation

CPSQ meets the standard. It has clear policies specifying responsible behavior on the part of all constituencies, as well as policies on academic honesty and integrity. These policies are published in its Student Handbook, Employee Handbook, and its training materials for all instructors. CPSQ publishes these materials through making them available in hard copy, and through publishing some, such as the Student Handbook, on its website.

I.C.9 Faculty distinguish between personal conviction and professionally accepted views in a discipline. They present data and information fairly and objectively.

## Evidence of Meeting the Standard

Through its faculty trainings and orientation, CPSQ emphasizes the importance of fair treatment of students, respecting the intellectual independence of students, and maintaining professionalism as an educator. Through these trainings, instructors are offered tools for embodying these values, particularly in the management of classroom discussion and in the evaluation of students. (I.C-27 Faculty training materials)

Standards of professionalism in educator-student relationships are especially important in the prison context. Even more than the average college student, students in prison are disempowered in relation to their instructors. Due to persistent stereotypes of incarcerated people, instructors may underestimate students, and/or fail to press them to critically examine their opinions. Instructors not only occupy positions of authority, but are free to leave the institution, which can result in feelings of guilt and secondary trauma that interfere with instruction. In response to these challenges, CPSQ frames explicit expectations for its instructors. Standards for course observation at CPSQ, used by academic program staff in evaluating instructors, demonstrate the commitment to these norms. (I.C-28 Course Observation Protocol)

Expectations of CPSQ faculty include fair treatment of students, whether in evaluation, grading, or in any other classroom activity. Instructors are also expected to exhibit respect for their students, including gaining students' trust and relating to students as individuals who enter classes with their own life experiences and areas of knowledge. The imposition of personal opinion in the guise of a professionally accepted view are incompatible with fairness and respect. The ability to manage controversial discussions without such a disguised resort to the personal opinion, and without "shutting down" unpopular ideas, is highly valued within CPSQ. Skills in these areas are factors in faculty recruitment, instructor evaluation, and decisions regarding continued placement of instructors in courses. (I.C-26 2019-2020 Instructor Manual, pp. 13-14, I.C-28 Course Observation Protocol)

## Analysis and Evaluation

CPSQ meets the standard. Faculty trainings, the policy on academic freedom, and standards for course observation all emphasize the importance of fairness, respect, and professionalism in student-instructor relationships.

While CPSQ holds that students, faculty, and program staff have the freedom to express their opinions, both faculty and students must fulfill academic expectations for courses, including focusing on the content of the course and relating course activities to learning outcomes for the course. Faculty trainings at CPSQ emphasize students' right to receive high-quality instruction.

I.C.10 Institutions that require conformity to specific codes of conduct of staff, faculty, administrators, or students, or that seek to instill specific beliefs or world views, give clear prior notice of such policies, including statements in the catalog and/or appropriate faculty and student handbooks.

## Evidence of Meeting the Standard

CPSQ does not require conformity to specific codes of conduct, with the exception of those codes of behavior that allow its faculty, staff, and students to effectively constitute a college community in a semi-militarized prison environment. The demands made on faculty, staff, and students by CPSQ's environment are significant, and affect a wide range of activities central to higher education, including faculty dress, faculty relationships with students, and course materials.

Repeated or egregious violation of prison rules can jeopardize the operation of the College Program itself. Furthermore, while the prison has not instituted a formal process for review of academic materials used by the College Program, or of assignments produced by students, such an exercise of authority is always possible. CPSQ staff and faculty must remain aware of the possibility that correctional staff might perceive students' academic work or course materials as a security threat, or as evidence of actual or intended illegal activity. (I.C-25 Allowable Materials Presentation, PUP Statewide Training, pp. 8-18)

Given this reality, training and orientation of staff and faculty at CPSQ incorporate repeated and clear articulation of required behavior in the prison environment, as well as common themes in prison restrictions of depictions and written materials. (I.C-26 2019-2020 Instructor Manual, pp. 38-40) Before assignment in the program, all prospective volunteer instructional and student support staff receive extensive in-person training in both the explicit rules and cultural expectations of the prison environment. Instructional staff become familiar with the program's unique context and rules of a correctional environment in the new volunteer



training, given to all faculty. These rules are repeated in the new instructor training for English and Humanities credit courses, the instructor training for College Preparatory and STEM credit courses, and the study hall tutor training. (I.C-27 Faculty Training Materials, pp. 5-6, 16-20, pp. 49-55, 66-67)

Prospective Program Team members are similarly oriented toward the rules and cultural norms of the prison environment in their interview and onboarding processes. Program Team staff members who have not volunteered with CPSQ attend an all-volunteer training, covering much of this information. They then shadow experienced staff members. Finally, expectations of appropriate conduct are disseminated in the form of the Instructor Manual and the Student Handbook. (I.C-26 2019-2020 Instructor Manual, pp. 38-40; I.C-3 2019-2020 Student Handbook, pg. 17)

One of the most important prison rules that CPSQ communicates to faculty and staff has to do with the correctional notion of “undue familiarity.” The notion of over-familiarity is one specific to the prison context: the rules and regulations of the California Department of Corrections and Rehabilitation forbid correctional employees and external providers of rehabilitative programs inside its prisons from developing personal, as opposed to professional, relationships with people incarcerated in its prisons. (I.C-29 15 CA ADC 3400 Familiarity) CPSQ trains faculty and staff members extensively to maintain such boundaries, to avoid any appearance of “overfamiliarity,” and to abide by all other prison rules at all times, both for the safety of students and for the continuing integrity of the program.

### **Analysis and Evaluation**

CPSQ meets the standard. CPSQ faculty and staff are given clear prior notice of the codes of conduct expected of all volunteers and employees in California prisons. This is done through training, prior to placement in an instructional or student support position, as well as through the dissemination of those rules in the written Faculty and Employee Handbooks. While vigilance in this area is a constant concern, staff, instructors or guests are very rarely cited for over familiarity or other violations of prison rules. Training and oversight of CPSQ constituencies has been sufficient to ensure the continued operation of the program.

I.C.11

Institutions operating in foreign locations operate in conformity with the Standards and applicable Commission policies for all students. Institutions must have authorization from the Commission to operate in a foreign location.

### **Evidence of Meeting the Standard**

The College Program at San Quentin does not operate in any foreign location.

## Analysis and Evaluation

N/A

I.C.12

The institution agrees to comply with Eligibility Requirements, Accreditation Standards, Commission policies, guidelines, and requirements for public disclosure, institutional reporting, team visits, and prior approval of substantive changes. When directed to act by the Commission, the institution responds to meet requirements within a time period set by the Commission. It discloses information required by the Commission to carry out its accrediting responsibilities. (ER 21)

## Evidence of Meeting the Standard

In its June 5, 2019 meeting, the Board of Directors adopted a new Bylaw, declaring its intention to adhere to the Eligibility Requirements, Accreditation Standards and Commission policies, and all other requirements of the Commission. (I.C-30 June 5, 2019 Board Meeting Agenda) The Bylaw reads as follows:

The Board of Directors is committed to the delivery of high quality educational programs and services, in support of student learning and achievement. Therefore, the Board supports the continuous improvement process embraced by the Accrediting Commission and expects the president [e.g. Executive Director] to:

1. ensure that the corporation adheres to the Eligibility Requirements, Accreditation Standards and Commission policies and all other requirements of the Accrediting Commission of Community and Junior Colleges,
2. keep the Board informed of approved accrediting organizations and the status of accreditations,
3. ensure the Board is involved in any accreditation process in which Board participation is required, and
4. provide the Board with a summary of any accreditation report and any actions taken or to be taken in response to recommendations in an accreditation report.

During the self-evaluation process, the Board Finance Committee and the Board's Accreditation Working Group, the Accrediting Commission's requirements for annual and midterm reporting were reviewed and discussed. (I.C-31 PUP Finance Committee Meeting Notes; I.C-32 April 2019 Board AWG Meeting Presentation and Materials) As of August 2019, every current member of the Board has undertaken the online Accreditation Basics Training provided by the Commission, and become informed of the reporting cycle.

## Analysis and Evaluation

The College Program meets the standard. The Executive Director of the College Program is directed to ensure that CPSQ abides by all requirements of the Accrediting Commission. This directive was adopted by a vote of the Board, on behalf of the college.

I.C.13 The institution advocates and demonstrates honesty and integrity in its relationships with external agencies, including compliance with regulations and statutes. It describes itself in consistent terms to all of its accrediting agencies and communicates any changes in its accredited status to the Commission, students, and the public. (ER 21)

### **Evidence of Meeting the Standard**

The Prison University Project, which administers the College Program at San Quentin (CPSQ), has been approved to operate in San Quentin prison by the California Department of Corrections and Rehabilitation (CDCR). (I.C-33 Statement of authorization from CDCR) Staff at the California Bureau for Private Postsecondary Education (BPPE) have indicated that this is sufficient to be recognized as a state-approved entity. The College Program operates its instructional programs and related services under this authorization. In all of its operations, CPSQ considers itself bound to follow the statutes and regulations governing California's correctional institutions, as well as local rules instituted at San Quentin State Prison.

CPSQ aims for honesty and transparency in descriptions of its accreditation status. Throughout its history, its single accredited AA degree program in General Studies has been an extension site of Patten University, which is accredited through the Western Association of Schools and Colleges (WASC). CPSQ's website and its written materials distributed to current and prospective students clearly describe the AA degree as an extension site of Patten University. These materials also distinguish credit courses for the AA from all non-credit offerings, including the College Preparatory program and student support offerings. (I.C-20 PUP Education page; I.C-3 2019-2020 Student Handbook, pp. 2-3, 6-8)

After learning that Patten University would close and deciding to seek its own independent accreditation, the College Program informed all active students by letter of impending changes at Patten and of its plans to seek independent accreditation. (I.C-15 Student Independence, Patten closure Communication #1) The College Program again informed all active students by letter as plans progressed, and after its application for eligibility was accepted by the Accrediting Commission. (I.C-16 Student Independence, Patten closure Communication #2) On July 29, 2019, the Executive Director led a Town Hall on Independent Accreditation inside San Quentin. In attendance were approximately 50 current students, as well as alumni, CPSQ staff, and a member of the board. This event allowed students to pose questions related to the status of their credit courses and the AA degree, and the College Program's efforts toward independent accreditation. (I.C-18 Town Hall Agenda)

In addition to its communications with students, CPSQ notified its broader community of faculty, donors, and other stakeholders of its changing accreditation status through its organizational newsletter and in other communications. (I.C-19 November 2018 newsletter) Most recently, the College Program posted an update on the closure of Patten University and solicited Third Party Comments on its application for accreditation through its website. (I.C-20 PUP Education page)

Upon the closure of Patten University, likely in early Spring of 2020, the College Program will publish updated versions of its outward-facing materials, including its website and Student Handbook, to remove references to partnership with Patten University. The College Program will also add a statement describing its current accreditation status, in conformity with the Commission's Policy on the Representation of Accredited Status. This will take place in conjunction with other forms of notification to the public, including a press release, a rebranding campaign, and an institutional name change to mark the creation of the independent college. Staff titles, and the domain name of the organization, may also be changed to conform with the norms of higher education.

### **Analysis and Evaluation**

The College Program meets the standard. In its relationships and communications with external bodies and with its student body, it describes itself in consistent terms, and acts in compliance with all regulations and statutes. The Board of Directors and the staff of the College Program are committed to communicating any change to the college's accreditation status in a timely and transparent fashion.

I.C.14 The institution ensures that its commitments to high quality education, student achievement and student learning are paramount to other objectives such as generating financial returns for investors, contributing to a related or parent organization, or supporting external interests.

### **Evidence of Meeting the Standard**

The Prison University Project (PUP), which administers the College Program, is a nonprofit organization, and has no investors or parent organization. Its Board of Directors upholds comprehensive conflict of interest policies, in order to maintain the public and educational mission of the organization. (These policies are described in detail in Standard IV.C.11, below.) The organization will remain a nonprofit upon becoming independent, although it will undergo a rebranding and legal renaming process.

The organization's mission is, in part, "to provide an intellectually rigorous, inclusive Associate of Arts degree program and college preparatory program, free of charge, to people at San Quentin State Prison." (I.C-24 PUP Bylaws, pp. 1-2) PUP orients its resources toward fulfilling its promise to students. This is shown in its historical priorities for resource use; in the past, College Program leadership have prioritized the expansion of its Program Team staff entrusted with direct administration of the Program over expansion of its staff in other functional areas.

In addition to providing an excellent higher education to students at San Quentin, CPSQ / PUP has a public mission of "expand[ing] access to quality higher education for incarcerated people." (See Standard I.A.1 above.) CPSQ carries out this aspect of its mission primarily through offering training, advising and logistical support to emerging prison higher education programs. The Executive Director, in collaboration with other CPSQ staff, has for many years engaged in an array of efforts in fulfilling this aspect of the mission, including direct consultation, sharing program materials and practices, hosting site visits, presenting at conferences, facilitating trainings at other colleges, and hosting state-wide trainings for practitioners from across California and the U.S. (I.C-34 2018 Annual Report, pp. 13-16)

CPSQ / PUP leadership and Board members are aware of the potential of the externally facing aspect of the mission to divert resources from the educational programs at San Quentin, and thus negatively impact this aspect of its mission. (See Standard III.D.2 for further discussion of broader financial sustainability and mission fulfillment.) Balancing the public facing mission of the organization and its mission at San Quentin is a topic of ongoing consideration. However, all constituencies agree that addressing the vast demand for educational opportunities for incarcerated people in California and across the U.S. is a critical component of the mission. These activities also yield further indirect benefits by strengthening the field and promoting public awareness of the importance of, and the need for greater support for, access to education for incarcerated people.

In partnership with nonprofit consultant Esther Kim, the organization has developed a long-term vision for a Center for Excellence to house its work expanding access to education in prisons. This Center would have the dual role of supporting institutional research for use in CPSQ's outcomes assessment and program review cycle, and of drawing from this research in order to provide support to other prison higher education programs, and advance the field nationally. The Center for Excellence would have direct benefits for students, by supporting quality control and continuous improvement of all CPSQ offerings, while setting a high standard for the field nationally. In discussions of the Core Team (a group of staff, Board members, and external stakeholders generating recommendations for the growth and reorganization of CPSQ), the staffing of the Center for Excellence and additional staff for the Program Team have been discussed as potentially competing priorities of the college.

## **Analysis and Evaluation**

The College Program meets the standard. CPSQ's educational mission, "to provide an intellectually rigorous, inclusive Associate of Arts degree program and college preparatory program, free of charge, to people at San Quentin State Prison" is paramount. Other aspects of

its mission, such as its outward facing support and training for other prison higher education programs, are conducted so as to avoid detracting from financial and human resources resources necessary for full achievement of the educational mission.

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## **Conclusions on Standard I.C. Institutional Integrity**

The College Program at San Quentin has consistently demonstrated integrity in its communications with students and other constituents. Furthermore, formalized policies and practices ensure that the Board, CEO, staff, and faculty perform their duties ethically, and with honesty and fairness.

### **Improvement Plan(s)**

As PUP / the College Program at San Quentin establishes itself as an independent college, its staff and leadership will clearly define and communicate this new status to all constituencies. This will take place through multiple avenues:

- External facing materials online and in hard copy will include statements describing PUP / CPSQ's current accreditation status, in conformity with the Commission's Policy on the Representation of Accredited Status.
- PUP / CPSQ staff will provide other forms of notification to the public and its student body, including a press release, a rebranding campaign, and an institutional name change to mark the creation of the independent college.
- Leadership will evaluate whether to update staff titles, and other organizational systems (e.g. changing domain name of the organization to a .edu domain) to conform with the norms of higher education.

### **Evidence List**

I.C-1 Sample Prospective Student Letters  
I.C-2 Summer 2019 Orientation Agenda  
I.C-3 2019-2020 Student Handbook  
I.C-4 Sample Syllabi  
I.C-5 Spring 2019 Registration Letter  
I.C-6 CPSQ General Catalog 2019-2020  
I.C-7 Sample PUP newsletter  
I.C-8 Sample PUPdate  
I.C-9 June 2016 AAC Agenda  
I.C-10 August 2016 AAC Meeting Agenda  
I.C-11 Summer 2019 Student Feedback Survey Responses  
I.C-12 2018 Annual Report  
I.C-13 Letter and Survey to Students for Communications Audit

I.C-14 Employee Handbook  
I.C-15 Student Independence / Patten closure Communication #1  
I.C-16 Student Independence / Patten closure Communication #2  
I.C-17 Town hall sign up  
I.C-18 Town Hall Agenda  
I.C-19 November 2018 newsletter  
I.C-20 PUP Education page  
I.C-21 PUP R&E page  
I.C-22 2019 Board Retreat Agenda  
I.C-23 Educational Effectiveness Handbook  
I.C-24 PUP Bylaws  
I.C-25 Allowable Materials Presentation, PUP Statewide Training  
I.C-26 2019-2020 Instructor Manual  
I.C-27 Faculty training materials  
I.C-28 Course Observation Protocol  
I.C-29 15 CA ADC \$3400 Familiarity  
I.C-30 June 5, 2019 Board Meeting Agenda  
I.C-31 Finance Committee Meeting Notes  
I.C-32 April 2019 Board AWG Meeting Presentation and Materials  
I.C-33 Statement of authorization from CDCR  
I.C-34 2018 Annual Report

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## Standard II: Student Learning Programs and Support Services

*The institution offers instructional programs, library and learning support services, and student support services aligned with its mission. The institution's programs are conducted at levels of quality and rigor appropriate for higher education. The institution assesses its educational quality through methods accepted in higher education, makes the results of its assessments available to the public, and uses the results to improve educational quality and institutional effectiveness. The institution defines and incorporates into all of its degree programs a substantial component of general education designed to ensure breadth of knowledge and to promote intellectual inquiry. The provisions of this standard are broadly applicable to all instructional programs and student and learning support services offered in the name of the institution.*

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### A. Instructional Programs

II.A.1 All instructional programs, regardless of location or means of delivery, including distance education and correspondence education, are offered in fields of study consistent with the institution's mission, are appropriate to higher education, and culminate in student attainment of identified student learning outcomes, and achievement of degrees, certificates, employment, or transfer to other higher education programs. (ER 9 and ER 11)

### Evidence of Meeting the Standard

The College Program at San Quentin (CPSQ) offers a single credit bearing program in General Studies, culminating in an Associate of Arts degree. CPSQ also offers five non-credit College Preparatory courses in math and writing, to prepare students to enter credit courses for the AA degree. All credit and non-credit courses are taught face-to-face at the College Program's single campus, located inside San Quentin State Prison.

In pursuing the General Studies curriculum, students gain a foundation of knowledge and skills from across the liberal arts, including the humanities, fine arts, mathematics, and the social and physical sciences. The AA degree Program Learning Outcomes at CPSQ, in Written and Oral Communication, Critical Thinking, Research and Information Competency, Quantitative Reasoning, Global Awareness, and Values, reflect the breadth of knowledge and skills achieved in this degree. (II.A-1 2019-2020 Student Handbook, pg. 5, II.A-2 CPSQ General Catalog 2019-2020, pg. 6) General Studies is a recognized area of study in higher education, offered by many institutions of higher education ranging from community colleges to research



universities, that prepares students for a wide range of future educational and career trajectories.

Based on placement tests in math and writing administered when students enroll, the vast majority of CPSQ students are required to take non-credit College Preparatory courses before admission to credit courses, in order to build their foundational academic skills, and to foster the social and psychological capacities needed to succeed in college level coursework. (See II.C.7, below, for recent placement results.) Outcomes for the College Preparatory program are that students will obtain hard and soft skills that (i) enable them to complete college coursework; (ii) equip them to advocate for themselves and shape their learning community as a student; and (iii) are transferable to a variety of academic, professional and social contexts. (II.A-3 Educational Effectiveness Handbook, pg. 9) A Student Social and Educational Background Survey conducted in 2015-16 found that 92% of CPSQ students surveyed had a gap in their earlier schooling. (II.A-4 SSEBS Write-Up) The solid grounding in foundational academic and classroom skills provided by the College Preparatory Program allows students with prior disruptions in their education to build confidence and successfully handle the material they will encounter in college-level courses.

Research on the college's alumni outcomes suggest that CPSQ's General Studies and its College Preparatory programs are consistent with its mission, particularly to:

provide an intellectually rigorous, inclusive Associate of Arts degree program and college preparatory program...and to foster the values of equity, civic engagement, independence of thought, and freedom of expression

Alumni report that their coursework in the College Program positioned them to think independently and critically, to overcome past experiences of marginalization in education in order to engage fully in their courses, and to give back to their communities. (II.A-5 2016 Qualitative Study, pp. 8-10, 18-20, 42-48) Both alumni and external reviewers suggest the College Program recruits high quality teachers and operates at a high level of academic rigor. (II.A-6 2014 External Review, pg. 2; II.A-5 2016 Qualitative Study, pp. 11-14)

From 2016 to 2018, the College Program had 32 graduates from its AA degree in General Studies, and a successful course completion rate of 85%, on average, for its credit courses. (See Student Achievement Data and Institution Set Standards, above.) The average over three years for both degree completion and course completion exceed the CPSQ's institution set standards. However, in keeping with its mission of offering an excellent education to students, CPSQ has a stretch goal of increasing the size of its graduating student class as well as a stretch goal of raising its rate of successful course completion.

In evaluating the College Program according to many generally accepted markers of educational success, such as transfer rates, graduation rates, and post-graduation employment, it is important to consider its unique location and service population. CPSQ's student body is comprised in large part of adults serving long and/or life sentences and with lives and schedules to a great degree not under their own control. This reality changes the

nature of students' progress through the program and, in many cases, removes the possibility of speedy transfer or employment upon the completion of their degree.

### **Analysis and Evaluation**

CPSQ faces predictable obstacles to increasing the size of its graduating classes, including students' scheduling conflicts (e.g., as a result of prison-mandated jobs and court-mandated rehabilitative programs), prison-related interruptions to students' courses of study (e.g. involuntary transfer to another correctional institution, lockdowns, etc), disincentives to graduation resulting from prison rules (see Standard I.B.3 above, for a recent example), and the stressors of prison, which frequently lengthen a student's course of study. As part of setting out to achieve this goal, CPSQ will study current obstacles, discuss strategies to address them, and create a plan for implementation. In addition to these obstacles, CPSQ acknowledges that the completion of the AA degree is not a goal of all of its students. In a recent CPSQ survey asking students to indicate their goals in enrolling in the College Program, 22% did not select completion of the AA degree as one of their goals. (II.A-7 Student Goals Survey Sample) In keeping with its commitment to remaining student-centered, the College Program will thus also continue to study its effectiveness through the lens of students' stated interests and goals.

CPSQ aims for a high rate of successful course completion by its students while balancing necessary student support and upholding the appropriate rigor required of a college program. Assessing intended student learning outcomes will become more of a focus, with continued attention to monitoring grades and other indicators of educational quality, which has been a significant theme in the meetings of faculty and in the training and orientation of new instructors for much of its history. (II.A-8 CPSQ history, pg. 3) Grade inflation is a subject of ongoing discussion in the college community today. Better supporting instructors in systematically engaging in learning outcomes assessment is one aspect of CPSQ's assessment work with Dr. Melanie Booth, an expert in learning outcomes assessment. (II.A-3 Educational Effectiveness Handbook) Starting in Fall 2019, the College Program will begin offering its instructors further training in assignment design, with an eye toward assessment of student learning. The first of these trainings is already scheduled: Natasha Jankowski, of the National Institute of Learning Outcomes Assessment, will hold an assignment charrette for CPSQ instructors on September 19, 2019. (II.A-9 NILOA Assignment Charrette)

The College Program meets the standard. Both the College Preparatory program and the credit AA in General Studies culminate in identified learning outcomes, as do all courses in each program. (II.A-1 2019-2020 Student Handbook, pg. 3, II.A-2 CPSQ General Catalog 2019-2020, II.A-3 Educational Effectiveness Handbook) Both instructional programs are well aligned with the CPSQ's mission of providing an intellectually rigorous, inclusive Associate of Arts degree program and college preparatory program, free of charge, to people at San Quentin State Prison.

II.A.2

Faculty, including full time, part time, and adjunct faculty, ensure that the content and methods of instruction meet generally accepted academic and professional standards and expectations. Faculty and others responsible act to continuously improve instructional courses, programs and directly related services through systematic evaluation to assure currency, improve teaching and learning strategies, and promote student success.

### **Evidence of Meeting the Standard**

The College Program's faculty and Program Team staff are jointly responsible for the continuous improvement of individual courses, the College Preparatory and AA degree programs, and directly related services.

#### Quality Control and Improvement by CPSQ Faculty

CPSQ places close to 100 faculty (e.g. instructors, tutors, research assistants) each trimester. Many CPSQ faculty are current instructors or graduate students at nearby institutions of higher education. Others are retired college instructors, and still others are current or former high school instructors. Instructors volunteer with the program on a trimesterly basis, teaching one course per term, typically with at least one co-instructor.

To teach credit courses at CPSQ, faculty must have a Master's degree or higher in the subject of their course, or in a closely related discipline. Instructors for non-credit College Preparatory courses typically have a relevant academic credential, and/or extensive experience teaching high school or developmental education courses. (II.A-10 2016-2019 CPSQ Instructors with credentials) New instructors attend a role-specific training run by their academic coordinator, in addition to the 4 hour training provided to all new faculty, including tutors, teaching assistants, and instructors. (II.A-11 Faculty training materials)

Syllabi, readings, and assignments for each credit course are determined by instructors, using CPSQ's established course descriptions and learning outcomes. While some instructors only teach for a given term, many teach with the program for multiple years, and contribute extensively to the improvement of individual courses and programs during their tenure. Faculty, in collaboration with CPSQ staff, have made improvements to instructional programs and learning support services largely in response to student feedback or to student needs as identified by faculty or staff. Improvements spearheaded by faculty over CPSQ's more than two decades of operation have included:

- the expansion of the College Preparatory Program from two to five courses, in order to meet students' needs for preparation across a greater range of areas in math and writing, and to allow for placement of students earlier or later in the sequence based on readiness (II.A-8 CPSQ History, pp. 3-4);

- the initial design and revision of entry writing and math assessments to gauge student readiness for different points in the College Preparatory sequence (II.A-8 CPSQ History, pg. 3);
- innovations in the design of Math 50A and Math 50B, in order to overcome problems with student retention and pacing of the course (II.A-8 CPSQ History, pg. 3);
- the revision of mathematics courses across the College Preparatory and AA degree programs, including the addition of a noncredit Elementary Algebra course, in order to better align with norms of higher education for math sequences (II.A-8 CPSQ History, pg. 3);
- the addition of elective course offerings for the AA degree to include all requirements for transfer eligibility to the University of California and the California State University, including courses in foreign language, mathematics, and lab sciences (II.A-8 CPSQ History, pp. 6-7);
- the discontinuation of survey “world history” electives, in favor of more specialized non-US history courses, such as Latin American History, Modern African History, and Asian History, as a result of faculty curricular evaluation and in response to student demand (II.A-12 Courses offered spreadsheet);
- the design and addition of labs in Geology, Biology, and Neuroscience, among others, that take into account the security needs and available infrastructure at San Quentin (II.A-8 CPSQ History, pg. 7);
- the addition of specialized materials to lab science courses, through an ongoing relationship with UCSF’s Science and Health Education Partnership Program (II.A-8 CPSQ History, pg. 7);
- the creation and of a training for study hall tutors, in addition to existing introductory trainings for all faculty.

These improvements and others were conceived and carried out by faculty with experience teaching a given course, or through groups of faculty in a discipline. All improvements by faculty have been carried out in close collaboration with CPSQ staff, who contribute their own pedagogical and subject matter expertise, as well as knowledge of common logistical challenges and solutions, institutional memory, and awareness of the needs of the Program as a whole. (II.A-13 Math 50 Improvement Meeting Agenda; II.A-14 Math Alignment Project; II.A-15 Timeline of Biology Courses at San Quentin)

#### Quality Control and Improvement by Program Team staff

Until 2009, the Executive Director, the Program Administrator, and the two on-site Program Clerks lent support to faculty in carrying out instructional program design and improvement. Beginning in 2012, the larger Program Team has supported the general administration of the instructional program and support services. As of Spring 2019, the Program Team includes:

- The four members of the Academic Team:
  - The Academic Program Director (APD), who has primary responsibility for the operation of the College Program as a whole, and supervisory responsibility for credit courses;
  - The STEM Program Coordinator, who has supervisory responsibility for all non-credit math courses, as well as joint supervisory responsibility (with the APD) for credit courses in math and science;
  - The College Preparatory Writing Program Coordinator, who has supervisory responsibility for all non-credit writing courses;
  - The Learning Specialist, who has primary responsibility over all student accommodations and support in improving accessibility in course materials, as well as supervisory responsibility for study hall;
- The Director of Student Affairs (formerly the Program Administrator), who oversees student admissions and registration, provides academic advising, and supervises the Student Affairs Associate, the Program Assistant, and the two Program Clerks;
- The Student Affairs Associate, who manages instructor supply requests and clearances, plans and implements program events, fills student requests for research materials, and assists College Program alumni;
- The Program Assistant, who assists with student registration and enrollment, transcript requests, and semesterly degree audits;
- Two on-site incarcerated Program Clerks, who assist students with registration and enrollment, coordinate classroom supplies, and provide clerical support for College Program mailings and class copies.

Academic Team staff have primary responsibility for placing and orienting all faculty, including instructors and tutors, and overseeing the course qualification process. Academic Team staff collaborate with course instructors in improving course design, course execution, and directly related services. (II.A-16 Program Team Org Chart) All members of the Academic Team have significant teaching experience and training in pedagogy. (II.A-17 Academic Team CV's)

In the course qualification process, Academic Team staff provide instructors with examples of prior syllabi, review instructors' draft syllabi for accessibility and conformity to CPSQ standards, and help instructors to align assignments and course content to the course learning outcomes. Standard syllabi and course readers containing all assigned texts have been developed for non-credit College Preparatory courses. Coordinators and instructors for College Prep courses make adjustments required for current groups of students.

Academic Team members discuss instructional program effectiveness and improvement planning in their biweekly meetings, in individual supervisory meetings with the Academic Program Director, and in communicating with their assigned instructors.

Improvement planning for services directly related to the instructional program also takes place in the weekly meetings of the broader Program Team. With the exception of the on-site Program Clerks, all members of the Program Team attend weekly meetings. All Program Team members have extensive in-person interaction with the CPSQ student body and faculty, and provide valuable contributions to improving instructional programs and related services. As both students and staff, the on-site Program Clerks provide a uniquely valuable source of feedback and suggestions for improvement to the rest of the Program Team. Improvements spearheaded by staff on the Program Team, or (in the early years of CPSQ) by volunteers serving in an administrative capacity, have included:

- the creation of an in-house database to track student course enrollments and credits earned, and the addition of academic advising for students on progress toward the degree in response to student demand (II.A-8 CPSQ History, pg. 4);
- the development of relationships with textbook donors, in order to allow faculty choice of course materials while maintaining free access to courses for all students (II.A-8 CPSQ History, pg. 4);
- the establishment of a set of “standard issue” school supplies distributed free of charge to all students each term, in order to address inequities in students’ abilities to obtain materials (II.A-8 CPSQ History, pg. 4);
- the creation and maintenance of a courier system within San Quentin, to facilitate regular, reliable and timely communication with all active students regarding their courses and other College Program activities;
- the building of cooperative relationships with prison administrators and custody staff, in order to facilitate and renew security clearances of faculty and tutors, to obtain and update correctional administration approval of educational materials and supplies, and to allow student movement to and from class, among other vital purposes;
- the creation and maintenance of a Do Not Transfer agreement with the California Department of Corrections and Rehabilitation (CDCR), to allow students to pursue a college education without interruption (II.A-19 Do Not Transfer letter);
- the expansion and improvement of training for faculty and learning support personnel, including the addition of specialized trainings for math instructors, writing instructors, and study hall tutors;
- the tracking of students’ patterns of study hall attendance, in order to gauge the extent of student use of study hall and schedule sessions according to student demand;

- the creation of a library catalog and check out procedure for CPSQ library materials;
- the incorporation of course site for all courses, including course wikis, in order to capture and retain key information about each course, both to inform later iterations of the course and to facilitate communication among instructors in that term (II.A-18 Sample Course Wiki);
- the addition of student Teaching Assistants to support College Preparatory courses and to provide students with the opportunity to serve as mentors, partly in response to student demand for mentorship opportunities (II.A-23 Teaching Assistant Program Description);
- the addition of the staff Learning Specialist to improve accessibility of instruction and to oversee student accommodations, in response to a high incidence of learning challenges self-reported by students and observed by staff and instructors (II.A-24 Learning Specialist Job Description);
- the creation of term-length co-curricular student activity groups and workshops in response to student demand, along with procedures to allow any member of the CPSQ community to suggest new offerings (II.A-25 List of recent activity groups and workshops);
- the incorporation of lectures, single session workshops, and other academic events into the academic term in response to widespread student and community interest, including the annual Academic conference, the Book Club, study skills and time management workshops, and information sessions with organizations dedicated to providing reentry support and specifically, support to formerly incarcerated students who are continuing their studies on outside campuses (II.A-26 Sample CPSQ event notice);
- the creation of formal avenues for student participation and feedback in the development of CPSQ, including the student activities suggestion form and the student feedback mailing list (II.A-27 Student Activities Suggestion Form).

While program evaluation and improvement by faculty and CPSQ staff has taken place regularly in the past, often in response to direct appeals by students or to evident student needs, efforts are underway to further systematize and formalize improvement planning. In partnership with Dr. Melanie Booth, current Vice President of Institutional Effectiveness at Dominican University of California, and the National Institute of Learning Outcomes Assessment, CPSQ has developed a formal cycle of program review. (II.A-3 Educational Effectiveness Handbook, pp. 20-21) The Academic Program Director has primary responsibility for carrying out the program review cycle. Starting in Spring 2020, the Academic Program Director will also begin recruitment for a Faculty Committee made up of CPSQ faculty, to formalize the faculty role in making improvements to the academic curriculum. (II.A-28 Faculty Committee Charge)

As part of this cycle, starting in the Spring 2019, CPSQ started collecting detailed feedback at the end of each term from all faculty, including instructors, tutors, research assistants, and co-curricular group leaders.<sup>1</sup> The feedback survey elicits course-specific feedback from instructors, course research assistants, and student teaching assistants; feedback on the effectiveness of study hall from tutors; and feedback on student workshops from workshop leaders. In Summer of 2019, CPSQ also piloted a student survey soliciting feedback regarding the accessibility of services and information about the College Program, the effectiveness of learning support services, and common issues arising in instructional offerings. These will be incorporated into the data sets that will be reviewed for use in ongoing continuous improvement. Review will take place in the following fora:

- **Program Team meetings:** Feedback regarding general College Program practices and student support services will be reviewed in the staff Program Team meeting.
- **Academic Team meetings:** Feedback regarding academic offerings, including courses and study hall, will be reviewed in the staff Academic Team meeting and in individual supervisory meetings between the Academic Program Director and the Learning Specialist, STEM Program Coordinator, and College Preparatory Writing Program Coordinator.
- **Faculty Committee Meetings:** Going forward, summaries of feedback for each term regarding academic offerings, along with staff suggestions for improvement, will be presented to the Faculty Committee by the Academic Program Director. This committee will be recruited starting in Spring of 2020, and will consist of faculty from a variety of disciplines represented in the General Studies AA degree. The faculty committee's responsibilities and authority are currently being formulated by the Academic Program Director, in partnership with the Board's Accreditation Working Group. (II.A-28 Faculty Committee Charge; II.A-3 Educational Effectiveness Handbook)

Program-level improvements are discussed and planned in staff Program and Academic Program meetings. (II.A-29 19-07-10 Program Agenda & Notes, II.A-30 Academic Team Notes) In the future, improvement planning will incorporate data outcomes assessment processes (as described in the Educational Effectiveness Handbook) as well as trimesterly faculty feedback and regular student feedback through surveys, in addition to existing information provided by mid- and end-of-term student course evaluations, on-the-ground observation by coordinators, course wikis, and staff communication with instructors. Improvement planning will continue to take place through Academic Team meetings, Program Team meetings, and through staff provision of past course feedback to instructors in upcoming terms. In addition to existing collaboration between Academic Program staff and faculty, faculty involvement in improvement planning will be formalized through the creation of the Faculty Committee.

## Analysis and Evaluation

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<sup>1</sup> Previously, volunteer feedback was solicited by survey, but not on a regular basis.



The College Program meets the standard. In order to ensure the rigor and academic quality of its offerings, CPSQ both imposes requirements on the credentials of its faculty, and requires that they participate in a process of screening and orientation. Faculty with requisite academic and teaching credentials, in partnership with Program staff, ensure that course content and methods of instruction meet the academic and professional standards current in their discipline. Using detailed faculty and student feedback, faculty and staff work to continuously improve courses, program offerings, and student support services over time. Staff meet regularly to discuss In the future, program and course review will take place more systematically, as described in the Educational Effectiveness Handbook.

Coordination by the Program Team is key to achieving the educational mission of CPSQ, for a number of reasons. Given constraints on the time faculty have available for volunteering with the College Program, faculty usually do not enter the prison between classes or tutoring sessions. Staff charged with coordination therefore play a critical academic support role for students. Furthermore, given that instructors volunteer from term to term, coordination by paid staff greatly facilitates the standardization of key courses and the introduction of new faculty to ongoing curricular improvements. Faculty and Academic Team staff together ensure high quality teaching and learning through preparation activities as well as through assessment of student learning.

II.A.3

The institution identifies and regularly assesses learning outcomes for courses, programs, certificates and degrees using established institutional procedures. The institution has officially approved and current course outlines that include student learning outcomes. In every class section students receive a course syllabus that includes learning outcomes from the institution's officially approved course outline.

