



CSIS California School Information Services

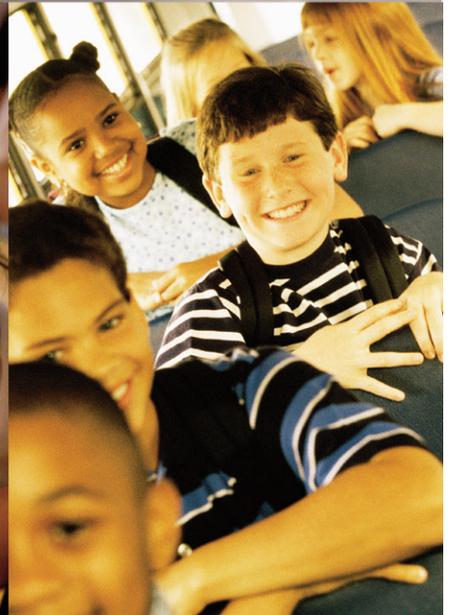
Madera Unified School District

Human Resources Review

January 14, 2013



Joel D. Montero
Chief Executive Officer





January 14, 2013

Anthony Monreal, Ed.D., Deputy Superintendent
Madera Unified School District
1902 Howard Road
Madera, CA 93637

Dear Deputy Superintendent Monreal:

In June 2012, the Madera Unified School District and the Fiscal Crisis and Management Assistance Team (FCMAT) entered into an agreement for a review of the district's human resources, personnel commission, risk management and technology programs and services. Specifically, the agreement states that FCMAT will perform the following:

Human Resources/Risk Management Component:

1. Provide a detailed report that demonstrates the current state of services and provide recommendations regarding the organizational structure, staffing, interaction and division of duties between the human resources, personnel commission and risk management (including the workers' compensation and property/liability programs) departments to support the District's needs.
 - a. Review documentation, including policies and procedures, and interview staff from the human resources, personnel commission, business and risk management departments to gather data regarding current practices, procedures and separation of duties. Additionally, the FCMAT team may interview other staff to determine the efficiency and effectiveness of services delivered.
 - b. Analyze the following items:
 - i. Impact of responsibilities required as a merit system district
 - ii. Status of relevant board policies
 - iii. Status of relevant procedures, including those between the personnel commission and business office
 - iv. Status of position control
 - v. Separation of functions and distribution of workload between the departments
 - vi. Adequacy of department staffing, including a review of job descriptions and a staffing comparison with districts of similar size and structure

FCMAT

Joel D. Montero, Chief Executive Officer

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- vii. The relationship and division of duties between the District and the California Risk Management Authority Joint Powers Association
- viii. Organizational placement of the risk management department within the District
- ix. Efficiency and effectiveness of service to school sites, other departments and employees

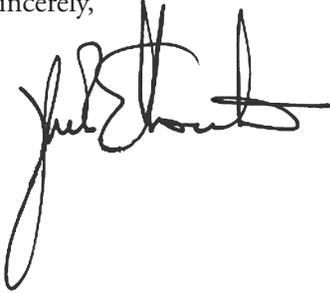
Technology Component:

1. Provide a detailed report that demonstrates the District's current state of technology and use, including hardware, software, professional development, departmental staffing and the use of technology, and provide recommendations to support the district's needs.
 - a. Interview site principals, instructional staff, department directors and classified staff to gather data regarding the type of applications and hardware utilized at the district. Review and analyze the technology master plan and make recommendations, if any.
 - b. Analyze the level of support for the following:
 - i. Network administration
 - ii. Website development and support
 - iii. Email support for district and site level staff
 - iv. Student attendance system
 - v. Financial reporting system
 - vi. Hardware installation and setup
 - vii. Application software used at district and site levels
 - viii. Technology in the classrooms
 - c. Review the job descriptions and staffing of the technology department, including any site level support and its impact on the technology department.
 - i. Review the district board policies on the use and integration of technology for district level and site based instructional strategies. Include any obstacles or barriers that prevent the use of effective technology.
 - ii. Based upon the support level required by the district's technology department, provide staffing comparisons of districts of similar size and structure.
 - d. Review the network design regarding safeguards of the data residing on the systems in the event of a catastrophic event or security breach. Review the network design for sufficiency to meet district's short term and long term plans, including the district and instructional action plan (DIAP).

This report contains the study team's findings and recommendations for the human resources/risk management component. Findings and recommendations for the technology component will be provided in a separate report.

FCMAT appreciates the opportunity to serve you and we extend our thanks to all the staff of the Madera Unified School District for their cooperation and assistance during fieldwork.

Sincerely,

A handwritten signature in black ink, appearing to read "Joel D. Montero". The signature is fluid and cursive, with a large loop at the end of the last name.

Joel D. Montero
Chief Executive Officer

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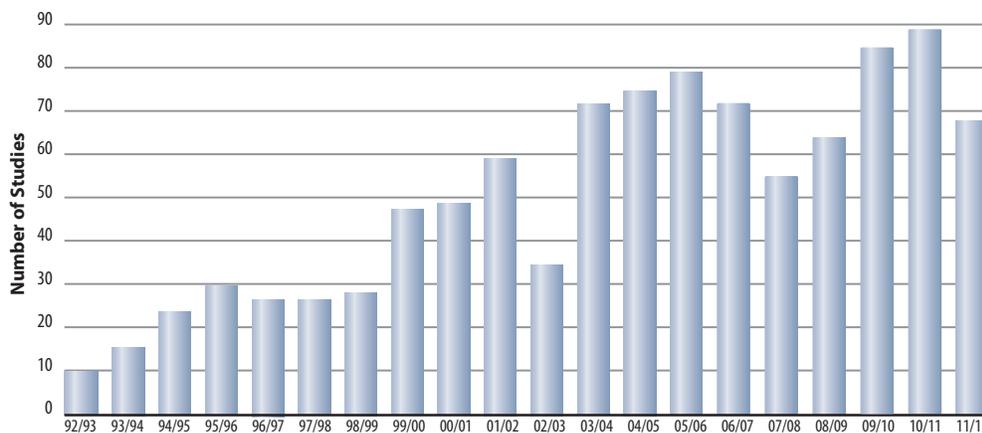
About FCMAT

FCMAT's primary mission is to assist California's local K-14 educational agencies to identify, prevent, and resolve financial and data management challenges. FCMAT provides fiscal and data management assistance, professional development training, product development and other related school business and data services. FCMAT's fiscal and management assistance services are used not just to help avert fiscal crisis, but to promote sound financial practices and efficient operations. FCMAT's data management services are used to help local educational agencies (LEAs) meet state reporting responsibilities, improve data quality, and share information.

FCMAT may be requested to provide fiscal crisis or management assistance by a school district, charter school, community college, county office of education, the state Superintendent of Public Instruction, or the Legislature.

When a request or assignment is received, FCMAT assembles a study team that works closely with the local education agency to define the scope of work, conduct on-site fieldwork and provide a written report with findings and recommendations to help resolve issues, overcome challenges and plan for the future.

Studies by Fiscal Year



FCMAT also develops and provides numerous publications, software tools, workshops and professional development opportunities to help local educational agencies operate more effectively and fulfill their fiscal oversight and data management responsibilities. The California School Information Services (CSIS) arm of FCMAT assists the California Department of Education with the implementation of the California Longitudinal Pupil Achievement Data System (CALPADS) and also maintains DataGate, the FCMAT/CSIS software LEAs use for CSIS services. FCMAT was created by Assembly Bill 1200 in 1992 to assist LEAs to meet and sustain their financial obligations. Assembly Bill 107 in 1997 charged FCMAT with responsibility for CSIS and its statewide data management work. Assembly Bill 1115 in 1999 codified CSIS' mission.