### **Evidence of Meeting the Standard**

CPSQ has defined learning outcomes for the AA degree program in General Studies, outcomes for the College Preparatory program, and outcomes for all credit and non-credit courses. Official course outlines and learning outcomes are published in the College Program's General Catalog. (II.A-2 CPSQ General Catalog 2019-2020) Students receive a syllabus with the recognized course learning outcomes in every course. (II.A-31 Sample syllabi)

Capacity-building work to implement robust strategies for learning outcomes assessment is ongoing. An external program review conducted in 2014 by professors Marianne Constable (UC Berkeley) and Geraldine Downey (Columbia University) gave positive ratings to the program for its assessment plan but noted that it was primarily at the course level, with curricular or pedagogical changes being made "based on anecdotal reports and comments by students and teachers." The reviewers suggested that work remained to be done on "assessment

implementation,” e.g., ensuring that parties in charge of assessment have both direct and indirect measures of learning and that data at both the course and program level be drawn upon and examined. (II.A-6 2014 External Review) In light of this feedback, CPSQ continues to build its capacity to directly assess learning. What follows records the program’s progress in learning outcomes assessment in each of its two instructional programs.

**AA Degree Program and Credit Course Learning Outcomes:** Throughout its twenty year history, CPSQ’s AA degree in General Studies has been run as an extension site of Patten University (formerly Patten College). The Program Learning Outcomes for CPSQ’s sole degree program in General Studies were therefore determined by Patten University. These learning outcomes were included in the Student Handbook given to all new students. (II.A-1 Student Handbook, pg. 3) As part of assessment activities, CPSQ’s Academic Program Director also mapped individual courses in the College Program to these Program Learning Outcomes. (II.A-32 Patten University General Studies AA PLO’s; II.A-33 2016 Curriculum Map)

In anticipation of the closure of Patten, CPSQ has carried out a review and revision of these outcomes, using feedback from recent course instructors on Patten’s Program Learning Outcomes in relation to their own course. (II.A-34 Spring 2019 Credit Instructor Survey, PLO’s) After review of this feedback, the following learning outcomes for the AA in General Studies were created:

- **Written and Oral Communication:** Students will be able to communicate clearly and effectively in written and oral forms in a broad array of social, professional, academic, and civic contexts.
- **Quantitative Reasoning:** Students will be able to use a variety of quantitative methods, including arithmetical, algebraic, geometric and statistical methods, to understand and solve problems.
- **Research and Information Competency:** Students will be able to locate, evaluate, analyze, interpret, and synthesize a broad range of source materials.
- **Critical Thinking:** Students will be able to think independently and creatively, to develop self- and other-awareness, including the ability to see the world through multiple perspectives, and to integrate these skills into daily life.
- **Values:** Students will be able to articulate and to critically reflect upon their own values and the values of others. They will be able to identify ethical concepts and principles, and to use them in reasoning.
- **Global Awareness:** Students will be able to demonstrate an awareness of a complex and interdependent world beyond their own surroundings and communities, and an understanding of their identities and actions as part of and related to that world.

CPSQ will create a new Curriculum Map in Fall of 2019, using these new program learning outcomes for the AA degree, to aid in implementing a more systematic learning outcomes assessment process, as represented in the Educational Effectiveness Handbook.

Learning outcomes are also defined for every credit course, and listed in the course catalog. (II.A-2 CPSQ General Catalog 2019-2020) Dialogue around learning outcomes in a particular

course begins with the process of course qualification. All course syllabi must include course learning outcomes. Staff encourage instructors to align weekly lecture topics and assignments to the course learning outcomes. (II.A-35 Sample Journalism syllabus; II.A-36 Sample 101A syllabus; II.A-37 Sample 101B syllabus)

Student learning is currently assessed at the student level through faculty interaction with students in class and faculty assessment of student coursework. During the term, faculty assess students' progress in collaboration with their co-instructors, and report common problems to their assigned academic coordinator. Faculty record notes about each class session in a common course wiki for the use of co-instructors and the course academic coordinator. These course wikis include discussion of students' academic progress, and are shared with later instructors of the course. (II.A-18 Sample Course Wiki) At the end of each term, CPSQ collects detailed feedback from all instructional staff, including feedback specific to their instructional role from faculty and course research assistants. Survey questions ask instructors about their impression of students' preparation for the course and of the most common struggles faced by students. Course-specific feedback is discussed in Academic Team meetings, and passed on to future course instructors. (II.A-38 Spring 2019 Instructor survey responses; II.A-39 Academic Team 19-06-13 Volunteer Feedback Meeting)

**College Preparatory Program and Noncredit Course Learning Outcomes:** Outcomes for the College Preparatory Program are that students will obtain hard and soft skills that (i) enable them to complete college coursework; (ii) equip them to advocate for themselves and shape their learning community as a student; and (iii) are transferable to a variety of academic, professional and social contexts. These hard and soft skills are further defined using learning outcomes for the five College Preparatory courses. (II.A-3 Educational Effectiveness Handbook, pp. 9-11)

As with credit courses, non-credit courses have learning outcomes. Non-credit course syllabi and reading materials are standardized across courses to align with the learning outcomes by staff academic coordinators. Staff coordinators work with instructors to align assignments and lecture topics to the course learning outcomes.

Standardized assessment activities take place in each College Preparatory course, and include:

- mid-semester student assessments by instructors, to track student progress toward their goals and toward course learning outcomes;
- end-of-semester placement letters and instructor-student meetings, both of which record students' progress in the course as a whole;
- indirect assessment of study hall, through the collection of study hall evaluations from all College Preparatory students that are then reviewed by the Learning Specialist.

The College Preparatory Program is currently making improvements to its assessment activities through the development of offerings by the Learning Specialist, including an exit survey for all matriculating College Preparatory students.

Going forward, student learning outcomes assessment at the course and program level will take place more systematically, and will incorporate multiple methods of direct assessment. CPSQ has developed an Educational Effectiveness Handbook in collaboration with Dr. Melanie Booth, current Associate Vice President of Institutional Effectiveness at Dominican University of California, as well as with experts in assessment at the National Institute for Learning Outcomes Assessment. The Handbook contains CPSQ's detailed five year program learning outcomes assessment cycle, including initial methods of assessment for students' learning outcomes, academic improvement, and personal enrichment outcomes. It also specifies the process for Program Review. (II.A-3 Educational Effectiveness Handbook) Going forward, the Academic Program Director will be accountable for carrying out the cycle. Starting in Fall of 2020, the Academic Program Director will also recruit CPSQ faculty for a Faculty Committee, to formalize the role of faculty in learning outcomes assessment.

### **Analysis and Evaluation**

The College Program has made significant progress in the realm of learning outcomes assessment for its instructional programs. With the support of experienced practitioners in the field of higher education, CPSQ continues to build its capacity to conduct assessment of learning outcomes for both instructional programs and courses. Strong assessment practices exist in the College Preparatory program at the course level, and improvements are currently underway to collect indirect evidence of program-level outcomes. As part of its transition away from partnership with Patten University, the College Program is taking greater ownership over its assessment for all aspects of the Program. The recent revision of its program learning outcomes for the AA degree in General Studies, the update to the Curriculum Map in Fall 2019, and the creation of the Educational Effectiveness Handbook, will put the program in a strong position going forward.

#### **II.A.4**

If the institution offers pre-collegiate level curriculum, it distinguishes that curriculum from college level curriculum and directly supports students in learning the knowledge and skills necessary to advance to and succeed in college level curriculum.

### **Evidence of Meeting the Standard**

CPSQ's College Preparatory program and its AA degree program in General Studies are described as separate curricula in the orientation for entering students and in all written materials, including the Student Handbook. (II.A-1 Student Handbook, pp. 6-8) All new students take assessments in math and writing. Assessments are designed to evaluate students' readiness for credit coursework, as well as to place students early or late in the noncredit sequence, depending on their current skill level. Based on those assessments, upwards of 90% are placed in College Preparatory courses in order to build their reading, writing, critical

thinking and/or math skills before entry into credit courses. Course placements are communicated to students by letter. (II.A-40 Sample initial student placement letter)

College Preparatory courses have two designated staff supervisors from the Academic Team. Math courses are overseen by the STEM Program coordinator, while writing courses are overseen by the College Preparatory Writing Program coordinator. The coordinators assist in standardizing practices of student support in the College Preparatory Program. Listed below are standard practices in non-credit courses:

- Students co-create individual learning goals for each course with their instructors, to foster student agency in learning and help instructors understand what students are trying to accomplish in the course. (II.A-41 College Prep mid-semester check-in)
- Courses are designed to foster skills in a progression, with the end point being readiness for the first credit courses in math and composition. For example, readings assigned in the English 99A and 99B sequence become progressively longer, and the level of examination and analysis required of students becomes more complex, with the end goal of preparing students for readings of the length and complexity typical of English 101A. (II.A-42 Composition Learning Outcomes Chart)
- Every student has a mid-term check-in with their team of instructors to document progress and provide constructive feedback. Coordinators collaborate with instructors to orient feedback toward fostering student growth and away from a punitive approach.
- In all math courses, instructors schedule a few open class days late in the term, to allow for reteaching material that students have not yet mastered, and students have the opportunity to retake quizzes to demonstrate increased mastery of the material.
- Every course has teaching assistants recruited from advanced AA degree students at CPSQ, who provide both in-class and out-of-class assistance, as well as peer mentoring, to current College Prep students.
- The availability of math and writing tutors for drop-in tutoring in study hall is announced in class and on all syllabi. Students in College Preparatory courses are required, as one of their assignments, to attend at least one study hall session and write a response describing their experience.
- The Learning Specialist offers regular workshops on study skills and time management, both for all students and exclusively for College Preparatory students.
- Students can obtain additional learning support by joining a regular math study group run by an instructor, or by requesting a dedicated individual tutor for math or writing.
- At the end of every course, students receive a placement letter from their instructors, which records the course result and notes areas of strength and weakness. Instructors

also meet in person with every student to discuss their placement, in order to help students process feedback and prepare for their future coursework.

Beyond these practices, College Preparatory students also have the opportunity to place more quickly into credit courses through retaking initial assessments. Students may choose to retake the writing or math assessment at any time, if they feel that their skills in the relevant areas have improved to the point required for college coursework.

### **Analysis and Evaluation**

The College Program meets the standard. The non-credit College Preparatory and credit AA degree are clearly distinguished in CPSQ's written materials. Students can skip College Preparatory courses entirely by performing well on the entry writing and math assessments. Students placed in College Prep may advance into credit courses either by passing College Prep courses, or by successfully retaking the initial writing and math assessments at any point.

CPSQ supports students in learning the knowledge and skills necessary to advance and succeed in the college level curriculum in a number of ways. These include providing students with regular constructive feedback (e.g., mid- and end-of-term instructor conferences), adapting the College Prep curriculum to better support student learning (e.g. re-teaching math content, student co-creation of individual learning goals), and offering and publicizing a variety of learning support services (e.g. drop-in math and writing tutoring, individual tutoring, study hall assignment, student Teaching Assistants).

II.A.5

The institution's degrees and programs follow practices common to American higher education, including appropriate length, breadth, depth, rigor, course sequencing, time to completion, and synthesis of learning. The institution ensures that minimum degree requirements are 60 semester credits or equivalent at the associate level, and 120 credits or equivalent at the baccalaureate level. (ER 12)

### **Evidence of Meeting the Standard**

The Associate of Arts degree in General Studies requires 61 credit units. All courses meet at least twice a week over 13 weeks. Total class contact hours for each course are scheduled so as to exceed the norm of 15 hours per credit. This is done in order to allow for regular prison-related delays that impede student attendance. In addition, students and faculty are notified that CPSQ staff may extend the academic term by up to two weeks, to allow for replacement class sessions in case of sustained prison-related disruptions.

Faculty collaborate with Academic Program Staff to assess the appropriateness of course sequencing and synthesis of learning across courses, as well as to redesign course sequences in response to pedagogical or institutional obstacles. (II.A-8 CPSQ History, pp. 4-6) CPSQ's

introductory faculty training and subsequent faculty trainings emphasize the importance of applying the same academic standards for CPSQ students as any other college student. This ethos influences Academic Program staff collaboration with faculty, including review of proposed syllabi, readings, and assignments in credit courses.

### **Analysis and Evaluation**

The College Program meets the standard. Courses are scheduled in compliance with the norms of higher education regarding contact hours and credits to degree. Qualified faculty, in collaboration with Academic Team staff, drive efforts to align the curriculum with established expectations. Through the collaboration of faculty and the Academic Team, appropriate course sequencing, rigor, and synthesis of learning across courses is attained.

II.A.6 The institution schedules courses in a manner that allows students to complete certificate and degree programs within a period of time consistent with established expectations in higher education. (ER 9)

### **Evidence of Meeting the Standard**

CPSQ's efforts to provide for the allow timely completion of the AA degree are responsive to its particular mission and context. The program is located inside a state prison, with a student body comprised in large part of adults serving long and/or life sentences. Students facing long sentences often feel less pressure to complete their degree within periods established in other higher education contexts. (II.A-7 2018 Student Goals Survey) Nevertheless, CPSQ takes seriously its responsibility to provide sufficient structure and motivation for students to persist and complete.

The Director of Student Affairs (formerly the Program Administrator), in collaboration with the Academic Program Director and the STEM program coordinator, schedules courses for each new term. All College Preparatory courses are offered every term, as are key prerequisites in the AA degree program, such as Intermediate Algebra, English 101A and 101B, and English 204. (General Studies requirements; courses spreadsheet) Other electives and requirements are taught on a regular rotation: for example, CPSQ aims to schedule one science course per term, alternating between a lab science and a non-lab science. In order to schedule all requirements for the AA degree regularly, the Director of Student Affairs (previously the Program Administrator) tracks all past course offerings. (II.A-12 Courses offered spreadsheet)

Within these structures, practices for course scheduling prioritize the needs of students within 27 units of graduation. In preparation for course scheduling, all students within 27 units of graduation are invited to meet with Academic Program staff to discuss their path to completion of the degree. The Director of Student Affairs takes outstanding courses for all such students into account in scheduling the upcoming term. (II.A-43 Students close to graduation) Once a proposed schedule is created, the Academic Program Director, STEM Program Coordinator,

and College Preparatory Writing Coordinator begin recruitment of volunteer faculty. While volunteer availability may influence final course schedules, this is generally not a factor in initial scheduling decisions. Staff seek volunteer instructors only after determining the best course schedule given established norms, the needs of students close to graduation, and available classroom space.

A number of contextual obstacles affect both course scheduling and students' path through the program:

- Space allowed to CPSQ is limited to six classrooms at any given time, to which the program has access only in the late afternoons and evenings six days per week. This limits the number of classes that can be offered. College Preparatory courses, requirements for the AA degree and requirements for transfer are prioritized.
- Most students have full-time jobs inside the prison, and many participate in court-mandated programs. The scheduling of these obligatory activities often prevent students from taking full advantage of available course offerings in a given term.
- Students' courses of study may be interrupted at any time by involuntary transfer to another correctional institution, lockdowns, or placement in administrative segregation for disciplinary or protective reasons. While CPSQ has negotiated a Do Not Transfer agreement with correctional authorities and collaborated in other ways with prison administrators to facilitate students' college enrollment, prison-related disruptions remain a significant barrier to timely completion of the degree for many students. (II.A-19 Do Not Transfer letter)
- The stressors of prison, separation from family, and various ramifications of trauma may impact mental, emotional and/or physical health, lengthening a student's course of study.

Given these realities, CPSQ nonetheless strives to schedule classes in a manner that will allow students to complete the degree on their preferred timeline. Through academic advising, students can confer with the Director of Student Affairs (formerly the Program Administrator) to describe their desired path through the program. (II.A-20 Director of Student Affairs Job Description; II.A-21 Program Administrator Job Description)

### **Analysis and Evaluation**

The College Program meets the standard. Courses are scheduled on a rotation in order to allow for completion of the AA degree in a timely manner, given the mission and context of the program. The College Program tracks its past course offerings and ensures that key required courses run every term. In addition, the Program places a premium on enabling students 27 units from graduation to complete the degree, and takes their needs into account explicitly in scheduling the upcoming term.



**II.A.7**

The institution effectively uses delivery modes, teaching methodologies and learning support services that reflect the diverse and changing needs of its students, in support of equity in success for all students.

**Evidence of Meeting the Standard**

All instruction at CPSQ takes place face-to-face. Orientation of instructional staff, including faculty, tutors, teaching assistants, and research assistants, is sensitive to the diverse needs of students, which may or may not be prison-related. All volunteers, including faculty, tutors, research assistants, and workshop leaders, receive an initial 4 hour training focusing on navigating the culture of corrections and common dynamics in the prison classroom. Faculty also attend in-person trainings specific to their roles. These trainings address a variety of relevant topics, including classroom management, professional boundaries, tutoring techniques, differentiated instruction, trauma-informed teaching, student-centered teaching, challenging topics in the classroom, and the logistics of operating academic programs at San Quentin, among others. (See Standard I.B.1, above for a further description of trainings given to faculty.)

Since the founding of CPSQ in 1994, students have had access to learning support services in the form of study hall and course offerings in developmental education. Study hall sessions provide students with access to qualified volunteer tutors outside of class, as well as a space for individual and group study. The College Preparatory program offers students developmental courses in math and writing, in order to help students overcome educational gaps and foster success in credit course offerings. (See II.A.4) Over its more than two decades of operation, CPSQ has deepened and expanded its learning support services to include:

- writing and math tutors available to all students in study hall on a drop-in basis;
- for many courses, course-specific tutors with access to course syllabi, assignments, and instructor notes;
- access to term-length study groups in math, led by instructors in study hall;
- dedicated individual tutoring on request;
- student teaching assistants for many courses, including for all College Preparatory courses;
- single session workshops on study skills, time management, note taking, and public speaking, among other topics;
- free textbooks, readers, and school supplies for all students enrolled in courses in a given term;

- a student research request form for articles in the public domain or available through CPSQ's library resources, identified by title, author, and/or general topic of interest;
- the collection of a New Student Bio for every entering student, which receives an individual response from staff, in order to allow staff and faculty to address students' concerns as they begin their studies (II.A-22 New Student Bios, redacted);
- the addition of a staff Learning Specialist, a full-time staff member with expertise in improving accessibility, designing accommodations, and addressing barriers to learning caused by trauma (II.A-24 Learning Specialist Job Description);
- "conferencing" with any of Program Team member on request, to address in-class or out-of-class relationships, workload, academic challenges, or obstacles specific to the prison environment.

With the addition of the Learning Specialist, students now also have the opportunity to create an Individual Learning Intake, which allows them to track their progress over their time in the program. (II.A-44 Individual Learning Intake, beta) The Learning Specialist also develops additional workshops for students and faculty, to address variation in individual students' learning styles, learning differences and disabilities, trauma-informed education, and metacognition. The Learning Specialist will continue to offer study skills workshops focused on note-taking, time management, and other skills.

### **Analysis and Evaluation**

The College Program meets the standard. Face-to-face instruction is a proven teaching methodology that greatly benefits the CPSQ student body, providing a social context in which to embody the role of a student in the prison environment. Learning support services at CPSQ continue to evolve in response to the needs of students, with the goal of success for all students, regardless of pre-existing gaps or obstacles.

**II.A.8** The institution validates the effectiveness of department-wide course and/or program examinations, where used, including direct assessment of prior learning. The institution ensures that processes are in place to reduce test bias and enhance reliability.

### **Evidence of Meeting the Standard**

The College Program at San Quentin does not use department-wide course and/or program examinations, nor does it directly assess prior learning.

### **Analysis and Evaluation**

Not applicable.

## II.A.9

The institution awards course credit, degrees and certificates based on student attainment of learning outcomes. Units of credit awarded are consistent with institutional policies that reflect generally accepted norms or equivalencies in higher education. If the institution offers courses based on clock hours, it follows Federal standards for clock-to-credit-hour conversions. (ER 10)

### **Evidence of Meeting the Standard**

Academic credit is awarded based on the Carnegie unit, i.e., one credit for 15 hours of class per term and the expectation of two hours of out-of-classroom work for each hour of class time. Students must have attended 80% of course hours in order to pass and be awarded this credit. To ensure fulfillment of 15 hours of class contact per credit despite prison-related delays in student movement, courses typically include an additional 340 minutes of scheduled class time per credit. In the case of more serious interruptions, CPSQ alerts instructors and students that any academic term may be extended by up to two weeks.

To date, CPSQ has followed Patten University's credit hour policy, viz.:

To receive one semester unit of credit, a student spends fifteen hours in class or in classroom-related activities during a semester. For each hour of time in class or classroom-related activities, students will expect to complete two hours of out-of-classwork related to classroom learning (e.g., homework). The form of the in-class and out-of-class work and contact time with instructors will take different forms in classes that are independent and directed studies and research (e.g., senior or M.A. thesis, internships, etc.) classes. When registering for classes, students should keep in mind that 1 semester unit requires at least two hours of study for each hour spent in class.

Given that CPSQ operates on a trimester system and does not offer some of the types of instruction (e.g., independent and directed studies) or degree levels (baccalaureate and masters) mentioned in the Patten policy, the following revised policy has recently been adopted:

Academic credit is awarded based on the Carnegie unit. To receive one trimester unit of credit, a student spends fifteen hours in class during a term. For each hour of time in class, students are expected to complete approximately two hours of out-of-class work related to classroom learning (e.g., homework).

Going forward, CPSQ will seek to further align its issuance of credits to achievement of learning outcomes, through formalizing its assessment of student learning and providing its faculty with further trainings in assignment design. CPSQ's assessment system and cycle is being

created in partnership with Melanie Booth, current Associate Vice President of Institutional Effectiveness at Dominican University of California, and with experts in assessment at the National Institute of Learning Outcomes Assessment. (II.A-3 Educational Effectiveness Handbook)

### **Analysis and Evaluation**

The College Program meets the standard. The award of credits conforms to established norms of higher education, with appropriate alterations made to account for regular delays and interruptions in the prison context. While assessment of learning outcomes, and so the alignment of awarding course credits by outcomes achievement, has been done largely at the course level in the past, going forward CPSQ will build further capacity in this area.

II.A.10

The institution makes available to its students clearly stated transfer-of-credit policies in order to facilitate the mobility of students without penalty. In accepting transfer credits to fulfill degree requirements, the institution certifies that the expected learning outcomes for transferred courses are comparable to the learning outcomes of its own courses. Where patterns of student enrollment between institutions are identified, the institution develops articulation agreements as appropriate to its mission. (ER 10)

### **Evidence of Meeting the Standard**

CPSQ allows students to transfer in a maximum of five courses that fulfill comparable degree requirements for the AA degree in General Studies. CPSQ's transfer policy is communicated to students in New Student Orientation, and in the Student Handbook, in the following section:

#### **TRANSFERRING CREDITS**

Students may transfer a maximum of 5 classes from other accredited colleges and universities that fulfill comparable degree requirements for the College Program at San Quentin (CPSQ). However, students are required to complete the core English and math courses through the Prison University Project, and so cannot fulfill those requirements with transfer credits. Students may request to transfer credits after completing English 204.

Students who have earned credit from a college or university attended previously and wish to transfer credits to CPSQ should complete and submit a "Transcript Request Form," which is available in the office in Education. On the basis of an evaluation of the transcripts, appropriate transfer credit will be awarded. Full transfer credit will be given for courses that carry a grade of "C" or above and are applicable to the student's program

at Patten. Transfer courses and grades are not placed on the Patten University transcript. (II.A-1 Student Handbook, pg. 13)

Students are required to complete the core English, math, and lab science courses through CPSQ, in order to ensure the educational quality of core courses recognized for the degree. Appropriate transfer credit is awarded on the basis of a positive evaluation of course transcripts for courses for which a student has received a grade of “C” or above and that are applicable to the AA in General Studies. These policies are clearly stated in the Student Handbook, which is given to each new student. (II.A-1 Student Handbook, pp. 11-13)

### Analysis and Evaluation

The College Program at San Quentin meets the standard. CPSQ’s transfer of credit policies are clearly stated in the Student Handbook. CPSQ ensures that learning outcomes for all transfer courses are comparable based on an evaluation of course transcripts.

II.A.11	The institution includes in all of its programs, student learning outcomes, appropriate to the program level, in communication competency, information competency, quantitative competency, analytic inquiry skills, ethical reasoning, the ability to engage diverse perspectives, and other program-specific learning outcomes.
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### Evidence of Meeting the Standard

Throughout its twenty year history, CPSQ’s AA degree in General Studies has been run as an extension site of Patten University (formerly Patten College). The Program Learning Outcomes for CPSQ’s sole degree program in General Studies were therefore determined by Patten University. In anticipation of the closure of Patten, CPSQ has carried out a review and revision of these outcomes, using feedback from recent course instructors. (II.A-34 Spring 2019 Credit Instructor Survey, PLO’s)

The revised program learning outcomes for CPSQ’s single AA degree in General Studies align with the student learning areas above, as follows:

#### Communication competency

- **Written and Oral Communication:** Students will be able to communicate clearly and effectively in written and oral forms in a broad array of social, professional, academic, and civic contexts.

#### Quantitative competency

- **Quantitative Reasoning:** Students will be able to use a variety of quantitative methods, including arithmetical, algebraic, geometric and statistical methods, to understand and solve problems.

#### Information competency

- **Research and Information Competency:** Students will be able to locate, evaluate, analyze, interpret, and synthesize a broad range of source materials.

#### Analytic inquiry skills competency

- **Critical Thinking:** Students will be able to think independently and creatively, to develop self- and other-awareness, including the ability to see the world through multiple perspectives, and to integrate these skills into daily life.

#### Ethical reasoning

- **Values:** Students will be able to articulate and to critically reflect upon their own values and the values of others. They will be able to identify ethical concepts and principles, and to use them in reasoning.

#### The ability to engage diverse perspectives

- **Global Awareness:** Students will be able to demonstrate an awareness of a complex and interdependent world beyond their own surroundings and communities, and an understanding of their identities and actions as part of and related to that world.
- **Critical Thinking:** Students will be able to think independently and creatively, to develop self- and other-awareness, including the ability to see the world through multiple perspectives, and to integrate these skills into daily life.

In the past, CPSQ's course learning outcomes were mapped to these Program Learning Outcomes by the Academic Program Director. (II.A-33 2016 Curriculum Map) In Fall 2019, course learning outcomes will be mapped to the new PLO's in order to ensure alignment and plan for the systematic assessment of learning outcomes (II.A-3 Educational Effectiveness Handbook pp. 12-15).

### Analysis and Evaluation

The College Program meets the standard. Program learning outcomes for the AA degree in General Studies include student learning outcomes in communication competency, information competency, quantitative competency, analytic inquiry skills, ethical reasoning, and the ability to engage diverse perspectives.

II.A.12

The institution requires of all of its degree programs a component of general education based on a carefully considered philosophy for both associate and baccalaureate degrees that is clearly stated in its catalog. The institution, relying on faculty expertise, determines the appropriateness of each course for inclusion in the general education curriculum, based upon student learning outcomes and competencies appropriate to the degree level. The learning outcomes include a student's preparation for and acceptance of responsible participation in civil society, skills for lifelong learning and application of learning,

and a broad comprehension of the development of knowledge, practice, and interpretive approaches in the arts and humanities, the sciences, mathematics, and social sciences. (ER 12)

### **Evidence of Meeting the Standard**

General Studies is a recognized area of study in higher education, and is commonly designated as a “general education” degree. Required courses for CPSQ’s AA in General Studies cover disciplines from across the liberal arts, and include the following courses:

- Intermediate Algebra, English 101A and 101B, and English 204, which teach foundational skills for the liberal arts, including quantitative reasoning, composition, and research
- Government and US History
- Art History and Appreciation
- Introduction to Philosophy, Ethics, and Comparative Religions
- Lab and non-lab sciences
- Sociology and Psychology

Electives for the AA degree are chosen with the requirements for transfer to the University of California and California State University systems in mind, in order to provide students with avenues to continued education. These have included such courses as Spanish and higher level mathematics courses in Statistics and Pre-calculus. (II.A-1 Student Handbook, pg. 8-9)

The goals of the College Program are stated in the Student Handbook:

The central goals of the College Program at San Quentin are to educate and challenge students intellectually; to prepare them to lead thoughtful and productive lives inside and outside of prison; to provide them with skills needed to obtain meaningful employment and economic stability post-release; and to prepare them to become leaders and engaged citizens in their communities. (II.A-1 Student Handbook, pg. 2)

The AA degree Program Learning Outcomes in Written and Oral Communication, Critical Thinking, Research, Quantitative Reasoning, Global Awareness, and Values reflect the program’s commitment to students’ personal enrichment and preparation for social responsibility through education. (See II.A.11, above, for the full text of the AA degree PLO’s.)

While requirements for the AA degree were originally determined by the faculty of Patten College (later Patten University), CPSQ’s faculty and academic coordinators have taken primary responsibility for curriculum design and improvements for the College Program. Going forward, curriculum design, evaluation, and improvement in accordance with CPSQ’s commitment to general education will take place more systematically, following processes outlined in the Educational Effectiveness Handbook. (II.A-3 Educational Effectiveness



Handbook) The Academic Program Director will work directly with faculty, recruited to the Faculty Committee, to improve courses and design additional course offerings.

### **Analysis and Evaluation**

The College Program meets the standard. The AA degree in General Studies fosters broad knowledge, comprehension, and interpretive approaches from across the spectrum of disciplines in the liberal arts. It provides students with a strong general education, a foundation for lifelong learning, and supports students' responsible participation in civil society.

II.A.13

All degree programs include focused study in at least one area of inquiry or in an established interdisciplinary core. The identification of specialized courses in an area of inquiry or interdisciplinary core is based upon student learning outcomes and competencies, and include mastery, at the appropriate degree level, of key theories and practices within the field of study.

### **Evidence of Meeting the Standard**

CPSQ offers only one degree program: the AA degree in General Studies. CPSQ's degree covers courses from a range of disciplines grouped under the "liberal arts," including composition, mathematics, the fine arts, humanities, history and the social sciences, and the natural sciences. Students, typically after completion of foundational College Preparatory courses, attain mastery of skills in reading, writing, critical thinking and quantitative reasoning by completing the key prerequisites in the AA degree for math and writing. These include Intermediate Algebra, for mathematics, and English 101A, 101B, and 204, for reading, writing, and critical thinking. Completion of these prerequisites allows students to enroll, respectively, in higher level mathematics and science courses, and in higher level humanities, social science, fine arts, and literature courses.

### **Analysis and Evaluation**

The College Program meets the standard. General Studies is a recognized area of study in higher education, offered by many institutions of higher education ranging from community colleges to research universities, focusing on the interdisciplinary core of the "liberal arts." By completing this degree, students attain mastery of foundational skills in reading, writing, critical thinking, and quantitative reasoning, and key theories and practices in the range of disciplines recognized within the liberal arts.

II.A.14

Graduates completing career-technical certificates and degrees demonstrate technical and professional competencies that meet



employment standards and other applicable standards and preparation for external licensure and certification.

### **Evidence of Meeting the Standard**

The CPSQ does not offer any career-technical certificates or degrees.

### **Analysis and Evaluation**

Not applicable.

II.A.15

When programs are eliminated or program requirements are significantly changed, the institution makes appropriate arrangements so that enrolled students may complete their education in a timely manner with a minimum of disruption.

### **Evidence of Meeting the Standard**

CPSQ is currently undergoing a major transition to independence, in part due to the closure of its longstanding university partner, Patten University. In navigating this transition, CPSQ leadership and staff have sought to make appropriate arrangements to avoid disruption to students' education, and in particular to avoid losing accreditation for the AA degree program. To ensure a smooth transition, CPSQ leadership has conferred with National University regarding a temporary partnership arrangement, in case of any gap between the closure of Patten and attaining its own accreditation. (II.A-45 Communication with National) CPSQ leadership has also maintained close communication with Patten's interim president Nate Breitlin and Patten's WSCUC liaison, and worked with both organizations to avoid any disruption and to allow students close to graduation to complete their degrees in a timely manner. (II.A-46 Nate Breitling Letter)

At no time has an entire program of study been eliminated at CPSQ. In recent years, changes to program requirements for the AA degree in General Studies or the College Preparatory program have been made only rarely. In the past, substantive changes to program requirements would have required conferring with authorities at Patten University.

Going forward, substantive changes to program requirements (that is, changes beyond clarifications or codifications of current practice) would involve extensive internal discussion among Program Team staff and the Faculty Committee (currently in development), in order to understand consequences for students. If, after discussion, the Academic Program Director

considers the change advisable, the proposed change would be presented to the Board's Academic Affairs Committee for approval. (II.A-47 Board Academic Affairs Committee Charge)

All students within 27 units of graduation receive individualized support from the Director of Student Affairs (formerly the Program Administrator), to ensure that they are able to complete the degree path with a minimum of disruptions, and would receive special consideration for exceptions to any new requirements. CPSQ's policies for course scheduling ensure that students receive individualized consideration to help them to complete their degree on their preferred timeline. (See Standard II.A.6)

### **Analysis and Evaluation**

CPSQ meets the standard. Were major program changes to be proposed, including changes to program requirements, the needs of enrolled students would be discussed extensively in order to anticipate the support needed to facilitate completion of the program under the new requirements.

II.A.16

The institution regularly evaluates and improves the quality and currency of all instructional programs offered in the name of the institution, including collegiate, pre-collegiate, career-technical, and continuing and community education courses and programs, regardless of delivery mode or location. The institution systematically strives to improve programs and courses to enhance learning outcomes and achievement for students.

### **Evidence of Meeting the Standard**

CPSQ's two instructional programs, the AA degree in General Studies and the College Preparatory Program, are only offered at its single campus, located inside San Quentin State Prison. All instruction takes place face-to-face. Historically, faculty and Program Team staff have collaborated to evaluate and make improvements to instructional programs, including both the AA degree in General Studies and the College Preparatory Program. Improvements have been planned directly in response to student feedback or to student need as identified by staff and faculty. (See II.A.2 for a detailed list of program improvements based on regular evaluation and review.)

The staff members of the Academic Team provide faculty direct support in carrying out improvements to the instructional program. The Academic Program Director, STEM Program Coordinator, and College Preparatory Writing Coordinator have supervisory responsibility for a part of each term's course offerings, while the Learning Specialist provides support to instructors in increasing accessibility and has supervisory responsibility for study hall.

Recurring problems with program offerings and potential plans for improvement are often discussed in the weekly Program Team meeting, the biweekly Academic Team meeting, in supervisory meetings between the Academic Program Director and individual staff, and/or in communications and meetings of faculty groups, often coordinated by staff. Obstacles faced by instructors and students participating in the instructional program are also recorded by CPSQ staff in the “Daily Debrief,” a chat thread stored in CPSQ’s common database. (II.A-48 Sample Daily Debrief) Off-site Program Team staff collectively spend approximately 30 hours per week inside San Quentin and an additional 20 hours per week escorting instructors into and out of the prison. Staff are available for meetings with students and instructors during that time. Conversations with instructors and students during staff time inside San Quentin are logged in the “Daily Debrief,” which is used to address problems and guide improvements.

While program review and improvement has taken place informally in the past, CPSQ will conduct evaluation and improvement more systematically going forward. CPSQ has developed a draft of its formal cycle of program review in partnership with Dr. Melanie Booth, currently Associate Vice President of Institutional Effectiveness at Dominican University of California, and the National Institute of Learning Outcomes Assessment (NILOA). Program-level improvements will be planned using learning outcome assessment findings, trimesterly faculty feedback and regular student feedback, in addition to existing information provided by mid- and end-of-semester student course evaluations, on-the-ground observation by coordinators, and regular communication with instructors. Improvement planning will continue to take place through Academic Team meetings, Program Team meetings, and through staff provision of past course feedback to instructors in upcoming terms. In addition to existing collaboration between Academic Program staff and faculty, faculty involvement in improvement planning will be formalized through the creation of the Faculty Committee.

### **Analysis and Evaluation**

The College Program meets the standard. Throughout the history of CPSQ, faculty and program staff have made improvements to the collegiate and pre-collegiate curriculum, in response to student needs and findings from evaluative activities. Going forward, program review and assessment of student achievement and student learning will take place more systematically, using the processes presented in the CPSQ Educational Effectiveness Handbook.

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## **Conclusions on Standard II.A. Instructional Programs**

The mission of the College Program at San Quentin defines its two primary instructional programs (the College Preparatory Program and the A.A. Degree in General Studies), which are conducted with the level of academic rigor and quality expected of a college education. The pre-college curriculum is appropriately differentiated from the A.A. degree curriculum; the A.A. curriculum includes the broad areas of learning and general education expected of the

degree; and there are numerous processes in place that support continued course and instructional quality.

### **Improvement Plan(s)**

While the key areas for improvement have been detailed in the sections above, and are already underway to ensure that students are meeting the course and program-level expected outcomes, the primary focus going forward will be on the continued development and implementation of a more systematic approach for ongoing outcomes assessment and the assurance of academic quality. This set of practices is detailed in the first version of the Handbook for Educational Effectiveness. While some of the processes described in the Handbook are already in place, further support and professional development for assessing learning outcomes in courses and at the program level will be a priority, as well as systematically using that information for continuous quality improvement. These will include upcoming workshops on assignment design, offered by the National Institute of Learning Outcomes Assessment, and professional development activities led by Dr. Melanie Booth, CPSQ's ongoing institutional effectiveness consultant.