AB 1200 is also a statewide plan for county office of education and school districts to work together locally to improve fiscal procedures and accountability standards. Assembly Bill 2756 (2004) provides specific responsibilities to FCMAT with regard to districts that have received emergency state loans.

In January 2006, SB 430 (charter schools) and AB 1366 (community colleges) became law and expanded FCMAT's services to those types of LEAs.

Since 1992, FCMAT has been engaged to perform nearly 850 reviews for LEAs, including school districts, county offices of education, charter schools and community colleges. The Kern County Superintendent of Schools is the administrative agent for FCMAT. The team is led by Joel D. Montero, Chief Executive Officer, with funding derived through appropriations in the state budget and a modest fee schedule for charges to requesting agencies.

Introduction

Background

Located in western Madera County and incorporated in 1907, the city of Madera has a population of 61,416. The Madera Unified School District serves 19,936 students in kindergarten through grade 12 at 27 school sites, including independent study and charter school sites.

In June 2012 the district requested that FCMAT review its human resources, personnel commission, risk management, and technology programs and services. The study agreement specifies that FCMAT will perform the following.

Human Resources/Risk Management Component:

1. Provide a detailed report that demonstrates the current state of services and provide recommendations regarding the organizational structure, staffing, interaction and division of duties between the human resources, personnel commission and risk management (including the workers' compensation and property/liability programs) departments to support the District's needs.
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 - vi. Adequacy of department staffing, including a review of job descriptions and a staffing comparison with districts of similar size and structure
 - vii. The relationship and division of duties between the District and the California Risk Management Authority Joint Powers Association
 - viii. Organizational placement of the risk management department within the District
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Findings and recommendations from the technology component will be provided in a separate report.

Study Team

The study team was composed of the following members:

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*As members of this study team, these consultants were not representing their respective employers but were working solely as independent contractors for FCMAT.

Study Guidelines

FCMAT visited the district on September 17-19, 2012 to conduct interviews, collect data and review documents. This report is the result of those activities and is divided into the following sections:

- I. Executive Summary
- II. Organizational Structure and Staffing
- III. Job Descriptions and Assignment of Duties
- IV. Processes and Procedures
- V. Labor Relations
- VI. Appendices

Executive Summary

The Madera Unified School District Human Resources Department has experienced many changes in the last few years, including numerous staffing modifications and the creation of a merit system for classified personnel. Before May 2010, two directors managed the Human Resources Department, one for certificated personnel and one for classified personnel. In 2007, classified employees voted to create a personnel commission, and in 2008, the commission hired its first director of classified personnel. As the commission began to assume its responsibilities for classified personnel, the previous classified and certificated director positions were combined into the position of director of human resources and labor relations.

The merit structure is a system of laws in accordance with Education Code Sections 45240-45320 that provide for a method of managing classified personnel as well as selecting and retaining employees, promotional opportunities, training and other employment-related matters on the basis of merit, fitness and the principle of like pay for like work. This system is administered by a personnel commission, an independent body consisting of three people as authorized by the state to establish and maintain the district's position classification plan; adopt guidelines to analyze jobs; develop valid employment examinations; and establish rules and procedures to carry out classified personnel administration.

The district's Personnel Commission Office functions effectively. Although the personnel commission is fairly new to the district, it has strong systems and competent staff members. The office's scope of work and processes for implementation are comprehensive as written in the merit system rules. The processes are also well implemented, and the FCMAT study team observed strong working relationships among the personnel commission staff.

The commission has done a thorough job of reviewing, updating and approving job descriptions for most of the district's classified positions; however, descriptions for positions in the Human Resources Department, including those in the Personnel Commission Office and positions associated with the district's Technology Services Department, have yet to go through this same process. The personnel commission should focus on finalizing job descriptions for these positions.

The Human Resources Department lacks strong effective processes and procedures for managing routine operations, and there are considerable issues among the department's staff. The director has worked diligently during the first two months in the position to orient herself to the district, review department procedures and protocols, lead negotiations with the Madera Unified Teachers' Association, establish a working relationship with the personnel commission, and handle employee discipline, student discipline, and parent complaints. In addition to the teachers' association, the director also works with the California School Employees Association, the Madera Adult Educators Association, and Certificated Management Bargaining Association. The span of authority for this position is extremely broad increasing the difficulty in effectively addressing the need for focused departmental supervision, guidance and restructure. The leadership would benefit from an additional management-level position so that more time can be focused on the role of leadership, providing vision, communicating with sites and determining priorities for short- and long-term planning, separate from managing day-to-day operations and addressing departmental staff conflict. An additional management-level position to support the leadership would help balance the duties of this office.

The HR Department structure also has many individuals performing the same tasks. The district should consider restructuring options that promote teamwork, ensure proper segregation of duties and provide for the essential cross-training necessary to ensure that services are uninterrupted during an absence.

Several tasks in managing position control and processing payments to employees are conducted by staff members in the Human Resources and Business Services departments and are not properly segregated, weakening the district's internal controls. Proper segregation of duties in these areas is essential to strong internal controls and ensuring that managing information related to board-authorized positions and the employees hired for those positions is isolated from the payroll process.

Findings and Recommendations

Organizational Structure and Staffing

Under the Madera Unified School District's merit structure, the human resources operations are performed in two separate offices, the Personnel Commission Office (PCO) and the Human Resources Department (HR). As a result, the work is now separated by functions that are within the Personnel Commission Office's scope and all other human resources functions.

Personnel Commission Office

This office is managed by one part-time director of personnel (merit system). The merit system director has been at the district since the creation of the Personnel Commission Office and is very knowledgeable about the role and development of the merit system's rules. This position reports to a three-member personnel commission and is not under the jurisdiction of the district administration; however, there is a strong, respectful relationship between the merit system director and the district administration.

In addition to the merit system director, the Personnel Commission Office is supported by two full-time human resource technician II positions. The department is well-staffed considering the work required to establish the merit system. Once all job descriptions are updated and processes are implemented, a reduction of personnel commission support staff may be appropriate. Viable options may include reducing staff in the Personnel Commission Office through attrition as staff members retire in either the Personnel Commission Office or the Human Resources Department, and/or moving staff members to work for the HR department if they are needed to fill vacancies.

During interviews, some staff members outside the Personnel Commission Office questioned the validity of the district's merit system, and some indicated job offers were based on relationships instead of qualifications as well as raising other questions about whether established policies are followed. A lack of staff members' knowledge related to internal merit system processes and procedures may be the cause of these issues. One of the easiest ways of keeping employees informed is providing training to district management and staff about the merit system. Training will help facilitate understanding and openness regarding the merit system rules and processes among staff.

Human Resources Department

The Human Resources Department is a separate office that is responsible for managing all human resources functions that are not under the jurisdiction of the personnel commission. The department is managed by one full-time director of human resources and labor relations position. The director has been in the position since July 2012 and reports to the deputy superintendent. As a result of past restructuring efforts affecting the administration of the HR Department, the director of human resources' span of authority is extremely broad.

This director provides a key source of information and leadership and performs typical district personnel functions except for the tasks performed by the Personnel Commission Office. These responsibilities include employment recruitment and selection of certificated staff, employee retention efforts, implementation of employment procedures, assisting supervisors with evaluation and accountability measures, personnel policy development and administration, credential

monitoring, salary and benefit management, professional development coordination, district negotiations, and other personnel responsibilities.

Interviews with district staff members indicated they are confident of the director's ability to perform the responsibilities of the position and provide effective district leadership. Staff members described the director as easily accessible, especially in the evenings. However, they had concerns about whether this position could maintain accessibility and responsiveness and about the long-term sustainability of a single high-level position with so much responsibility.

Because of the size of the district and scope of responsibility, the Human Resources Department would benefit from an additional management-level support position to allow the leadership time to focus on providing strong, effective leadership and oversight of human resources functions. This position would provide vision, communicate with sites and determine priorities for short- and long-term planning that is separate from managing the department's day-to-day operations.