### **Evidence List**

II.A-1 2019-2020 Student Handbook  
II.A-2 CPSQ General Catalog 2019-2020  
II.A-3 Educational Effectiveness Handbook  
II.A-4 SSEBS write-up  
II.A-5 2016 Qualitative Study  
II.A-6 2014 External Review  
II.A-7 Student Goals Survey Sample  
II.A-8 CPSQ History  
II.A-9 NILOA Assignment Charrette  
II.A-10 2016-2019 CPSQ Instructors with credentials  
II.A-11 Faculty training materials  
II.A-12 Courses offered spreadsheet  
II.A-13 Math 50 Improvement Meeting Agenda  
II.A-14 Math Alignment Project  
II.A-15 Timeline of Biology Courses at San Quentin  
II.A-16 Program Team Org Chart  
II.A-17 Academic Team CVs  
II.A-18 Sample Course Wiki  
II.A-19 Do Not Transfer Letter  
II.A-20 Director of Student Affairs Job Description  
II.A-21 Program Administrator Job Description  
II.A-22 New Student Bios, redacted  
II.A-23 Teaching Assistant Program Description  
II.A-24 Learning Specialist Job Description

- II.A-25 List of recent activity groups and workshops
- II.A-26 Sample CPSQ event notice
- II.A-27 Student Activities Suggestion Form
- II.A-28 Faculty Committee Charge
- II.A-29 19-07-10 Program Agenda & Notes
- II.A-30 Academic Team Notes
- II.A-31 Sample syllabi
- II.A-32 Patten University General Studies AA PLO's
- II.A-33 2016 Curriculum Map
- II.A-34 Spring 2019 Credit Instructor Survey, PLO's
- II.A-35 Sample Journalism syllabus
- II.A-36 Sample 101A syllabus
- II.A-37 Sample 101B syllabus
- II.A-38 Spring 2019 Instructor survey responses
- II.A-39 Academic Team 19-06-13 Volunteer Feedback Meeting
- II.A-40 Sample initial student placement letter
- II.A-41 College Prep mid-semester check-in
- II.A-42 Composition Learning Outcomes Chart
- II.A-43 Students close to graduation
- II.A-44 Individual Learning Intake, beta
- II.A-45 Communication with National
- II.A-46 Nate Breitling Letter
- II.A-47 Board Academic Affairs Committee Charge
- II.A-48 Sample Daily Debrief

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## B. Library and Learning Support Services

II.B.1

The institution supports student learning and achievement by providing library, and other learning support services to students and to personnel responsible for student learning and support. These services are sufficient in quantity, currency, depth, and variety to support educational programs, regardless of location or means of delivery, including distance education and correspondence education. Learning support services include, but are not limited to, library collections, tutoring, learning centers, computer laboratories, learning technology, and ongoing instruction for users of library and other learning support services. (ER 17)

### Evidence of Meeting the Standard

All instructional programs are face-to-face, and carried out at CPSQ's single campus located inside San Quentin State Prison. All textbooks, course readers, and research materials needed to support the College Preparatory and AA degree programs are provided to students free of charge. To the extent currently possible, given limitations peculiar to CPSQ's context, library and other learning support services are provided to students.

**Library and research services:** Students have access to all textbooks, research materials, and readers needed for CPSQ courses free of charge. Many titles are stored in class sets, to ensure sufficient lending material for all students enrolled in the courses for which these works are assigned.

CPSQ currently maintains a library of 389 book titles, organized according to subject area and tracked by student check outs. (II.B-1 Library inventory) A library catalog is available for student review, and students can check out books from the Program's library inventory using a form designed for this purpose. (II.B-2 Student checkout form)

CPSQ faces obstacles to expanding student access to library and research materials that are specific to its context inside a state prison. While space exists for the storage of some textbooks on site, San Quentin State Prison has not provided space for a CPSQ library. Furthermore, the regulations of the California Department of Corrections and Rehabilitation (CDCR) specify that incarcerated people cannot access computers with a LAN connection.

These site-specific limitations create particular challenges for aspects of the instructional program that teach students research skills. In courses such as English 204, the interdisciplinary research and writing course, students currently collaborate with in-class Research Assistants (RA's). RA's work with each student to develop a list of keywords for their research project and then use those keywords to conduct searches for research materials outside of the prison. (Searches have been carried out primarily using resources provided through the RA's affiliation with another higher education institution. This may change as CPSQ gains access to its own database permissions through partners, as discussed below.) RA's then collaborate with students to select a range of materials, print desired materials off-site, and bring them to students in hard copy. This process takes place multiple times throughout English 204, and has been designed to work around site-specific limitations while ensuring that all students have the opportunity to conduct research for an academic course.

To access research materials outside of courses, students can use the Article Request Form to request articles either by topic, by title, and/or by author. (II.B-3 Article request form) Until recently, article requests were filled by a Program Team staff member, through the use of public domain materials and academic search engines such as Google Scholar. Relevant articles were located and printed off-site, and delivered to students.

Recently, CPSQ has taken steps both to expand access to library resources for students, and to improve the research experience for students. CSPQ has entered into partnerships with Ithaka, the provider of JSTOR, and with the Marin County Free Library (MCFL). As of Summer 2019 and

through at least the end of Fall 2019, CPSQ Program Team staff have access JSTOR's offerings through a trial login, while JSTOR finalizes a reduced price subscription option for the program. Also as of Summer 2019, CPSQ has its own organizational library card with MCFL, and makes use of the library's digital offerings. These include MCFL's New York Times and other periodical subscriptions, and its subscriptions to EBSCO databases for academic journals, magazines, reference books, and primary source documents. (II.B-4 New library resources message to faculty) Student requests made through the article request form can now be filled by Program Team staff using a broad array of research resources. (II.B-3 Article request form)

In the longer term, CPSQ's partnership with JSTOR will improve students' research experience through the introduction of JSTOR's offline index inside San Quentin. (II.B-5 JSTOR offline index demo screen shot) This index of article titles and abstracts from the Arts & Sciences Collection does not require internet access, and was specially designed by JSTOR for use in prison higher education. The index consists of a keyword search program connected to a dataset of article titles and abstracts, which can be installed directly on a computer using a thumb drive. Students can use the keyword search precisely as they would use JSTOR's regular database, and select their desired research materials by titles and abstracts. Implementing this software inside San Quentin will require approval by the San Quentin administration of student use of non-networked computers, as well as approval of the software and dataset itself. Program staff have begun planning the implementation process, including addressing anticipated needs for technical support. CPSQ plans to introduce JSTOR's offline index in English 204, including necessary computing infrastructure and technical support, by the Summer of 2020.

**Other learning support services:** Beyond library services, CPSQ provides a variety of learning support services to its students. (II.B-6 CPSQ General Catalog 2019-2020, pg. 9) These include:

- study hall most evenings of the week as well as Friday mornings, with available general tutors in writing and math for all sessions;
- weekly designated tutors in study hall for College Preparatory Math and English, as well as for Intermediate Algebra, English 101 A & B, English 204 (Research), and other credit courses;
- term-length math study groups, facilitated by an instructor, to support math courses;
- access to a Learning Specialist on the program staff, who provides intensive, individualized support for students with a trauma-informed focus, as well as supervising study hall (II.B-7 Individual Learning Plan intake, beta);
- on-demand conferences with Program Team staff to help students with strategies for learning and studying, concerns about coursework or attendance, and planning for future terms and graduation;
- regular workshops for students on writing, grades, study skills, reading strategies, and time-management;

- access to student teaching assistants, who support instructors and students in class, offer peer tutoring to students outside of class, and learn to create lesson plans (II.B-8 TA Letter);
- individualized student accommodations, including specialized materials for students with learning challenges (e.g. highlighters, planners, yellow paper, small whiteboards, magnifying overlays/colored overlays for reading), extended time on tests, and one-on-one proctoring. (II.B-9 Student Support Services Announcement).

## Analysis and Evaluation

CPSQ meets the standard. As part of their enrollment at CPSQ, students have access to all library and research materials assigned or needed to complete their educational programs, including to attain research skills. While CPSQ is severely limited by space constraints and technology constraints in its own library services, all students are provided with the course texts and research resources needed to complete their coursework. In addition, staff work to ensure that students can request materials that aren't provided in classes, through the Article Request Form. The two external service providers offering direct instructor and mediated student access to library resources are recognized professional organizations in the field of library services.

### II.B.2

Relying on appropriate expertise of faculty, including librarians, and other learning support services professionals, the institution selects and maintains educational equipment and materials to support student learning and enhance the achievement of the mission.

## Evidence of Meeting the Standard

In credit courses for the AA degree, qualified course instructors for each course select all textbooks, course readings, and other materials used in the delivery of the course. College Preparatory texts are standardized across courses, through readers developed over time by staff and faculty with subject matter expertise in writing and math, as well as significant teaching experience and pedagogical training. Through collaboration with its faculty, CPSQ updates College Preparatory course texts regularly. Recent additions to CPSQ's library resources offered by Marin County Free Library (MCFL) and JSTOR, are curated by professional librarians.

In addition to library services, CPSQ relies on faculty expertise in curating its lab equipment and materials in science courses. Faculty have played a formative role in the development of lab sciences sensitive to CPSQ's resource constraints and the security needs of San Quentin. Teaching robust science courses in the prison environment has required considerable ingenuity by instructors and staff over the years. In an early Geology class, a CPSQ faculty member used San Quentin's yard to teach students about local topography. Years later, this strategy was



again adopted by a faculty member who led students on a Nature Walk through the yard for a course section on Ecology. (II.B-10 CPSQ History, pg. 7)

In recent years, through the combined efforts of faculty and staff, traditional lab materials have been acquired and cleared through San Quentin State Prison for the use of students. Starting in 2011, under the leadership of faculty member Adam Williamson, CPSQ faculty designed specialized biology labs. (II.B-10 CPSQ History, pg. 7) Lab resources were further developed in 2014, when CPSQ faculty initiated a relationship with UCSF's Science and Health Education Partnership Program (SEP). (II.B-11 SEP website screenshot; II.B-10 CPSQ History, p.g 7) SEP maintains a lending library of lab science materials containing thousands of items, including:

- over 120 wet human anatomical specimens
- animal skulls of 50 different species
- classroom sets of compound and dissecting microscopes
- anatomical models
- sets of scientific equipment

Lab kits and other materials from SEP are now regularly incorporated into CPSQ's lab science courses. (II.B-12 Timeline of Biology courses at CPSQ) In addition to materials provided by SEP, in 2014 CPSQ acquired its own microscope, which is stored onsite for its lab courses. This equipment was selected by CPSQ faculty and purchased using a grant from the American Society for Cell Biology.

Regarding the maintenance of educational equipment, it is important to note that every improvement to the educational materials offered to CPSQ students is accomplished only through the sustained support of College Program leadership and Program Team staff. Faculty have moved forward over the years in improving these materials only because prolonged negotiations were carried among College Program staff, San Quentin's custody staff, and prison administrators to both clear new materials to enter San Quentin and secure those materials once inside. From introducing specimens preserved in alcohol (a controlled substance) into the institution, to storing science materials overnight in a secure locker in a San Quentin classroom rather than removing them at the end of every day, every improvement requires many hours of patient documentation and building of trust by Program Team staff and correctional staff. (II.B-13 Equipment clearance request; II.B-12 Timeline of Biology courses at CPSQ)

### **Analysis and Evaluation**

The College Program meets the standard. Library and research materials, as well as lab science materials used in College Program courses are reviewed, updated, and maintained by faculty and Program Team staff with the appropriate expertise. Recent additions to library resources offered by JSTOR and the Marin County Free Library are curated by professional librarians employed by these organizations. Other partner organizations, such as UCSF's Science and Health Education Program, curate their materials using qualified researchers. All equipment

and materials are admitted into the institution and maintained securely through the work of both Program Team staff and San Quentin State Prison custody staff.

II.B.3

The institution evaluates library and other learning support services to assure their adequacy in meeting identified student needs. Evaluation of these services includes evidence that they contribute to the attainment of student learning outcomes. The institution uses the results of these evaluations as the basis for improvement.

### **Evidence of Meeting the Standard**

CPSQ evaluates and continually improves its library and learning support services, although this has not been done systematically. Its evaluations have included:

- gathering data on student use of study hall tutors, in order to improve scheduling and tutor assignments (II.B-14 Fall 2016 Study Hall Data);
- reviewing evaluations of study hall completed by all new College Preparatory students each term, in order to inform improvements (II.B-15 Study Hall Assignment);
- surveying tutors and students about the quality of learning support services and associated matters, such as common challenges in study hall, desired improvements to study hall, desired library and research resources, and the primary ways that students find out about available resources at CPSQ. (II.B-16 Spring 2019 Volunteer Faculty Survey, II.B-17 Summer 2019 Student Feedback Survey)

Surveys soliciting feedback on learning support services from students and volunteers were collected in Spring and Summer 2019. The results have been discussed in meetings of the Program Team, and will also be reviewed by the Learning Specialist, who has primary responsibility for study hall and a variety of learning support services.

Going forward, CPSQ will systematize its various forms of library and learning support services evaluation activities; these activities will be further detailed in future versions of the Educational Effectiveness Handbook. (II.B-18 Educational Effectiveness Handbook) An important element in this systematization will involve continuing to solicit regular feedback from students, tutors, and instructors who deliver learning support services. CPSQ staff have begun articulating the college's primary goals in offering learning support services, and identifying the primary sources of evidence for demonstrating its progress toward goals. In moving forward with this work, Program Team staff will take advantage of recent partnerships with the National Institute of Learning Outcomes Assessment and of the expertise of its ongoing assessment consultant Dr. Melanie Booth, currently Associate Vice President of Institutional Effectiveness at Dominican University of California.

## Analysis and Evaluation

The College Program meets the standard. Staff regularly collect information to evaluate the effectiveness of learning support services. However, further systematization is needed. In the future, learning support services will be evaluated based on specific goals and intended outcomes and following a regular cycle of review.

II.B.4

When the institution relies on or collaborates with other institutions or other sources for library and other learning support services for its instructional programs, it documents that formal agreements exist and that such resources and services are adequate for the institution's intended purposes, are easily accessible and utilized. The institution takes responsibility for and assures the security, maintenance, and reliability of services provided either directly or through contractual arrangement. The institution regularly evaluates these services to ensure their effectiveness. (ER 17)

## Evidence of Meeting the Standard

CPSQ has two partnerships to support student access to library resources: MCFL and Ithaka, the parent organization for JSTOR. (See Standard II.B.1 above.) CPSQ's partnership with MCFL is documented in a formal agreement. (II.B-19 MFCL-PUP letter of understanding) CPSQ currently has access to a version of JSTOR through the end of Fall 2019, while the details of its subscription are finalized. (II.B-20 Message regarding JSTOR Access) Once finalized, this subscription will be documented in a formal agreement. These services will be regularly evaluated as part of the program evaluation to ensure their continued effectiveness.

CPSQ also partners with UCSF's Science & Health Education Partnership (SEP), in order to offer its students lab kits and other supplies in science courses. This partnership began in 2014, with the support of CPSQ faculty member Ryan McGorty, then affiliated with UCSF. While SEP offers such supplies as part of its broader public mission, CPSQ will seek to formalize its particular relationship in the near future.

## Analysis and Evaluation

CPSQ's current relationships to external providers of library services are documented in formal agreements, which will be evaluated in an ongoing way to ensure continued effective support. CPSQ is currently finalizing its subscription with JSTOR, which will be memorialized in a formal agreement.

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## Conclusions on Standard II.B. Library and Learning Support Services

Despite some obstacles to expanding student access to library and research materials specific to its context inside a state prison, the College Program at San Quentin has developed, maintains, and continually evaluates the library offerings to ensure sufficiency for the educational programs offered. Furthermore, the numerous learning support services offered are aligned to the unique demonstrated needs of the student population.

### **Improvement Plan(s)**

The primary focus for improvement in library and learning support services will be the implementation of methods to systematize its various evaluation activities in order to ensure appropriate levels of support for meeting students' needs. This work will include linking the numerous existing processes to external standards as well as integrating evaluative activities across programs. The systematic evaluation processes for library and learning support services are represented in the Handbook for Educational Effectiveness and will be continually refined through its implementation.

An additional area of improvement will be facilitating students' direct access to research and library materials, specifically to JSTOR's offline index. This improvement will require CPSQ to seek institutional approval of this technology for student use inside San Quentin. In the longer term, this will feed into a broader goal of the College Program: to increase students' access to library and learning support services through the creation of a digital library. The first step will be hiring a technology consultant to produce a detailed plan of action and to collaborate with CDCR on developing security protocols for the requisite technology and infrastructure. (See the Conclusions on Standard III.D.C, Technology Resources.)

### **Evidence List**

- II.B-1 Library inventory
- II.B-2 Student check-out form
- II.B-3 Article request form
- II.B-4 New library resources message to faculty
- II.B-5 JSTOR offline index demo screen shot
- II.B-6 CPSQ General Catalog 2019-2020
- II.B-7 Individual Learning Plan intake, beta
- II.B-8 TA Letter
- II.B-9 Student Support Services Announcement
- II.B-10 CPSQ History
- II.B-11 SEP website screenshot
- II.B-12 Timeline of Biology courses at CPSQ
- II.B-13 Equipment clearance request
- II.B-14 Fall 2016 Study Hall Data
- II.B-15 Study Hall Assignment
- II.B-16 Spring 2019 Volunteer Faculty Survey
- II.B-17 Summer 2019 Student Feedback Survey

## C. Student Support Services

II.C.1 The institution regularly evaluates the quality of student support services and demonstrates that these services, regardless of location or means of delivery, including distance education and correspondence education, support student learning, and enhance accomplishment of the mission of the institution. (ER 15)

### Evidence of Meeting the Standard

All student support services at CPSQ serve its single campus located inside San Quentin State Prison, accompanying and augmenting face-to-face instructional programs.

CPSQ's support services are tailored to the needs of its unique student population, and support student learning in part by ensuring the necessary conditions obtain for student attendance. Staff provide every student and prospective student with sustained support aimed at facilitating their pursuit of higher education in the prison environment and the broader carceral system. This may include advocating on students' behalf with the administration of San Quentin State Prison and the California Department of Corrections and Rehabilitation (CDCR). Staff work to initiate and maintain students' enrollment in the College Program, facilitate their access to courses and other program offerings despite prison-related delays and interruptions, and support students' efforts to return to their families and communities.

- The Student Affairs Division of the Academic Program provides support to any person incarcerated in the mainline population of a prison under the jurisdiction of the CDCR who wishes to transfer to San Quentin in order to enroll in the College Program. This support includes replying to all letters of interest and actively supporting prospective students' requests for transfer through written letters of support and directly contacting appropriate prison staff and administrators at the given correctional institutions.
- The College Program maintains an understanding with San Quentin and CDCR that it will make every effort to avoid transferring students to other institutions while they are completing their degree. Program staff and prison administrators maintain a "Do Not Transfer" list, and communicate regularly regarding potential transfers of students. (II.C-1 Do Not Transfer letter)

- College Program staff proactively address disruptions to student class attendance caused by delays at count gates and mistakes in institutional documentation by maintaining lines of communication with prison administrators and custody staff, and alerting authorities to recurring problems.
- Whenever possible, College Program staff seek institutional permission for students to continue to attend classes during security related lockdowns.
- If an individual student or a group of students cannot attend class, due to housing unit lockdowns, quarantines, or segregation for protection or disciplinary reasons, College Program staff work with prison staff to provide students with class assignments, readings, and other course materials.
- CPSQ employs a system of couriers to communicate with students. Couriers facilitate communication from instructors to their enrolled students, as well as from staff to the general student body, without relying on institutional mail.
- Members of the Program Team, the Executive Director, and frequently faculty and other volunteers, write letters of support for students applying for early release on request.
- The Director of Student Affairs (formerly the Program Administrator) supports students in submitting course credits and degrees to the institution to earn “Milestone credits” that count toward early release.

CPSQ also offers a variety of events and co-curricular activities each term to support students in developing leadership skills, to strengthen the college community inside the prison, and to connect students with outside scholars and scholarship. (See Standard II.C.4 below.)

Historically, staff have evaluated student support services based on anecdotal feedback from students and volunteers, as well as direct observation. Staff have recently made efforts to solicit and gather feedback more systematically from a wider range of students and volunteers. For example, staff have created a student feedback mailing list in order to solicit feedback from students interested in contributing to program evaluation and improvement. Eighty seven students are currently subscribed to the list (approximately one third of students enrolled in each academic term). Additionally, in Summer 2019, CPSQ staff circulated a survey to students in order to gather feedback on learning and student support services. (II.C-2 Summer 2019 Student Feedback Survey) Finally, CPSQ has relied on evaluation partnerships with Dr. Amy Lerman, of the UC Berkeley Goldman School of Public Policy, and with Dr. Melissa Saphir, an expert on evaluating education and nonprofit programs, to gather data on the background of the student body and to inform the creation of additional support offerings. (See Standard I.A.2.)

Going forward, the assessment of student support services will take place more systematically. This systematization will involve collecting feedback from students and gathering relevant data in the broader cycle of assessment, as indicated in the Educational Effectiveness Handbook. (II.C-3 Educational Effectiveness Handbook, pg. 19) Data of interest for student support services at CPSQ include:

- rates of success in retaining students threatened with transfer;
- rates of success in requesting transfer for prospective students at other CDCR institutions;
- the proportion of students aware of available advising and other student support resources.

With the support of the college's assessment consultant, CPSQ staff have begun articulating the program's primary goals in offering student support services, and identifying the primary sources of evidence for demonstrating its progress toward goals. In moving forward with this work, Program Team staff will take advantage of recent partnerships with the National Institute of Learning Outcomes Assessment and its consulting relationship with Dr. Melanie Booth. (II.C-4 Melanie Booth CV)

### **Analysis and Evaluation**

The College Program meets the standard. Support services are developed and offered with an eye to the specific needs of CPSQ students. All student support services are regularly evaluated, and will be integrated into the regular cycle of assessment as represented in the Educational Effectiveness Handbook.

II.C.2

The institution identifies and assesses learning support outcomes for its student population and provides appropriate student support services and programs to achieve those outcomes. The institution uses assessment data to continuously improve student support programs and services.

### **Evidence of Meeting the Standard**

As discussed in II.B.1 above, CPSQ provides its students with a range of appropriate student support services and programs, including:

- study hall, with available general tutors in writing and math for all sessions;
- weekly designated tutors in study hall for many courses;
- term-length math study groups, facilitated by an instructor, to support math courses;
- access to a Learning Specialist on the program staff, who provides intensive, individualized support for students with a trauma-informed focus;

- individualized student accommodations, including specialized materials for students with learning challenges, extended time on tests, and one-on-one proctoring, overseen by the Learning Specialist (II.C-5 Student Support Services Announcement);
- on-demand conferences with Program Team staff;
- regular workshops for students on writing, grades, study skills, reading strategies, and time-management;
- access to student teaching assistants, who support instructors and students in class, offer peer tutoring (II.C-6 TA Letter).

The Program Team improves CPSQ's learning support services primarily through continuous collection and review of information about the background and goals of its students, common challenges reported by a broad group of students and faculty, and recurring problems for students observed by faculty and Program Team staff. (II.C-7 New Student Bios; II.C-8 Student Goals survey responses; II.C-9 Daily Debrief Sample; II.C-10 Spring 2019 Volunteer Faculty Survey Responses; II.C-11 Individual Learning Intake, beta) This information is then discussed in the meetings of the broader Program Team and in individual supervisory meetings between the Academic Program Director and Program Team staff, in order to plan improvements.

Background information about individual students is regularly collected for the purpose of improving support services. Staff ask each new student to provide information on their educational history and experiences in school, any concerns regarding their College Program enrollment, and anything they want faculty to be aware of. Staff send individual responses to all New Student Bios. Review of this information allows staff to address developmental and attitudinal issues as students enter the program. (II.C-12 Sample staff responses to New Student Bio)

In addition to study hall tutoring With the addition of the Learning Specialist in Spring of 2019, every student will have the opportunity to conduct a learning intake that will record their educational history, aptitudes, strengths, learning goals, career goals, daily routine, and learning challenges. The Learning Specialist will use these Individual Learning Plans to assess the need for improvements or additions to student support offerings. ( II.C-11 Individual Learning Intake, beta; II.C-5 Student Support Services Announcement; II.C-13 Learning Specialist Job Description)

Staff also request and review student and volunteer feedback on various aspects of the College Program including learning support. Staff send requests for student feedback to the entire student body, and to students who have volunteered to provide feedback by signing up for the student feedback mailing list. (II.C-14 2018 Student Goals Survey Sample; II.C-15 Summer 2019 Student Survey Responses)

These sources of information and feedback result in improvement of learning support services through evaluation and planning carried out by the Learning Specialist, as well as in the



Academic Team meeting, individual supervisory meetings between the Learning Specialist and Academic Program Director, and in broader review of student feedback in Program Team meetings.

CPSQ staff have begun articulating its learning support outcomes, and identifying the primary sources of evidence for demonstrating its progress toward those outcomes. These goals and practices will continue to be addressed and codified in the Educational Effectiveness Handbook. (II.C-3 Educational Effectiveness Handbook, pg. 19) In moving forward with this work, Program Team staff will take advantage of recent partnerships with the National Institute of Learning Outcomes Assessment (NILOA) and other experts in the assessment of higher education. (II.C-4 Melanie Booth CV; II.C-16 Erick Montenegro CV)

### **Analysis and Evaluation**

Through institutionalized collection of data on the background and needs of its students, continuous observation of learning support operations, and regular feedback from students and faculty, CPSQ seeks to continually improve its learning support services. Toward improvement in this area, CPSQ hired a Learning Specialist in Spring 2019. CPSQ is currently seeking greater articulation of its intended outcomes for learning support, through partnership with NILOA and other experts in assessment in higher education.

**II.C.3** The institution assures equitable access to all of its students by providing appropriate, comprehensive, and reliable services to students regardless of service location or delivery method. (ER 15)

### **Evidence of Meeting the Standard**

All student support services at CPSQ serve its single campus located inside San Quentin State Prison, where students participate in face-to-face instructional programs. Much student support takes the form of maintaining systems needed to operate the College Program and to retain students in courses, which work to the benefit of all students. (See II.C.1.)

All CPSQ learning and student support services are available to every student, upon request. Program staff announce the availability of study hall, course-specific tutors, and academic advising in classes at the beginning of each trimester. In addition, students learn about access to services in the following ways:

- The Learning Specialist offers all new and continuing students the opportunity to complete an intake and create an Individual Learning Plan. (II.C-11 Individual Learning Intake, beta) This intake is designed to allow the creation of personalized support services for students, based on their specific needs. This intake builds on the existing practice of soliciting New Student Bios, which often provide staff with valuable

information in addressing individual students' concerns upon entry into the program. (II.C-7 New Student Bios)

- The Student Handbook lists available study hall sessions, and describes academic advising as available upon request. (II.C-17 2019-2020 Student Handbook, pp. 8-9)
- Program staff make in-class announcements on the second day of the term to alert students to available student support services, including tutoring and academic advising.
- At two key points in the AA degree program--the completion of English 204 and being 27 credits away from graduation--students receive an invitation from the College Program to attend academic advising with the Director of Student Affairs, in order to create an academic plan. (II.C-18 PUP Continuum of Care Workflow, pp. 2-3)
- Learning and student support services are often described on syllabi for non-credit and credit courses. (II.C-19 Sample syllabi, pp. 24, 30, 43, 56, 94)
- Students receive notice of College Program events and co-curricular activities through the College Program courier system. Notices circulated to the entire student body include the invitation to the annual graduation ceremony; solicitations of the student committee and submissions for the annual academic conference; invitations to attend the Ethics Bowl competition; and invitations to workshops and symposia. (II.C-20 Student Event Invitations, Samples)
- Students typically learn from other students, staff, and the Program Clerks about the availability of staff support for letters to their parole board, avoiding transfer, and other institutional advocacy.

Staff reach out to students regularly to discuss academic challenges, and check in regularly with instructors and tutors in order to identify those students who may require extra attention and support.

### **Analysis and Evaluation**

The College Program meets the standard. In keeping with the program's commitment to equity, all services offered are available to any member of the student population. These services are comprehensive, and reliably delivered through the cooperation of program staff and volunteer faculty.

II.C.4

Co-curricular programs and athletics programs are suited to the institution's mission and contribute to the social and cultural dimensions of the educational experience of its students. If the institution offers co-curricular or athletic programs, they are conducted with sound educational policy and standards of integrity. The

institution has responsibility for the control of these programs, including their finances.

### Evidence of Meeting the Standard

CPSQ's co-curricular programs are tailored to the needs of its unique student population. CPSQ offers a variety of events and activities each term to support students in developing leadership skills, to strengthen the college community inside the prison, and to connect students with outside scholars and scholarship. (II.C-21 Co-curricular Activities Guidelines) Because the College Program sees college education as supporting engaged citizenship, its staff work to provide opportunities for students' voices to be heard both inside and outside prison. Below are samples from the last two years.

- **Ethics Bowl debate teams and tournaments:** This form of debate promotes supportive and rigorous discussion of ethical issues. Our students won competitions against the Ethics Bowl team at UC Santa Cruz in 2018 and 2019.
- **Symposia:** Symposia provide students an opportunity to develop and present solutions to issues of public concern. CPSQ has recently held symposia on environmental justice and the implementation of Prop 57 (a state proposition designed to reduce inordinately long prison sentences in California).
- **Student groups:** Term length student groups are led by students. Recent groups have included chess, German, and book club.
- **Workshops:** Term length workshops have a designated instructor, a syllabus, and learning objectives. Recent term length workshops have included French, chess, African American Studies, op-ed writing, philanthropy, and criminal justice. CPSQ also holds single session workshops to introduce students to resources, including reentry organizations and college campus groups for formerly incarcerated students.
- **Academic conference:** In Fall 2018, CPSQ held its first academic conference, entitled "Corrections, Rehabilitation, and Reform: 21st Century Solutions to 20th Century Problems." The conference committee was made up of six students and graduates of the program, as well as Program Team staff. The conference featured nine panels of outside scholars from across the U.S. and College Program students. Patrick Elliot Alexander, Associate Professor of English and African American Studies at the University of Mississippi, gave the keynote address. Planning is currently underway to host another conference in Spring 2020.
- **Lectures:** CPSQ hosts lectures by academics and others. Recent lecturers have included Reza Aslan, James Forman, Jr., Bryan Stevenson, and Michelle Jones.

All co-curricular offerings are staffed using qualified volunteers, and/or existing program staff. In keeping with CPSQ's emphasis on ensuring that students have a voice in their education and

opportunities to develop as leaders, program staff strive to incorporate student representation and feedback in the running and creation of student activities.

- **Academic Conference Planning Committee:** Students make up the majority of members of the organizational committee for CPSQ's annual academic conference.
- **Alumni Presentations at New Student Orientation:** Alumni of the College Program are invited to present to new students at all New Student Orientations, which are held three times per year. This innovation was suggested by a CPSQ graduate and current Program Assistant.
- **Student Activities Suggestions:** Students can suggest new student activity groups, instructor-led workshops, and lectures using a form designated for this purpose, which is available upon request from the Program Clerks. Program staff consider proposals in Program Team meetings, and respond to all student suggestions. (II.C-22 Student Activities Suggestion Form; II.C-23 Co-curricular Activities Process Doc)
- **Teaching Assistant Program:** Advanced students in the College Program have the opportunity to serve as Teaching Assistants for College Preparatory and other courses.
- **Student DEI Committee:** Students, in collaboration with Program Team staff and a CPSQ faculty member, recently collaborated to create a student committee on Diversity, Equity, and Inclusion (DEI). The committee's first major project was developing a training for instructors on classroom management, learning differences, and addressing tense topics, particularly around race in the prison classroom. The first instructor training was held in Summer 2019, and two further trainings will be held in Fall 2019.
- **Student Feedback Mailing List:** In 2018-2019, CPSQ created an opt-in student feedback mailing list, to allow staff to send requests for feedback regularly to a subset of willing students. Eighty-seven students (close to a third of those enrolled in courses each term), have signed up to receive requests for feedback. Program staff will solicit new students for the list in new student orientation, and use the list to solicit feedback on student activities for review in program evaluation.

In addition to its own student support services, the College Program also serves as the fiscal sponsor of multiple organizations with missions dedicated to serving current, former, and prospective students. These include the Academic Peer Education Project (APEP) at San Quentin State Prison, which provides high quality teacher training to Associate's degree holders, who in turn teach literacy and math classes to students preparing for the GED. (II.C-24 APEP website screenshot) The College Program also provides fiscal sponsorship to Bonafide, a re-entry organization that picks up those released from San Quentin, provides basic necessities and practice in basic life skills, and peer support in adjusting to life in the community. (II.C-25 Bonafide website screenshot)

## **Analysis and Evaluation**

The College Program meets the standard. Co-curricular activities support CPSQ's mission by supporting students as whole persons. In the design of its student activities and events, CPSQ helps students in developing leadership skills and practicing civic engagement, strengthening the college community inside the prison, and connecting outside scholars and scholarship.

II.C.5

The institution provides counseling and/or academic advising programs to support student development and success and prepares faculty and other personnel responsible for the advising function. Counseling and advising programs orient students to ensure they understand the requirements related to their programs of study and receive timely, useful, and accurate information about relevant academic requirements, including graduation and transfer policies.

### **Evidence of Meeting the Standard**

All new students receive an introduction to the program and its requirements in the New Student Orientation. This is a trust-building and informational event to help new students identify as students and become familiar with differences between the culture, norms, and rules of the classroom and those of the prison yard. All entering students are required to attend an orientation session in order to enroll in either non-credit or credit courses. (II.C-17 2019-2020 Student Handbook, pg. 10) Once a student has attended orientation, they receive a registration letter before each academic term, inviting them to enroll in upcoming CPSQ courses and workshops. The letter lists that term's offerings, explains how to complete and submit the course registration form, and describes relevant College Program policies on prerequisites and enrollment priority. (II.C-26 Spring 2019 Registration Letter)

The Student Handbook, provided to every new student and updated annually, contains information regarding academic requirements, including the entry assessments in math and writing, the requirements and electives for the AA degree, policies applicable to transfer credits, and add/drop policies. The Handbook also alerts students that individual academic advising is available upon request. (II.C-17 2019-2020 Student Handbook, pp. 6-9)

Academic advising is available to all students upon request from members of the Academic Team. Students who reach two key points in the AA program--the completion of English 204 and being 27 credits (9 courses) away from graduation--are required to attend academic advising with the Director of Student Affairs (formerly the Program Administrator). (II.C-18 PUP Continuum of Care Workflow, pp. 2-3) In the meeting after English 204 (a key prerequisite for a variety of electives) the Director of Student Affairs advises students on planning out the requirements and electives for the degree. Students close to graduation receive additional advising on completing the degree by their desired graduation date.

### **Analysis and Evaluation**

The College Program meets the standard. Students have access to academic advising and orientation, both on request and at key points in their pursuit of the AA degree. Students receive information about the requirements in both verbal and written form, through the New Student Orientation and the Student Handbook.

II.C.6 The institution has adopted and adheres to admission policies consistent with its mission that specify the qualifications of students appropriate for its programs. The institution defines and advises students on clear pathways to complete degrees, certificate and transfer goals. (ER 16)

### **Evidence of Meeting the Standard**

The College Program at San Quentin embraces a philosophy of radical inclusivity, holding that anyone who has attained a high school level of education has the appropriate qualifications for its programs, in the sense of being able to benefit from a college education. In keeping with this philosophy, any person with a high school diploma or GED in its service population (currently, people in the mainline population of San Quentin) is eligible to enroll.

The College Program articulates the following policy for enrolling new students, which is published in the Student Handbook and provided on request to any interested person in the mainline population at San Quentin:

The program runs three thirteen-week terms per year, starting in January, May, and September, and we enroll new students at the beginning of each semester. If you are interested in enrolling, please come down to Education and speak with a program coordinator. You may also send a note with your name and CDC# to us at "Prison University Project, Education Dept." *All mainline San Quentin inmates with a GED or high school diploma are admitted to the program.* Once we receive your information we will add you to our waitlist and you will receive a letter indicating that you have been added. When we have space to enroll in your classes, you will receive a follow-up letter from us inviting you to attend a New Student Orientation. (II.C-17 2019-2020 Student Handbook, pg. 10)

As this policy specifies, the only academic qualification for entry are a GED or High School diploma. In contrast to other higher education programs in prison, students are admitted without regard to age, commitment offense, sentence length, or time left to serve.

Men incarcerated at other institutions under the California Department of Corrections and Rehabilitation (CDCR) can contact the Director of Student Affairs (formerly the Program Administrator) to obtain support in transferring to San Quentin. The Director replies to letters of interest from students and their family members, advocates for transfer on behalf of



prospective students, and adds them to the waitlist once transferred. (II.C-27 Sample Prospective Student Letters)

CPSQ provides students with information on their path through the program in a number of ways, starting with the New Student Orientation. At orientation, students learn about the structure and basic norms of the Program, including the distinction between the AA degree and the College Preparatory Program, class schedules and registration processes, program milestones, boundaries and expectations, and the college culture. (II.C-28 Summer 2019 Orientation Agenda) All new students also receive a Student Handbook, containing information on the College Program math and writing assessments, the sequence of College Preparatory courses, and the sequence of course requirements for the AA degree. (II.C-17 2019-2020 Student Handbook, pp. 6-10)

Academic advising is also available to students upon request. All students who reach two key points in the AA program--the completion of English 204 and being 27 credits away from graduation--are required to attend academic advising with the Director of Student Affairs. In advising meetings after English 204 (a key prerequisite for a variety of requirements and all electives), students plan out their path through the College Program. Students close to graduation receive an additional advising session, focused on completing the degree by their desired graduation date. (II.C-18 PUP Continuum of Care Workflow, pp. 2-3)

### **Analysis and Evaluation**

The College Program meets the standard. It adheres to written admissions policies, which are described in documents available to prospective students at San Quentin upon request. All degree requirements and transfer requirements are described in the Student Handbook, distributed to every new student. Students receive individualized advising upon request and at two required points in the program, allowing them to map out their path to the AA degree at their desired pace.

**II.C.7** The institution regularly evaluates admissions and placement instruments and practices to validate their effectiveness while minimizing biases.