The department has a great need for focused supervision based on strained relationships among staff members. The magnitude of the district's human resources work requires daily oversight and guidance. The addition of one additional management-level position would give the department administrator a greater ability to focus on higher-level functions, including those that expose the district to liability, and daily routine duties that involve detail and require concentrated attention.

Establishing two levels of management in the Human Resource Department will help to efficiently guide daily operations and provide consistent management of the staff. Examples of this management structure include having an assistant superintendent of human resources and a director, or an executive director and a human resources manager. It will be important for both management positions to be outside the management union so they can participate in negotiations with the other unions. Higher-level management functions such as negotiations and policy development should be the primary responsibility of the department head, while the daily responsibilities and issues of the department staff management should flow through the lower-level position.

Once the Personnel Commission Office has established a solid foundation, including the finalization of all classified employee job descriptions and established departmental procedures, staff reductions will likely be appropriate and may be facilitated through a third alternative management structure. A third model would include increasing the current classified director position to full-time. This position would keep current responsibilities related to the classified personnel commission and have additional management responsibilities in the Human Resources Department such as classified personnel issues and/or staff supervision. This position could be designated as .50 full-time equivalent (FTE) classified director reporting to the personnel commission and .50 FTE human resources director reporting to an assistant superintendent of human resources or executive director. Under this organizational structure, support staff could be assigned duties that are currently under both the commission office and the human resources office, an approach that could help to build teamwork. Irrespective of the model chosen, clear delineation of authority will be essential to building positive staff relations and effective processes in human resource functions.

The division of duties between the personnel commission and other human resources functions effectively creates two human resources departments. Each department focuses on its own employee group, which allows them to run parallel to one another, but they do not always communicate effectively or operate as a team. The two departments could be more effective as one team under common leadership.

FCMAT interviews indicated the personnel commission director provided the Human Resources Department with guidance on processes and procedures for classified discipline; however, implementation of these processes has not always been timely and/or thorough, resulting in less than ideal results. This occurred because several levels of management contribute to a disciplinary strategy. Providing administrators with consistent advice to deal with unfamiliar disciplinary actions is an essential human resources function. It is important for site and department managers to receive a consistent message from the Personnel Commission Office and Human Resources Department, which is another example of why the district should consider combining the human resources classified and certificated functions under one shared management structure.

In addition to the director, the HR Department is staffed with the following support positions:

- One administrative assistant IV-confidential
- One human resources technician III-confidential
- Three human resources technicians II-credentials
- One human resources technician I
- One health benefit technician
- One risk management technician III

There is a great amount of dissension among the internal staff in the department and a lack of strong operational systems. Few human resources processes and procedures are documented, resulting in a lack of consistency in how employees conduct similar duties, including those associated with hiring activities. For example, it was noted during interviews that sometimes hiring takes place before all required approvals are obtained. Team building and ongoing training for the department staff is essential to ensuring newly developed procedures are consistently applied. The department's support personnel are articulate and knowledgeable about their assigned responsibilities; however, a focus on customer service is also important. Staff members should be cross-trained in key job functions to ensure that coverage is provided when employees are absent and the workload is heaviest.

The Human Resources Department's operational structure is ineffective. The development of the new structure should focus on re-establishing and assigning job duties, written operational procedures, and improving communication between staff members. The district should also consider the workflow between positions and establish responsibilities and goals for all department staff members.

The new structure should establish the framework for the leadership and delegation of duties and responsibilities for all staff members. The Human Resources Department has a vertical hierarchical structure in which most staff members perform the same duties and are assigned to serve specific schools and departments. As a result, staff members usually work within their specific areas and infrequently move outside them to collaborate or share information.

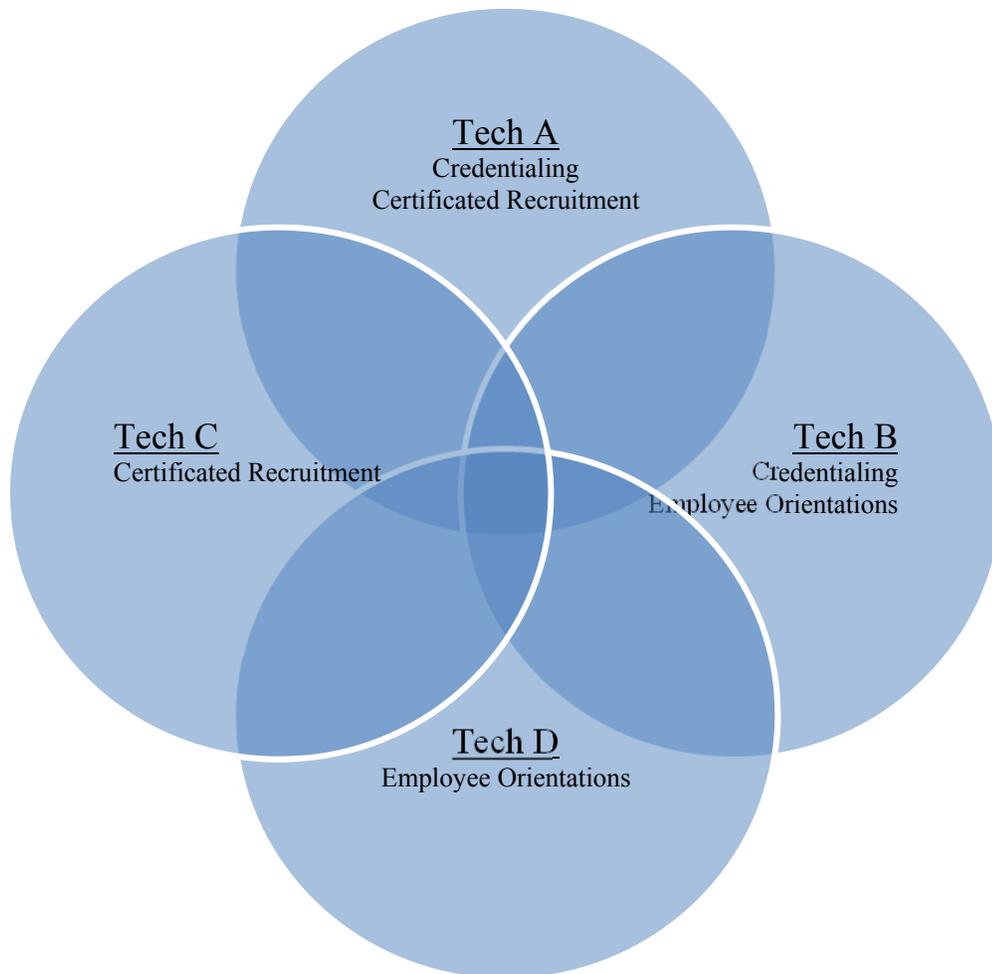
All human resources activities are coordinated and controlled through the staff member assigned to that school or department. This structure has the advantage of providing schools and departments with a single point of contact for handling all human resources matters, developing individuals with skills in a large variety of tasks, and ease of supervising and managing accountability. However, strict adherence to this model contributes to employees working in isolation from one

another, can restrict communication between staff members, and creates a focus on individual roles instead of departmental goals.

The current structure has too many individuals performing each human resources function, the details of which will be discussed later in the report. The district should consider moving to a more horizontal model that emphasizes teamwork and facilitates adaptation to changing workloads. In developing this model, the district should consider the skills of existing personnel.

More than one employee should be trained in each function. When staff members are absent, another staff member should be able to perform those duties. While all human resources employees have experience in and knowledge of other job duties, little or no cross-training has occurred in some of the key functions, including those duties associated with staffing projections, management of seniority lists, hiring process, absence tracking, employee pay modifications, risk management, and benefits management, and this could place the district at risk. Inadequate cross-training is often a problem even in the largest education organizations. Creating partner teams and redistributing duties among them will help the district provide for increased workload sharing, and create additional cross-training opportunities. This would also improve customer service.