### **Evidence of Meeting the Standard**

The College Program requires all students to take entry assessments in writing and math to help place them into appropriate courses. In order to coincide with the three cohorts of students admitted in the Spring, Summer, and Fall terms, the College Program administers the writing and math assessments three times per year. Assessments are designed to distinguish students at multiple skill levels. Based on their assessment results, students are placed either at the beginning of the relevant College Preparatory sequence, later in the College Preparatory

sequence, or directly into the credit sequence. In recent years, student assessment results have broken down as follows:

**Math Placement Breakdown by Percentage**

85% of students place into Math 50A and Math 50B (noncredit)

13-15% of students place into Elementary Algebra (noncredit)

0-2% of students place into Intermediate Algebra (credit)

**English Placement Breakdown by Percentage**

72% of students place into English 99A (noncredit)

20% of students place into English 99B (noncredit)

8% of students place into English 101A (credit)

CPSQ's math assessment asks students to complete as many problems as they can while showing their work, ranging from basic addition and subtraction to Algebraic equations. Students who solve 35 out of 40 problems have the option of taking a second math assessment to place directly into the credit math sequence. CPSQ's writing assessment asks students to read an editorial and write an essay in response to one of three questions about the text. Students' essays are assessed using a standardized rubric developed for CPSQ. (II.C-29 College Prep Math and Writing Assessments, with key, rubric)

Student assessments are evaluated by the STEM Program Coordinator and the College Preparatory Writing Program Coordinator, and reported to students by letter. (II.C-30 Summer 2019 Assessment Results Letter) The Coordinators typically hold a follow-up interview with students who place on the border between two courses to determine which placement would best serve them. Coordinators have observed that the practice of conducting individual interviews with students about their placement improves student retention in initial College Preparatory courses.

The assessments in both math and writing have been continually developed and revised, initially by faculty and in recent years by the STEM Program and College Preparatory Writing Program Coordinators. For example, between 2000 and 2003, around the time when Math 50 was split into 50A and 50B, CPSQ math faculty revised the math assessment to allow for differential placement of students in earlier or later College Preparatory courses. (II.C-31 CPSQ History, pg. 3) In recent years, College Preparatory Writing Program and Math Program Coordinators have extensively revised both placement instruments. (II.C-31 CPSQ History, pg. 6) The coordinators for College Preparatory courses monitor the efficacy of assessments and make adjustments as part of their regular supervisory duties.

Going forward, CPSQ will seek to document its validation of the writing and math assessments, as well as assessment results, as part of its student outcomes assessment and program review cycle. This cycle was created in partnership with Dr. Melanie Booth, current Associate Vice President of Institutional Effectiveness at Dominican University of California, and with experts in assessment at the National Institute of Learning Outcomes Assessment. (II.C-3 Educational Effectiveness Handbook, pg. 10)



## Analysis and Evaluation

The College Program regularly revises placement assessment instruments in math and writing, and has developed a standardized rubric and answer key to evaluate student performance. In border cases, Coordinators consult students on their readiness and comfort with a given placement, and have observed that this improves retention of students. Going forward, validation of assessment instruments will take place more systematically, on the cycle articulated in the Educational Effectiveness Handbook.

II.C.8

The institution maintains student records permanently, securely, and confidentially, with provision for secure backup of all files, regardless of the form in which those files are maintained. The institution publishes and follows established policies for release of student records.

## Evidence of Meeting the Standard

While the College Program's partner institution Patten University has historically maintained students' official transcript records, since 2001 CPSQ has maintained its own records of this information as well. The Program's first student records database was created by a volunteer administrator, and stored student course enrollments and grades. (II.C-31 CPSQ History, pg. 4) In 2012, the organization began using Salesforce to manage, store, and secure its student information. Currently, CPSQ collects a range of data on each student, including course enrollments and grades, co-curricular activities, demographic information, educational affiliations and credentials, institutional housing information, referral source for the College Program, and reasons for enrollment. (II.C-32 Redacted Student Salesforce record) Student records are stored in paper form, in lockable filing cabinets in the CPSQ offices, and digitally in the organization's cloud-based database. Student records are accessible only by designated staff.

From 2016 to 2019, College Program staff, with the support of Dr. Amy Lerman's research team, completed an audit and reconciliation of CPSQ's transcript data using Patten University's official transcripts. Records of course enrollments and grades have now been cleaned for all students active in the past four years. (An "active" student in a given term is defined as one who completed a College Program orientation either in that term or earlier, and who was in the mainline population at San Quentin during that term.) Ensuring the accuracy of its transcript data puts CPSQ in a position to assume the core functions performed by Patten University on behalf of the program, including the issuing of official transcripts, generation of trimesterly updates for all students in credit courses on their progress toward the degree, and reporting of student achievement and enrollment data. (II.C-33 Sample Course Record Audit from Patten)

In Summer 2019, CPSQ carried out a vendor selection process for a more comprehensive student information system. In consultation with Julia Odom, a current registrar at the California State University Maritime Academy, CPSQ carried out a comprehensive review of the organization's needs related to student information storage, the registrar function, student advising, data reporting, and development. (II.C- 34 PUP Data Management and SIS Vendor Docs) Julia Odom produced a report on the features of six products, recommending four for further consideration. The Executive Team (consisting of the Executive Director, Academic Program Director, Development and Communications Director, at that time, the Manager of Operations) approved three products for demos, and authorized CPSQ staff members in Operations and Program Administration, with the support the Accreditation Liaison Officer and SIS consultant Julia Odom, to carry out the process of review and make a final recommendation. The team carried out demos, explored test environments, and held a series of follow up meetings. Regular input on current usage of the Salesforce database was provided by CPSQ's Director of Development and Communications. Julia Odom made a final recommendation to the Executive Team in August of 2019; the selection of a vendor is currently being finalized, with the aim of completing the process by September 2019 and full implementation of the SIS software by the end of Fall 2019.

CPSQ's Student Handbook contains a written policy on the release of student transcripts, which reads as follows:

#### **REQUESTING TRANSCRIPTS OR LETTERS CONFIRMING ENROLLMENT**

Students who completed credits through Patten University and who have left San Quentin can write to the JFKU Registrar to obtain a copy of their Patten transcript, or to have it sent to whatever institution they plan to enroll at next. JFKU's address is:

John F. Kennedy University  
Office of the Registrar  
100 Ellinwood Way  
Pleasant Hill, CA 94523-4817

As long as students are at San Quentin, they may continue to rely on College Program staff for any Patten University transcript requests.

Students requesting to have their transcripts within the College Program sent out or students requesting a letter confirming their enrollment in the College Program must fill out a "Student Request Form," which can be obtained from a program administrator or program clerk. The form should be submitted at least 6 weeks prior to the date when the requested materials are needed.

(II.C-17 2019-2020 Student Handbook, pg. 14)

As part of its written communications with students regarding the closure of Patten University, staff have also informed students of procedures for requesting transcripts from Patten once the closure has occurred:

Transcripts will always be available to you. As long as you are at San Quentin, you can rely on College Program staff for any transcript requests, including requests to send transcripts to other colleges and universities for consideration of transfer credit.

Once you are out you can write to the JFKU Registrar to obtain a copy of your transcript, or to have it sent to whatever institution you plan to enroll at next. Their address is:

John F. Kennedy University  
Office of the Registrar  
100 Ellinwood Way  
Pleasant Hill, CA 94523-4817

(II.C-35 Student Independence, Patten closure Communication #1)

As part of its independence process, CPSQ has begun a review of the policies governing the integrity of its academic program, in order to ensure their clarity and availability to students. This review will include clarifying and publishing further policies governing student record requests.

### **Analysis and Evaluation**

CPSQ stores student records securely, in both paper form and in its Salesforce database. Procedures for requesting student transcripts are published in its Student Handbook. CPSQ's academic policies are currently under review, and will be updated to ensure greater clarity.

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## **Conclusions on Standard II.C. Student Support Services**

The various student support services offered by the College Program at San Quentin are appropriate, comprehensive, and designed with the unique needs of the student population in mind. These services are consistently conducted with high levels of quality, care, and individualized student attention.

### **Improvement Plan(s)**

The primary area for improvement in regard to II.C is the implementation of a more systematic assessment of its various student support services, already underway as described in the Handbook of Educational Effectiveness. This systematization will involve clarifying or developing intended goals and outcomes and improving data collection and analysis on an ongoing basis to continuously improve programs and services. A secondary area of improvement will be reviewing and clarifying CPSQ's policies surrounding the release of

student records, as the College Program assumes responsibility for the issuance of official student transcripts.

### **Evidence List**

II.C-1 Do Not Transfer letter  
II.C-2 Summer 2019 Student Feedback Survey  
II.C-3 Educational Effectiveness Handbook  
II.C-4 Melanie Booth CV  
II.C-5 Student Support Services Announcement  
II.C-6 TA Letter  
II.C-7 New Student Bios  
II.C-8 Student Goals survey responses  
II.C-9 Daily Debrief Sample  
II.C-10 Spring 2019 Volunteer Faculty Survey Responses  
II.C-11 Individual Learning Intake, beta  
II.C-12 Sample staff responses to New Student Bio  
II.C-13 Learning Specialist Job Description  
II.C-14 2018 Student Goals Survey Sample  
II.C-15 Summer 2019 Student Survey Responses  
II.C-16 Erick Montenegro CV  
II.C-17 2019-2020 Student Handbook  
II.C-18 PUP Continuum of Care Work Flow  
II.C-19 Sample Syllabi  
II.C-20 Student Event Invitations, Samples  
II.C-21 Co-curricular Activities Guidelines  
II.C-22 Student Activities Suggestion Form  
II.C-23 Co-Curricular Activity Approval Process  
II.C-24 APEP website screenshot  
II.C-25 Bonafide website screenshot  
II.C-26 Spring 2019 Registration Letter  
II.C-27 Sample Prospective Student Letters  
II.C-28 Summer 2019 Orientation Agenda  
II.C-29 College Prep Math and Writing Assessments, with key, rubric  
II.C-30 Summer 2019 Assessment Results Letter  
II.C-31 CPSQ History  
II.C-32 Redacted Student Salesforce record  
II.C-33 Sample Course Record Audit from Patten  
II.C-34 PUP Data Management and SIS Vendor Docs  
II.C-35 Student Independence, Patten closure Communication #1

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## Standard III: Resources

*The institution effectively uses its human, physical, technology, and financial resources to achieve its mission and to improve academic quality and institutional effectiveness.*

*Accredited colleges in multi-college systems may be organized so that responsibility for resources, allocation of resources, and planning rests with the district/system. In such cases, the district/system is responsible for meeting the Standards, and an evaluation of its performance is reflected in the accredited status of the institution(s).*

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### A. Human Resources

III.A.1

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

### Evidence of Meeting the Standard

All staff employed by the Prison University Project (PUP), as well as all faculty engaged by the College Program at San Quentin (CPSQ), are engaged based on high professional qualifications, training, and relevant experience for their roles.

- **Operations, development, and communications staff:** Staff carrying out operations, communications, and development functions have the requisite professional experience and training. (III.A-1 Operations, development, communications staff CVs)
- **Program administrators:** Program Team staff in administrative roles have experience and training in program administration. New Program Team staff members who were not previously faculty at CPSQ attend a new faculty training, as part of their introduction to the rules and culture of a correctional institution. Whenever possible, Program Team staff shadow departing staff members to learn their roles. (III.A-2 Program Team CVs)

- **Academic Team staff:** The four members of the Program Team (the “Academic Team”) directly responsible for placing and orienting instructors, qualifying courses, and coordinating faculty curricular development have the requisite experience and training in pedagogy, teacher training, course development, and program administration. (III.A-3 Academic Team CVs)
- **Faculty:** Instructors, tutors, and other faculty in the College Program have the requisite academic credentials and/or teaching experience for their roles. Lead faculty in credit courses hold a master’s degree or higher in the subject or a closely related field, while lead faculty in non-credit courses have requisite academic credentials and/or relevant teaching experience in developmental or high school math and writing. (III.A-4 2016-2019 CPSQ Instructors with credentials) All faculty, including instructors, tutors, research assistants, and co-curricular group leaders, also receive training and orientation to the unique teaching environment at CPSQ. All new instructors and tutors attend both an all-volunteer and a role-specific training. (See I.B.1 for a list and description of trainings.)

Given the developing character of the field of prison higher education, and particularly the developing professionalization and standardization of administrative and academic support roles needed to operate in a prison environment, PUP / CPSQ has often adopted innovations specific to its context. For this reason, highly valuable experience for many staff positions at CPSQ is prior training in and familiarity with the operating practices of the College Program. (See I.B.1 for a list and description of trainings.) When posting open calls for paid staff positions across the organization in recent years, CPSQ leadership has at times concluded that former volunteer faculty have the most extensive and relevant professional training, education, and experience of those in the applicant pool. (III.A-5 Sharyl McGrew CV; III.A-6 Allison Lopez CV)

In order to effectively serve CPSQ’s unique population, it is critical that its staff and faculty attempt to understand the perspectives of its students, as well as the unique challenges and opportunities presented by their environment in a state prison. CPSQ therefore strongly encourages applications for all positions from formerly incarcerated people, people impacted by the carceral system, people of color, and people belonging to marginalized groups. (See III.A.12 below for further discussion.) By the same token, the college encourages applications from CPSQ alumni and formerly incarcerated Program Clerks for open positions. The current office staff of the Prison University Project, located a few minutes away from San Quentin State Prison, includes three former Program Clerks and CPSQ graduates in permanent roles, as well as two former CPSQ students in contract or part-time roles. Former Program Clerks contribute valuable experience in administering educational programs inside San Quentin and in the culture and norms of the prison, as well as other relevant professional experience and training.

The criteria and procedures for selection of both paid staff and volunteer faculty are stated in advertisements for positions published on the College Program’s website. All paid staff positions are advertised on the College Program’s website, under “Job Openings,” and include a full description of duties and qualifications. Most recently, openings for a Chief Operations Officer position and a Director of Student Affairs position were advertised. Each posting

included information about criteria, qualifications, and selection procedures for these positions. (III.A-7 COO Call for Applications and Job Description; III.A-8 Director of Student Affairs Call for Applications and Job Description)

An open call for faculty is always posted on the College Program's website. (III.A-9 Call for Volunteers on website) The call includes the following information about criteria, qualifications, and selection procedures for faculty in credit courses:

#### **Lead Instructors**

At least one lead instructor must have a Master's degree in the field or a related field. Exceptions to this rule are composition courses and courses in Spanish, art, music, and math, where instructors should be able to demonstrate a high level of content mastery and professional experience.

#### **Co-Instructors & Teaching Assistants**

Generally have at least some graduate level experience, or commensurate professional experience. Ideal candidates will have some teaching/tutoring experience.

For faculty in non-credit, college preparatory courses, the open call includes the following information about criteria, qualifications, and selection procedures:

#### **College Preparatory Writing Instructors**

At minimum, all English 99 instructors should possess a four-year undergraduate degree and formal composition teaching experience; a graduate level degree or a teaching credential is preferred. We specifically encourage applications from professional educators who have worked with 1) adult learners 2) English language learners and 3) students with learning disabilities.

#### **College Preparatory Math Instructors**

For Math 50A, Math 50B, and Elementary Algebra, instructors must hold an undergraduate degree and significant coursework in math, with a master's degree preferable. Ideal candidates will have some teaching/tutoring experience.

The Academic Program Director solicits instructors and other personnel for upcoming terms triannually, in October, February, and June. (III.A-10 Triannual survey email) Teaching and tutoring positions for upcoming terms are advertised to all individuals who have completed a new volunteer training with CPSQ in the past. The process for being added to the triannual mailing list for faculty is described on the College Program website. (III.A-9 Call for Volunteers on Website)

CPSQ has established job descriptions for all current staff positions. These descriptions are written by CPSQ staff, in some cases with the support of key board committees. All job descriptions are regularly updated to conform with CPSQ's mission and goals, as well as with the duties, responsibilities, and authority of each position.

#### **Analysis and Evaluation**

The College Program meets the standard. Its faculty and staff in all areas of the organization are qualified by academic credentials, professional experience, and training to support its programs and services. The qualifications, criteria, and selection procedures for these positions are clearly and publicly stated in written solicitations for the positions on the program's website. The duties, responsibilities, and authority of each role, as well as the qualifications and desired characteristics for roles, are determined by senior staff with an eye to achievement of the mission of CPSQ.

Given the college's aspiration to be student-centered, as well to create a learning and teaching environment that welcomes all students, desirable characteristics for staff and faculty include in-depth knowledge of the carceral system, as well as racial/ethnic and cultural backgrounds that reflect its diverse student body. However, as indicated by a recent demographic survey of its faculty, CPSQ has experienced particular challenges in recruiting a diverse group of faculty. (III.A-11 Spring 2019 Faculty Demographics) The organization is working to address this issue: planned improvements include adding language to faculty recruiting materials welcoming diverse applicants; creating a list of academic groups, university departments, and other fora for advertising calls for instructors to a broader audience; and adding questions to faculty surveys about the experience of instructors of color. (III.A-12 DEI Recruitment Posting and Tracking)

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

### **Evidence of Meeting the Standard**

Faculty for the College Preparatory and AA degree programs have the requisite academic credentials, professional experience, and teaching experience for their roles. Lead faculty in credit courses hold a Master's degree or higher in the subject or a closely related field or, in the case of a few skills-based courses, a high level of content mastery and professional experience. (See Standard III.A.1 above.) Lead faculty in non-credit courses have relevant academic credentials and/or relevant teaching experience for their roles. In particular, instructors for non-credit composition courses must possess a four-year undergraduate degree and formal composition teaching experience, while instructors for non-credit math courses must hold an undergraduate degree and significant coursework in math. (III.A-4 2016-2019 CPSQ Instructors with credentials)



All applicants for faculty positions are required to submit their relevant educational and professional qualifications. Applicants must provide a letter of application, a resume or curriculum vitae, degrees earned and currently being pursued, teaching experience, professional experience, and experience working with or teaching incarcerated individuals. Returning course instructors are also asked to update their curriculum vitae or resume with the College Program, if they have not done so in the past year.

Four members of the Program Team, referred to as the “Academic Team,” have primary responsibility for screening and placing all faculty. The Academic Team reviews applications, conducts interviews, and places instructors, tutors, research assistants, and co-curricular group leaders each academic term. (See III.A.3 below, for further description of the roles on the Academic Team.) All members of the Academic Team have experience and training in pedagogy, deep familiarity with the instructional programs and support services offered at CPSQ, and an understanding of the key features instructors need in order to serve CPSQ’s unique student population. (III.A-3 Academic Team CVs)

Academic Team staff and faculty have joint responsibility for the development and review of curricula. (III.A-13 Academic Program Director Job Description; III.A-14 STEM Coordinator Job Description; III.A-15 CPWPC Job Description) The job description for instructors circulated to all applicants includes curriculum development, in the form of development of course content, syllabi, and assignments, as well as assessment of student learning:

## **RESPONSIBILITIES / ROLES**

### **Instructor (Sole Instructor or Co-Instructor)**

- Develop the course syllabus and course calendar in collaboration with the Academic Program Director, the College Preparatory Writing Coordinator, or the STEM Program Coordinator
- Teach a minimum of one class per week with lessons to ensure that the syllabus is covered
- Assess student progress using formative and summative assessments, and provide regular feedback to students
- Keep accurate course records, track attendance, and conference periodically with students
- Maintain regular communication with co-instructors and Prison University Project staff about the course and student progress
- Attend meetings to plan the course, determine final grades, and other tasks as needed
- Post class reports on course website
- Most courses are co-taught. However, if you prefer teaching all sections of the class, please indicate your preference to be sole instructor on the checkboxes below.

The Academic Team ensures that all faculty members receive sufficient training and orientation to the unique teaching environment at CPSQ. All new faculty, tutors, and research assistants

attend both an all-volunteer and a role-specific training. (See I.B.1 for a list and description of trainings.)

### **Analysis and Evaluation**

The College Program meets the standard. Faculty qualifications include knowledge of the subject matter and requisite skills for their course or subject, as well as training in the rules and culture of the correctional environment. Factors of qualification include appropriate degrees, professional experience, discipline expertise, level of assignment, teaching skills, scholarly activities, and potential to contribute to the mission of the institution. Faculty job descriptions include development and review of curriculum as well as assessment of learning.

#### **III.A.3**

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

### **Evidence of Meeting the Standard**

The Program Team, under the leadership of the Academic Program Director, administer the AA degree and College Preparatory programs, as well as learning and student support services. Program Team staff in administrative roles, including the Director of Student Affairs (formerly the Program Administrator), Student Affairs Associate (formerly the On-Site Coordinator), and Program Assistant have relevant administrative experience and training to perform their duties effectively. (III.A-2 Program Team CVs)

Most traditional registrar functions at CPSQ, including semester scheduling, class enrollments, and recording of grades, have been the responsibility of the Director of Student Affairs (formerly the Program Administrator). However, a few key administrative functions and policies, such as the issuance of official transcripts and ensuring FERPA compliance, have been the responsibility of CPSQ's accredited university partner, Patten University. In anticipation of its assumption of these responsibilities, CPSQ has engaged Julia Odom, a current registrar at California State University Maritime Academy, as a consultant in adopting a more comprehensive student information system and to advise the Academic Program Director on the creation of a registrar position. (See II.C.8.)

Four members of the Program Team, referred to as the "Academic Team," have primary responsibility for screening and placing all faculty, for conducting faculty trainings, and for coordination of faculty during the academic term. (III.A-16 CPSQ History, pg. 3; see also Standard II.A.2, above.) In addition, academic advising at CPSQ is the shared responsibility of the Academic Team and the Director of Student Affairs. (See Standard II.C.5 for more on academic advising.) As of Spring 2019, the Academic Team includes:

- the Academic Program Director, who has primary responsibility for the operation of the College Program as a whole, and supervisory responsibility for credit courses;
- the STEM Program Coordinator, who has supervisory responsibility for all non-credit math courses, as well as coordinating responsibility (under the supervision of the Academic Program Director) for credit courses in math and science;
- the College Preparatory Writing Program Coordinator, who has supervisory responsibility for all non-credit writing courses;
- the Learning Specialist, who has primary responsibility over all student accommodations and accessibility-related support, as well as supervisory responsibility for study hall.

All members of the Academic Team and the Director of Student Affairs have qualifications necessary to sustain academic quality and institutional effectiveness in the performance of their duties. Academic Team staff have deep familiarity with the instructional programs and support services offered at CPSQ, and an understanding of the key features instructors need in order to serve CPSQ's unique student population. These staff members also have the requisite experience and training in pedagogy, teacher training, course and curricular development, and program delivery. (III.A-3 Academic Team CVs)

### **Analysis and Evaluation**

The College Program meets the standard. Administrative staff responsible for educational programs and services have the qualifications necessary to perform their duties so as to promote academic quality and institutional effectiveness.

As the College Program transitions into independence, one key area for improvement of its administrative staff will be the differentiation of the registrar role, and the provision of additional tools and training to staff to prepare them to assume the remaining functions and responsibilities that remained with its university partner. Through the Core Team process, PUP / CPSQ leadership have developed a proposed four year plan for organizational growth, in order to strategically meet needs associated with independence. (III.A-17 Core Team IV Meeting) (See I.B.7 for a further description of the Core Team.) As part of this work, CPSQ has carried out a vendor selection process to adopt a comprehensive student information system. (See II.C.8 for further elaboration.) In addition, CPSQ will invest in greater registrar expertise on its permanent staff.

#### **III.A.4**

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

### **Evidence of Meeting the Standard**

Required qualifications for staff and faculty at CPSQ vary based on role. Most staff positions require a Bachelor's degree. For positions on the Academic Team, a Master's degree or Ph.D. may be preferred or required. All staff in such positions received their degrees from institutions accredited by recognized U.S. accrediting agencies. (III.A-3 Academic Team CVs) Credit course instructors have at minimum a Master's degree in a closely related field. (See III.A.2 above.) Faculty employed in instructional roles for credit courses have degrees from institutions accredited by recognized U.S. accrediting agencies. (III.A-4 2016-2019 CPSQ Instructors with credentials)

### **Analysis and Evaluation**

The College Program meets the standard. Required degrees for faculty and staff positions are accredited by recognized U.S. accrediting agencies.

III.A.5

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

### **Evidence of Meeting the Standard**

All staff are evaluated on an annual basis, as described in the Employee Handbook:

We believe that regular feedback and communication between managers and employees fosters a better work environment. Thus we will evaluate your performance on an annual basis. We see the review process as a positive way to identify your strengths and areas of needed improvement.

We also encourage you to engage in informal communication with your manager about work issues and performance. This is the best way to achieve employment goals and resolve any potential misunderstandings about work performance or other expectations.

We reserve the right to conduct interim performance reviews of your work if the situation merits a review. We will take disciplinary action if your performance falls below standard. (III.A-18 Employee Handbook, pp. 45-46)

Staff are evaluated by their immediate supervisor, using the same institution-wide performance review template and set of procedures. (III.A-19 Annual Performance Review Template; III.A-20 Performance Review Instructions) The Executive Director's performance is also reviewed annually by the Board of Directors. (See Standard IV.C.3 below, for further description of the annual review of the Executive Director.)

Performance reviews focus centrally on effectiveness and on defining next steps to improve performance, both on the part of the staff member being evaluated and on the part of their manager. Areas of employee evaluation are divided into sections: results, performance factors, assessment, and feedback for the employee's manager. By focusing on key goals for the year, the performance review ensures evaluation of the particular skills and goals in the employee's role.

Following performance reviews, supervisors hold a feedback session with their supervisee, guided by a common template for preparing feedback. (III.A-21 Preparing Feedback Worksheet) This session is followed by regular check-ins to track areas for improvement.

Evaluation of faculty takes place primarily through review of student evaluations and regular and ongoing course observations. Students complete mid- and end-of-semester course evaluations for all courses, which are reviewed by Academic Team staff in charge of course coordination before being shared with course instructors. Academic Team staff also carry out course observations and provide instructors feedback. (III.A-22 Course observation protocol) In College Preparatory courses, as well as in all STEM credit courses, academic coordinators regularly observe teaching sessions. While course observations are currently carried out in non-STEM credit courses on an as-needed basis only, planning is underway to institute regular observation in all courses.

### **Analysis and Evaluation**

The College Program meets the standard. Faculty are regularly evaluated using student feedback and, in most cases, regular course observation. Employees are evaluated annually, according to standards relevant to their role, so as to increase institutional effectiveness and encourage improvement. Performance reviews are followed by feedback sessions using a common tool, and other follow-up sessions as needed. Current performance review processes will be reviewed for improvement going forward by the Chief Operations Officer recently added to the permanent staff.

#### **III.A.6**

The evaluation of faculty, academic administrators, and other personnel directly responsible for student learning includes, as a

~~component of that evaluation, consideration of how these employees use the results of the assessment of learning outcomes to improve teaching and learning. (Effective January 2018, Standard III.A.6 is no longer applicable. The Commission acted to delete the Standard during its January 2018 Board of Directors meeting.)~~

[Skip Standard III.A.6. Continue responses with Standard III.A.7]

III.A.7 The institution maintains a sufficient number of qualified faculty, which includes full time faculty and may include part time and adjunct faculty, to assure the fulfillment of faculty responsibilities essential to the quality of educational programs and services to achieve institutional mission and purposes. (ER 14)

### **Evidence of Meeting the Standard**

The Academic Program Director solicits instructors and other faculty members for upcoming terms triannually, in October, February, and June. (III.A-23 Sample triannual volunteer survey email) Specific positions are advertised to all individuals who have completed a new volunteer faculty training with CPSQ in the past. CPSQ typically receives 200 applications through its triannual survey, and places around 100 instructors, tutors, research assistants, and co-curricular group leaders each term.

In addition to its faculty, the Prison University Project employs four full-time Academic Team staff members to administer the College Program. Due in part to the small size of the program, in which most credit classes run on a rotation, all instructors volunteer as adjuncts from term to term. However, a significant portion of instructors return to teach over many years. In a survey of its Spring 2019 faculty, CPSQ found that over a third had volunteered in six or more academic terms, and that a quarter of instructors had done so. (III.A-24 Spring 2019 Volunteer Faculty Responses, Graphs and Charts)

Academic Team staff have primary responsibility for coordinating and collaborating with faculty as they carry out responsibilities essential to the quality of educational programs and directly related services. (For a description of some of the improvements to instructional programs and support services carried out by faculty over the history of CPSQ, see standard II.A.2 above.)

Academic Team staff have pedagogical training, extensive prior teaching experience, and relevant academic credentials for their roles. (III.A-3 Academic Team CVs) Three Academic Team staff have Master's degrees in a related academic discipline, while the fourth staff

member, charged with coordinating STEM courses, has 6 years of prior experience in instruction, teacher coaching and training, and curriculum development in mathematics. (III.A-25 Neil Terpkosh CV) All Academic Team staff have requisite training and experience to effectively collaborate with faculty in making academic improvements to the programs they supervise. (For the division of labor among the Academic Team in coordinating faculty, please see Standard II.A.2 above.) It is also important to note that, over the history of CPSQ, the majority of staff coordinating academic programs have been former volunteer faculty. Furthermore, while course instruction is not required of staff on the Academic Team, it is both permitted and encouraged; three of the four members of the Academic Team have taught at least one course at CPSQ in the past.

Due to the loyalty and dedication of many of its volunteer faculty, as well as the unusual concentration of excellent higher education institutions in the San Francisco Bay Area, CPSQ's model of relying on volunteers to provide a high quality education to its student body has proved stable and sustainable for over twenty years. An external program review conducted in 2014 by professors Marianne Constable (UC Berkeley) and Geraldine Downey (Columbia University) noted that "the quality of teaching [in the College Program] is...exceptionally high, drawing on talented instructors coming from elite academic institutions." (III.A-26 2014 External Review, pg. 1)

### **Analysis and Evaluation**

The College Program meets the standard. PUP / CPSQ engages a sufficient number of qualified faculty and academic staff to assure the academic quality of educational programs.

For twenty years, CPSQ has relied continuously on its pool of volunteers to provide an excellent higher education to its students. The leadership of CPSQ feel that this model will continue to be sustainable, for a number of reasons. First, the college draws its volunteers from a large number of higher education and academic research institutions. For example, in 2016 and 2018, the College Program's volunteer faculty were affiliated with 22 different higher education or research institutions, including UC Berkeley, Stanford University, Mills College, UC San Francisco, San Francisco State University, University of San Francisco, UC Davis, UC Irvine, UC Los Angeles, UC Santa Cruz, and the Oak Ridge National Lab.

Second, CPSQ faculty often learn about the opportunity to teach with the program from colleagues at their own academic institution. In response to the Spring 2019 faculty feedback survey, 40% of current faculty reported learning about the College Program through another volunteer faculty member. (III.A-24 Spring 2019 Volunteer Faculty Responses, Graphs and Charts, pg 2) This has resulted in a deep pool of potential faculty at each institution. In 2016 and 2018, for example, four different members of the UC Berkeley Philosophy department served as volunteer faculty.

Third, a significant proportion of volunteer faculty return to teach over many years, and demonstrate deep loyalty and commitment to the CPSQ student body. (Indeed, there are current faculty who have taught consistently with the College Program since its founding in



1996.) In response to a recent faculty feedback survey, over a third of Spring 2019 faculty (including tutors, etc.) and a quarter of Spring 2019 instructors indicated that they had volunteered six or more semesters with the College Program. (III.A-24 Spring 2019 Volunteer Faculty Responses, Graphs and Charts, p. 3)

While the volunteer model has remained sustainable for the program's twenty years of operation, the leadership of CPSQ recognizes that this model has drawbacks for students, staff, and faculty themselves. Courses are often taught by two instructors, each covering one of the two class meetings per week. Team teaching requires a great deal of communication and coordination which, when not entirely smooth, can be frustrating to students and instructors. Coordination of the larger faculty created by team teaching is also labor-intensive for staff. Furthermore, the pool of instructors and other faculty available for 5-10 hours of volunteer work each week is limited; this may be linked to the challenges CPSQ has experienced related to recruiting a more diverse faculty. For this reason, CPSQ leadership intends to evaluate the efficacy of the volunteer faculty model and research the viability of transitioning to compensating its instructors in the longer term.

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

### Evidence of Meeting the Standard

The College Program offers significant orientation, training, and support to all faculty both before and during the academic term. All new volunteer faculty attend a four-hour, in-person training that prepares them to navigate the prison's institutional rules and culture, as well as orienting them to the values of the College Program. Volunteer faculty also attend further role-specific trainings with their designated staff coordinator. The following are required trainings for faculty at CPSQ:

- **New volunteer training:** This four hour training is required for all faculty, including instructors, tutors, and research assistants, and outlines CPSQ's principles related to equity and inclusion. Faculty learn how CPSQ enacts these principles in its policies and practices, as well as in the classroom, and about their own responsibilities as faculty. They learn about the demographics of CPSQ students and the variety of learning differences among students. The training also covers prison rules related to dress, personal belongings, and behavior while inside. (III.A-27 Faculty training materials, pp. 41-55)
- **New instructor training for non-STEM credit courses:** This training builds on the new volunteer training by discussing pedagogical practices specifically, particularly



classroom management, learning assessment, and grading. Instructors learn about how to improve pedagogically in response to the challenges and opportunities of diverse classrooms, and the part that faculty can play in addressing students' learning challenges. New instructors have the opportunity to raise their own concerns and questions. The training also covers setting up the classroom, taking attendance, and the logistics of entering and exiting the prison, as well as the distinct roles of volunteer faculty and academic staff.

- **Instructor training for College Preparatory and STEM credit courses:** This training for both new and continuing instructors delves further into the prison context and the unique student body at CPSQ, power dynamics and positionality as they might emerge in the classroom, strategies for classroom management, and detailed teaching scenarios. The training also covers setting up the classroom, taking attendance, and the logistics of entering and exiting the prison, as well as the distinct roles of staff escorts, staff coordinators, and instructors. (III.A-27 Faculty training materials, pp. 26-40)
- **Study hall tutor training:** This training for both new and continuing tutors introduces all tutors to the principles of teaching and tutoring in the College Program, study hall expectations that ensure equity and professional relationships with students, and tools to support and respond to common student needs at CPSQ. These include strategies from trauma-informed care, for addressing inherent power imbalances in a prison setting, and strategies for addressing common tutoring scenarios. (III.A-27 Faculty training materials, pp. 56-67)

In addition, CPSQ is currently administering a training by advanced students for faculty. In 2018 and 2019, a CPSQ faculty member, Program Team staff, and students collaborated to produce a student-led workshop on Diversity, Equity, and Inclusion (DEI) for instructors and staff. This training was tested in Summer 2019. Further trainings on DEI for instructors are being developed by the student group for Fall of 2019, with the guidance of the staff Learning Specialist and other Program Team staff.

During the academic term, each faculty member has a point of contact on the staff Academic Team, who helps to coordinate their academic offerings and can address problems. The Academic Program Director, STEM Program Coordinator, and the College Preparatory Writing Coordinator provide supervision and support to particular instructors, based on course subject. (III.A-13 Academic Program Director Job Description; III.A-14 Math Program Coordinator Job Description; III.A-15 CPWPC Job Description) The Learning Specialist provides supervision and support to study hall tutors, and in the future will offer resources and guidance to all course instructors on ways to increase the accessibility of course materials. (III.A-28 Learning Specialist Job Description) Faculty can also report issues to any member of the Program Team during staff escorts of faculty into and out of the prison. These conversations are logged by staff in the Daily Debrief, which is stored in the organization's shared Salesforce database, and tagged with the name of the staff members with action items. (III.A-29 Daily Debrief Sample)

Evaluation of faculty takes place primarily through Academic Team staff review of student evaluations and regular and ongoing course observations. Students complete mid- and

end-of-semester course evaluations for all courses, which are reviewed by Academic Team staff in charge of course coordination before being shared with course instructors. College Preparatory students also complete evaluations of study hall, which are then reviewed by the Learning Specialist. Academic Team staff also carry out course observations and provide instructors feedback. (III.A-22 Course observation protocol) In College Preparatory courses, as well as in all STEM credit courses, academic coordinators regularly observe teaching sessions. While course observations are currently carried out in non-STEM credit courses on an as-needed basis only, planning is underway to institute regular observation in all courses.

In addition to training and orientation in their roles in CPSQ, all faculty receive invitations to CPSQ events in and out of San Quentin, including the annual graduation, annual academic conference, volunteer appreciation nights, and student open mic nights. CPSQ seeks to connect faculty with opportunities for professional development as educators and practitioners in the field of prison higher education, both through its own events and its broader network of partner organizations. For example, CPSQ has invited instructors to attend its statewide trainings for colleges and individuals on administering prison higher education programs, as well as to submit proposals to its academic conference held inside San Quentin. (III.A-30 Sample invitations to faculty) In the future, faculty integration will be improved through the addition of a formal Faculty Committee to advise the Academic Program Director. (III.A-31 Faculty Committee Draft Charge)

As the College Program continues to develop its practices in learning outcomes assessment in partnership with qualified practitioners in the field, it will provide its faculty with further opportunities both for professional development as educators and for involvement in the College Program's assessment cycle. The first of these professional development opportunities is already scheduled: Natasha Jankowski, of the National Institute of Learning Outcomes Assessment, will hold an assignment charrette for CPSQ instructors on September 19, 2019. (III.A-32 NILOA Assignment Charrette) CPSQ leadership are currently developing the charge for a Faculty Committee, to further involve instructors, to be recruited in Spring 2020.

### **Analysis and Evaluation**

The College Program meets the standard. All faculty receive sufficient orientation, training, and evaluation, in addition to opportunities for professional development and involvement in the life of the college.

CPSQ is in the process of developing additional staff-led trainings for its faculty. In the future, faculty orientation will begin with an initial introductory session (1-2 hours). Faculty placed as instructors, tutors, research assistants, or in other educational roles, will attend a full weekend training before beginning their assignment. Faculty will receive deeper training on classroom management, addressing tense topics in the classroom, and trauma informed learning. CPSQ staff are beta testing one-off trainings in the fall, with the intention of rolling out the new trainings in Spring 2020.