The district should establish fluid teams as demonstrated in the following diagram:



In this example, a team of human resources technician IIs (i.e. technician A and B) can share the function of credentialing. One technician (technician A) can work with another human resources technician II (technician C) on certificated recruitment while the other (technician B) works on employee orientations with another (technician D). This model requires an experienced and knowledgeable staff. Workload can be better managed since each two-person team is responsible for a major function in the department. Staff responsibilities can be adjusted to accommodate the workload between those two individuals, and another team member is available to assist when a staff member is absent. The benefits of this structure include improved communication and a greater focus on specific areas of expertise.

Job Descriptions and Assignment of Duties

FCMAT also reviewed support staff job duties in the Personnel Commission Office and Human Resources Department. This included reviewing district job descriptions, conducting on-site observations and interviewing staff, personnel commission members and administration.

Many of the district's human resources job descriptions do not accurately identify responsibilities and duties. Although the personnel commission and the district governing board have reviewed, updated and approved job descriptions for most classified positions, the job descriptions of positions in the human resources occupational grouping were not included. Human resources job descriptions should also be reviewed, updated and approved and should be specific about the duties of each position.

Except for the management structure, staffing levels in the HR Department appeared reasonable. The district could improve the department's overall efficiency and effectiveness by reorganizing the structure and reassigning job duties among current staff members. Once the structure has been established and clear procedures for the Human Resources Department are implemented, the district may find that reducing staff is appropriate.

Human Resources Office

FCMAT's review of the job descriptions for the Human Resources Department, as well as interviews with human resources staff, found that several tasks could be more efficiently accomplished by others. Based on Human Resources Department needs, the district should maintain current staffing, but consider reassigning some duties to and from other departments and among the current human resources staff. Reasons for reassigning duties include that job duties do not match the level of expertise for the position and/or are not placed in the proper department to ensure proper segregation of duties and/or internal controls; the division of labor is disproportionate; or cross-training is needed to provide improved customer service.

Administrative Assistant IV-Confidential Human Resources and Human Resources

Technician III-Confidential: In examining the job duties of the administrative assistant to the director, FCMAT identified several routine tasks that would be more appropriately assigned to the human resources technician I position. These duties include the following:

- Ordering supplies for the department
- Distributing mail
- Mailing separation notices
- Making copies for staff

The Human Resources Department has two positions designated as confidential, the administrative assistant to the director and the human resources technician III. However, interviews with staff members and an analysis of job descriptions indicated that the human resources technician III does not have access to the employer's confidential collective bargaining information and is not responsible for developing or contributing to employee-employer labor relations. This position does not require access to information developed during the collective bargaining process, take or maintain notes in bargaining sessions or strategy sessions, or type and maintain drafts of bargaining positions.

Districts commonly assume that a position should be confidential if it has access to information that the public cannot or should not view such as some parts of personnel files. Under Government Code Section 3540.1, a position is confidential if it has access to the employer's collective bargaining information. An employee holding such a position cannot belong to any bargaining unit. Government Code Section 3540.1(c) defines confidential employee as "an employee who is required to develop or present management positions with respect to employer-employee relations or whose duties normally require access to confidential information that is used to contribute significantly to the development of management positions." Therefore, the district should reclassify this position to represented because its duties do not require a confidential designation.

In addition, the human resources technician III is assigned the same job duties as the human resources technician II. The job description for this position indicates that it is responsible for "broad and varied technical and clerical functions related to human resources." As mentioned earlier, a more complete job description should be written to capture the duties more specifically. Since this is a higher classification with increased salary, it would be appropriate to assign it with work that requires a more complex or broader range of responsibilities than the human resources technician II.

During interviews, staff members indicated that the human resources technician III position has been assigned lead responsibilities in the past; however, nothing in the job description indicates that this classification has these responsibilities. This position should not be assigned duties that imply a lead status, but instead should perform work that requires knowledge, skills, and abilities matched to the level of the classification. Examples of these tasks include the management of employee stipend payments, employee absence tracking and absence verifications, employee leaves including tracking and notifications, workers' compensation, medical coordination such as fitness for duty exams, risk management support tasks, and the tracking of employees requiring reasonable accommodations.

The distribution of some of these duties is inefficient and does not follow industry standards. For example, payments for extra-duty stipends should be managed by the Human Resources Department to ensure they are assigned to appropriate qualified employees and are properly approved in the collective bargaining agreement and/or by the governing board. Once all proper assignments and approvals are obtained, the department should provide the payroll office with a written directive to pay the employee based on the agreed-upon payment terms. The payroll office's functions should always be preceded by formal written directive from the Human Resources Department. This would also include any adjustment to an employee's compensation based on the exhaustion of leave balances. This system establishes a system of checks and balances that provide for strong internal controls. Lastly, this position should work closely with the risk management technician III in conjunction with any reassigned duties related to employee leaves and/or compensation.

Human Resources Technicians II-Credentials: Most day-to-day work is performed by the three human resources technician II positions. The human resources technician II classification should continue to be responsible for most of the department's day-to-day tasks except those noted earlier under the administrative assistant to the director and the human resources technician III position.

Health Benefit Technician: The benefit technician position is solely responsible for administering employee health benefits and voluntary deductions. Under the recommended new structure, the district would reclassify the health benefit technician as the human resources technician

II and cross-train another human resources technician II in the benefits function. Cross-training is essential to ensuring the continuity of services in an employee absence. This position collects employee health benefit elections as well as other authorizations for voluntary payroll deductions and directly enters those elections into the payroll screens for that employee. This is a weakness in the segregation of duties between HR and payroll functions. Obtaining employee health-care elections and authorizations for payroll deductions are appropriate activities of the Human Resources Department and should be the foundation for providing authorization to the Payroll Department for processing actual employee payroll. This again establishes a segregation of duties, a system for checks and balances and increased internal controls.

Additionally, the payroll staff should enter all individual employee deductions into the payroll system including those associated with health and welfare benefits and other voluntary payroll deductions; therefore, this duty should be reassigned to the Fiscal Services Department.

Human Resource Technician I: The human resources technician I greets members of the public and guides them to the proper contact in the Human Resources Department; trains new substitutes on the Sub-finder online system; forwards substitute documents to payroll; processes paperwork for coaching assignments; collects and forwards employee doctor notes to the proper party; processes Employee Development Department (EDD) claims; maintains classified seniority lists; and helps technicians with items that must be included in the governing board meeting packet. This position sometimes performs duties that involve sensitive information such as maintaining the seniority lists and would be more appropriately assigned to the human resource technician II classification. As discussed previously, the administrative assistant's lower-level tasks would be more appropriately placed at this classification.

Risk Management Technician III: As changes in administration occurred over the last several years, the responsibility and oversight for risk management has shifted between the Business Services and Human Resources departments. These duties are now under the director of human resources and are supported with one full-time risk management technician III position. Among this position's primary responsibilities are conducting investigations of all workplace injury claims, providing support and training for district personnel in workplace safety, and acting as the primary liaison with the district's joint powers authority for workers' compensation and property/liability insurance matters.

Effective risk management programs involve monitoring workplace conditions and taking action to minimize the potential for employee injury, liability, and damage or loss to district property. The primary focus of risk management activities is workplace injuries and property loss and/or liability damage claims. While many parts of the claims process are handled by an outside agent or third-party administrator, many districts have positions dedicated to processing insurance claims, assessing risk, regulatory compliance, and many other responsibilities related to risk management.

The risk management technician developed several processes for managing routine tasks including tracking and monitoring the status of all active workers' compensation claims, administering temporary and modified work assignments, and coordinating the interactive process for workers' compensation cases with employees and supervisors. The technician spends much of her time processing the paperwork required for workplace injury claims administration.