### III.A.9

The institution has a sufficient number of staff with appropriate qualifications to support the effective educational, technological, physical, and administrative operations of the institution. (ER 8)

## Evidence of Meeting the Standard

**Educational operations:** The College Program's small Program Team staff in collaboration with its volunteer faculty have succeeded in carrying out the educational operations of the institution for many years. (III.A-16 CPSQ History) However, further staff will be needed as the college transitions to independence, and seeks to improve the quality of its program delivery. In particular, additional staff will be needed on the Program Team, in order to (a) right-size by splitting the current Academic Program Director position into multiple roles, and (b) assist in carrying out a more formalized cycle of assessment and program review. This cycle will build on previous evaluations of the College Program, carried out through partnership with the UC Berkeley Goldman School for Public Policy. (For more on this work, see Standard I.A.2, above.)

Pending Board approval of growth plans, oversight of the College Program will be strengthened through the addition of a Chief Academic Officer (CAO) and a Deputy Academic Program Director (DAPD), each of whom will assume some of the duties of the current Academic Program Director (APD). The CAO will be accountable for assuring academic program quality, maintaining high level relationships with partners (including CDCR), and strategic support for institutional research and evaluation. The APD will oversee curriculum development and delivery in partnership with the Faculty Committee, manage volunteers, support the cycle of institutional research and evaluation, and oversee academic advising.

CPSQ is also developing its internal capacity to carry out institutional research and learning outcomes assessment. In the longer term (currently projected as 2020), the College Program intends to hire a full-time director of institutional research and a research assistant to oversee internal evaluation-related systems. As an interim step to hiring permanent staff in this area, CPSQ has engaged Dr. Melanie Booth, an expert in the areas of learning outcomes assessment and institutional effectiveness, as a consultant to advise in its deepening of assessment and program review practices, to conduct professional development with Academic Program Team staff in these areas, and to assist in the creation of job descriptions and recruitment process for permanent staff. (III.A-33 Melanie Booth CV) CPSQ also continues to partner with the National Institute for Learning Outcomes Assessment (NILOA) to access high quality resources in the field and additional advising related to assessment. (III.A-34 Erick Montenegro CV)

**Technological operations:** The College Program's permanent Operations staff is sufficient to support the technology needed for its office functions both inside and outside the prison. However, a major goal for CPSQ is the introduction of further technology into its instructional programs and learning support services. This will require not only staff effort to collaborate with the California Department of Corrections and Rehabilitation in smoothly introducing technology, but will also require staff with expertise in the maintenance of such technology.

(See III.C.1 below, for further discussion) CPSQ has begun applying for funding for a consulting role in this area.

**Physical operations:** CPSQ administers its instructional programs, academic advising, and some of its program administration inside San Quentin State Prison, a state-owned facility. (III.A-35 Statement of authorization from CDCR) In addition, CPSQ maintains its own office space a few minutes away from the prison. CPSQ's permanent Operations staff, and its collaborators in the administration of San Quentin State Prison, are sufficient to maintain its current physical operations, both at its external office site and in the spaces available to the program inside San Quentin State Prison. (For a description of the latter spaces, see Standard III.B.1 below.)

**Administrative operations:** The College Program's existing Operations Team and Development and Communications Team have had success in carrying out its current operations. The former was recently improved by the addition of a Chief Operations Officer. As CPSQ transitions to independence, an additional staff person administering academic offerings is required, specifically for registrar functions. (See III.A.3 above) In anticipation of these needs, CPSQ has engaged a current registrar as an external consultant, to advise senior staff on the hiring of a staff registrar and on adopting a more comprehensive student information system. In addition, to support its planned expansion, CPSQ will hire additional development staff, including a development operations manager and an individual philanthropy officer.

In planning the expansion of its staff in these areas, CPSQ engaged Stacey Smith, a consultant in organizational development at Contigo partners, to convene an ad hoc "Core Team" in 2018-2019. The Core Team consisted of the Executive Director, members of the organization's Board of Directors, key staff from the Operations, Development and Communications, and Program Teams, and external stakeholders in nonprofit management and higher education. (III.A-36 Core Team members). The Team's charge was to help guide the expansion of the organization, and specifically to make recommendations about defining key functions and roles, strengthening organizational capacity and leadership, and plotting the sequence of hiring and investing in organizational functions and roles. Over a series of meetings in 2018-2019 the Core Team produced a draft organizational chart, growth budget, and schedule of hiring for organizational growth. The proposed expansion and reorganization plans are under review by the Board, and have been previewed in a full staff meeting. (III.A-37 2019 PUP Core Team Meeting Materials)

### **Analysis and Evaluation**

The College Program meets the standard. The college has a sufficient number of staff to sustain its current operations. However, its transition from partnership with Patten University will require the addition of key staff to carry out assessment and registrar functions. Furthermore, the College Program's longterm goal of introducing meaningful technology in its instructional and learning support programs will also require additional staff.

III.A.10

The institution maintains a sufficient number of administrators with appropriate preparation and expertise to provide continuity and effective administrative leadership and services that support the institution's mission and purposes. (ER 8)

### **Evidence of Meeting the Standard**

Throughout its 20-year history, the College Program at San Quentin has received steadily diminishing administrative staff support from Patten University, its accredited university partner. During this time, staff employed by the Prison University Project have assumed responsibility for nearly all administrative functions of the program. The current senior staff of the Executive Team have years of relevant experience and preparation, as well as relevant expertise in the fields of higher education, development, finance, and human resources to lead and administer the College Program. (III.A-38 Executive Team CVs)

While its current administrative staff has been sufficient for many operational needs, as it transitions to independence, CPSQ is aware of the need to expand its staff in key areas in order to achieve more effective educational and administrative operations. (See III.A.9 above, for specific examples.)

In the area of finance and human resources, the Prison University Project has recently hired a Chief Operations Officer. (III.A-39 Reed Goertler CV) This hire greatly increases the organization's internal expertise in human resources and finance, allowing for the design and implementation of more sophisticated financial management and human resources systems.

### **Analysis and Evaluation**

The College Program meets the standard. Its current staff achieves effective continuity and administrative leadership. However, CPSQ recognizes the need to expand its staff, in order to pursue continuous improvement. CPSQ has made concrete steps toward reaching its goals in these areas, by hiring a senior staff person in finance and human resources, engaging a long-term consultant to support its capacity building in the areas of institutional research and assessment, and developing a plan to guide the expansion of its staff.

III.A.11

The institution establishes, publishes, and adheres to written personnel policies and procedures that are available for information and review. Such policies and procedures are fair and equitably and consistently administered.

### **Evidence of Meeting the Standard**

PUP personnel policies and procedures regarding work schedules, paid and unpaid leave, reporting discrimination and harassment, accommodations for disability, communication, hiring and firing of personnel, and related matters are outlined in the Employee Handbook distributed to all employees. (III.A-18 Employee Handbook) These policies are regularly reviewed and updated by College Program leadership, and are followed fairly and consistently by the operations and board organs charged with human resources functions. The recent addition of a Chief Operations Officer to the permanent staff will provide greater oversight and review of these policies and procedures.

### **Analysis and Evaluation**

The College Program meets the Standard. PUP / CPSQ has written and published its personnel policies, and administers them fairly and consistently.

III.A.12

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

### **Evidence of Meeting the Standard**

PUP / CPSQ upholds comprehensive non-discrimination policies. The PUP Employee Handbook specifies that the organization adheres “to a policy of equal opportunity when we (1) hire, promote, and train our employees or independent contractors; (2) provide opportunities to volunteers; and (3) award contracts to vendors.” PUP forbids discrimination on the basis of:

- Age
- Ancestry or Ethnic Background
- Citizenship
- Disability (including past, present, or future physical, intellectual, or psychiatric disability, learning disorders, or disease)
- Gender (actual or perceived)
- Gender Identity
- Genetic Information or Characteristics (or those of a family member)
- HIV Status
- Immigration Status
- National Origin
- Political Beliefs
- Pregnancy
- Race or Color
- Religious Beliefs, Creed, or Background
- Marital Status/Domestic Partner

- Medical Condition
  - Military and Veteran Status
  - Sex
  - Sexual Orientation
  - Status as a Victim of Domestic Violence, Sexual Assault, or Stalking
  - Any other legally recognized status
- (III.A-18 Employee Handbook, pp. 11-12)

Job descriptions often specify that applicants should have an aptitude for working in a culturally diverse environment. (III.A-40 Director of Student Affairs Job Description) Furthermore, the leadership of CPSQ strongly encourages applications for all staff and faculty positions from individuals from a variety of cultural, racial, and marginalized groups. The following language is typical of job postings with CPSQ / PUP:

All applicants should have a demonstrated commitment to PUP's mission and proven ability to work with multi-racial, multi-ethnic, intergenerational, and multi-gendered communities. We especially encourage applications from candidates of diverse socio-economic backgrounds; and/or who reflect the cultural, ethnic and racial diversity of our student body; as well as people directly impacted by incarceration.

In keeping with our beliefs and goals, we welcome applicants who are LGBTQ and/or gender diverse. No employee or applicant will face discrimination/ harassment based on: race, color, ancestry, national origin, religion, age, gender, marital/ domestic partner status, sexual orientation, gender identity, disability status, or veteran status.

In recent years, PUP / CPSQ has begun to systematize its strategies for recruiting a more diverse staff and faculty, and for building an organizational culture that promotes diversity, equity, and inclusion (DEI). A series of projects are currently ongoing, both spearheaded by the Program Team and in the broader organization, in this domain. (III.A-41 DEI Projects - Program Team) Most recently, staff professional development funds for 2019 were pooled in order to fund further work on the staff organizational culture surrounding DEI.

### **Analysis and Evaluation**

The College Program meets the standard. PUP / CPSQ continues to develop its existing policies and practices in order to support a diverse group of personnel, including staff and faculty. While PUP upholds clear non-discrimination policies, and explicitly welcomes applicants from a variety of backgrounds, the organization continues to face challenges in recruiting diverse personnel, particularly among faculty, as indicated by a recent demographic survey. (III.A-24 Spring 2019 Volunteer Faculty Responses, Graphs and Charts, pp. 6-7) The organization is working to address this issue: planned improvements include creating a list of academic groups, university departments, and other fora for advertising calls for instructors to a broader audience and adding questions to faculty surveys about the experience of instructors of color. (III.A-12 DEI Recruitment Posting and Tracking)

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

### **Evidence of Meeting the Standard**

Personnel policies and procedures recorded in the Employee Handbook distributed to all College Program personnel contain written codes of professional ethics, including non-discrimination, non-harassment, and non-retaliation policies. (III.A-18 Employee Handbook) These policies include explicit employee obligations under the policies, procedures for reporting violations, and the range of possible consequences for violations.

### **Analysis and Evaluation**

The College Program meets the standard.

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

### **Evidence of Meeting the Standard**

CPSQ supports its employees in their continued professional development, in the form of both continuing education, training in management and administration, and attendance at professional conferences.

In recent years, CPSQ has sought and received grant funding specifically for staff professional development. Conferences and events attended by College Program employees with the support of the College Program over the past year include the National Conference for Higher Education in Prison (NCHEP), a Learning Inside Out Network think tank, the Rutgers Humanities in Prison Education workshop, and the Salesforce Higher Education Summit. In the past year, staff members including the Learning Specialist, Academic Program Director, and Executive Director have undertaken further training relevant to their roles with the support of CPSQ. These have included a semester-long course on learning differences, an all-day DEI training (Advancing Racial Justice, IISC), and a 2-day course in management (The Management Center). Currently, Program Team staff are exploring opportunities to attend a retreat for prison educators, hosted by Cerro Coso Community College, as well as to join a cohort of practitioners organized by the Alliance for Higher Education in Prisons aimed at understanding



the broad landscape of higher education in prison and advancing quality standards in the field. Most recently, staff professional development funds for 2019 were pooled in order to fund further work on the staff organizational culture surrounding DEI.

As part of annual performance reviews, all employees are asked to propose next steps and goals for their professional development, which are refined in collaboration with their supervisors. (III.A-19 Annual Performance Review Template) Managers and employees work on and revisit plans for improved performance, including plans for professional development, as part of the annual review process.

### **Analysis and Evaluation**

The College Program meets the standard. CPSQ provides ongoing professional development to its staff members, consistent with its institutional mission.

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

### **Evidence of Meeting the Standard**

Personnel files are kept in a locked file cabinet in PUP's office space outside San Quentin. To maintain confidentiality, only two Operations employees have a key. These practices follow written policy regarding the confidentiality of personnel files, as stated in its Employee Handbook (pp. 21-22):

Personnel files are confidential PUP property.

PUP restricts access to all personnel files. Generally, only PUP supervisors and management personnel who have a legitimate reason may review such files.

Confidential personnel records and information will be provided to outside sources only as required by law. Information provided for employment references is limited to position title and dates of employment. More extensive information may only be released if you first provide written authorization.

Any employee can request their file by contacting the Operations Manager. Employees who wish to view their file on site may sign out their personnel file and, after review, sign it back in. All procedures for requesting a personnel file are described in the Employee Handbook (p. 22):

Current and former employees or their representative may request to review and/or receive copies of the employee's personnel records by making a written request to the

Operations Manager. PUP will make the personnel records available for inspection or provide a copy thereof within thirty (30) calendar days of a written request, unless the parties agree to extend this deadline for up to five (5) additional days. Please contact the Operations Manager for a request form.

Current employees may review or receive a copy of their personnel records at the location where they report to work, or at another mutually agreeable location. Former employees may review or receive a copy of their personnel records at the location where PUP stores the records unless the parties mutually agree in writing to a different location. Former employees may receive a copy of their personnel records by mail if they reimburse PUP for actual postal expenses.

In some cases, you will not have access to certain documents such as letters of reference, records relating to ongoing investigations of a possible criminal offenses, or ratings, reports, or records that (1) were obtained prior to your employment, (2) were prepared by identifiable examination committee members, or (3) were obtained in connection with a promotional exam.

### **Analysis and Evaluation**

The College Program meets the standard. All personnel files are stored confidentially, and employees may access their files by submitting a request to the Operations Manager.

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### **Conclusions on Standard III.A. Human Resources**

CPSQ effectively uses its human resources to achieve its mission and to improve academic quality and institutional effectiveness. The College is privileged to have a pool of highly qualified and dedicated volunteer faculty, and highly qualified paid staff to carry out educational orientation, administrative, and development roles. While CPSQ's current staff and volunteers are sufficient in numbers and qualification to carry out its operations, the organization is currently expanding in order to increase its effectiveness as an independent college.

### **Improvement Plan(s)**

As detailed in the sections above, there are several short term improvements planned in regard to faculty resources:

- Revised trainings and a revised format for the trainings; more mid-semester trainings/workshops;
- Increased focus on recruitment of faculty for diversity;

- Increased support of faculty in non-STEM credit courses, including course observations;
- Formalizing regular consultation on the curriculum with faculty in specific disciplines, in particular in the sciences, through the creation of a Faculty Committee.

Longer term, CPSQ will discuss shifting from a volunteer faculty model to compensating its instructors.

In regard to other human resources, the program is currently working to:

- Expand its staff to right size, to be able to run the college independently, including to address continuous improvement needs and regulatory requirements.
- Expand its staff in order to advocate and plan for the introduction of further technology in the instructional program and learning support services.
- Develop further professional development opportunities for staff, including professional development related to organizational culture and diversity, equity, and inclusion.

## **Evidence List**

III.A-1 Operations, development, communications staff CVs  
 III.A-2 Program Team CVs  
 III.A-3 Academic Team CVs  
 III.A-4 2016-2019 CPSQ Instructors with credentials  
 III.A-5 Sharyl McGrew CV  
 III.A-6 Allison Lopez CV  
 III.A-7 COO Call for Applications and Job Description  
 III.A-8 Director of Student Affairs Call for Applications and Job Description  
 III.A-9 Call for Volunteers on website  
 III.A-10 Triannual survey email  
 III.A-11 Spring 2019 Faculty Demographics  
 III.A-12 DEI Recruitment Posting and Tracking  
 III.A-13 Academic Program Director Job Description  
 III.A-14 Math Program Coordinator Job Description  
 III.A-15 CPWPC Job Description  
 III.A-16 CPSQ History  
 III.A-17 Core Team IV Meeting  
 III.A-18 Employee Handbook  
 III.A-19 Annual Performance Review Template  
 III.A-20 Performance Review Instructions  
 III.A-21 Preparing Feedback Worksheet  
 III.A-22 Course observation protocol  
 III.A-23 Sample triannual volunteer survey email

III.A-24 Spring 2019 Volunteer Faculty Responses, Graphs and Charts  
III.A-25 Neil Terpkosh CV  
III.A-26 2014 External Review  
III.A-27 Faculty training materials  
III.A-28 Learning Specialist Job Description  
III.A-29 Daily Debrief Sample  
III.A-30 Sample invitations to faculty  
III.A-31 Faculty Committee Draft Charge  
III.A-32 NILOA Assignment Charrette  
III.A-33 Melanie Booth CV  
III.A-34 Erick Montenegro CV  
III.A-35 Statement of authorization from CDCR  
III.A-36 Core Team members  
III.A-37 2019 PUP Core Team Meeting Materials  
III.A-38 Executive Team CVs  
III.A-39 Reed Goertler CV  
III.A-40 Director of Student Affairs Job Description  
III.A-41 DEI Projects - Program Team

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## **B. Physical Resources**

III.B.1

The institution assures safe and sufficient physical resources at all locations where it offers courses, programs, and learning support services. They are constructed and maintained to assure access, safety, security, and a healthful learning and working environment.

### **Evidence of Meeting the Standard**

The College Program's academic offerings are provided on the grounds of San Quentin State Prison, a state-run facility constructed and maintained under the direction of the California Department of Corrections and Rehabilitation (CDCR). Inside the prison, CPSQ staff and faculty hold courses in 6 classrooms, supervise study hall in an open building (previously the prison laundry), and administer the program and advise students using one large and one small office space. While study hall is available throughout the week, classroom spaces are available to the College Program only during thirteen 3-hour time slots.

CDCR and the administration of San Quentin State Prison are responsible for assuring access, safety, security, and a healthful learning and working environment for all people at San

Quentin, including in the buildings, classrooms, and office spaces where the College Program offers courses, programs, and learning support services.

The staff of CPSQ play a key role, as partners with correctional staff, in ensuring students' physical access to courses, programs, and learning support services. Over many years, CPSQ has developed processes and working agreements with correctional staff at San Quentin, in order to facilitate student access to classes and study hall in a variety of circumstances.

- College Program staff proactively address disruptions to student class attendance or program engagements (e.g., delays at count gates, mistakes in institutional documentation that slow student movement, unsupportive staff) by maintaining lines of communication with prison administrators and custody staff, and alerting authorities to recurring problems.
- If a subgroup of students repeatedly encounters disruptions to class attendance or other program engagement, College Program staff proactively address the issue with prison administrators and seek to propose solutions. To take a recent example, students housed in West Block frequently arrived at evening classes late, due to their later dinner hours relative to students in other housing units. College Program staff communicated with authorities at San Quentin and succeeded in obtaining permission for students in West Block to eat dinner with an earlier group, allowing them to arrive on time.
- Whenever possible, College Program staff seek institutional permission for students to continue to attend classes during security related lockdowns.
- If an individual student or a group of students cannot attend class, due to housing unit lockdowns, quarantines, or segregation for protection or disciplinary reasons, College Program staff work with prison staff to provide students with class assignments, readings, and other course materials. (Although staff make an effort to support such students, CPSQ counts these prison-related interruptions as absences, and enforces minimum contact hours required by the Carnegie unit.)
- CPSQ employs a system of couriers to communicate with students. Couriers facilitate communication from instructors to their enrolled students, as well as from staff to the general student body, without relying on institutional mail.
- Members of the Program Team, the Executive Director, and frequently faculty and other volunteers, write letters of support for students applying for early release on request.
- The Director of Student Affairs supports students in submitting course credits and degrees to the institution to earn "Milestone credits" that count toward early release.
- The Student Affairs Division of the Academic Program provides support to any person incarcerated in the mainline population of a prison under the jurisdiction of the CDCR who wishes to transfer to San Quentin in order to enroll in the College Program. This support includes replying to all letters of interest and actively supporting prospective students' requests for transfer, via written letters of support as well as by directly

contacting appropriate prison staff and administrators at the given correctional institutions.

- The College Program maintains an understanding with San Quentin and CDCR that it will make every effort to avoid transferring students to other institutions while they are completing their degree. Program staff and prison administrators maintain a “Do Not Transfer” list, and communicate regularly regarding potential transfers of students. (III.B-1 Do Not Transfer letter)

In addition to these regular practices of the College Program, staff consider advocacy on behalf of students a key part of their role. In the event that safety or security of students, staff, and faculty, or the healthfulness or overall comfort of the learning environment is threatened due to physical infrastructure problems (e.g., a broken lock, damaged furniture, burnt out lightbulbs, defective HVAC, etc.), CSPQ staff communicate with the relevant authorities to restore safety.

### **Analysis and Evaluation**

The College Program meets the standard. College Program staff work to ensure safe and reliable access to programs through devising procedures and maintaining lines of communication with custody staff, administrators at San Quentin, and authorities at CDCR.

III.B.2

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

### **Evidence of Meeting the Standard**

The College Program’s academic offerings are provided on the grounds of San Quentin State Prison, a state-run facility. The Program does not plan, acquire or build, maintain, or upgrade the buildings or facilities used in delivering its academic offerings. However, CPSQ does maintain, upgrade, and replace its external office equipment, as well as academic materials needed in the course of its instructional programs (e.g., lab science materials) in a manner that preserves usefulness and continuing quality. The maintenance of external office equipment and facilities is primarily the charge of the Operations Team at CPSQ, with significant responsibility falling on the Office Manager. (III.B-2 Operations Manager Job Description, III.B-3 Office Manager Job Description)

### **Analysis and Evaluation**

The College Program meets the standard.

III.B.3

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

### **Evidence of Meeting the Standard**

CPSQ's programs and services are provided on the grounds of San Quentin State Prison, a state-run facility. The Program is not responsible for the maintenance of buildings or facilities used in delivering its academic offerings, and therefore does not have access to all relevant data regarding the utilization of its facilities and equipment. However, College Program staff maintain regular contact with custody staff, prison administrators, and authorities at CDCR, and strive to provide all relevant information needed to assure the feasibility and effectiveness of physical resources to support the College Program's offerings.

### **Analysis and Evaluation**

The College Program meets the standard, in that its staff fully cooperate in the efforts of state actors to evaluate usage of facilities and equipment in order to assure support of College Program offerings.

III.B.4

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

### **Evidence of Meeting the Standard**

In the case of new equipment purchased for PUP's external office, the total cost of ownership is included in budget projections, as is the cost of general maintenance and upkeep. PUP has rented the same office space, located a few minutes away from San Quentin, since 2007. PUP recently engaged additional space in the same building in order to accommodate additional paid staff positions. The organization's ongoing capital campaign will solicit funds for the upkeep of additional office space, in addition to the cost of renting that space. In taking on capital expenses, such as copy equipment, PUP also takes into account depreciation and the cost of ownership. (III.B-4 Growth Budget)

### **Analysis and Evaluation**

The College Program meets the standard.

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### **Conclusions on Standard III.B. Physical Resources**

The physical teaching spaces for CPSQ are within the purview of San Quentin. Despite various obstacles associated with its physical location, the program has organized a strategic set of responses and processes to ensure that the physical resources are sufficient and well-attended to through relationships and partnerships with the administration of San Quentin. As PUP expands its paid staff, additional office space will be rented, likely in its current building. The cost of renting and upkeep for new spaces is included in its current growth budget.

#### **Improvement Plan(s)**

The Prison University Project will engage additional office space, preferably in its current location, to accommodate its growing staff.

#### **Evidence List**

III.B-1 Do Not Transfer Letter  
III.B-2 Operations Manager Job Description  
III.B-3 Office Manager Job Description  
III.B-4 Growth Budget

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### **C. Technology Resources**

III.C.1

Technology services, professional support, facilities, hardware, and software are appropriate and adequate to support the institution's management and operational functions, academic programs, teaching and learning, and support services.

#### **Evidence of Meeting the Standard**

**CPSQ's academic programs, teaching and learning, and support services inside San Quentin:** Currently, CPSQ's academic offerings rely minimally on technology and technology systems. Teaching is conducted using white boards and markers, and/or printed handouts. Readings and other course materials are distributed entirely in hard copy. In some classes, instructors show films using a TV/DVD player maintained by the San Quentin State Prison Education Department, which is made available for College Program use.



The lack of computing technology in CPSQ's academic offerings is due primarily to longstanding limitations on its use by incarcerated people, particularly in non-employment contexts. The character of these limitations vary; some result from statewide regulations, while others result from local rules or customs at San Quentin. These rules and customs also vary widely across contexts: an incarcerated person's access to computing technology may vary depending on their job description, or on the physical location inside the prison where their use of technology would take place. (Title 15 § 3006, § 3041.3) In some cases, students have had access to typewriters for their assignments, or to hand-held Neo word processors similar to calculators, which consist of a keyboard and simple screen. In recent years, the California Department of Corrections and Rehabilitation (CDCR) has partnered with outside vendors to offer additional technology for purchase by incarcerated people, such as specially altered tablets. These tablets can store e-books, movies, and music, but lack word processing functionality.

Very recently, organizations operating under San Quentin's Prison Industrial Authority, such as the coding school and digital service provider The Last Mile, have partnered with custody staff and prison administrators to securely introduce computing technology. Introducing more robust computer technology into CPSQ's offerings, while not impossible, will require thoughtful planning and coordination with correctional authorities, in order to address deeply-ingrained concerns about security risks.

Due primarily to the liberal arts focus of its instructional programs and the success of STEM faculty members and Program Team staff in finding innovative alternatives to the use of computing technology, CPSQ has adapted its academic programs and support services to this reality. (III.C-1 CPSQ History, pp. 6-7.) However, CPSQ staff, faculty, and students recognize that technological and computer literacy is a vital component of higher education, and critically important for the 21st century job market and for effectively addressing students' learning differences. (2019 Student Survey, technology comments)

**CPSQ's management and operations functions inside San Quentin:** Inside San Quentin, College Program staff share office space with the San Quentin State Prison Education Department. CPSQ's Program Clerks have access to computers without a LAN connection. Other Program Team staff have access to one computer with limited internet access. All members of the Program Team have access to the office copier.

**PUP / CPSQ's management and operations functions at its Francisco Blvd East office:** At its external office, located only a few minutes from San Quentin, staff have access to appropriate and adequate technology services, support, hardware, and software. These are assessed for their appropriateness to the operational functions and management of the organization by members of the Operations team. Copy facilities, staff computers, and operational and data management software are maintained consistently by the Office Manager, under the supervision of the Operations Manager. (III.C-2 Operations Manager Job Description, III.C-3 Office Manager Job Description)

Decisions about whether to adopt technology or services that have implications for the entire organization may be elevated to the Executive Team for final approval, and may involve other staff beyond the Operations Team. For decisions requiring expertise outside of the current CPSQ team, leadership may elect to hire a consultant to work closely with its own staff on a vetting process. For a recent example, see Standard II.C.8, above.

### **Analysis and Evaluation**

The College Program's technology services, professional support, facilities, hardware, and software are largely appropriate and adequate to support its management and operational functions. While the College Program has found alternatives to the use of technology in delivering its academic offerings and support services, its leadership and students recognize this as an area for improvement, for a number of reasons. First, facility with computing technology is generally a key skill gained in pursuing a higher education, particularly in preparing for later employment. Second, acquiring academic skills without relying on common technology used in other contexts limits the transferability of those skills: to take one example, composition on paper is a very different process from composition using word processing software. Third, the availability of learning assistive technologies is often helpful, and sometimes critical, to student success. CPSQ therefore resolves to work with its partners at CDCR and San Quentin State Prison in order to expand access to technology for its students while addressing security concerns.

III.C.2

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

### **Evidence of Meeting the Standard**

In addition to its shared office space within San Quentin State Prison, which contains very limited technological infrastructure, PUP / CPSQ maintains an external office a few minutes away from the prison. Operations staff keep a detailed inventory of the equipment, software, and other technology in use by the office staff outside San Quentin. (III.C-4 PUP Inventory Systems and Technology) Operations staff track when technology resources are obsolete or in need of replacement using the inventory. All technology resources are updated as needed, in order to ensure adequacy for achieving the mission. (Sample Budget with tech purchases) This is a central function of the Operations Team at CPSQ. (III.C-2 Operations Manager Job Description, III.C-3 Office Manager Job Description)

### **Analysis and Evaluation**

The College Program meets the standard. Technology is updated and replaced as needed, in order to ensure its adequacy for program administration.

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

### **Evidence of Meeting the Standard**

The College Program's academic offerings are provided on the grounds of San Quentin State Prison, a facility under the California Department of Corrections and Rehabilitation (CDCR). Incarcerated people in CDCR institutions have extremely limited access to technology. To the extent that technology resources are available to College Program students, they are largely offered through prison-approved vendors. CPSQ students may purchase adapted tablets, which can store books, music, and games, but which lack word processing functions. Students can also purchase Neo word processors, which have limited functionality in comparison with computer-based word processing.

Given restrictions in its environment, CPSQ's academic offerings to date have relied only minimally on technology. CDCR and San Quentin State Prison have primary responsibility for assuring that technology resources currently available to students inside are implemented and maintained to assure reliable access, safety, and security. (See III.C.1 above for the technology currently made available to students inside San Quentin.) In the future, however, CPSQ has plans to expand students' access to technology, in partnership with custody staff and prison administrators at San Quentin, as well as the leadership of CDCR. As these plans develop, PUP / CPSQ will address the implementation and maintenance of its technology resources in order to assure reliable access, safety and security.

### **Analysis and Evaluation**

The College Program meets the standard. Currently, its academic offerings rely minimally on technology resources. For the few such resources used by its students, its partners at CDCR and San Quentin State Prison have primary responsibility for assuring that technology resources are implemented and maintained to assure reliable access, safety, and security. However, the College Program's plans for expansion of technology resources will address their maintenance in order to assure reliable access, safety and security.

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

### **Evidence of Meeting the Standard**

PUP / CPSQ staff are offered training in the management and operational technology specific to their role, through their department. In the case of technologies used widely across the organization, Operations provides some training as well as guides for the use of that technology. (III.C-5 PUP Salesforce Guide)

Currently, CPSQ's academic offerings rely minimally on technology and technology systems. This is due to significant restrictions on technology allowed to its students, often codified in state regulations. However, CPSQ recognizes that technological and computer literacy is a vital component of higher education, and critically important for the 21st century job market. Staff consider this an area for improvement, and are soliciting funding to hire a consultant to lead its efforts in this area.

### **Analysis and Evaluation**

To the extent applicable, PUP / CPSQ meets the standard. Staff are provided with appropriate instruction and support in the use of technology.

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

### **Evidence of Meeting the Standard**

The use of technology in the teaching and learning processes at CPSQ is very limited, due both to codified restrictions and to the high opportunity cost of clearing technology through the correctional institution. To date, CPSQ has not required policies and procedures to govern its use.

### **Analysis and Evaluation**

Not applicable.

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### **Conclusions on Standard III.C. Technology Resources**

To the extent that CPQ relies on technology and related services in its operations and management functions, these are appropriate and regularly updated. However, CPSQ's use of technology in its academic offerings is limited, due to restrictions peculiar to its context. In the longer term, CPSQ has plans to partner with CDCR in order to expand technology use in its

academic offerings. This is key to the mission of the college. As is widely recognized among contemporary practitioners of secondary and post-secondary education, facility with technology is a key skill that students gain from higher education. The lack of technology threatens the transferability of many of the academic skills that students learn at CPSQ. Furthermore, the availability of learning assistive technologies is often helpful, and sometimes critical, to student success.

### **Improvement Plan(s)**

CPSQ currently has the following improvement plans:

- Obtaining security clearance for technology to allow students direct or indirect access to recently acquired library resources, including JSTOR's offline index and the Marin County Free Library catalog (see Standard II.B.1 above)
- Hiring Dan Wheeler, Director of Engineering at The Last Mile (a computer coding program for incarcerated adults created at San Quentin), as a consultant to spearhead negotiations to build a CPSQ computer lab
- Developing a technology plan that identifies the logistical, material, and human resources required for the introduction of a student computer lab, including staffing, space, infrastructure, regulatory and other CDCR considerations
- Gathering input from students and instructors about the programs and services that will best meet our students' needs, and begin to build out our technology curriculum

### **Evidence List**

III.C-1 CPSQ History  
III.C-2 Operations Manager Job Description  
III.C-3 Office Manager Job Description  
III.C-4 PUP Inventory Systems and Technology  
III.C-5 PUP Salesforce Guide

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## **D. Financial Resources**

### **➤ Planning**

III.D.1

Financial resources are sufficient to support and sustain student learning programs and services and improve institutional effectiveness. The distribution of resources supports the development, maintenance,

allocation and reallocation, and enhancement of programs and services. The institution plans and manages its financial affairs with integrity and in a manner that ensures financial stability. (ER 18)

### **Evidence of Meeting the Standard**

Financial resources for the College Program at San Quentin (CPSQ) are provided entirely by foundation grants and individual charitable giving. CPSQ does not rely on public funding, nor does it charge its students any tuition or fees. (See Standard I.A.3, above, for more on the relation of this funding model to the mission.)

Using this funding model, CPSQ has offered the AA degree program in General Studies and its College Preparatory program without interruption for approximately two decades. Notably, CPSQ's need for financial resources is limited as compared to more typical institutions of higher learning. Classroom teaching, tutoring, research assistance, and study hall monitoring are provided by qualified volunteer instructors, research assistants, and tutors. (See III.A.1, above.) Physical teaching facilities as well as student board, care, and housing are provided by the correctional institution. The organization's financial resources are therefore primarily used to maintain professional staff to develop and coordinate the instructional program, learning support services, and co-curricular activities. (III.D-1 2018 Budget; III.D-2 2019 Budget)

CPSQ has demonstrated a substantial and growing ability to attract donated financial support. This is in part due to its highly experienced development staff (III.D-3 Development staff CV's), as well as its ongoing stewardship of donor relationships. It has been the recent recipient of large multi-year grants from highly-esteemed donor institutions such as the California Endowment, the Andrew W. Mellon Foundation, the Ford Foundation, Ascendium Education Group, and the James Irvine Foundation. (III.D-4 List of donor institutions) Individual giving has also grown, with both a large and expanding roster of current donors, and a regular increase in the size of the average donor gift. Donor retention has increased from year to year since 2016. (III.D-5 Graphics on trends of individual giving)

Financial planning takes into account reasonable expectations regarding fundraising, as well as ongoing operational needs and desired initiatives. As much as possible, the organization seeks multi-year grants and pledges that provide good visibility into future year capabilities, to better assure solvency. To continue growing the individual annual giving base, CPSQ continues to invest in expanding its development expertise and resources. The notable success of the organization's individual giving efforts at all donor levels over the recent years demonstrates that this investment has been worthwhile. (III.D-5 Graphics on trends of individual giving)

The organization is in the midst of a major fundraising campaign to pre-fund several years of operating and expansion expenses. This campaign has already generated \$5 million during its "quiet phase", with a total campaign goal of \$15-20 million. These funds will support the organization's various growth and improvement initiatives, including new costs associated

with maintaining an independently accredited institution. These funds will also assure the organization's solvency over the near-term future, in order to allow it to transition away from a model of funding year to year and to explore raising an endowment.

The annual institutional budget created by the Executive Team determines the distribution of resources. The Executive Team is composed of the Executive Director, Academic Program Director, Director of Development and Communications, and Chief Operating Officer. Having senior staff from across the organization involved at the first stage of the budgeting process ensures that perspectives from all administrative segments of the organization are represented. The academic program budget is prepared for inclusion in the organizational budget by the Academic Program Director, in consultation with other Program Team staff. The Board's Finance Committee reviews and approves budget proposals finalized by staff, and presents the annual budget to the full Board for review and approval. (III.D-6 2019 Finance Committee Notes)

Investment of temporarily-surplus funds are made under the direction of the Finance Committee with top priority placed on the protection of principal balances. More growth-oriented investment policies will be developed and implemented as the institution begins to receive longer-term investment funds.

In addition to private funding, CPSQ has earned some additional revenue through its technical assistance program, which provides training, advising and logistical support to emerging prison higher education programs. (III.D-7 PUP TA program page) The Executive Director, in collaboration with other CPSQ staff, has for many years engaged in direct consultation, sharing program materials and practices, hosting site visits, presenting at conferences, facilitating trainings at other colleges, and hosting state-wide trainings for practitioners from across California and the U.S. In some instances, these provided fee-for-service revenue streams for the College Program.

In its early years, CPSQ was run almost entirely by volunteers, serving in both administrative and instructional roles. In the years since, CPSQ has continued to rely on the service of volunteer instructors. However, the leadership of CPSQ recognizes that this model has drawbacks for students, due to the transience of volunteer instructional staff and limitations on the time they have available for volunteer work. CPSQ values the volunteer model, particularly its spirit of innovation and civic mindedness. Nonetheless, in the longer term, the institution's leadership intends to discuss the viability of transitioning to compensating its instructors.

### **Analysis and Evaluation**

The College Program meets the standard. Over its more than two decades of operation, CPSQ has continuously attracted private donations sufficient to support the program from both individual donors and foundations. The annual budget is developed with careful consideration of institutional priorities with emphasis on supporting student learning programs and services. Oversight of the financial planning and reporting processes include the Board of Directors, licensed accountants, a newly hired Chief Operating Officer, and an annual independent audit.



For CPSQ, reliance solely on private funding has proved an enduring source of financial stability. The political atmosphere at the founding of CPSQ provides a vivid illustration of the link between financial instability and public funding: a few years before the founding of CPSQ, there were approximately 350 prison higher education programs in the United States. However, in 1994, Congress passed the Violent Crime Control and Law Enforcement Act, which barred incarcerated people from receiving Pell Grants. This effectively ended higher education in prison in the U.S.; virtually all such programs shut down for lack of funds.

More recent examples confirm the instability of public funding for prison higher education. In 2011, the state of Indiana, one of the few states that had continued to fund college programs in its prisons after federal Pell dollars were removed, abruptly cut state funding for most prison higher education programs. Indiana's Department of Correction canceled contracts with the six colleges then operating in its prisons, including Indiana University, Ball State, and Grace Colleges.

Funding from private philanthropies, as opposed to public funding, also tends to be more flexible, and largely immune from political pressures that might limit types of classes, degrees, or certificates offered, and/or admissions policy and practice. Examples of the latter type of limitation include acceptance based on commitment offense, length of sentence, and time left to serve, all factors that do not play a role in CPSQ's admission of students.

While California has recently made state apportionment funding available to community colleges offering classes in correctional facilities, as an independent institution, CPSQ is not eligible for such funding. The historical instability and political vulnerability of public funding strongly informs CPSQ's perspective on the use of federal funds, including the possible reinstatement of Pell grant funding. If public funding became available to CPSQ, the organization's primary concern would be safeguarding academic integrity of programs, as well as the commitment to equal access for all students, regardless of their eligibility for the given form of support. The costs of administering such funds would also be a significant consideration.

### III.D.2

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

## Evidence of Meeting the Standard



The sole purpose of financial planning in the institution is to support and enable the achievement of its mission and goals. As a volunteer-dependent organization, the College Program has thrived only because it pursues a mission and goals that inspire a dedicated cohort of supporters.

At CPSQ, financial planning supports institutional planning, which is itself oriented toward mission fulfillment. The Executive Team, consisting of the Executive Director, Academic Program Director, Development and Communications Director, and Chief Operating Officer, carries out both institutional and financial planning. The Team meets on a weekly basis; its function is to guide the organization toward achieving its priorities, to ensure effective decision-making and resource allocation across the organization, and to provide a forum for the Executive Director to seek input and discussion in making key decisions. The Executive Team seeks to bring staff perspectives from all parts of the institution to bear on institutional planning.

Until recently, CPSQ was reliant on the services of an external financial consultant to carry out its financial planning, and to advise both staff and the Board in the framing of financial policies and practices. With the addition of the Chief Operations Officer in Summer 2019, CPSQ has strengthened its internal expertise in financial planning and the framing of sound financial policies and practices. (III.D-8 Reed CV)

The soundness and stability of financial practices are ensured partially through the oversight of the Board of Directors. The Board's Finance Committee meets monthly to review the year-to-date financial reports, with the participation of staff in Development and Operations. (III.D-9 2019 Finance Committee Notes; III.D-10 Finance Committee Charge) The Board of Directors reviews financial results and forecasts quarterly to ensure they are aligned with institutional planning and support financial sustainability. (III.D-11 June 2019 Board Meeting packet, pp. 18-20) The organization's external accountant and auditor provide additional layers of review and accountability. The organization's audited financial reports and tax returns are available for public review. (III.D-12 Sample audit report)

CPSQ's financial practices are highly transparent. Financial information, including current fundraising totals, grants in progress, and short- and long-term budgets, are shared openly among leadership and, in most cases, with the staff as a whole. The development of the academic program budget provides an excellent example: the Academic Program Director shares her proposed budget with her entire team before submitting it to the Executive Team. In Spring 2019, a link to the program budget was added to the background materials for all Program Team agendas, to encourage suggestions for additions to the upcoming budget at any point in budget development. (III.D-13 19-05-01 Program Agenda; III.D-14 Sample Monthly Program Budget) Furthermore, salaries are equitably distributed; a priority task for the organization's new COO is a more formal salary benchmarking project, as well as establishing payscale standards for new positions as the organization expands. Major financial decisions are made openly with input from the Board of Directors as well as staff. (III.D-15 Board Packet March 2019, pg. X) Special financial reports are provided to the faculty who volunteer with the

College Program, and external financial materials are shared openly. (III.D-16 Sample Staff Meeting Agenda, Notes, Development Report; III.D-17 Volunteer Financial Report)

### **Analysis and Evaluation**

The College Program meets the standard. CPSQ engages in both short-term and long-term financial planning. Annual and multi-year budgets are developed to align with the organization's mission, goals, and program objectives. The oversight of financial practices at multiple levels throughout the organization as well as third-party agents ensures financial accountability and stability. Regular full board and committee meetings are designed to disseminate information and make sure financial resources are properly allocated according to institutional priorities.

III.D.3

The institution clearly defines and follows its guidelines and processes for financial planning and budget development, with all constituencies having appropriate opportunities to participate in the development of institutional plans and budgets.

### **Evidence of Meeting the Standard**

Institutional planning is a process shared by the Board, staff, and to some extent faculty, with regular input from funders and from external experts in the field. (III.D-6 2019 Finance Committee Notes, pg. 7)

The college-wide annual budgeting process follows operational planning and begins three months prior to fiscal year-end for the following fiscal year. Each year's budget is developed by the Executive Team (see Standard III.D.2 above), using past budgets as a guide. Each key department reviews its existing costs and accomplishments, and then proposes an upcoming budget that reflects the addition of any new objectives. The Board's Finance Committee reviews and approves proposed budgets and presents final budgets to the full Board for approval. (III.D-6 2019 Finance Committee Notes; III.D-10 Finance Committee Charge)

Currently, faculty and students have direct access to multiple academic staff who administer the College Program (the "Program Team"), including the Academic Program Director. Program Team staff strive to maintain open communication with and take suggestions from both groups, including suggestions with implications for the academic program budget. The Academic Program Director prepares the budget for academic programs partly by soliciting feedback from all Program Team members on needed items. In Spring 2019, a link to the program budget was added to the background materials for all Program Team agendas, to facilitate Program Team feedback at any point in the process of budget development. (III.D-13 19-05-01 Program Agenda) In the future, the Board's Finance Committee, in collaboration with

the Board's Academic Affairs Committee, will play a more active role in ensuring an appropriate level of participation of non-staff constituencies in the budgeting process.

### **Analysis and Evaluation**

The College Program meets the standard. Annual budgets are developed with input from all relevant departments and go through multiple reviews by the leadership team, the board's Finance Committee and the full Board. The Board formally approves the annual budget and any subsequent significant changes and deviations.

#### **➤ Fiscal Responsibility and Stability**

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

### **Evidence of Meeting the Standard**

The College Program at San Quentin continually assesses its expenses as well as financial resource availability to inform institutional planning and ensure stability. CPSQ's Development department reviews and evaluates recent foundation support, trends of individual giving, and grant proposals outstanding. (III.D-18 July 2019 Development Report) Fundraising budgets are projected based on recent results, analysis of the large and growing donor base, and assessment of the funding landscape. (III.D-19 Budget Projection) Results are regularly reviewed in comparison with initial expectations, and differences are evaluated, resulting in possible modifications to plans and budgets. Where necessary, spending levels are adjusted to meet updated funding projections.

### **Analysis and Evaluation**

The College Program meets the standard. Continuous and accurate assessment of the academic program and support needs as well as active fundraising and partnership development are the foundations of institutional planning. The Board approves the annual operational plan and budget based on its assessment of the available financial resources. The Finance Committee reviews revenue projections monthly and recommends changes to spending plans as appropriate. The Board also engages in long term operational and financial planning to ensure the organization's financial sustainability.

III.D.5 To assure the financial integrity of the institution and responsible use of its financial resources, the internal control structure has appropriate control mechanisms and widely disseminates dependable and timely

information for sound financial decision making. The institution regularly evaluates its financial management practices and uses the results to improve internal control systems.

### **Evidence of Meeting the Standard**

The organization has implemented standard internal controls for an organization of its size. Importantly, it utilizes third-party CPA's to maintain its books of record, reconcile these books with all external account records (such as banks and investment accounts), review all major gift and grant documentation, and prepare monthly reports based on full-accrual closes. (III.D-15 Board Packet March 2019, p. 4)

Transactional matters such as receipts and disbursements are handled by internal finance staff, with duties segregated as much as possible. (III.D-20 PUP Accounting Procedures and Internal Controls) To reduce the possibility of diversion, checks received (primarily donations) are logged and electronically deposited immediately upon receipt. Check stock is closely controlled and only two staff members have signing authorization. Very few members of the staff hold agency purchasing cards, and internal approval for all card spending is reconciled against bank statements monthly by the third-party accountants.

Timely information for sound financial decision making is prepared and reviewed monthly by the Finance Committee as described in Standard III.D.6. (III.D-6 2019 Finance Committee Notes) Going forward, the new COO will have primary responsibility for the evaluation and improvement of internal control systems.

### **Analysis and Evaluation**

The College Program meets the standard. It's financial policies and processes are reviewed and evaluated on an ongoing basis by the financial staff, the leadership team, and third-party accountants and auditors. Annual audits conducted by an independent audit firm since 2013 have never found any material weakness or significant deficiency in the organization's financial reporting or internal control. The organization's financial management practices have been evolving as circumstances change and the institution's budget grows. To maintain donor confidence and the ability to meet its obligations, internal control and accurate reporting is a top priority in the ongoing evolution of the organization's financial systems.

III.D.6

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

### **Evidence of Meeting the Standard**

Financial reports are provided monthly by the institution's third-party accountants, reflecting current reconciliation of the organization's ledgers with all external account records, full and timely application of GAAP, monthly release of restricted funds, and updated allocation of shared costs.

From these reports, an analysis of results as compared to budget and a forward projection of results for the remainder of the year is prepared by finance staff and presented to the Finance Committee for their review and discussion. (III.D-9 2019 Finance Committee Notes) Operating variances to the budget are reviewed and explained, and when operational circumstances have changed, modifications to the budget are considered and approved by the Board of Directors.

### **Analysis and Evaluation**

The College Program meets this standard. Financial reports are prepared monthly by third-party accountants and reviewed by finance staff the Board's Finance Committee. The Committee ensures that the use of financial resources is aligned with the organization's operating plan and reflects an appropriate allocation of resources to support student learning programs and services.

Going forward, the organization's COO will compare internally reported interim financial results to final audited external results and review any differences to assess the accuracy and validity of the reporting and projecting process.

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

### **Evidence of Meeting the Standard**

The institution has had no external audit findings since 2013. All recommendations received from auditors in the course of their annual reviews are conveyed to the Finance Committee and Board, discussed with finance staff and third-party accountants, and implemented or responded to as the institution feels appropriate.

### **Analysis and Evaluation**

The College Program meets the standard. The institution has not had significant deficiencies or material weaknesses in its annual audit by third party auditors. Helpful policy or process recommendations from auditors are reported to the Executive Team and the Board at the conclusion of each audit and implemented as soon as applicable.

III.D.8

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

### **Evidence of Meeting the Standard**

Financial and internal control systems are evaluated on an ongoing basis by management and the third-party accountants, and are reviewed annually in the course of the independent audit. (III.D-12 Sample audit report) Significant changes to control processes are reviewed by the Finance Committee prior to implementation. Going forward, the new COO will have primary responsibility for the evaluation and improvement of financial and internal control systems.

### **Analysis and Evaluation**

The College Program meets the standard. Financial and internal control systems are evaluated regularly for validity and effectiveness by management, third-party accountants and independent auditors. Recommendations for improvements are adopted when appropriate.

III.D.9

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

### **Evidence of Meeting the Standard**

The institution has been funded to-date primarily with current resources, i.e. costs for current year operations are predominantly paid for with funds raised during the current year. A subset of income is provided pursuant to multi-year grants, which are remitted either upfront or in installments throughout the relevant time period, and which provide longer-term cash flow reliability.

In September 2018, the Board created and adopted an operating reserve policy in order to maintain cash flow and financial flexibility. (III.D-21 September 2018 Board Meeting Minutes and Packet) The policy governs the management, withdrawal procedures, appropriate use of reserve funds, and expeditious replenishment of the operating reserve. Surpluses over the past three years have enabled CPSQ to build up its net assets and establish an operating cash reserve equal to over three months of current expenses.

Standard risk management (property, casualty, and personal liability) is managed through an appropriate portfolio of third-party insurance policies, and premiums for this portfolio are paid currently. Operational risk (such as changes in the legal or Corrections institution environment)



is difficult to assess and insure, and is primarily managed through maintaining operating reserves and being prepared to make operating adjustments in response to environmental changes. The institution also maintains a modest line of credit with Community Vision, a nonprofit organization providing financial investment and support for mission-based organizations in California, in case of cash shortages.

The organization is in the midst of a major fundraising campaign to support its growth and operations over the next four years. This campaign has already generated \$5 million during its “quiet phase”, with a total campaign goal of \$15-20 million. These funds will be used to support the organization’s various growth and improvement initiatives, including the costs of maintaining the independently accredited institution. Some portion of these funds will also be set aside to meet financial emergencies and unforeseen occurrences.

This campaign marks the start of CPSQ’s transition to a model of securing funding for multiple years, and exploring establishing an endowment. As part of transitioning to this model, CPSQ has plans to grow its development capacity by hiring a development operations manager in 2019, hiring an individual philanthropy officer in 2022, and continuing to develop the fundraising capabilities of the Board of Directors. (III.D-22 Schedule of hires) While the Board of Directors is not a fundraising Board, it has carried out a series of development activities to increase its capacity to fundraise, both internally and in partnership with Building Blox Consulting. On June 2, 2018, Building Blox Consulting carried out a Fundraising Success and Ambassador Training with the CPSQ Board of Directors and staff. (III.D-23 Building Blox Presentation) On an annual basis, the Board’s Fund Development Committee circulates an Annual Board Member Fundraising Plan to all Directors. Each member works in partnership to achieve individual and group fundraising goals. (III.D-24 Annual Board Member Fundraising Plan)

### **Analysis and Evaluation**

The College Program meets the standard. The organization is growing its donor base and securing larger grants and donations to enhance its long-term financial sustainability. Spending levels are regularly monitored by management and the Board to ensure they do not exceed available resources. Standard commercial property, casualty, and liability insurance is in place to cover unexpected loss and emergencies. The organization’s current fundraising campaign aims pre-fund several years of operating and expansion expenses. Having such funds in hand will further assure the institution’s solvency over the near-and longer-term future.

III.D.10

The institution practices effective oversight of finances, including management of financial aid, grants, externally funded programs, contractual relationships, auxiliary organizations or foundations, and institutional investments and assets.

## Evidence of Meeting the Standard

Oversight of finances is accomplished through multiple processes. Grants and externally funded programs are primarily managed by the grant reporting process, in which the Development department, in conjunction with members of the Program Team (the staff charged with directly administering academic programs), provide periodic reports of program accomplishments and grant spending to funders. Where results or use of funds are not in alignment with both the funder's and the institution's intentions, these digressions are discussed with the Executive Director and when necessary, the Board of Directors, and corrective action is taken.

Contractual relationships are managed primarily through the budget process, where anticipated spending is included in the Board-approved budget and significant variances are identified and reviewed by the Executive Team and the Board's Finance Committee.

Auxiliary organizations currently consist of two projects that are fiscally sponsored by the organization. One is the Academic Peer Education Project (APEP) at San Quentin State Prison, which provides teacher training to Associate's degree holders, who in turn teach literacy and math classes to students preparing for the GED. (III.D-25 APEP website screenshot) The College Program also provides fiscal sponsorship to Bonafide, a re-entry organization that picks up individuals released from San Quentin, provides basic necessities upon release, and offers peer support in adjusting to life in the community, including practice in common life skills. (III.D-26 Bonafide website screen shot) All receipts and spending for these projects is accounted for in separate accounts, and full financial statements for these accounts are provided to the projects monthly. These sponsored projects and the reporting thereon are included in the annual audit review.

Investment of temporarily-surplus funds are made under the direction of the Finance Committee with top priority placed on the protection of principal balances.

## Analysis and Evaluation

The College Program meets the standard. CPSQ's financial results and commitments, including to auxiliary organizations, are reviewed monthly by the Finance Committee and quarterly by the full Board. The Board is responsible for oversight of all operational spending, investments, and grant allocations. More growth-oriented investment policies will be developed and implemented as the institution begins to receive longer-term investment funds.

### ➤ Liabilities

III.D.11

The level of financial resources provides a reasonable expectation of both short- term and long-term financial solvency. When making short-range financial plans, the institution considers its long-range



financial priorities to assure financial stability. The institution clearly identifies, plans, and allocates resources for payment of liabilities and future obligations.

### **Evidence of Meeting the Standard**

The institution has a trivial amount of liabilities and future obligations relative to the size of its assets. Furthermore, the organization maintains a modest line of credit to provide for any temporary mismatches between timing of receipts and obligations, as well as a board-restricted operating reserve. (III.D-21 September 2018 Board Meeting Minutes and Packet)

Financial solvency for CPSQ is not a matter of supporting pre-existing debt obligations, but rather maintaining its ongoing fundraising to support its ongoing operating budget. As noted in Standard III.D.9 above, the institution is in the midst of a major campaign to pre-fund several years of operating and expansion expenses. Having such funds in hand will further assure the institution's solvency over the near-and longer-term future.

### **Analysis and Evaluation**

The College Program meets the standard. Having no need to service pre-existing debt, the institution has a less-impeded path to both short-term and long-term financial solvency. The institution's funding model, while unusual among higher education institutions, provides the best assurance to its students of the continued financial solvency of the institution, without compromise of its educational mission. This is partially demonstrated by its twenty years of continuous operation.

III.D.12

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

### **Evidence of Meeting the Standard**

The institution has a small paid staff and accordingly has inconsequential OPEB and other employee related obligations. The accounting process includes a monthly accrual for all accounts payable and for any cash employment-related obligations (such as for 403(b) plan funding), and an annual accrual of outstanding paid time off obligations. The external and internal reviews of the financial statements assess the organization's liquidity in light of all such

obligations, and should its liquidity be projected to be inadequate, the Finance Committee and the Board of Directors determine operational changes that will correct the situation.

Other than amounts that might become due for unused paid time off, the organization is not responsible for any OPEB. The agency provides a 403(b) plan for employees, but this is managed and maintained by an external provider, and all plan funding (both employee and employer) is conveyed to this provider no less often than monthly.

### **Analysis and Evaluation**

PUP / CPSQ meets the standard. The institution has a small staff and little OPEB or other employee related obligations. It offers an unmatched 403(b) benefit through an external vendor. Paid time off is accrued annually so that the liability is accounted for.

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

### **Evidence of Meeting the Standard**

The only debt facility maintained by the institution is a small revolving credit line which is maintained to provide short-term liquidity for grant commitments that are subject to deferred payments from funders. The Finance Committee monitors any outstanding balances under this credit line and assures that they have identified a corresponding source of near-term repayment. The institution has had no outstanding balances under this credit line since 2017. Any new or additional credit facilities would require the review of the Finance Committee and the approval of the Board, and would require a reasonable plan for debt repayment.

### **Analysis and Evaluation**

PUP / CPSQ meets the standard. The institution has no current debt. Any debt incurred by the organization in the future will be reviewed and approved by the Finance Committee and the full Board to ensure there are sufficient resources for repayment.

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

### **Evidence of Meeting the Standard**

All documentation related to gifts and grant agreements is reviewed at the time of receipt by the organization's third-party accountants, who split such receipts into those with and without donor/funder restrictions. The use of all restricted funding is tracked monthly by the Finance staff to assure the following objectives: funding is used in accordance with funder instructions; total spending of a grant is visible to all program/project operatives, spending records align with periodic spending reports issued to funders, and there is no duplication of allocation of any specific expenditures. All records related to these allocations are reconciled with the financial reports monthly by the third-party accountants. This process and the individual grant allocations are reviewed annually as part of the independent audit.

Grant reports describing both programmatic accomplishments and use of funds are provided regularly to funders. (III.D-27 Sample grant report) Where changes need to occur in how funds are to be used, the organization enters into budget modification agreements with funders. The use of restricted funds is an ongoing conversation between the organization and the funders, and under the rare circumstances where the organization is no longer able to align with the desires of a funder, funds are returned.

### **Analysis and Evaluation**

PUP / CPSQ meets the standard. The institution has multiple controls to ensure that restricted funds are used in accordance with the purposes in which they were raised and given. Financial staff and third-party accountants collaborate monthly to ensure that transactions are appropriately allocated to the purpose of the funding. The institution also provides regular progress reports to the funders.

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

CPSQ does not charge its students tuition or fees to enroll in any of its offerings. Educational programs and services are provided at no cost to students, and a standard issue set of school materials and supplies are provided to students free of charge. Therefore, there is no need to manage student loan default rates and the College Program does not process financial aid.

### **Analysis and Evaluation**

Not applicable.

## ➤ Contractual Agreements

III.D.16

Contractual agreements with external entities are consistent with the mission and goals of the institution, governed by institutional policies, and contain appropriate provisions to maintain the integrity of the institution and the quality of its programs, services, and operations.

### **Evidence of Meeting the Standard**

As a small organization, the College Program enters into contractual agreements primarily in order to bring external expertise in support of strategic planning, organizational development, and financial and budgeting processes. Contractual relationships with consultants in these roles are generally short term, with the scope of work, time period of work, and deliverables defined by contract.

For agreements involving the institution's receipt of funds, all related documentation is reviewed by the third-party accountants to assess the character of the funding and the accounting treatment thereon. Donations and grants are reviewed by the Development and Communications Team, frequently in collaboration with the Executive Director, to determine any deliverables that may be attached, and to determine how the agency will confirm the accomplishment of those deliverables. Any aspects of such contracts that are not aligned with the mission and goals of the institution are questioned as part of that review.

For agreements involving the disbursement of funds, contracts are reviewed internally to determine that they meet the needs of the organization, and externally by the third-party accountants to determine the relevancy, appropriateness, and accounting treatment for the costs. Large and/or consequential contracts are considered and approved by the Board of Directors prior to execution.

Employees and Directors are subject to a Conflict of Interest policy that governs contracts that the institution might enter into with interested parties. Any such contracts receive a higher level of scrutiny than otherwise, and are reviewed and approved by disinterested leadership. Conflict of interest statements are signed annually by all members of the Board. (III.D-28 Bylaws on conflict of interest)

### **Analysis and Evaluation**

Contracts are reviewed by multiple parties to ensure mission alignment and process compliance. The institution recently hired a COO and one of the priorities of this new hire is to develop a comprehensive set of policies governing purchasing and contracts management.

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## **Conclusions on Standard III.D. Financial Resources**

The College Program at San Quentin demonstrates —and has an extensive track record of— mission-focused strategic financial planning, responsibility, management, and staff and board attention to ensure sufficient support for its student learning programs and services. The institution's funding model, while unusual among higher education institutions, provides the best assurance to its students of the continued financial solvency of the institution, without compromise of its educational mission.

### **Improvement Plan(s)**

Four key improvement areas have been identified in regard to improving the financial resources and management of CPSQ:

- 1) The organization will continue to monitor and assess its needs and grow its donor base accordingly to secure larger grants and donations to enhance its long-term financial sustainability.
- 2) The organization will grow its development capacity of the organization by i) hiring a development operations manager, ii) hiring an individual philanthropy officer, and iii) investing in the fundraising capabilities of the Board of Directors.
- 3) More growth-oriented investment policies will be developed and implemented as the institution begins to receive longer-term investment funds.
- 4) The organization will transition to a model of securing funding for multiple years and explore establishing an endowment.

### **Evidence List**

III.D-1 2018 Budget  
III.D-2 2019 Budget  
III.D-3 Development staff CV's  
III.D-4 List of donor institutions  
III.D-5 Graphics on trends of individual giving  
III.D-6 2019 Finance Committee Notes  
III.D-7 PUP TA program page  
III.D-8 Reed CV  
III.D-9 2019 Finance Committee Notes  
III.D-10 Finance Committee Charge  
III.D-11 June 2019 Board Meeting packet  
III.D-12 Sample audit report  
III.D-13 19-05-01 Program Agenda

III.D-14 Sample Monthly Program Budget  
III.D-15 Board Packet March 2019  
III.D-16 Sample Staff Meeting Agenda, Notes, Development Report  
III.D-17 Volunteer Financial Report  
III.D-18 July 2019 Development Report  
III.D-19 Budget Projection  
III.D-20 PUP Accounting Procedures and Internal Controls  
III.D-21 September 2018 Board Meeting Minutes and Packet  
III.D-22 Schedule of hires  
III.D-23 Building Blox Presentation  
III.D-24 Annual Board Member Fundraising Plan  
III.D-25 APEP website screenshot  
III.D-26 Bonafide website screenshot  
III.D-27 Sample grant report  
III.D-28 Bylaws on conflict of interest

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## Standard IV: Leadership and Governance

*The institution recognizes and uses the contributions of leadership throughout the organization for promoting student success, sustaining academic quality, integrity, fiscal stability, and continuous improvement of the institution. Governance roles are defined in policy and are designed to facilitate decisions that support student learning programs and services and improve institutional effectiveness, while acknowledging the designated responsibilities of the governing board and the chief executive officer. Through established governance structures, processes, and practices, the governing board, administrators, faculty, staff, and students work together for the good of the institution. In multi-college districts or systems, the roles within the district/system are clearly delineated. The multi-college district or system has policies for allocation of resources to adequately support and sustain the colleges.*

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### A. Decision-making Roles and Processes

IV.A.1	Institutional leaders create and encourage innovation leading to institutional excellence. They support administrators, faculty, staff, and students, no matter what their official titles, in taking initiative for improving the practices, programs, and services in which they are involved. When ideas for improvement have policy or significant institution-wide implications, systematic participative processes are used to assure effective planning and implementation.
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### Evidence of Meeting the Standard

The College Program at San Quentin (CPSQ) has a long history of encouraging innovation by all members of the college community in improving its instructional programs, learning support services, student support services, and administrative functions. Delivering a high quality liberal arts education in an environment subject to stringent controls and significant resource constraints demands constant creativity and innovation. The current size and strength of the College Program is due primarily to initiative taken over many years by staff and volunteer faculty, who repeatedly questioned existing assumptions about what was possible for a college program operating in a prison. (IV.A-1 CPSQ History, pp. 3-6)

**Innovations by faculty:** CPSQ supports faculty (i.e. instructors, tutors, co-curricular leaders) in proposing and carrying out innovations. Instructors and tutors can propose innovations through communication with their designated coordinator on the Academic Team, or with any other member of the Program Team. (IV.A-2 Program Team Org Chart) Any Program Team staff member can elevate suggestions to the Program Team and Academic Team meetings. The

Academic Team staff inform faculty of CPSQ standards, maintain open lines of communication, and coordinate planning meetings among faculty, as needed. Through collaboration with academic staff, faculty and tutors have often developed and implement innovations, such as the introduction of Elementary Algebra to improve math curriculum alignment, the introduction of prison appropriate science labs and materials, and the creation of the tutor training. (IV.A-1 CPSQ History, pp. 3-6) For additional examples of improvements to program offerings spearheaded by CPSQ faculty or tutors, please see Standard II.A.2 above.

**Innovations by staff:** CPSQ supports its staff as a whole, including staff in its Development and Communications, Operations, and Program Teams, in proposing innovations. The norms of biweekly full staff meetings allow any staff member to propose agenda items and to facilitate. (IV.A-3 Staff Meeting Norms) Projects may be carried out by more than one team, as in the recent effort by the Development and Communications Team and Program Team to survey students on the content of public materials (IV.A-4 Student Letter and Survey for Communications Audit). In these cases, staff often participate or present in the meetings of other Teams.

Innovations affecting College Program offerings are discussed in weekly Program Team meetings, biweekly Academic Team meetings, and weekly individual supervisory meetings with the Academic Program Director.

- **Program Team meetings:** Weekly Program Team meeting norms encourage an open space for communication and creative thinking. (IV.A-5 Program Team Meeting Norms) Suggestions for new student support services, or alterations to existing student support services, are discussed and adopted by consensus using a “first to five” voting system. (IV.A-6 Involvement Spectrum and First to Five Voting, pg. 2) When new co-curricular activities are approved, all Program Team staff are welcome to contribute to planning and execution, according to their job duties and as approved by the staff member’s supervisor. (IV.A-7 Co-curricular Activity Guidelines)
- **Academic Team meetings and individual supervision:** Improvements to academic or pedagogical aspects of program offerings are regularly considered in biweekly Academic Team meetings and in the Academic Program Director’s weekly individual supervisory meetings. (IV.A-2 Program Team Org Chart) In addition to the Program Team staff based in CPSQ’s nearby office, the on-site Program Clerks serve as a valuable source of insight into student needs and issues currently of concern or interest to students. Clerks suggest innovations through their supervisory meetings with the Director of Student Affairs, as well as through direct communication with any member of the Program staff, including the Academic Program Director. In some cases, Program Team meetings are held inside San Quentin, to allow participation by all members of the Program Team in key discussions. For examples of improvements to offerings spearheaded by members of the Program Team staff, please see Standard II.A.2 above.

**Innovations by students:** The practices of CPSQ also seek to encourage student suggestions for innovations. Fostering civic engagement, student leadership, and student voice are central



values of CPSQ. While staff strive to ensure that students have the tools to shape their learning community, these efforts are complicated by CPSQ's environment. In particular, space constraints and the need to approve student movement through the institution limit organic opportunities for student innovation.

CPSQ staff seek to address these limits through welcoming student suggestions, and maintaining open lines of communication between students and members of the Program Team. The off-site staff of the Program Team collectively spend 30 hours per week inside San Quentin. Gathering student feedback informally while inside and recording feedback in the Daily Debrief for Program Team review are key staff activities. (IV.A-8 Daily Debrief sample) In addition to informal lines of communication between students and the Program Team, staff have created official avenues for students to lead and suggest innovations:

- **Student Activities Suggestion Process:** All students, as well as all staff, faculty, and Board members, are welcome to propose new co-curricular activities. (IV.A-7 Co-curricular Activity Guidelines) Students can submit proposals for instructor-led workshops, student-led groups, and lectures using a designated form available from the Program Clerks. (IV.A-9 Student Activities Suggestion Form) Staff consider and vote on student suggestions through a codified process. All student suggestions receive a response from staff. (IV.A-7 Co-curricular Activity Guidelines)
- **Student Led Activity Groups:** Students can lead their own activity groups, once approved by the Program Team. (IV.A-9 Student Activities Suggestion Form) Recent student groups have included chess, German, and a book club with students and guests from outside San Quentin.
- **Student Feedback Mailing List:** In 2018-2019, CPSQ created an opt-in student feedback mailing list, to allow staff to send requests for feedback regularly to a subset of willing students. Eighty-seven students (close to a third of those enrolled in courses each term), have signed up to receive requests for feedback. Program staff will solicit new students for the list in the New Student Orientation held each term, and review student responses to feedback as part of program evaluation. (IV.A-10 Educational Effectiveness Handbook, pg. 16)
- **Annual Student Feedback Survey:** CPSQ staff created and sent out the Summer 2019 Student Feedback Survey, soliciting student opinion on a range of program offerings. Among other questions, students were asked to suggest additional study hall resources, new courses, and new workshops. (IV.A-11 Summer 2019 Student Feedback Survey) Surveys were sent to students on the opt-in mailing list and were also made available to any interested student through the Program Clerks and through Summer 2019 courses. Soliciting student feedback on program offerings via survey has been a frequent practice in the past, and will be an annual part of program evaluation going forward. (IV.A-10 Educational Effectiveness Handbook)
- **Student Teaching Assistants:** All College Preparatory courses have student TA's who support instructors and students in class, and offer peer tutoring to students outside of

class. The TA program was designed as an opportunity for advanced students to develop leadership and pedagogical skills, such as learning to create lesson plans. (IV.A-12 TA Letter)

- **Student Committees:** Starting with the Academic Conference Planning Committee in 2018 and continuing with the recently created Diversity, Equity, and Inclusion (DEI) Committee, the College Program is developing more organizational and representative roles for students. Thus far, committees with a majority of student members have also included one or two staff members. Among other tasks, staff manage committee projects, seek clearances and approvals, and communicate student suggestions with broader implications for the organization to the Academic Program Director. As a relatively new feature of the program, selection procedures, representational functions, and scope of authority of student committees remain areas of exploration and debate.
- **Town Halls at San Quentin:** CPSQ staff occasionally hold town halls inside San Quentin to take student comments and questions on major issues of concern. On July 29, 2019, the Executive Director held a town hall for students on the College Program's pursuit of independent accreditation, including an open Q&A session. In attendance were approximately 50 students, as well as visiting College Program alumni, a representative from Project Rebound, the Academic Program Director and the majority of the College Program's staff, and two consultants contributing to accreditation work. (IV.A-13 Town Hall Agenda)

In cases of suggested innovations with institution-wide implications, senior staff often elevate final decisions either to the Executive Director or, in the case of personnel or operational decisions, to the Executive Team. The Executive Team is composed of the heads of the Program, Finance and Operations, and Development and Communications Teams, as well as the Executive Director. Decisions made are communicated to staff in the biweekly full staff meeting and through Executive Team Updates. (IV.A-14 Sample Exec Team Update to Staff)

In 2018, CPSQ carried out organizational development work with the support of Stacey Smith, a consultant in organizational strategy and organizational development at Contigo Partners. This work aimed to increase clarity and transparency around institutional decision-making. As a result of this work, all staff were trained in the RASCI responsibility assignment matrix (IV.A-15 RASCI matrix) and in the involvement spectrum (IV.A-16 Involvement Spectrum and First to Five Voting). For decisions with institution-wide implications, senior staff strive to clearly assign responsibility for decision-making and implementation, and to communicate decisions transparently, using these tools. (IV.A-3 Staff Meeting Norms)

## **Analysis and Evaluation**

The College Program meets the standard. Innovation by all members of the college community remains a central part of the culture of the program. For innovations with institution-wide implications, a structure exists to elevate them to college leaders and to communicate and implement roles and decision-making authority clearly throughout the organization.

#### IV.A.2

The institution establishes and implements policy and procedures authorizing administrator, faculty, and staff participation in decision-making processes. The policy makes provisions for student participation and consideration of student views in those matters in which students have a direct and reasonable interest. Policy specifies the manner in which individuals bring forward ideas and work together on appropriate policy, planning, and special-purpose committees.

### Evidence of Meeting the Standard

As discussed in IV.A.1 above, the College Program maintains multiple official channels for staff, faculty, and student participation in decision-making. For a list of ways CPSQ staff involve students in decision-making and college leadership, please see IV.A.1 above.

The following established avenues exist for CPSQ staff to participate in organizational decision-making:

- **Executive Team meetings:** The Executive Team, consisting of the Executive Director, Academic Program Director, Development and Communications Director, and Chief Operations Officer, meets on a weekly basis. The Team's function is to guide the organization toward achieving its priorities, to ensure effective decision making and resource allocation across the organization, and to provide a forum for the Executive Director to seek input and discussion in making key decisions. Through the meetings of the Executive Team, staff perspectives from all parts of the organization are brought to bear on decision-making at the highest level of the organization.
- **Staff meetings:** Full staff meetings take place every two weeks, and provide a forum to communicate major developments and decisions made within each Team. Staff also frequently use this space as a forum to seek feedback and suggestions regarding their projects affecting staff across Teams. (IV.A-17 Sample staff meeting minutes)
- **Program Team meetings:** The entire off-site College Program staff (the four members of the Academic Team, the Director of Student Affairs, the Student Affairs Associate, and the Program Assistant) meet every week to discuss program administration, student support services, and related issues. In these meetings, staff also elevate student suggestions (IV.A-9 Student Activities Suggestion Form), and discuss student and faculty feedback gathered informally and using formal surveys and suggestion forms. (IV.A-18 Spring 2019 Faculty Survey Responses, IV.A-19 Summer 2019 Student Feedback Survey Responses, IV.A-9 Student Activities Suggestion Form)
- **Academic Team meetings:** Four members of the Program Team staff with primary responsibility for coordinating the instructional programs and study hall (the Academic Program Director, the STEM Program Coordinator, the College Preparatory Writing

Coordinator, and the Learning Specialist), meet every two weeks to discuss issues related to course offerings and learning support services. In these meetings, staff also discuss student and faculty feedback gathered informally and using formal surveys and suggestion forms. (IV.A-18 Spring 2019 Faculty Survey Responses, IV.A-19 Summer 2019 Student Feedback Survey Responses, IV.A-9 Student Activities Suggestion Form)

- **Development and Communications Team meetings:** The Executive Director, Director of Development and Communications, Development and Communications Associate, and Grants Officer meet weekly to discuss donor relations and grant opportunities, track current grant applications and grant disbursement, and discuss communications needs. Decisions are made collaboratively, based on the mission of the organization, staff bandwidth, and current yearly fundraising goals for each part of the organization.
- **Individual Supervisory Meetings:** Across the organizational, supervisors typically meet with supervisees at least once a week. These meetings often provide staff with a forum for discussion and involvement in decision-making at the level of their team.

Staff use the RASCI responsibility assignment matrix (IV.A-15 RASCI matrix) and an involvement spectrum tool (IV.A-16 Involvement Spectrum and First to Five Voting) in order to clearly communicate the involvement of individual staff members in decision-making and implementation of projects based on role. Senior staff, including the Executive Director, Academic Program Director, Development and Communications Director, and Chief Operations Officer, strive to clearly assign staff responsibility for decision-making and implementation, and to make and communicate decisions transparently using these tools. (IV.A-3 Staff Meeting Norms)

All faculty in the College Program, including instructors, tutors, teaching assistants, and co-curricular group leaders, volunteer their time. Partially as a result, a significant portion of the faculty population at CPSQ is transitory. This poses a challenge for including faculty in institutional decision-making. Faculty with more time to give to the program have often led projects at CPSQ, and take on decision-making roles with respect to those projects, with the support of staff. (For examples of program improvements led by faculty, with the support of staff, see II.A.2 above.) It is also important to note that the vast majority of CPSQ staff in both administrative and academic roles over the history of the program started as faculty or tutors.