A growing area of risk management for the district is coordinating the interactive process, an aspect of the Americans with Disabilities Act (ADA), which requires employers to reasonably accommodate the disabilities of their employees so they can continue to work. According to the

implementing regulations, reasonable accommodations are to be determined by what is termed an “interactive process” where the employer analyzes the job of a disabled or injured worker to determine its purpose and essential functions and to identify potential accommodations so the employee can perform the job duties. The employer then assesses the employee’s effectiveness with the accommodations to determine whether they place undue hardship on the employer or employee.

The interactive process can be complex. While it is used in administering ADA cases or nonwork related injuries, it has also become an important part of managing work-related injuries under workers’ compensation. The risk management technician indicated that while she assists with the interactive process for work-related injuries, she is unsure who is responsible for administering this process for ADA cases at Madera Unified or who maintains the records.

Strict adherence to the ADA rules and procedures involving the reasonable accommodation of disabled workers, and comprehensive record keeping, is critical in case a lawsuit is filed against the district. A designated position is necessary to ensure that the administration of ADA claims is appropriately managed, including the processing of all legally required forms, recordkeeping for the claims, tracking of case process and accommodation, and the facilitation of the interactive process.

Many current risk management processes, including tracking and monitoring the status of all active workers’ compensation claims, administering temporary and modified work assignments, and coordinating the interactive process for workers’ compensation cases with employees and supervisors, are also managed completely by the risk management technician, and no other district employees are trained to back up or support this role. Cross-training another employee for these processes is essential to ensure continued service in the absence of the risk management technician. It is also critical, particularly with the lack of cross-training, that the district develop a risk-management manual that outlines all the guidelines for workers’ compensation claims, modified work assignments, and interactive processes. The manual should also include all the forms required or used for ADA claims, workplace injury, student accident, and property damage, and the instructions needed to complete them. This manual, which should be annually updated, would be the main source for the risk management technician and function as a reference source for school sites and personnel throughout the district who are involved in reporting injury and damage.

Districts commonly allow employees to occasionally work outside their classifications and receive additional compensation when these duties have been performed for a specific period of time. Employees are compensated according to the collective bargaining agreement and the Education Code. However, problems can arise when an employee regularly works out of his or her classification. Interviews with staff members found that Human Resources Department employees are frequently allowed to work outside their classifications’ scope, causing confusion among the staff about the roles and responsibilities of individual employees or positions. The director should establish defined staff roles, communicate responsibilities, and require adherence to updated job descriptions. These responsibilities will need to be closely monitored until the lines of authority and responsibility are accepted.

Staffing Comparisons

FCMAT obtained data from four California merit-based school districts with enrollments similar to the Madera Unified School District. Enrollment numbers are based on certified enrollment counts submitted by districts in California Longitudinal Pupil Achievement Data System

(CALPADS) reporting for the 2011-12 school year, which was accessed through Ed-data (www.ed-data.k12.ca.us).

FCMAT initially reviewed website information for each district surveyed; however, this data may not accurately reflect changes in departmental staff or include all positions and provides a position count instead of full-time equivalent (FTE). Therefore, FCMAT contacted each surveyed district to obtain and verify the accuracy of data presented. Staffing information presented below for each district represents actual open, active position FTE (not a “head count”). The number of positions included in the comparison does not include positions that are not actively open and staffed.

The table below shows comparison districts and their 2011-12 student enrollment.

Enrollment of Comparison Districts

District	Enrollment
Antioch Unified	19,081
Pajaro Valley Unified	19,545
Madera Unified	19,576
Simi Valley Unified	19,933
Oceanside Unified	21,081
Average	19,843

Although comparable information is useful, it is not the only measure of appropriate staffing levels. Because California school districts are complex organizations and vary widely in demographics and resources, they should be carefully evaluated when reviewing the results of the comparisons. Generalizations can be misleading if significant circumstances unique to each district are not considered.

In selecting comparative districts, the following factors were considered:

- Grade-level configurations
- Merit structure
- Enrollment

A full summary of results from the comparison districts is attached as Appendix C to this report.

The Madera Unified School District’s human resources staffing levels are comparable with those of districts of similar size and structure. The table below lists the total number of district employees and human resources staffing levels including those of the personnel commission office.

Districtwide Employees to Human Resources Department FTE

District	Total Number Employees Districtwide	Human Resources Department Management & Support FTE	Districtwide Employees / Human Resources FTE
Antioch Unified	1654	15	110.27
Madera Unified	1683	13	129.46
Oceanside Unified	1730	13	133.08
Simi Valley Unified	1904	13	146.46
Pajaro Valley Unified	2933	14	209.50
Average	1981	14	145.65

Although the total number of positions supporting human resources functions is comparable with other districts, this does not in and of itself ensure that the types of positions and/or distribution of duties provide for effective delivery of services.

Recommendations

The district should:

1. Train the staff on the merit system's rules and processes.
2. Establish two levels of management in the Human Resources Department, one focusing on higher-level management functions such as negotiations, policy development and primary departmental management, and the other for daily departmental staff management. The district should consider staffing structures with following positions as listed in this report.
 - An assistant superintendent human resources and a director of human resources
 - An executive director human resources and a manager of human resources
 - An assistant superintendent human resources or executive director of human resources and a director of human resources (.5 FTE) and merit personnel (.5 FTE)
3. Plan for staffing reductions in the Personnel Commission Office through attrition as staff members retire or leave the organization or through the restructuring that results from combining the HR Department and personnel commission offices.
4. Create a new departmental structure with cross-functional teams, defined job duties and goals for all departmental staff. The district should develop partner teams and redistribute duties among staff members to provide for increased sharing of workloads, create additional cross-training opportunities and improve customer service.
5. Establish written internal processes and procedures for the Human Resources Department and provide the staff with regular training to ensure consistent application and help build teams.
6. Update the human resources job descriptions to include the specific duties of each position.
7. Reassign routine clerical tasks from the administrative assistant IV-confidential human resources to the human resources technician I.
8. Reclassify the human resources technician III position as a position represented by the collective bargaining unit because its duties do not require a confidential designation to comply with Government Code section 3540.1. Assign the human resources technician III position work requiring more knowledge, skills and abilities, without implying lead status. The district should consider reassigning duties to this position related to the following:
 - Managing employee stipend payments

- Tracking and verifying employee absences
 - Handling employee leaves including tracking and notifications
 - Performing risk management support tasks including those related to workers' compensation, medical coordination such as fitness for duty exams, and tracking of employees requiring reasonable accommodation. The position should work closely with the risk management technician III on these tasks.
9. Review the practices managed between the Business Services and Human Resources departments and ensure that all employee payments are preceded by formal written directive from the latter department. The duties related to extra duty stipends, tracking employee leaves, and calculating adjustment to employee compensation should be managed by the Human Resources Department. HR should provide written authorization for payment to the Business Services Department to substantiate the processing of all payments to employees.
 10. Reclassify the health benefit technician to a human resources technician II and cross-train another human resources technician II in the benefits function.
 11. Reassign the duties of entering individual employee health and welfare benefit and voluntary payroll deductions into the payroll system to the payroll staff in the Business Services Department.
 12. Reassign duties involving sensitive or complex information from the human resources technician I position to the human resource technician II classification.
 13. Cross-train the Human Resources Department staff and assign backup support for the risk management technician III position that ensures services continue during an absence.
 14. Develop a risk-management manual that outlines all the guidelines for workers' compensation claims, modified work assignments, and interactive processes.
 15. Closely monitor the staff's roles and responsibilities to ensure adherence to updated job descriptions and acceptance of lines of authority and responsibility.

Processes and Procedures

During FCMAT's fieldwork, district-level administrators agreed that each department functions in isolation and with little knowledge of what other departments do. As a result, individual employees have developed informal, unwritten systems that the new administration is working to revise, define, and/or dismantle.

Of particular concern are hiring practices, employee discipline, the general operations of the Human Resources Department, coordinated efforts with other departments, the interrelationship between the governing board and the personnel commission, and labor relations.

Certificated Personnel Hiring Procedures

Hiring practices for certificated personnel have historically been perceived to be inconsistent and cumbersome, resulting in perceptions that employees are hired based on who they know instead of instructional knowledge.

FCMAT interviews indicated that there may be concerns that these practices may not be legally defensible, and the belief that the district has not hired the best qualified, most effective candidates.

Those interviewed generally agreed that the responsible administrator (known as the hiring authority) submits the appropriate form to his/her immediate supervisor when there is a vacancy. However, there are inconsistencies in the next steps of the process.

Staff interviews indicated that HR technicians were sometimes asked to post a position before the director of human resources approved it and before the staff member responsible for position control, a position in the Business Services Department, verified that sufficient fiscal resources were available. Other times, the vacancy was submitted to the superintendent's cabinet for approval prior to posting. The posting of open positions was recently limited to certain days of the week instead of whenever a vacancy is approved.

The Human Resources Department should consistently manage a standardized approval process for soliciting applicants. All positions should be approved by all parties as indicated on the district's employment recommendation/request form, otherwise referred to as the "long form," and entered into the district's position control system before the hiring process is initiated. This process is detailed later in this report. When a vacancy is posted, the HR Department advertises the position through Ed-Join, an online service for job seekers and employers that is commonly used by educational agencies throughout the state.

The collective bargaining agreement with the Madera Unified Teachers Association (MUTA) requires vacancies to be posted for five days. If applicants include unit members and qualified outside applicants, the agreement also requires vacancies to be filled based on the following criteria:

1. Applicants meet minimum qualifications for the position
2. Applicants' training, skills, and experience as related to the position
3. If the above factors are equal, district seniority is the determining factor
4. Unit member status

The agreement also states that, in cases involving voluntary transfer, principals at schools ranked in deciles 1-3 on the Academic Performance Index have the right, according to the Education Code, to refuse a transfer. Site principals noted that typically, full-time positions are filled by transfer candidates, an employee who has been laid off, or a temporary teacher. The principals of schools in deciles 1-3 schools only recently became aware of the option to refuse a transfer.

District-level administrators perceive that principals have great latitude when hiring certificated staff, resulting in wide variations in practice, and they believe hiring may not be fair or unbiased. Examples include variations in how positions are approved and posted, the criteria used to select candidates to interview, how interview committees are formed, and how interview questions are developed. Several constituent groups indicated that the criteria for being interviewed and hired appear to be a result of who the candidate knew instead of the candidate's instructional and educational knowledge. As a result, some are concerned that the district's hiring practices may not be legally defensible or result in high-caliber employees.

Principals previously were authorized to interview applicants, and they reviewed the candidates' applications on Ed-Join; however, this process could take up to two weeks since each posted position typically had 50 to more than 300 applicants. Once the principals determined who to interview, they submitted the names to HR so the technicians could verify that the applicants' credentials met requirements.

Because of the previously mentioned concerns, the district administration recently required principals to form site screening committees composed of an administrator, teacher, and classified staff. Since the committee is required to screen candidates as a group, this has slowed the process. In addition, the site staff prints paper copies of each candidate's application instead of completing the screening online. This process could become expensive because teachers will need to be paid to serve on the committee during summer vacation, when vacancies typically need to be filled.

The packet for conducting certificated interviews consists of the following forms:

- An applicant paper screening
- An interview schedule
- An acknowledgement of confidentiality
- A progressive ranking table
- The recommendation of candidate
- A reference check

The applicant paper screening form is used to delineate the criteria used for paper screening and the point value assigned to each candidate for the specified criteria. The progressive ranking table is used to rank candidates during the interview process. HR technicians provide this packet to site administrators.

Centralizing some of the selection processes would be effective for several reasons. If the district develops a common philosophy about excellent teaching, a centralized paper-screening process could include the experiences, educational background, or answers to supplemental application questions that best align with that philosophy. A centralized screening process performed by the Human Resources Department could also decrease the amount of time principals and committee members spend reviewing applicant submissions that do not meet the minimum qualifications.

The screening system also does not ensure all certificated applicants are provided with an equal opportunity. Interviews indicated that school site principals have implemented a variety of screening and selection processes. A centralized process that provides a pool of qualified and prescreened applicants to the site administrators would provide more equity. A site committee could then select candidates to interview, using a district-developed process to ensure all candidates met the minimum qualifications. The current process also does not ensure that the interview process used at the sites is fair regarding the types of questions asked, the similarity of questions for all candidates, and the performance assessments or composition of the interview panel.

The district also has an inconsistent practice for conducting candidate reference checks and employment offers. Establishing common procedures and processes and ensuring all staff members responsible for parts of the hiring process are adequately trained and held accountable for adhering to procedures will increase consistency, efficiency, openness, and protect the district.

Recommendations

The district should:

1. Strengthen hiring processes so that they ensure and clearly demonstrate fair, unbiased, and legally defensible practices that result in high-caliber employees.
2. Strengthen the process for soliciting applicants for approved, open positions managed in the position control system and ensure that it is consistently applied.
3. Establish a centralized preliminary selection and screening process to provide for a systematic and consistent hiring process. The district should start preliminary candidate screening in the HR Department before the principal and site committee reviews the candidate pool to increase the consistency of screening and limit the number of applications to review.
4. Develop a list of potential formal-interview questions that are specific to the positions and reflect the district's philosophy and goals.
5. Develop written interview protocols that include composition of interview panels and require the same questions to be asked of each candidate.
6. Ensure that approved reference-checking documents are used consistently and maintained on file for each finalist.
7. Train all staff members who conduct interviews in the processes and procedures for hiring.
8. Establish a system of accountability for adhering to the procedures.

Classified Personnel Hiring Procedures

The personnel commission manages the hiring of classified employees. The process for establishing eligibility lists and providing candidates to the hiring authority is outlined in the commission rules. During FCMAT's fieldwork, interviews with employees indicated that commission rules regarding interviews are followed. When panels convene to interview candidates for eligibility lists, they receive a three-page document outlining their responsibilities and the guidelines for rating candidates. Some employees expressed concern that the process for creating eligibility lists does not include a method of screening out prospective employees with criminal records or of considering employment history.

The commission rules list reasons for disqualifying applicants including conviction of a sex or narcotics offense and any other type of criminal conviction that it is sufficiently serious. The commission rules delineate factors that must be considered in determining whether a criminal conviction disqualifies an applicant. In addition, the rules state that candidates may be disqualified if they were dismissed for cause from other employment or from the district.

During FCMAT's fieldwork, some site administrators indicated they did not understand how it was determined when they would be allowed to interview candidates for open positions at their site or when an existing employee would be transferred to/or placed at their site. Commission rules and the collective bargaining agreement with the California School Employees Association (CSEA) state that employees who are on a re-employment list because of a reduction in force have the right to be re-employed with preference over new applicants; however, employees may not be aware of this. As a result, some administrators and employees perceive the placement process to be arbitrary and confusing. Clearly communicating employment actions and explaining requirements will help change misperceptions among staff.

During FCMAT's fieldwork, employees expressed concerns about the quality of the candidates on the eligibility list, including some potential employees who did not appear to have the minimum required skills. Some employees perceive that the merit system was voted in because the classified staff was dissatisfied with a system based on who the candidate knows instead of actual skills, abilities, and qualifications, and this perception has continued even after the commission was formed. Some comments indicated some departments are unable to hire well-qualified candidates because they were not on the commission's eligibility list, while candidates perceived to be less qualified received jobs. Employees interviewed by FCMAT generally seem to lack an understanding of commission's rules and regulations for creating eligibility lists and therefore seem frustrated by the results. Districtwide training on the commission's processes and authority may help change these misperceptions.