Most faculty participate in decision-making processes through their relationship with their academic coordinator, and through their access to other Program Team staff who escort instructors into and out of San Quentin. Informal faculty suggestions are regularly elevated by staff to the Program Team and Academic Team meetings, or directly to the Academic Program Director. To take one recent example, in 2018 a CPSQ Spanish instructor offered to organize a series of events and trainings to address issues surrounding Diversity, Equity, and Inclusion (DEI). With the support of staff, the instructor gathered feedback from the broader faculty on their experiences with DEI in the classroom and suggestions related to DEI issues in the College Program (IV.A-20 2018 DEI Faculty Survey Responses), organized an open meeting for students on these topics inside San Quentin, and led a smaller group of students in designing and

piloting an instructor training in DEI. This work resulted in the creation of the student DEI committee, which will offer further trainings for instructors in the Fall of 2019.

Going forward, CPSQ is developing more formal avenues for faculty participation in decision-making related to the academic curriculum as a whole. In Spring 2019, Program Team staff developed a Volunteer Feedback Survey for the end of each term, soliciting role-specific feedback from faculty, tutors, research assistants, and workshop leaders. (IV.A-21 Spring 2019 Faculty Feedback Survey, IV.A-11 Summer 2019 Student Feedback Survey) This was an expansion of earlier volunteer surveys, which asked for generalized feedback from all volunteers. (IV.A-22 Spring 2016 End of Semester Survey) Staff will continue to seek faculty feedback at the end of every term, and use feedback to plan improvements. Starting in Spring 2020, the Academic Program Director will recruit faculty for the Curriculum and Assurance of Learning Committee. Members will consist of CPSQ faculty drawn from a variety of disciplines, as well as the Academic Program Director. The committee will have direct involvement in curricular decision-making, collect and evaluate evidence of student learning, review instructor feedback for credit courses at the end of each term, and recruit outside disciplinary experts when needed to advise on the redesign of particular courses and course sequences. (IV.A-23 Draft Faculty Committee Charge)

### **Analysis and Evaluation**

The College Program meets the standard. All college constituencies are involved in decision-making through the established participative practices of the community. Although challenges to greater faculty participation exist, primarily due to their status as volunteers, CPSQ is currently developing more formal channels for faculty involvement.

IV.A.3

Administrators and faculty, through policy and procedures, have a substantive and clearly defined role in institutional governance and exercise a substantial voice in institutional policies, planning, and budget that relate to their areas of responsibility and expertise.

### **Evidence of Meeting the Standard**

CPSQ administrators and faculty have a substantive and clearly defined role in the running of the college and in the formation of policy.

Administrators primarily exercise this role through the structure of teams and regular meetings discussed in IV.A.2 above. Faculty have historically played a critical role in the development of the offerings and the broader culture of CPSQ (IV.A-1 CPSQ History, pg. X; see also II.A.2 above). It is also important to note that over the history of the program, the vast majority of CPSQ staff, including administrative and academic staff, were drawn from CPSQ's faculty. In recent years, a significant portion of the Board of Directors has also been drawn from current or former faculty. (IV.A-24 Board members who served as faculty)

The status of faculty as volunteers who serve term to term creates a barrier to their involvement in longer term planning and budgetary decisions. However, the intimate character of the College Program mitigates this to a significant extent. The Academic Program Director (APD) has sole responsibility for proposing the College Program budget each year, and serves on the Executive Team. (See IV.A.2 for the duties of the Executive Team.) Through their academic coordinators, each member of the faculty is only one step away from the APD. Faculty suggestions and feedback are regularly collected, using both informal and formal channels. (IV.A-8 Daily Debrief sample; IV.A-21 Spring 2019 Faculty Feedback Survey) Faculty proposals are usually discussed in the Program Team or Academic Team meetings.

Going forward, CPSQ is seeking to formalize the role of faculty in institutional governance related to their responsibility over the academic offerings. Starting in Spring 2020, the Academic Program Director will recruit faculty for the Curriculum and Assurance of Learning Committee. Members will receive a stipend, to assist in retention of committee members. The committee will consist of CPSQ faculty drawn from a variety of disciplines, as well as the Academic Program Director, and will have direct involvement in curricular decision-making for the AA in General Studies, collect and evaluate evidence of student learning. Further responsibilities of the committee are currently under development. (IV.A-23 Draft Faculty Committee Charge)

### **Analysis and Evaluation**

Administrators have a clearly defined role in institutional governance, through their structure of teams and regular meetings of staff at all levels of the organization. Through the practices of the Program Team and through the institutional practice of recruiting CPSQ staff and Board members from current and former faculty, CPSQ faculty have had a significant voice in the governance and operation of the program throughout its history. The program is seeking to further formalize the role of current faculty in overseeing its academic offerings, through the creation of the Faculty Committee.

IV.A.4

Faculty and academic administrators, through policy and procedures, and through well-defined structures, have responsibility for recommendations about curriculum and student learning programs and services.

### **Evidence of Meeting the Standard**

The College Program's faculty and Program Team staff are jointly responsible for recommendations for individual courses, the College Preparatory and General Studies programs, and directly related services, including study hall, library services, and individual tutoring. All faculty volunteer their time with the Program, and so coordination by paid staff

greatly facilitates standardization of key courses, involving new faculty in ongoing improvements, and retaining institutional memory of past obstacles and successes. Collectively, faculty and staff ensure high quality teaching and learning through preparation activities as well as through assessment of student learning. (IV.A-10 Educational Effectiveness Handbook)

Faculty often both make recommendations and lead the implementation of innovations to the curriculum. (For a list of examples, see Standard II.A.2; IV.A-1 CPSQ History, pp. 3-6.) Faculty and student suggestions for the curriculum and for related services are regularly considered by academic staff. Program team staff discuss suggestions affecting the program's offerings and/or oversee the curriculum in the following fora:

- **Program Team meetings:** Program Team staff meet on a weekly basis to discuss problems and improvements related to general program coordination, student support services, and learning support services. In these meetings, staff also discuss student and faculty feedback gathered informally and using formal surveys and suggestion forms. (IV.A-18 Spring 2019 Faculty Survey Responses, IV.A-19 Summer 2019 Student Feedback Survey Responses, IV.A-9 Student Activities Suggestion Form)
- **Academic Team meetings:** Four members of the Program Team staff with primary responsibility for coordinating the instructional programs and study hall (the Academic Program Director, the STEM Program Coordinator, the College Preparatory Writing Coordinator, and the Learning Specialist), meet as a group on a biweekly basis to discuss recurring issues specific to these offerings. In these meetings, staff also discuss student and faculty feedback gathered informally and using formal surveys and suggestion forms. (IV.A-18 Spring 2019 Faculty Survey Responses, IV.A-19 Summer 2019 Student Feedback Survey Responses, IV.A-9 Student Activities Suggestion Form)
- **Academic Program Director supervisory meetings:** The Academic Program Director meets individually with the STEM Program Coordinator, the College Preparatory Writing Coordinator, the Learning Specialist, and the Director of Student Affairs on a weekly basis, to remain current on their projects and challenges they have encountered.

For examples of improvements to the curriculum and related services planned and implemented by faculty, see the CPSQ history and Standard II.A.2 above.

Going forward, CPSQ is seeking to formalize faculty involvement in the development of its curriculum and related offerings. In Spring 2019, Program Team staff developed a Volunteer Feedback Survey for the end of each term, soliciting feedback from faculty regarding their course and the program learning outcomes for the AA in General Studies. (IV.A-21 Spring 2019 Faculty Survey, IV.A-25 Draft Summer 2019 Faculty Survey) Program Team staff discussed the results in Academic Team meetings and individual supervisory meetings. (IV.A-26 Academic Team 19-06-13 Volunteer Feedback Meeting) Starting in Spring 2020, the Academic Program Director will recruit faculty for the Curriculum and Assurance of Learning Committee. Members will consist of CPSQ faculty drawn from a variety of disciplines, as well as the Academic Program Director. (IV.A-23 Draft Faculty Committee Charge)

## Analysis and Evaluation

The College Program meets the standard. Throughout its two decades of operation, CPSQ's academic staff and faculty have exercised joint responsibility for the improvement of its curriculum and directly related services. Going forward, CPSQ will seek to further formalize the faculty role in making curricular recommendations.

IV.A.5

Through its system of board and institutional governance, the institution ensures the appropriate consideration of relevant perspectives; decision-making aligned with expertise and responsibility; and timely action on institutional plans, policies, curricular change, and other key considerations.

## Evidence of Meeting the Standard

CPSQ's Board of Directors has responsibility for ensuring good governance and management, sound strategic planning and policies, sound resources and financial dealing, compliance with legal requirements, and provision of programmatic oversight. (IV.A-27 2019 Board of Directors Handbook, pg. 1)

Directors include individuals with deep professional expertise in law, higher education, strategic planning, finance, and nonprofit management. (IV.A-28 List of current Board members, w/bios) In coordinating the recruitment of potential members, the Board's Governance Committee reviews gaps in the expertise of its current membership and actively recruits individuals with expertise in those areas. Recruitment priorities also take into account the need to represent a variety of perspectives from college constituencies. In recent years, the Board has recruited a CPSQ graduate for membership, as well as former and current CPSQ faculty. (IV.A-27 2019 Board of Directors Handbook, pg. 6; IV.A-24 Board members who served as faculty)

The Board frequently invites presentations and comments at its meetings, in order to bring all relevant perspectives to bear in its oversight of College Program operations. Staff, including not only the Executive Director, but also the Director of Development and Communications, frequently attend committee meetings and full Board meetings at the invitation of the chair. (IV.A-29 Sample Board Minutes March 2018; IV.A-30 Sample Fund Development Committee Notes, Materials) Through its Fund Development committee and regular communication with the Director of Development, the Board seeks to understand the makeup of the organization's community of donors, and address their perspectives. (IV.A-31 Mission, values, principles survey; IV.A-30 Sample Fund Development Notes, Materials)



Board members also seek to understand and incorporate student perspectives. Board members review raw student feedback on the program (IV.A-32 Board AWG minutes, student surveys), and will continue to do so through the Board Academic Affairs Committee. Board members regularly attend events inside San Quentin, such as the annual graduation, Ethics Bowl tournaments, and the academic conference, to meet students in informal settings. At the June 2015 Board retreat, the Board convened a panel of College Program alumni and their family members to discuss their experience with the program. (IV.A-28 List of current Board members, w/bios) Board members also attended the July 29th Town Hall on Independent Accreditation inside San Quentin, to hear student questions and concerns.

The organization's Bylaws empower the Executive Director to operate the program, including policy implementation and hiring and firing of all staff. (IV.A-33 PUP Bylaws, section 4.6) Through its Executive Team, consisting of senior staff from across the organization, multiple relevant perspectives and forms of expertise are brought to bear on the governance of the organization. Following organizational development work undergone in 2018 with organizational strategy consultant Stacey Smith, CPSQ senior staff seek to assign responsibility for decision-making according to expertise through the use of the RASCI responsibility matrix and the involvement spectrum. (IV.A-15 RASCI matrix; IV.A-16 Involvement Spectrum and First to Five Voting) Timely action on key priorities of the College Program is ensured in part through clear distinctions between the Board's oversight responsibilities and the operational role of College Program staff.

### **Analysis and Evaluation**

The College Program meets the standard. Its Board and Executive Director ensure the consideration of relevant perspectives from constituencies across the college community in its decision-making and governance processes in the operation of the program. CPSQ also seeks to clarify and establish decision-making on the basis of expertise, using tools familiar to all staff.

**IV.A.6**      The processes for decision-making and the resulting decisions are documented and widely communicated across the institution.

### **Evidence of Meeting the Standard**

Decisions about the organization's finances and budget, personnel, policies, and strategic goals are generally made by members of the Executive Team, consisting of the Executive Director, Academic Program Director, Director of Development and Communications, and Chief Operations Officer. (See IV.A.2 for more on the Executive Team) Executive Team decisions are communicated to all staff in biweekly full staff meeting, or by an email update to all staff. (IV.A-34 Sample Executive Team Update)

Senior staff in the Development and Communications, Finance and Operations, and Academic Teams have primary responsibility over decisions in their teams. Each senior staff member holds regular meetings with their supervisees. Teams of three or more staff generally also meet as a group on a weekly basis. Major decisions and the current projects of each team are communicated to the full staff in the biweekly full staff meeting.

Recently, the organization carried out organizational development work aimed at increasing clarity and transparency around institutional decision-making. This work was carried out with the support of Stacey Smith, a consultant in organizational strategy and organizational development at Contigo Partners. As a result of this work, all staff were trained in the RASCI responsibility assignment matrix and in the involvement spectrum. (IV.A-15 RASCI matrix; IV.A-16 Involvement Spectrum and First to Five Voting) For decisions at all levels of the organization, senior staff strive to use these tools to clearly assign responsibility for decision-making and implementation, and to communicate decisions transparently. (IV.A-3 Staff Meeting Norms)

In communicating organizational decisions and decision-making processes to faculty and students, CPSQ staff often rely on written communications and materials, such as the Student Handbook, Instructor Manual, and student mail. (IV.A-35 2019-2020 Student Handbook, IV.A-36 2019-2020 Instructor Manual, IV.A-37 Student Communication on Independence #1) CPSQ communicates with its faculty regularly through its organizational newsletter, the community listserv, and emails to current faculty from the Academic Program Director and the Executive Director. (IV.A-38 Sample Newsletter, IV.A-39 Sample Email from AJ) Students receive communications of major institutional decisions by letter from Program Team staff or the Executive Director. (IV.A-40 Student Communication #1, IV.A-41 Student Communication #2) Program Team staff may also announce changes or additions to existing support services during start of semester announcements and, occasionally, in Town Halls. (IV.A-42 Town Hall invitation)

CPSQ is currently seeking to improve and diversify its methods of communication, particularly with students. To that end, Program Team staff are currently carrying out a review of CPSQ policies and how they are publicized. In this review, staff are documenting how students and faculty are currently informed of its policies and processes. This review will incorporate feedback from the Summer 2019 Student Feedback Survey, in which staff asked students about the primary ways they access information and resources from the College Program. (IV.A-11 Summer 2019 Student Feedback Survey) In its mid-August meeting, the Program Team discussed alternative methods of communication with students, including partnering with First Watch, which delivers public service announcements on institutional television. As first steps, First Watch will advertise student DEI committee recruitment as well soliciting student involvement in the next academic conference. (For more on these activities, see Standard II.C.4.) Staff aim to have carried out improvements in this area by October 2019.

## **Analysis and Evaluation**

The College Program meets the standard. In the operation of the organization, including decision-making processes and decisions taken, CPSQ staff and leadership strive for transparency. CPSQ seeks to continually improve in these areas, as shown by recent organizational development work and the ongoing audit of available program policies.

IV.A.7 Leadership roles and the institution's governance and decision-making policies, procedures, and processes are regularly evaluated to assure their integrity and effectiveness. The institution widely communicates the results of these evaluations and uses them as the basis for improvement.

### Evidence of Meeting the Standard

Governance systems are evaluated for their effectiveness on an ongoing basis by the Executive Team and by the Board's Governance Committee.

The Executive Team regularly leads strategic planning and organizational development processes with the support of consultants with relevant areas of expertise. (IV.A-43 2018 Strategic Plan; IV.A-44 Esther Kim CV) These processes include reviews of leadership roles and governance structures, with an eye to improving organizational effectiveness. Recent examples include the following:

- **Core Team Process:** With the support of Stacey Smith, a consultant in organizational development at Contigo partners, an ad hoc "Core Team" was convened in 2018-2019 to help guide the expansion of the organization, and specifically to make recommendations about defining key functions and roles, strengthening organizational capacity and leadership, and plotting the sequence of hiring and investing in organizational functions and roles. The Core Team consisted of the Executive Director, members of the Board, supervisory staff from the Operations, Development and Communications, and Program Teams, and external stakeholders in nonprofit management and higher education. (IV.A-45 2019 PUP Core Team meeting materials, pG. 12) Over a series of meetings in 2018-2019 the Core Team produced a draft organizational chart, growth budget, and schedule of hiring for organizational growth. The proposed expansion and reorganization plans are under review by the Board, and have been previewed in a full staff meeting. (IV.A-45 2019 PUP Core Team meeting materials)
- **Hiring Process for Chief Operations Officer:** The Executive Team, in partnership with the Board's Finance Committee, recently launched and successfully completed a search for a senior staff person with expertise in both finance and human resources, in order to build out the organization's financial planning and human resources functions. Outstanding needs for this position and the definition of its areas of responsibility were discussed at length by the Board and its committees. (IV.A-46 2019 Finance Committee

Minutes) The hiring process was also a major project of the Executive Team, which sent regular updates to the Board. (IV.A-47 Monthly Board Report, pg. 6) The new COO started at the organization on August 5, 2019.

- **Development of the Center For Excellence:** CPSQ's strategic goals include strengthening its institutional research capacity, both to guide improvements to its academic program and to inform the training and technical support it offers for emerging programs in prison higher education. (IV.A-43 2018 Strategic Plan; IV.A-48 March 2018 Training Agenda) In partnership with Esther Kim, a consultant for nonprofit social impact work, the Executive Director, Academic Program Director, and Development and Communications Director have developed a vision for a Center of Excellence to house this work. (IV.A-44 Esther Kim CV) The proposed leadership structure for this new component of the organization will be presented to the Board of Directors for review, likely in 2020.

Proposed changes to the leadership structure of the organization are discussed extensively by senior staff, reviewed by the Board prior to implementation, and communicated to all staff. (IV.A-34 Sample Executive Team Update)

### **Analysis and Evaluation**

The College Program meets the standard. Leadership roles and governance structures are regularly evaluated, at both the Board level and in processes led by members of the Executive Team. Significant changes are communicated across the organization.

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## **Conclusions on Standard IV.A. Decision Making Roles and Processes**

The College Program at San Quentin has developed clear roles, as well as numerous organizational processes, for collecting feedback and input and ensuring appropriate authority and responsibility for decision-making. Key consultants have supported the development of a culture of participatory governance and there is significant evidence that current practice is working.

### **Improvement Plan(s)**

The primary areas for improvement in regard to Standard IV.A include the full formalization of written policies that authorize appropriate decision-making. Furthermore, there will be a need to continually attend to, develop, and re-evaluate governance and decision-making policies and processes as the organization grows in size and as responsibility continues to expand across the organization.

### **Evidence List**

IV.A-1 CPSQ History  
IV.A-2 Program Team Org Chart  
IV.A-3 Staff Meeting Norms  
IV.A-4 Student Letter and Survey for Communications Audit  
IV.A-5 Program Team Meeting Norms  
IV.A-6 Involvement Spectrum and First to Five Voting  
IV.A-7 Co-curricular Activity Guidelines  
IV.A-8 Daily Debrief sample  
IV.A-9 Student Activities Suggestion Form  
IV.A-10 Educational Effectiveness Handbook  
IV.A-11 Summer 2019 Student Feedback Survey  
IV.A-12 TA Letter  
IV.A-13 Town Hall Agenda  
IV.A-14 Sample Exec Team Update to Staff  
IV.A-15 RASCI matrix  
IV.A-16 Involvement Spectrum and First to Five Voting  
IV.A-17 Sample staff meeting minutes  
IV.A-18 Spring 2019 Faculty Survey Responses  
IV.A-19 Summer 2019 Student Feedback Survey Responses  
IV.A-20 2018 DEI Faculty Survey Responses  
IV.A-21 Spring 2019 Faculty Feedback Survey  
IV.A-22 Spring 2016 End of Semester Survey  
IV.A-23 Draft Faculty Committee Charge  
IV.A-24 Board members who served as faculty  
IV.A-25 Draft Summer 2019 Faculty Survey  
IV.A-26 Academic Team 19-06-13 Volunteer Feedback Meeting  
IV.A-27 2019 Board of Directors Handbook  
IV.A-28 List of current Board members, w/bios  
IV.A-29 Sample Board Minutes March 2018  
IV.A-30 Sample Fund Development Committee Notes, Materials  
IV.A-31 Mission, values, principles survey  
IV.A-32 Board AWG minutes, student surveys  
IV.A-33 PUP Bylaws  
IV.A-34 Sample Executive Team Update  
IV.A-35 2019-2020 Student Handbook  
IV.A-36 2019-2020 Instructor Manual  
IV.A-37 Student Communication on Independence #1  
IV.A-38 Sample Newsletter  
IV.A-39 Sample Email from AJ  
IV.A-40 Student Communication #1  
IV.A-41 Student Communication #2  
IV.A-42 Town Hall invitation  
IV.A-43 2018 Strategic Plan  
IV.A-44 Esther Kim CV  
IV.A-45 2019 PUP Core Team meeting materials

## B. Chief Executive Officer

### IV.B.1

The institutional chief executive officer (CEO) has primary responsibility for the quality of the institution. The CEO provides effective leadership in planning, organizing, budgeting, selecting and developing personnel, and assessing institutional effectiveness.

### Evidence of Meeting the Standard

The Executive Director (ED) has primary responsibility for all aspects of organizational quality in her role as defined in the organization's bylaws, including hiring and firing of all personnel. (IV.B-1 PUP Bylaws, section 4.6) The ED exercises effective leadership through regular participation in key decisions at multiple levels of the organization. This includes:

- attending full Board meetings by invitation of the Board, including participation in evaluations of the institution's governance structure carried out by the Board (see Standard IV.A.5 above);
- direct supervision of senior staff, including the Academic Program Director, Development and Communications Director, and Chief Operations Officer;
- involvement in all strategic planning and organizational development processes (see Standard IV.A.7 above);
- involvement in all major development activities
- leading the Executive Team, composed of the Academic Program Director, Development and Communications Director, and Chief Operations Officer, which meets every two weeks to guide the organization toward achieving its priorities, to ensure effective decision making and resource allocation across the organization, and to provide a forum for the Executive Director to seek input and discussion in making key decisions.

Starting in Summer 2019 and going forward, the ED is seeking further professional development in management and leadership with the support of the Board's ad hoc Organizational Development committee. This will include executive coaching, as well as

management training. This will increase the ED's effectiveness in leading an expanding and increasingly complex organization.

### **Analysis and Evaluation**

The College Program meets the standard. The Executive Director takes responsibility for the quality of the organization and leads planning, organizing, budgeting, and personnel processes, as well as participating in all evaluations of the institution's governance structure carried out by the Board. (See Standard IV.A.5 above.)

#### **IV.B.2**

The CEO plans, oversees, and evaluates an administrative structure organized and staffed to reflect the institution's purposes, size, and complexity. The CEO delegates authority to administrators and others consistent with their responsibilities, as appropriate.

### **Evidence of Meeting the Standard**

The ED oversees the organization's administrative structure and personnel decisions through leadership of the Executive Team. The team meets weekly, and is composed of the ED, Academic Program Director, Development and Communications Director, and Chief Operations Officer.

The function of the Executive Team is to guide the organization toward achieving its priorities, to ensure effective decision-making and resource allocation across the organization, and to provide a forum for the Executive Director to seek input and discussion in making key decisions. In addition to Executive Team meetings, each senior staff person represented runs their own Team meetings. The ED delegates primary responsibility for projects in their respective areas to senior staff. (IV.B-2 Academic Program Director Job Description, IV.B-3 Director of Development and Communications Job Description, IV.B-4 Chief Operations Officer Job Description)

The Chief Operations Officer is a new position in the organization, and provides key support to the ED in managing the growth of the organization, evaluating the effectiveness of its administrative structure, and building its human resources capacity.

Evaluation of the structure of the organization takes place both through discussions of the Executive Team and through processes of organizational development carried out in partnership with senior CPSQ staff and qualified consultants. See IV.A.7 for examples of evaluation and planning related to the administrative structure of the organization.

### **Analysis and Evaluation**



The College Program meets the standard. The ED takes a leadership role in planning, overseeing, and evaluating its administrative structure, in keeping with the needs of the organization. The ED delegates responsibility to senior staff in finance and operations, development and communications, and the academic program, to lead their own teams.

- IV.B.3
- Through established policies and procedures, the CEO guides institutional improvement of the teaching and learning environment by:
- establishing a collegial process that sets values, goals, and priorities;
  - ensuring the college sets institutional performance standards for student achievement;
  - ensuring that evaluation and planning rely on high quality research and analysis of external and internal conditions;
  - ensuring that educational planning is integrated with resource planning and allocation to support student achievement and learning;
  - ensuring that the allocation of resources supports and improves learning and achievement; and
  - establishing procedures to evaluate overall institutional planning and implementation efforts to achieve the mission of the institution.

### Evidence of Meeting the Standard

***Establish collegial process that sets values, goals, and priorities:*** The ED regularly seeks to foster collegial discussion about the values, goals, and priorities of the college program and the place of its work in the larger field of higher education. The ED makes an effort to include all college constituencies in such processes, including current and former students, faculty, staff, donors, and Board members. These qualities of the ED were particularly evident in the recent revision of the organization's mission statement, articulating organizational values, and choosing a college name. As part of this process, the ED solicited feedback from current and former students, faculty, staff, donors, and Board members. (IV.B-5 Meaning, Purpose, Values Survey Responses) Close to 200 responses were received, and were reviewed by the ED, the Academic Program Director, and the Board's Accreditation Working Group. In the longer term, this process will result in the adoption of college values, in addition to the mission statement revision.

***Ensure the college sets institutional performance standards for student achievement:*** As part of the institutional self-evaluation process, the Executive Director has consulted with the Academic Program Director to set institutional standards and stretch goals for student achievement. (See Student Achievement Data and Institution Set Standards, above.)



***Ensure that evaluation and planning rely on high quality research and analysis of external and internal conditions:*** The ED has spearheaded efforts to collect high quality data on the background and needs of the CPSQ student body, as well as to carry out high quality research on outcomes relevant to the organization's mission, in order to capture the organization's successes and failures. Formal evaluation efforts to date have often involved external teams of researchers, such as those working under Dr. Amy Lerman, of UC Berkeley's Goldman School of Public Policy. (See Standard I.A.2.) Regular staff-led evaluation, incorporating student surveys, will be carried out going forward. (IV.B-6 Educational Effectiveness Handbook) In ensuring the quality of research and of the evidence of student needs gathered in its daily operations, CPSQ relies on fostering trusting relationships between staff, the student body, and any external research partner. The ED, the Academic Program Director, and all Program Team staff have a key role in maintaining the trust necessary to learn about the student experience.

***Ensure that educational planning is integrated with resource planning and allocation to support student achievement and learning:*** The ED leads Executive Team meetings, where the proposed organizational budget, including the proposed budget for academic programs, is discussed and finalized. Annual organizational budgets are then reviewed by the Board Finance Committee, which presents the budget for approval to the full Board.

The Academic Program Director prepares the budget for academic programs for the Executive Team, partly by soliciting feedback from all Program Team members on needed items. Going forward, the Academic Program Director will prepare the annual academic program budget with the support of the Board's Academic Affairs Committee.

The ED is also involved in the creation of long term budget projections. In 2018-2019, an ad hoc "Core Team" was convened to help guide the expansion of the organization. The Core Team was mediated by consultant Stacey Smith, of Contigo partners, and included the ED, members of the Board, supervisory staff from the Finance and Operations, Development and Communications, and Program Teams, and external stakeholders in nonprofit management and higher education. (IV.B-7 2019 PUP Core Team Materials) This process resulted in a schedule of hiring for organizational growth and a four-year projection of expenses. The budget projection was reviewed by the Board's Finance Committee, and will be reviewed by the full Board. (2019 Finance Committee Notes, p.7)

***Ensure that the allocation of resources supports and improves learning and achievement:*** The ED delegates responsibility for preparing the academic program budget to the Academic Program Director, and oversees the Executive Team's process of finalizing the academic program budget as part of the overall budget proposal for the organization. In preparing the academic program budget, the Academic Program Director takes into account a variety of evidence on the needs of students, faculty, and other college constituencies.

***Establish procedures to evaluate overall institutional planning and implementation efforts to achieve the mission of the institution:*** The ED carries out evaluation of institutional planning and implementation efforts in collaboration with the Executive Team. The new Chief Operations

Officer, whose recruitment was overseen by the ED, will greatly enhance the organization's capacity to evaluate its planning and implementation of strategic goals.

### **Analysis and Evaluation**

The College Program meets the standard. Through established channels and processes, the Executive Director guides institutional improvement of the teaching and learning environment.

IV.B.4

The CEO has the primary leadership role for accreditation, ensuring that the institution meets or exceeds Eligibility Requirements, Accreditation Standards, and Commission policies at all times. Faculty, staff, and administrative leaders of the institution also have responsibility for assuring compliance with accreditation requirements.

### **Evidence of Meeting the Standard**

Since the founding of CPSQ's AA degree program, CPSQ's Executive Director (ED) has also served as the Extension Site Director of the San Quentin campus of Patten College (later Patten University). As Extension Site Director, the ED has had a primary leadership role over many years in providing documentation and hosting site visits at San Quentin as part of Patten's accreditation cycle. In 2014 CPSQ hosted a site visit, and the ED participated in an interview with the team both before and after the visit. (IV.B-9 2014 External Review, pg. 1)

Since the decision was made to pursue independent accreditation for CPSQ, the Executive Director has taken the primary leadership role for accreditation.

- The ED retained two experts in accreditation processes and standards in higher education as consultants, in order to advise her, key staff, and Board members on reaching compliance with Commission rules and policies.
- The ED appointed and directly supervises the work of the Accreditation Liaison Officer, a former CPSQ faculty member. The ALO and the ED meet on a weekly basis to track accreditation related projects.
- The ED receives direct reports regarding all key capacity-building processes related to meeting Commission standards, including the formalization of learning outcomes assessment, the expansion of library services, and the selection of a more robust software for CPSQ's student information system.
- The ED, with the support of staff, authors communications with college constituencies regarding efforts toward accreditation, including former and current faculty, donors,

and current and former students. (IV.B-10 Nov 2018 Newsletter; IV.B-11 Student Communication #1; IV.B-12 Student Communication #2)

- The ED participates in meetings of the Board's Accreditation Working Group, which was formed to communicate accreditation updates to the full Board, to represent the Board perspective in accreditation, and to coordinate accreditation work by the Board. This group receives monthly updates from the Executive Director, as well as the Academic Program Director and the Accreditation Liaison Officer, on CPSQ's self-evaluation process. (IV.B-13 AWG notes on mission revision) This committee also tracks the work of other Board Committees in reviewing and addressing Commission standards, including those of the Governance and Finance committees. (IV.B-14 Board accreditation tracking) Recent or ongoing accreditation work of the Board's Committees include refining the role of the Academic Affairs Committee and the planned Faculty Committee, developing a more comprehensive policy for evaluation of the full Board, and documenting the current policy governing the evaluation of the Executive Director.

In its June 2019 meeting, the full Board adopted an addition to its bylaws, directing the Executive Director to take the primary leadership role in upholding all Commission rules and policies. The amendment reads as follows:

The Board of Directors is committed to the delivery of high quality educational programs and services, in support of student learning and achievement. Therefore, the Board supports the continuous improvement process embraced by the Accrediting Commission and expects the president [i.e. Executive Director] to:

1. ensure that the corporation adheres to the Eligibility Requirements, Accreditation Standards and Commission policies and all other requirements of the Accrediting Commission of Community and Junior Colleges,
2. keep the Board informed of approved accrediting organizations and the status of accreditations,
3. ensure the Board is involved in any accreditation process in which Board participation is required, and
4. provide the Board with a summary of any accreditation report and any actions taken or to be taken in response to recommendations in an accreditation report.

(IV.B-1 PUP Bylaws, Article 14)

### **Analysis and Evaluation**

The College Program meets the standard. Since the formation of the program, the ED has had responsibility for coordination with CPSQ's partner university in accreditation processes. In CPSQ's current self-evaluation process, the ED has taken the primary leadership role. This role is codified in the organization's bylaws.

IV.B.5

The CEO assures the implementation of statutes, regulations, and governing board policies and assures that institutional practices are consistent with institutional mission and policies, including effective control of budget and expenditures.

### **Evidence of Meeting the Standard**

The ED's role in ensuring that the organization upholds all statutes, regulations, and governing board policies is defined in the organization's bylaws, as follows:

The president shall be the general manager of the corporation...He or she shall perform all duties incident to the president's office and such other duties as may be required by law, by the Articles of Incorporation of the corporation, or by these Bylaws, or which may be prescribed from time to time by the board of directors. (IV.B-1 PUP Bylaws, section 4.6)

As part of her role in leading the organization, particularly through leadership of the Executive Team, including senior staff from Finance and Operations, Development and Communications, and the Program, the ED seeks to ensure that the organization itself abides by all relevant statutes, regulations, and governing board policies, and control of budget and expenditures effectively. (IV.B-15 Executive Director Job Description)

### **Analysis and Evaluation**

The College Program meets the standard. The ED takes responsibility for ensuring conformity with all applicable statutes, regulations, and governing board policies, as required by her role.

IV.B.6

The CEO works and communicates effectively with the communities served by the institution.

### **Evidence of Meeting the Standard**

The current Executive Director, Dr. Jody Lewen, began as a volunteer instructor with the College Program in 1999. She has led the program since 2003, when she assumed the role of volunteer program coordinator and Extension Site Director for Patten College. From 2003 until the hiring of the Academic Program Director in 2014, Executive Director Lewen escorted volunteer faculty in and out of San Quentin multiple times per week, making herself available as a consistent resource to both students and faculty. Her years of service within the prison have made a tremendous impact on the ED's relationship with and understanding of the students served by the College Program, the prison administration, and the leaders of the California

Department of Corrections and Rehabilitation. The ED remains in contact with many individual students long after their release from San Quentin, and recently nominated and helped to onboard a graduate of the College Program to Board membership. (IV.B-16 Board of Directors Handbook, pg. 6)

Although the ED no longer has a regular escort schedule, she continues to enter the prison on a weekly basis, and to attend all major College Program events, including graduation and the annual academic conference, and to lead events such as the recent Town Hall on Independent Accreditation. (IV.B-17 Town Hall invitation) She has also lent her experience in leadership at CPSQ to broader efforts to improve the field of prison higher education and to raise the national consciousness around the right of incarcerated people to an education. Among many other projects, the ED was a founding member of the Alliance for Higher Education in Prison (a national collaborative network), has served as an organizer for the National Conference on Higher Education in Prisons, and co-authored a report to improve and expand the field of higher education in prison. (IV.B-18 Equity and Excellence in Practice Report) Under her leadership, the College Program has also extended the fiscal sponsorship to multiple reentry and educational organization serving CPSQ students. (See Standard II.C.4 above.)

### **Analysis and Evaluation**

The College Program meets the standard. The ED has two decades of experience and ties to the student community at San Quentin, local and state level correctional authorities, the network of prison higher education providers, and governmental agencies and officials. The Executive Director strives to serve that community both through her leadership inside San Quentin and through her regional and national advocacy within the field of prison higher education.

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### **Conclusions on Standard IV.B. CEO**

The Executive Director is the institution's CEO and has primary responsibility for the quality of the institution, including: overseeing organizational leadership, guiding institutional improvement of teaching and learning, ensuring implementation of policies, and communicating effectively with the college's numerous constituents. The CEO's roles and responsibilities are codified in the bylaws.

### **Improvement Plan(s)**

A continuing area for improvement will be further professional development for the Executive Director, in order to support her as she continues to lead an expanding and increasingly complex organization. The Board's ad hoc Organizational Development committee will support the identification of appropriate training, which will include executive coaching and management training. (Executive Coach CV, Management Center)

### **Evidence List**

IV.B-1 PUP Bylaws  
IV.B-2 Academic Program Director Job Description  
IV.B-3 Director of Development and Communications Job Description  
IV.B-4 Chief Operations Officer Job Description  
IV.B-5 Meaning, Purpose, Values Survey Responses  
IV.B-6 Educational Effectiveness Handbook  
IV.B-7 2019 PUP Core Team Materials  
IV.B-8 2019 Finance Committee Notes  
IV.B-9 2014 External Review  
IV.B-10 Nov 2018 Newsletter  
IV.B-11 Student Communication #1  
IV.B-12 Student Communication #2  
IV.B-13 AWG notes on mission revision  
IV.B-14 Board accreditation tracking  
IV.B-15 Executive Director Job Description  
IV.B-16 2019 Board of Directors Handbook  
IV.B-17 Town Hall invitation  
IV.B-18 Equity and Excellence in Practice Report

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## C. Governing Board

IV.C.1

The institution has a governing board that has authority over and responsibility for policies to assure the academic quality, integrity, and effectiveness of the student learning programs and services and the financial stability of the institution. (ER 7)

### Evidence of Meeting the Standard

The College Program at San Quentin's Board of Directors has responsibility for ensuring good governance and management, sound strategic planning and policies, sound resources and financial dealings, compliance with legal requirements, and provision of programmatic oversight of the Prison University Project, including the College Program. (IV.C-1 2019 Board of Directors Handbook, pg. 7)

The Board currently consists of twelve (12) directors who serve voluntarily in staggered three (3) year terms. (IV.C-1 2019 Board of Directors Handbook, pp. 5-6) Directors include individuals with deep professional expertise in law, education, strategic planning, finance, and nonprofit management. (IV.C-2 Board of Directors with bios) In coordinating the recruitment of potential members, the Board's Governance Committee reviews gaps in the expertise of its current membership and actively recruits individuals with expertise in those areas.

The committees of the Board are the Fund Development Committee, Governance Committee, Finance Committee, and the recently reconstituted Academic Affairs Committee. The Board meets its responsibility for policy review and development through the regular meetings of its recognized committees, and through the work of ad hoc committees created by the Board for short term purposes. Current ad hoc committees of the Board include the Accreditation Working Group and the Organizational Development Committee. (IV.C-1 2019 Board of Directors Handbook) The charge for each committee in the Board Handbook specifies its areas of policy authority.