The commission director stated that using performance testing in addition to the written examinations would improve the process for creating eligibility lists. Performance testing would allow candidates to demonstrate their skills and abilities to perform the basic functions of any job for which they apply. Such examinations are permitted under commission rules.

The classified interview packet provided by the commission to the hiring authorities consists of the following forms:

- Applicant paper screening
- An interview schedule
- Acknowledgement of confidentiality
- Recommendation of candidate

- A progressive ranking table
- A classified reference check

Once the hiring authority has selected a candidate, the recommendation is sent to the commission's director who forwards it to HR, which is responsible for hiring and processing the candidate for employment. This work is handled by the HR technician assigned to process employees for the hiring authority's school site or department.

Recommendations

The district should:

1. Ensure that the commission's rules regarding criminal convictions and employment history are followed.
2. Include in communication regarding employment actions explanations of why the action is required.
3. Provide districtwide training on the commission's processes and its authority.
4. Improve the process for establishing eligibility lists by including performance assessments.

Employee Discipline

FCMAT interviews with employees found that they are concerned about the consistency and fairness of employee discipline. Administrators were to use the FRISK (facts, rules, impact, suggestions, knowledge) documentation model, but some perceive that the process may not be effective.

Routine evaluation of employee performance is essential to ensure all employees are held accountable for their assigned duties at an accepted standard level of performance. These standards should be clearly communicated to employees, administrators and union leadership. When an employee does not meet the minimum performance standards and/or other disciplinary action is warranted, the supervisory staff should take appropriate action.

Board Policy 4118 and its accompanying administrative regulations govern certificated employee discipline; Board Policy 4218 and its administrative regulations govern classified employee discipline. These regulations were last revised in December 2011. In addition, the collective bargaining agreement with the California School Employees Association (CSEA) documents the disciplinary process for classified employees.

FCMAT was provided with a copy of the collective bargaining agreement for the period July 1, 2009 through June 30, 2012, as revised in September of 2010. Section 18.3.9 of the CBA indicates that the decision of the governing board in classified disciplinary matters is "final and conclusive." FCMAT was also provided with a copy of the Personnel Commission Rules. The commission rules state that the commission has the final decision on employee disciplinary action, which conflicts with the language in the collective bargaining agreement that indicates this is the responsibility of the governing board. The commission rules state in Chapter 1.1.1.2, "The Rules shall not apply to bargaining unit members if the subject matter is within the scope of representation, as defined in sections 3543.2 of the Government Code, and is included in a negotiated agreement between the Governing Board and the unit." Chapter 10 of those rules pertains to classified discipline and section 10.5.22 indicates that the governing board

shall comply with the commission's decision in disciplinary matters. However, at the beginning of Chapter 10 is the following note: "CSEA Bargaining Units - Refer to Article XVIII of the Collective Bargaining Agreement." Although this appears to indicate an intention by the commission to have the CBA apply, the attorney for the district agrees that this language in the commission rules is misleading and cannot be so interpreted.

Accordingly, FCMAT concludes that with the district and the commission's agreement that the final decision in disciplinary matters rests with the commission, documents should be revised as necessary to conform to this concurrence and to the Education Code, and that any indication to employees to the contrary be corrected.

Recommendations

The district should:

1. Implement the district's policies, regulations and the collective bargaining agreement's language regarding discipline. The HR director should be closely involved with all employee discipline issues as well as guide and assist administrators in performing employee disciplinary duties.
2. Communicate to employees, administrators, and union leadership the expectations and standards for all employees.
3. Provide administrators and other managerial staff with ongoing professional development on how to hold employees to professional standards of performance, employee evaluation, and progressive discipline.
4. Revise documents as necessary to conform to the district and personnel commission's concurrence and Education Code regarding disciplinary matters and ensure any misperceptions are corrected.

General Operations Human Resources Department

A standard calendar of human resource responsibilities with time lines for specific duties and the staff members responsible for each duty is important in ensuring all functions are completed. A sample calendar is attached as Appendix A to this report. A new internal functions chart should also be developed to allow for more team-building and cross-training, and a sample chart is attached Appendix B. A departmental contact list that identifies the appropriate staff contact(s) for each area of responsibility will be important for staff members outside the department to communicate a new departmental structure. Because managers expressed appreciation for the current vertical HR Department structure, it will be important to explain the advantages of the new structure in the areas of staff expertise and accessibility, even during staff absences. The staff should also discuss how to maintain continuity with customers who may call a staff person no longer responsible for a particular function.

The district lacks internal written processes and procedures for staff assignments and/or human resources tasks, also referred to as desk procedure manuals. Staff members expressed many concerns about the lack of written operating procedures and staff training. Internal processes and procedures for human resources staff can provide guidance and organizational continuity in case of employee turnover. Desk procedure manuals provide written guidance that includes step-by-step procedures for each job duty to ensure proper internal controls, consistency in conducting tasks, and provide a clearer understanding of each position's responsibilities. These documented

procedures also help those completing necessary functions when the employee normally assigned to a particular duty is absent. Making these policies and procedures available on a common human resources network drive provides for ease of access and update.

The Human Resources Department does not have written annual goals and objectives for the district's human resources operations. These should be developed annually and cover the department's general functions such as policies, legal compliance with state and federal laws, employee selection procedures, the orientation system, staff in-services, personnel files, job descriptions, staffing formulas, anti-discrimination policies and staff development activities.

Professional development opportunities and training activities focused on human resources will help employees gain or broaden depth of knowledge in their areas of expertise. Further, continuing professional education is essential to ensure that employees' understanding of changes in law and industry best practices are current. Training opportunities are offered by the County Office of Education, the California Commission on Teacher Credentialing (CCTC), the Association of California School Administrators (ACSA) Personnel Institute and Personnel Academy, the Cooperative Organization for the Development of Employee Selection Procedures (CODESP), and the Education Job Opportunities Information Network (EDJOIN). Increasing communication and building relationships and collaborating with other human resources professionals would also benefit the department and district.

Recommendations

The district should:

1. Develop standard annual and monthly calendars and accompanying lists for recurring human resources activities and responsibilities. These should include time lines for specific duties and the staff member responsible for each duty.
2. Develop an internal human resources functions chart that includes cross-functional teams for each major area of responsibility.
3. Create a contact list for the HR Department that identifies the appropriate staff contact(s) for each area of responsibility.
4. Create individual desk manuals or a common shared drive for storage of procedures.
5. Draft written annual goals and objectives for guiding and directing the district's human resources operations.
6. Provide the district staff with professional development workshops, including training on mandatory compliance.

Coordination with Other Departments

A district administrative office's individual departments should work well together. To increase district effectiveness and efficiency, systems should be developed and implemented that require departments to work cooperatively and coordinate their work.

During interviews, the FCMAT observed a lack of collaboration between the Human Resources Department and the Personnel Commission Office. Although the personnel commission staff reported that these two entities work well with one another, there were indications of a lack of

communication between their staffs. These two offices are unavoidably linked and must work closely together to create a sound human resources system.

Regular informal monthly meetings between the staff members of these two offices would improve communications, help resolve any issues, and promote teamwork. An emphasis should be placed on understanding issues and jointly solving problems. The lack of regular communication between these offices has contributed to a lack of understanding about human resource processes and an inability to adequately address staff needs. A lack of knowledge and openness regarding the importance of the connection between processes and procedures reduces continuity in many human resource processes.

Monthly meetings can also help resolve issues between the offices before they worsen. These meetings will help create a more personal communication bridge between the two offices and can improve communication and relationships throughout the district.