- The Fund Development Committee extends the reach of the Development team by supporting all board members with individual fundraising efforts, collaborating with staff to steward current and potential individual donors, and helping with annual fundraising events and campaigns.
- The Governance Committee manages board recruitment, conducts an annual review of the Executive Director, reviews and approves protocols for governance systems, maintains and updates the Board Handbook, and presents proposed bylaw amendments to the full Board for approval.
- The Finance Committee reviews monthly financial reports, proposed budget modifications, and financial policies, and presents updated or new financial policies and the annual budget to the full Board for approval.
- The Academic Affairs Committee reviews current academic policies, degree requirements, program materials (e.g. handbooks), and reports of student achievement and learning outcomes to ensure the academic integrity and quality of the CPSQ program and services, and identifies any policy needs of the College Program.

(IV.C-1 2019 Board Handbook, pp. 20-22)

Prison University Project staff, in particular the Executive Director, but also the Academic Program Director, the Director of Development and Communications, and the Chief Operations Officer, regularly provide information to the Board's committees upon request. In addition, the Board receives a monthly written update from the Executive Director, including detailed updates from the Development and College Program teams. (IV.C-3 Monthly Board Report April 2019) The Chief Operations Officer will now assume Board reporting responsibilities and work closely with the Board in order to enable effective oversight of policies for financial and human resources.

## **Analysis and Evaluation**

The College Program at San Quentin meets the standard. The Board has authority over policies for ensuring financial stability and the academic quality, integrity, and effectiveness of student learning programs and services. The Board exercises its responsibilities for policy oversight through its designated committees, which receive regular updates from program staff.

**IV.C.2**

The governing board acts as a collective entity. Once the board reaches a decision, all board members act in support of the decision.

**Evidence of Meeting the Standard**

The Board of Directors meets to discuss and address issues of concern to the organization on a quarterly basis. Its deliberations are governed by the bylaws of the Prison University Project, which specify that “no business shall be considered by the board at any meeting at which a quorum...is not present.” (IV.C-4 PUP Bylaws, section 3.13) The bylaws further specify that, except in exceptional cases defined elsewhere in law or in the bylaws, “every act or decision done or made by a majority of the directors present at a meeting duly held at which a quorum is present is the act of the board of directors...”. (IV.C-4 PUP Bylaws, section 3.14) The bylaws identify those committees able to act with the authority of the Board (PUP Bylaws, section 5.1), and forbid any director from entering into a contract on the Board’s behalf absent a resolution of the Board (IV.C-4 PUP Bylaws, section 6.1).

Members commit to contribute significantly to the collective activities of the Board. Board responsibilities include attendance at 75% or more of quarterly full Board meetings and membership in at least one Board committee. (IV.C-5 Current committee memberships)

**Analysis and Evaluation**

The College Program meets the standard. The Board acts as a collective body: all deliberations of the Board of Directors require a quorum, and decisions require a vote by a majority or more of such a quorum. Furthermore, Board members take seriously their collective responsibility to provide oversight of the organization.

**IV.C.3**

The governing board adheres to a clearly defined policy for selecting and evaluating the CEO of the college and/or the district/system.

**Evidence of Meeting the Standard**

The College Program’s current Executive Director (ED) is Jody Lewen. Since 2015, the Board has conducted an annual review of the ED. (Feb 2015 Board minutes) The Board’s Governance Committee, which currently consists of six (6) directors, coordinates the annual review, which seeks to monitor the ED’s performance to goals. (IV.C-1 2019 Board Handbook) The review includes interviews with key organizational staff and review of written feedback from every Board member. (IV.C-6 Checklist ED Annual Review) After assessing interviews and aggregating written feedback, the Governance Committee provides the ED with a written review, holds an in-person session with the ED, and reports the results to the full Board. (IV.C-7



2018 ED Review Process) The Board's Governance Committee is currently reviewing this process, and aiming to complete an improvement for the 2020 evaluation cycle.

In addition to reviewing Executive Director performance, the Board also oversees the Executive Director selection criteria and process. The Board's Governance Committee has recently adopted a formal policy for selecting future Executive Directors. The policy specifies procedures for the selection of an interim ED in case of a sudden vacancy in the ED position, as well as procedures for conducting a nationwide search for a permanent replacement.

### **Analysis and Evaluation**

The College Program meets the standard. The Board adheres to a policy of evaluating the Executive Director annually, based on information from her reportees and on performance goals and metrics monitored by the Governance Committee. The Board also adheres to a clearly defined policy for the selection of new Executive Director, including the selection of an interim ED, if needed, before a permanent choice is made. In the upcoming academic year, the Board's Governance Committee will seek to improve the ED Evaluation Process. (IV.C-8 Board Accreditation Tracking)

IV.C.4 The governing board is an independent, policy-making body that reflects the public interest in the institution's educational quality. It advocates for and defends the institution and protects it from undue influence or political pressure. (ER 7)

### **Evidence of Meeting the Standard**

The Board of Directors upholds the mission, namely

to provide an intellectually rigorous, inclusive Associate of Arts degree program and college preparatory program, free of charge, to people at San Quentin State Prison; to expand access to quality higher education for incarcerated people; and to foster the values of equity, civic engagement, independence of thought, and freedom of expression. (IV.C-4 PUP Bylaws, section 2.1)

All members take seriously their duty to act in support of this mission, and to serve as advocates and ambassadors for the organization. (IV.C-1 2019 Board of Directors Handbook)

In pursuit of this mission, the Board has adopted comprehensive policies to avoid conflicts of interest and to uphold the purposes of the organization. (IV.C-4 PUP Bylaws, section 9) These include policies regarding the duty to disclose and to investigate potential conflicts of interest, procedures for keeping records of all Board and committee meetings (including a record of

those present), and procedures for the approval of compensation. (IV.C-4 PUP Bylaws, section 9) In addition, all Board members sign an annual statement agreeing to comply with the conflict of interest policy. (IV.C-9 Board conflict of interest form) The Board does not include a majority of members with employment, family, or other personal interest in the institution.

### **Analysis and Evaluation**

The College Program at San Quentin meets the standard. Its Board of Directors upholds a mission in the public interest, and every Board member acts as an advocate and ambassador for the College Program. The Board avoids substitution of personal or other interests for this mission by adhering to comprehensive conflict of interest policies, and requiring that every Board member annually agree in writing to adhere to those policies.

IV.C.5

The governing board establishes policies consistent with the college/district/system mission to ensure the quality, integrity, and improvement of student learning programs and services and the resources necessary to support them. The governing board has ultimate responsibility for educational quality, legal matters, and financial integrity and stability.

### **Evidence of Meeting the Standard**

The Board of Directors' responsibilities are ensuring good governance and management, sound strategic planning and policies, sound resources and financial dealings, compliance with legal requirements, and provision of programmatic oversight. (IV.C-1 2019 Board of Directors Handbook, pg. 7) To date, the policies of the Board in these areas of responsibility have been reviewed and developed primarily through the activities of its Governance and Finance committees, and approved by the full Board.

The Board's Governance Committee, which meets on a regular basis, has primary responsibility for reviewing and suggesting policies related to the organization's legal and governance structure. The Governance Committee, currently consisting of four to six (4-6) directors, includes individuals with legal training and experience in higher education and nonprofit management. (IV.C-5 Current committee memberships) The committee's charge includes review and approval of documented protocols for governance systems, annual updates of the Board Handbook, and presentation of proposed bylaw amendments to the full Board for approval. (IV.C-1 2019 Board of Directors Handbook) Recent policy actions initiated by the Governance Committee have included increasing the size of the Board (IV.C-10 July 2018 Gov Committee Notes) and developing a formal policy for the selection of an Executive Director (IV.C-11 March 2019 Gov Committee Notes). The Board's Governance Committee ensures quality by taking the lead in recruiting new Board members, onboarding Board members, and conducting exit interviews with all departing Board members and staff.

The Board's Finance Committee, which meets on a monthly basis, has primary responsibility for developing and proposing new financial policies. (IV.C-1 2019 Board of Directors Handbook, pg. 22) Five (5) directors currently serve on the Committee, including members with extensive professional experience in finance. (IV.C-5 Current committee memberships) The Finance Committee's responsibilities include review and recommendations regarding financial policies, review of the organization's proposed annual budget, review of the organization's monthly finances, and supporting staff in the hiring of new personnel whose roles relate to finance. (IV.C-1 2019 Board of Directors Handbook, pg. 22) Recent policy actions initiated by the Finance Committee have included the establishment of a process for the investment of excess cash and the creation of a Board-Restricted operating reserve (IV.C-12 September 2018 Board Meeting Minutes, Packet re- Operating Reserve Policy). The Finance Committee also supported staff in the hiring of a new Chief Operations Officer. (IV.C-13 2019 Finance Committee Notes)

The Board recently deepened its programmatic oversight role by revising the charge of its Academic Affairs Committee. While the Academic Affairs Committee has been a recognized organ of the Board since 2017, over the past year the primary means of oversight of the academic program has been the Executive Director's monthly report to the full Board. These updates cover trimesterly course offerings and co-curricular activities, recent hires to the program team, and any obstacles or milestones in programming.

The Academic Affairs Committee's responsibilities include trimesterly review of student learning and student achievement data. The Committee will conduct oversight of current academic policies and degree requirements, and identify any needed program policies. (IV.C-1 2019 Board of Directors Handbook) The membership of the committee will likely include the five (5) members of the Accreditation Working Group, a current ad hoc committee of the Board. The group will start meeting when the work of the Accreditation Working Group is complete, in Fall 2019 or Spring 2020.

### **Analysis and Evaluation**

The College Program meets the standard. The Board takes responsibility for, and creates policies governing, student learning programs and the resources needed to support those programs. The Board carries out its responsibilities through the activities of its committees.

IV.C.6	The institution or the governing board publishes the board bylaws and policies specifying the board's size, duties, responsibilities, structure, and operating procedures.
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### **Evidence of Meeting the Standard**

The Board of Director's bylaws are published on the Prison University Project's website. The bylaws are reviewed and updated by the Board's Governance Committee, with the support of

the staff Executive Assistant. The bylaws specify the number of directors (PUP Bylaws, section 3.1), as well as their powers and responsibilities (IV.C-4 PUP Bylaws, sections 3.2, 3.3). They also specify the structure of the Board, including members' terms of office, the Board's committees, and Board officers, including the chair, vice chair, treasurer, and secretary. (IV.C-4 PUP Bylaws, sections 4.1-4.9) Finally, the bylaws specify Board operating procedures, including procedures for the conduct of meetings for voting and establishing a quorum (IV.C-4 PUP Bylaws, sections 3.13, 3.14), for carrying out contracts and monetary transactions (IV.C-4 PUP Bylaws, sections 6.1-6.3), for the maintenance of Board minutes (IV.C-4 PUP Bylaws, section 7.1), and for avoiding conflicts of interest (IV.C-4 PUP Bylaws, section 9).

### **Analysis and Evaluation**

The College Program meets the standard. Its bylaws are publicly available, and specify the size of the Board, as well as its duties, responsibilities, structure, and operating procedures.

IV.C.7 The governing board acts in a manner consistent with its policies and bylaws. The board regularly assesses its policies and bylaws for their effectiveness in fulfilling the college/district/system mission and revises them as necessary.

### **Evidence of Meeting the Standard**

The Board's Governance Committee, which currently consists of five (5) directors, reviews documented governance systems for the organization, including its system of bylaws and organizational policies, for their contribution to achieving the organization's mission. (See IV.C.5.) If changes to the bylaws are needed in order to increase institutional effectiveness, the Committee proposes amendments to the full Board for approval and ensures bylaws are updated accordingly. (IV.C-1 2019 Board of Directors Handbook)

Recent examples of updates to organizational policies and bylaws managed by the Governance Committee have included:

- the improvement of onboarding and offboarding processes for Board members (IV.C-10 July 2018 Gov Committee Notes);
- the adoption of a formal process for evaluating Board members (IV.C-14 November 2016 Gov Committee Notes);
- the amendment of the bylaws to incorporate a Vice Chair of the Board, to support the Chair (IV.C-15 2017 Gov Committee Report);

- the amendment of the bylaws to improve the process of assigning Board members to terms (IV.C-15 2017 Gov Committee Report);
- the amendment of the bylaws to allow expansion of the board to fourteen members, (IV.C-16 Board Minutes September 2018);
- the amendment of the bylaws to direct the accreditation process (see Standard IV.C.13 below);
- the improvement and documentation of the ED review process;
- the creation of a process for evaluating the full Board (IV.C-17 PUP Board Evaluation Policy).

The Governance Committee also updates the Board Handbook annually. (IV.C-15 2017 Gov Committee Report; IV.C-18 May 2016 Gov Committee Notes)

### **Analysis and Evaluation**

The College Program meets the standard. The Board governs itself using its bylaws and policy documents. The Prison University Project bylaws are regularly reviewed and updated as needed, through the actions of the Board's Governance Committee and the review and approval of the full Board.

#### **IV.C.8**

To ensure the institution is accomplishing its goals for student success, the governing board regularly reviews key indicators of student learning and achievement and institutional plans for improving academic quality.

### **Evidence of Meeting the Standard**

Historically, the Board's primary means of oversight of the academic program has been monthly updates to the full Board, which include an update composed by the Academic Program Director. These updates describe course offerings and co-curricular activities for each academic term, recent hires to the program team, and any obstacles or milestones in programming. The monthly updates also include planned projects, including plans for improvement to the instructional program and directly related services. (IV.C-3 Monthly Board Report April 2019)

In 2016, CPSQ strengthened the Board's oversight role of the academic program through the creation of an Academic Affairs Committee (AAC). (IV.C-15 2017 Gov Committee Report; IV.C-19 March 2017 Board Minutes) From 2016 to 2018, the Committee received regular updates

from the Academic Program Director. The Committee reviewed key information about student learning and oversaw academic program policy, through:

- review of College Program written policies in the Volunteer Manual, Instructor Manual, Study Hall Resource Guide, and Student Handbook for accuracy and completeness (IV.C-20 August 2016 AAC Agenda);
- review of College Program policies regarding plagiarism, multiple repeats of courses, and faculty clothing and behavior, in order to suggest improvements (IV.C-21 June 2016 AAC Agenda);
- discussion of indirect evidence regarding student learning, such as tutor concerns about student readiness for complex course materials (IV.C-22 March 2018 AAC Meeting Notes);
- discussion of upcoming College Program goals, including the planned review of the AA degree composition sequence (IV.C-23 January 2017 AAC Meeting Agenda) and the creation of a workshop/lecture series (IV.C-24 August 2017 AAC Meeting Notes);
- review and approval of current accreditation plans and processes being undertaken by the Executive Director and the Academic Program Director (IV.C-25 November 2017 AAC Meeting Notes; IV.C-22 March 2018 AAC Meeting Notes);
- coordination of one faculty meeting per term, to collect feedback and further formalize the faculty role in the governance of the College Program (IV.C-26 I.B-4 Notes from the Board's faculty meeting).

The work of the Committee was hindered, in part because its oversight role in relation to the operational role of the Program Team and of faculty was not entirely clarified. While the AAC remains a standing Committee of the Board, the Academic Affairs Committee last met in August of 2018. Currently, efforts are underway to revise the Academic Affairs Committee's charge, in order to clarify its role in reviewing key indicators of student success, as well as approving policy improvements and programmatic innovations. In a series of meetings in Summer 2019, the Board's Accreditation Working Group (AWG), consisting of four Board members, the Executive Director, and the Academic Program Director reviewed background material and produced a draft of the Committee charge. The AWG approved the final charge on August 5, 2019 and it was adopted by the full Board on August 14, 2019. (IV.C-27 8:14:19 Board meeting minutes)

The reconstituted Academic Affairs Committee's responsibilities include regular review of student learning and student achievement data, in addition to oversight of current academic policies, degree requirements, and identifying needed program policies. (Board Handbook) The membership of the committee will likely include the four (4) Board members currently composing the AWG. The AAC will resume meetings when the work of the ad hoc committee is complete. (IV.C-28 Educational Effectiveness Handbook; IV.C-29 AAC Charge)

## **Analysis and Evaluation**

The College Program meets the standard. The Board receives monthly updates from the Executive Director regarding the college's academic programs. CPSQ is currently strengthening the Board's oversight role for the academic program with its reconstituted Academic Affairs Committee.

IV.C.9

The governing board has an ongoing training program for board development, including new member orientation. It has a mechanism for providing for continuity of board membership and staggered terms of office.

### **Evidence of Meeting the Standard**

The Board's Governance Committee takes charge of Board recruitment and professional development. As part of its regular charge, the Committee assesses the composition of the current board and identifies gaps in competencies or demographics. The Committee then works with the full Board and the Executive Team to identify potential board members, including by supporting individual board members in bringing candidates through the process. Once potential members are identified, the Committee monitors the nomination process. (IV.C-1 2019 Board of Directors Handbook, pg. 21)

In welcoming new members, the Governance Committee carries out the on-boarding process, which includes a list of activities to orient new board members to their role. (IV.C-30 PUP Board Onboarding Checklist) In response to recent developments in PUP / CPSQ's pursuit of accreditation, new member orientation will now include a mandatory 90-minute training on the basics of accreditation with ACCJC. The Governance Committee also oversees the off-boarding of outgoing members, including determining an official departure date and arranging an exit interview. (IV.C-30 PUP Board Onboarding Checklist; IV.C-31 PUP Board Offboarding Procedure)

The bylaws provide for terms of office of three (3) years in length, staggered according to the members' assigned class. (IV.C-4 PUP Bylaws, section 3.4) Members can serve up to three (3) consecutive terms, with any subsequent term requiring a two (2) year gap.

### **Analysis and Evaluation**

The College Program meets the standard. Board recruitment, orientation, and development is overseen by the Governance Committee, according to detailed procedures. The bylaws provide for continuity in board membership, in part through instituting staggered terms of office.

IV.C.10

Board policies and/or bylaws clearly establish a process for board evaluation. The evaluation assesses the board's



effectiveness in promoting and sustaining academic quality and institutional effectiveness. The governing board regularly evaluates its practices and performance, including full participation in board training, and makes public the results. The results are used to improve board performance, academic quality, and institutional effectiveness.

## **Evidence of Meeting the Standard**

Since 2016, the Board's Governance Committee has coordinated an annual self-evaluation of each Board member, carried out in 30 minute meetings between the member and the Board chair or vice chair. (IV.C-32 Template Board Member Assessment; IV.C-15 November 2016 Gov Committee Notes)

The Governance Committee has recently developed a process for evaluation of the full Board, in relation to its goals of ensuring good governance and management, sound strategic planning and policies, sound resources and financial dealing, compliance with legal requirements, and provision of programmatic oversight. (IV.C-1 2019 Board of Directors Handbook, pg. 7) This policy was developed using samples from comparable institutions of higher education. (IV.C-33 July 2019 Gov Committee Notes) The policy reads as follows:

The Board of Directors is committed to assessing its own performance as a Board in order to identify its strengths and areas in which it may improve its functioning. To that end, the Board will engage in the following process once a year:

1. On or around November 1st of every year, each Board member shall review the Board's goals from the last self-evaluation, complete a formal board evaluation form, and deliver a copy to the Chair of the Board no later than November 30. The purpose of the evaluation will be to identify views, values, concerns, priorities, and recommendations in order to identify goals for the following year and to improve the effectiveness of the Board. Key focus areas for the evaluation will include: fiduciary oversight, impact on academic quality, and progress towards strategic vision.
  - a. Prison University Project's executive director and staff will also have an opportunity to complete a comparable board evaluation.
  - b. The chair and/or vice chair of the Board will review members' Board evaluations, as well as materials from individual Board member evaluations carried out that year, and note common strengths and weaknesses to discuss.
2. In December of every year, the Board will participate in a meeting to discuss the main themes from the board evaluations, identify accomplishments from the preceding 12 months, and establish goals for the following year.



3. Minutes from the December board meeting, including the agreed-upon goals, will be published on Prison University Project's website.

As the policy details, results of the evaluation will be made public through the meeting minutes of the committee. (IV.C-17 PUP Board Evaluation Policy) As of July 31st, 2019, this policy has been officially adopted by the Governance Committee, for implementation in the upcoming year.

### **Analysis and Evaluation**

While in the past the Board has limited its self-evaluation to its individual members, going forward it will implement a full evaluation of the Board. In developing a meaningful and detailed policy, the committee has consulted the practices of well-regarded existing institutions of higher education. Prior practices of evaluating individual members will provide the Board with a firm foundation for honest self-assessment and clear improvement planning.

IV.C.11 The governing board upholds a code of ethics and conflict of interest policy, and individual board members adhere to the code. The board has a clearly defined policy for dealing with behavior that violates its code and implements it when necessary. A majority of the board members have no employment, family, ownership, or other personal financial interest in the institution. Board member interests are disclosed and do not interfere with the impartiality of governing body members or outweigh the greater duty to secure and ensure the academic and fiscal integrity of the institution. (ER 7)

### **Evidence of Meeting the Standard**

The Board has adopted comprehensive policies to avoid conflicts of interest and to uphold the charitable purposes of the organization. (IV.C-4 PUP Bylaws, section 9) These include policies governing the duty to disclose and to investigate potential conflicts of interest, the requirement to take records of all Board and committee meetings (including a record of those present), and procedures for the approval of compensation. (IV.C-4 PUP Bylaws, section 9) In addition, all Board members sign an annual statement agreeing to comply with the conflict of interest policy. (IV.C-9 Board conflict of interest form)

In the case of a director's apparent failure to disclose a conflict of interest, the bylaws call for the following actions:

If the board or committee has reasonable cause to believe a director has failed to disclose actual or possible conflicts of interest, it shall inform the director of the basis for such belief and afford the director an opportunity to explain the alleged failure to disclose.

If, after hearing the director's response and after making further investigation as warranted by the circumstances, the board or committee determines the director has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action. (IV.C-4 PUP Bylaws, section 9.3)

The bylaws further specify that a director can be removed from the Board by an action of the Board of Directors at any time. (IV.C-4 PUP Bylaws, section 4.4)

The Board does not include a majority of members with employment, family, or other personal interest in the institution.

### **Analysis and Evaluation**

The College Program meets the standard. The Board adheres to a code of ethics and conflict of interest policies, as laid out in the procedures specified by its bylaws and as described in the annual agreements signed by all Board members. The Board has the power to remove members for cause at any time, and provides for taking appropriate disciplinary and corrective action in response to violations. Board members disclose their conflicts of interest, and the current Board does not include a majority of interested members.

IV.C.12

The governing board delegates full responsibility and authority to the CEO to implement and administer board policies without board interference and holds the CEO accountable for the operation of the district/system or college, respectively.

### **Evidence of Meeting the Standard**

The bylaws specify that the "president," also known as the Executive Director, "shall be the general manager of the corporation and, subject to the control of the board, shall supervise, direct and control the corporation's day-to-day activities, business and affairs." (IV.C-4 PUP Bylaws, section 4.6)

The bylaws empower the Executive Director "to hire, supervise and terminate all employees of the corporation, under such terms and having such job responsibilities as the president shall determine in his or her sole discretion, subject to the rights, if any, of the employee under any contract of employment." Regarding financial management, the bylaws state that, "Except as otherwise expressly provided by law, by the Articles of Incorporation, or by these Bylaws, the president shall, in the name of the corporation, execute such deeds, mortgages, bonds,

contracts, checks, or other instruments which may from time to time be authorized by the board of directors.” (IV.C-4 PUP Bylaws, section 4.6)

The Board holds the Executive Director accountable in her role in operating the organization through annual reviews of the ED, overseen by the Governance Committee. The Governance committee recently documented its practice by creating a form and criteria for ED evaluation. The review includes interviews with key organizational staff and review of written feedback from every Board member. (IV.C-7 2018 ED Review Process) After assessing interviews and aggregating written feedback, the Governance Committee provides the ED with a written review, holds an in-person session with the ED, and reports the results to the full Board. (IV.C-34 October 2017 Gov Committee Notes, IV.C-7 2018 ED Review Process) Current practices were articulated during a series of meetings of the committee.

### **Analysis and Evaluation**

The College Program meets the standard. The Executive Director has full responsibility for the operation of the Program, and for the implementation and administration of Board policies. The Executive Director is held accountable for her performance through the annual review process overseen by the Governance Committee of the Board.

IV.C.13

The governing board is informed about the Eligibility Requirements, the Accreditation Standards, Commission policies, accreditation processes, and the college’s accredited status, and supports through policy the college’s efforts to improve and excel. The board participates in evaluation of governing board roles and functions in the accreditation process.

### **Evidence of Meeting the Standard**

The Board’s Accreditation Working Group (AWG), an ad hoc committee of the Board, was formed to assist the Executive Director in the initial accreditation process on behalf of the full Board. The AWG currently includes five (5) current directors, including the Board chair, and regularly invites the Executive Director, the Academic Program Director, and the Accreditation Liaison Officer to its meetings. On behalf of the full Board, the AWG receives updates on the College Program’s accreditation process, reviews ACCJC documents (including the Accreditation Standards, Commission policies, and guides to the accreditation process), and coordinates Board activities related to the self-evaluation.

In order to orient all Board members toward the requirements and responsibilities incurred in becoming an accredited institution, new member orientation will now include a mandatory 90-minute Accreditation Basics Training with ACCJC. The chair has requested that all

continuing Board members take this training as a condition of continued Board membership. As of August 2019, all current members of the Board have completed the training.

As part of the process of familiarizing the Board with Commission rules, the Board chair invited ACCJC president Richard Winn to present and take questions from the full Board at its recent June meeting. Dr. Winn described the role of the Board in an accredited institution, particularly its role in academic oversight and monitoring the relationship between mission and strategy.

In its June meeting, the Board also adopted an addition to its bylaws, related to compliance with the rules of the commission. The amendment reads as follows:

The Board of Directors is committed to the delivery of high quality educational programs and services, in support of student learning and achievement. Therefore, the Board supports the continuous improvement process embraced by the Accrediting Commission and expects the president [e.g. Executive Director] to:

1. ensure that the corporation adheres to the Eligibility Requirements, Accreditation Standards and Commission policies and all other requirements of the Accrediting Commission of Community and Junior Colleges,
2. keep the Board informed of approved accrediting organizations and the status of accreditations,
3. ensure the Board is involved in any accreditation process in which Board participation is required, and
4. provide the Board with a summary of any accreditation report and any actions taken or to be taken in response to recommendations in an accreditation report.

(IV.C-4 PUP Bylaws, Article 14)

The Board AWG, in partnership with the Governance and Finance committees, continues to review the Board's responsibilities related to accreditation, and to plan improvements. These include developing a more comprehensive policy for evaluation of the full Board, as well as creating a formal policy governing the evaluation of the Executive Director.

### **Analysis and Evaluation**

The College Program meets the standard. Through its addition to the bylaws, the Board has directed the Executive Director to keep the Board informed of all developments related to accreditation and to involve the Board in all accreditation processes needing Board participation. The Board has also taken steps to educate its members in the rules of the Commission, and will continue to develop policies in support of the continued success of the College Program.

## **Conclusions on Standard IV.C. Governing Board**

The governing board of the College Program at San Quentin, and its committees, has appropriately established responsibilities for and authority over the institution as fully codified in its bylaws, handbook, and policies.

### **Improvement Plan(s)**

Two key areas are the focus of improvement related to I.C. are:

- 1) Implementation of the draft process recently adopted for the evaluation of the Board as a whole
- 2) Improvement of the process for evaluating the Executive Director

### **Evidence List**

IV.C-1 2019 Board of Directors Handbook  
IV.C-2 Board of Directors with bios  
IV.C-3 Monthly Board Report April 2019  
IV.C-4 PUP Bylaws  
IV.C-5 Current committee memberships  
IV.C-6 Checklist ED Annual Review  
IV.C-7 2018 ED Review Process  
IV.C-8 Board Accreditation Tracking  
IV.C-9 Board conflict of interest form  
IV.C-10 July 2018 Gov Committee Notes  
IV.C-11 March 2019 Gov Committee Notes  
IV.C-12 September 2018 Board Meeting Minutes, Packet re- Operating Reserve Policy  
IV.C-13 2019 Finance Committee Notes  
IV.C-14 November 2016 Gov Committee Notes  
IV.C-15 2017 Gov Committee Report  
IV.C-16 Board Minutes September 2018  
IV.C-17 PUP Board Evaluation Policy  
IV.C-18 May 2016 Gov Committee Notes  
IV.C-19 March 2017 Board Minutes  
IV.C-20 August 2016 AAC Agenda  
IV.C-21 June 2016 AAC Agenda  
IV.C-22 March 2018 AAC Meeting Notes  
IV.C-23 January 2017 AAC Meeting Agenda  
IV.C-24 August 2017 AAC Meeting Notes  
IV.C-25 November 2017 AAC Meeting Notes  
IV.C-26 I.B-4 Notes from the Board's faculty meeting  
IV.C-27 8:14:19 Board meeting minutes  
IV.C-28 Educational Effectiveness Handbook

IV.C-29 AAC Charge  
V.C-30 PUP Board Onboarding Checklist  
IV.C-31 PUP Board Offboarding Procedure  
IV.C-32 Template Board Member Assessment  
IV.C-33 July 2019 Gov Committee Notes  
IV.C-34 October 2017 Gov Committee Notes

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## **D. Multi-College Districts or Systems**

Not applicable

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# Quality Improvement Plan

The table below presents a detailed list of the improvement activities by Standard identified as a result of completing the Institutional Self Evaluation Report.

Identified Improvement Activities	Primary Responsibility	Timeline	Related Accreditation Requirement
Develop Student Complaint Policy; Publish in Student Handbook and on website	Program Team	Fall 2019	Student Complaints Regulation citations: 602.16(a)(1)(ix); 668.43.
<b>Standard I</b>			
Strengthen institutional systems and processes for data collection and analysis to better support institutional effectiveness and ensure mission fulfillment.	Academic Team / Operations Team, w/ Dr. Amy Lerman	Fall 2019 - ongoing	I.A.2
Form and engage Faculty Committee	Academic Program Director / Board Academic Affairs Committee	Fall 2019 (Finalize charges)  Spring 2020 (Recruit)	I.A.2 I.B.1 I.B.9
Update PLO Curriculum Map with CPSQ's new PLOs; implement PLO assessment plan. (EE Handbook)	Academic Team, w/Assessment Consultant	Fall 2019	I.B.2 II
Identify and map student service and co-curricular learning outcomes; build into assessment plan (EE Handbook)	Program Team, w/Assessment Consultant	Fall 2019	I.B.2 II.C.4

Continue to develop, refine, and implement assessment processes. (EE Handbook)	Academic Team, w/Assessment Consultant	Fall 2019 - Ongoing	I.B.2 I.B.4 II.A and II.B
Study barriers to completion in order to increase completion rates	Program Team	Spring 2020 - Ongoing	I.B.3 II.A.1
Set standards for course learning outcomes	Academic Program Director / Board Academic Affairs Committee	Fall 2019	I.B.3
Complete College Prep data audit and then set institutional standards for College Prep program	Operations Team / Academic Team	Spring 2020	I.B.5
Implement CPSQ's new Program Review process (EE Handbook)	Academic Team, w/Assessment Consultant	Begin 2019	I.B.5
Define further categories for disaggregation based on the college's unique mission and population	Academic Team, w/Dr. Amy Lerman	Begin Fall 2019	I.B.6
Complete Board review of PUP's expansion and reorganization plans	Executive Director / Board	Spring 2020; Fall 2020	I.B.7
Create a Center for Excellence to house institutional research and training	Executive Director / Board	TBD	I.B.7 IV.A.7
Communicate CPSQ policies and procedures clearly and comprehensively to students; explore other modalities besides class announcements and mailings	Program Team	Fall 2019	I.C.1 I.C.5
Update all outward-facing materials, including website and Student Handbook, to remove references to relationship with Patten University.	Communications	Spring 2020	I.C.1 I.C.13
Add a statement to outward-facing materials describing the College Program's current accreditation status	Communications	Spring 2020	I.C.1



with ACCJC, with reference to conformity with the Commission's Policy on the Representation of Accredited Status.			
Evaluate whether to update staff titles, and other organizational systems (e.g. changing domain name of the organization to .edu domain) to conform with the norms of higher education	Executive Director / Board	Spring 2020	I.C.13
<b>Standard II</b>			
Implement JSTOR's offline index in English 204, including necessary computing infrastructure and technical support	Program Team, w/Technology Consultant	Summer 2020	II.B.1
Implement systematic evaluation of library and learning support services (Educational Effectiveness Handbook)	Program Team / Learning Specialist, w/Assessment Consultant	Spring 2020	II.B.3
Implement systematic assessment of student support services (Educational Effectiveness Handbook)	Director of Student Affairs / Learning Specialist, w/Assessment Consultant	Spring 2020	II.C.1
Document validation of the writing and math assessments	Academic Team	Spring 2020	II.C.7
Complete review of the policies governing the integrity of academic program, including policies for student record requests, in order to ensure their clarity and availability to students	Academic Program Director / Academic Affairs Committee	Fall 2019	II.C.8
<b>Standard III</b>			
Create DEI Plan to increase diversity of teaching faculty	Academic Team	Develop plan Spring	III.A.1 III.A.12

		2020 - Ongoing	
Provide training to staff in Registrar functions and responsibilities; create Registrar position	Academic Program Director / Registrar Consultant	Begin Fall 2019	III.A.3 II.C.8
Provide additional tools and training to staff to prepare them to assume the remaining functions and responsibilities that had been performed by Patten.	Academic Program Director, w/ Registrar Consultant	Begin Fall 2019	III.A.3
Review and implement plan for organizational growth needed with independence	Executive Director / Board	2019	III.A.3
Adopt and implement a comprehensive student information system	Operations Team / Program Team, w/Registrar Consultant	(Selection) Sept 2019  (Full implementation) Fall 2019.	III.A.3 II.C.8
Review current performance review processes for improvement going forward	CFOO	Winter 2019	III.A.5
Evaluate volunteer faculty model and research the viability of transitioning to compensating instructors	Executive Director / Board	Spring 2020	III.A.7 III.D.1
Increase support of faculty in non-STEM credit courses, including course observations	Academic Team	Spring 2020	III.A.8
Continue to implement faculty DEI trainings	Program Team	Fall 2019	III.A.8
Provide faculty and staff professional development in assessment of student learning outcomes	Program Team, w/Assessment Consultant	NILOA assignment charette Fall	III.A.8

		2019; ongoing with implementa tion of EE Handbook	
Roll-out new model of faculty orientation and training over full weekend	Academic Team	Fall 2019 - Spring 2020	III.A.8
Pending Board approval of growth plans, strengthen oversight of the College Program through addition of Chief Academic Officer (CAO) and a Deputy Academic Program Director (DAPD)	Executive Director / Board	Fall 2019- Spring 2020	III.A.9 III.A.3
Develop internal capacity to carry out institutional research and learning outcomes assessment	Executive Director / Board	Fall 2019 - Spring 2020	III.A.9
Pending Board approval of growth plans, hire a full-time director of institutional research and a research assistant to oversee internal evaluation-related systems	Executive Director / Board	2020	III.A.9 - 10
Engage Consultant to support introduction of further technology into instructional programs and learning support services	Executive Director	Fall 2019	III.A.9 III.C.1 III.C.3 III.C.4
Pending Board approval of growth plans, hire additional development staff, including a development operations manager and an individual philanthropy officer	Executive Director / Board	DevOps: 2019  Phil. Officer: 2022	III.A.9 - 10 III.D.9
Develop further professional development opportunities for staff, including professional development related to organizational culture and diversity, equity, and inclusion	Executive Director	Fall 2019 - ongoing	III.A.12 III.A.14

Develop a technology plan that identifies the logistical, material, and human resources required for the introduction of a student computer lab, including staffing, space, infrastructure, regulatory and other CDCR considerations	Executive Director / Program Team, w/Technology Consultant	2019-2020	III.A.9 III.C
Establish evaluation and improvement process for financial and internal control systems	COO	Spring 2020	III.D.5
Develop comparison process for internally reported interim financial results to final audited external results and review any differences to assess the accuracy and validity of the reporting and projecting process	COO	Spring 2020	III.D.6
Transition to a model of securing funding for multiple years	COO / Development	2020	III.D.9
Continue to monitor and assess needs and grow donor base to secure larger grants and donations to enhance long-term financial sustainability	Development	Ongoing	III.D
Develop growth-oriented investment policies; implement as the institution begins to receive longer-term investment funds	COO	Spring 2020	III.D
Explore establishing an endowment	Development / COO	2020	III.D
<b>Standard IV</b>			
Develop more formal avenues for faculty participation in decision-making related to the academic curriculum as a whole	Academic Program Director / Board Academic Affairs Committee	Fall 2019	IV.A.2
Finalize faculty committee charges, including composition of committee	Academic Program Director / Board	Fall 2019 (Finalize charges)	IV.A.2 IV.A.3 IV.A.4

and governance functions, and recruit members	Academic Affairs Committee	Spring 2020 (Recruit)	
<p>Improve and diversify methods of communication, particularly with students</p> <p>First Watch will advertise student DEI committee recruitment as well as soliciting student involvement in the next academic conference</p>	Program Team	Fall 2019	IV.A.5
Provide Executive Director executive coaching and management training	Executive Director / Board Ad Hoc Org Development Committee	Fall 2019	IV.B.1
Reconvene the Board's newly reconstituted Academic Affairs Committee	Board	Spring 2020	IV.C.5 IV.C.8
Implement evaluation of the full Board per new policy	Board Governance Committee	2020	IV.C.10
Improvement of the process for evaluating the Executive Director	Board Governance Committee	Fall 2019	IV.C.3
<b>Other</b>			
Establish a Memorandum of Understanding with CDCR, to further articulate its authorization of PUP's operation of the College Program	Executive Director	Fall 2019	