Each office should contribute to the agenda of each meeting to ensure that everyone's concerns are addressed. Following are several topics that should be addressed:

- The way to efficiently route a personnel request
- A standardized process for determining what requires approval and by which departments
- Changes to policies and procedures that will affect the offices
- Changes to the collective bargaining agreements
- Reemployment processes

Many staff members questioned the usefulness of departmental meetings because of the poor working relationships in the department. Many employees indicated that a considerable lack of communication and teamwork exists among the Human Resources Department staff, excluding personnel commission staff. Ongoing conflicts between staff members interfere with the department's ability to provide efficient, effective services and should immediately be addressed. Staff members focus only on their own work-related issues instead of operating as a team.

These issues affect central office efficiency. As a result, staff members throughout the district indicate customer service is inconsistent, with reports of arguments and territorialism among the human resources staff. Improvements in this area would benefit the district as a whole. Other reported issues include a lack of responsiveness and many instances of lost paperwork and errors.

These are significant concerns, and the highest level-leadership may be required to facilitate improvement. However, the department can change perceptions and improve customer service through a collaborative effort.

The Human Resources Department lacks specific performance objectives regarding customer service and client satisfaction.

The director will need to work with the staff on team-building in the human resources office and emphasize the importance of cooperation between the staff members. If these efforts do not succeed, the district should be prepared to document the problems/behaviors and issue appropriate warnings/notices/letters as provided by collective bargaining agreements and district policies. Human resources employees will need to be provided with clear expectations regarding standards for working together and the consequences of not following them. Ongoing issues may require additional support from the superintendent and/or deputy superintendent.

An example of departments working in isolation from one another is that the Educational Services Division has typically established a calendar focused on its goals but to the exclusion of the needs of other departments. The result has been that other departments have either had to conduct meetings or activities on the same date and time in conflict with those on the educational calendar or cancel events. The superintendent is committed to realigning departments for efficient, effective coordination of work. Developing a district master calendar would help coordinate events and prevent the need for rescheduling or canceling events because of conflicts.

The new director of HR is committed to establishing efficient, effective systems with district and school administrators and their departments. It was evident during FCMAT's interviews that employee conflicts and professionalism concerns are not exclusive to HR.

The directors of HR and the personnel commission are committed to delineating their responsibilities and serving as support for one another. Since the HR director has been in that position since only July 2012, this collaboration is relatively new. Both directors will need to ensure a balance between managing their responsibilities and ensuring the other office receives the necessary information. Changes in the responsibilities and practices of the Human Resources Department and Personnel Commission Office should be communicated throughout the district.

Position Control

Effective position control is an essential part of a sound budget and financial system. The industry's standard practice is to manage position control from both a Human Resources and Business Department perspective, and to use position control data as a foundation for budget development and payroll preparation.

An effective position control system tracks personnel allocations and serves as a starting point for managing all positions approved by the governing board. It provides checks and balances between approved personnel allocations, budget appropriations and salary and benefit expenditure. Position control management is typically shared between the Business Services and Human Resources departments. The Human Resources Department should initiate the creation of a new position approved by the governing board in position control, filling and assigning position vacancies and making changes to existing positions. Frequent communications between the two departments is essential and should include routine collaborative reconciliations of FTE, salary, and benefit information between position control, payroll and budget.

Proper separation of duties is critical to creating strong internal controls and reliable information in the position control system. The following table contains a suggested segregation of duties among the Business and Human Resources departments designed to establish a system of checks and balances necessary to provide for a strong internal control structure and effective position control.

Suggested Distribution of Labor for Position Control

Task	Responsibility
Approve or authorize position	Governing Board
Enter approved position into position control, with estimated salary/budget	
Each position is given a unique number	
Enter demographic data into the main demographic screen, including:	
Employee name	Personnel / Human Resources
Employee address	Department
Social Security number	
Credential	
Classification	
Salary schedule placement	
Annual review of employee assignments	
Update employee benefits	Business or Personnel/Human Resources Department
Review and update employee work calendars	
Annually review and update salary schedules	Personnel/Human Resources Department
Account codes	
Budget development	
Budget projections	Business Department
Multiyear projections	
Salary projections	

The district utilizes a position control system that is separate from its payroll system, and the two systems are not integrated. The position control system is contained on the SMARTE Financial System, while payroll is processed through the Everest Payroll System administered through the Madera County Office of Education. As a result, the position control system contains the primary database of payroll information, but payroll technicians in the Business Services Department manually enter this information into the separate Everest payroll system to process payroll warrants. These two databases must be routinely reconciled.

The position control/ payroll specialist position in the Business Services Department oversees the position control system. This employee reports to the director of fiscal services and has primary responsibility for the accuracy of data contained in the position control database, and for monitoring the development of board-approved positions that are entered into the SMARTE system for budget development and Everest system for payroll processing.

The process of entering positions into the position control system begins with an employment recommendation/request, also referred to as “the long form” which is generated by an administrator and sent to the Human Resources Department. The HR department must approve the requisition, and the HR director must sign it, before it is forwarded to the position control payroll specialist for system entry. The position control payroll specialist then determines whether the position fills an existing vacancy or is new. The position control payroll specialist also checks the employment status of the person who may be shown in the system as currently holding the position. If it is a new position, the position control payroll specialist verifies that it was approved by cabinet and the governing board.

The position control payroll specialist maintains the job positions in the SMARTE system while the Human Resources Department maintains the individual employee information for each position in that system, such as the name of the person in the position, their address, etc. The position control payroll specialist also enters all work calendars and salary schedules for all district

positions, while the Human Resources Department obtains board approval for all positions. The position control management activities managed by this position are appropriate for the position title; however, the additional duties of processing payroll create a conflict in segregation of duties and a weakness in the internal control structure. An employee should not be able to create a position in the position control system and make payments to employees.

Some staff members are unclear about the purpose of each signing authority and who the authorized signatories are for each section of the long form. It was reported that the cabinet signature line was often blank when received by the Business Department. It is critical to verify available funding for all positions and ensure they are approved by the superintendent or governing board. In reviewing the district process, the only evidence of approval was the signatures on the lines designated for the business office and cabinet.

The purpose of an employee requisition form is to identify the position need, existing or new position; identify and verify the availability of funds to support the position; and acknowledge the final approval of the position based on this information. This process is initiated through the requisition process, where the requesting party identifies all the required criteria. Once final board authorization is obtained (if necessary), this information is verified by the business office and finalized by the Human Resources Department. After moving through this process, this document should serve as the form that authorizes the hiring process, initiates position control entry or update and notifies the Business Services Department to budget the position.

There is some indication that the process is sometimes not followed when hiring new positions. During interviews, employees indicated that new employees were sometimes hired and working in the position before it was added to the position control system. This issue seemed to be related to the decentralized hiring process previously used. Site administrators have hired for positions without communicating with the district office and have circumvented the position control approval process. The district is reviewing these processes and implementing more centralized hiring procedures in an effort to prevent any unapproved or unauthorized hiring. When the Human Resources Department presents new position recommendations to the board for approval, the information communicated to board and position control specialist should include the effective date of hire. Final approval and signature for all hiring should come from the director of human resources.

All employees in the Human Resources and Business Services departments and personnel commission should have a clear understanding of the process to manage the entire employee recommendation/request form approval process. Written procedures are essential to provide guidance to all departments and administrators and should define roles and responsibilities of each position involved in approving and adding new employees to the position control system.

The business office has primary responsibility for the information in the position control system regarding the entry, accuracy, and maintenance of all employee salary information, including the rate of pay, statutory benefits, voluntary deductions, and final net pay. However, the health benefit technician position in the Human Resources Department is responsible for entering employee health and welfare benefit costs into the system.

The health benefit technician works directly with employees to communicate information regarding health benefit options, plan selection and enrollment, and changes in plan coverage. This position also has direct data access to the position control system and enters all employee and district payroll costs for individual health benefit plans.

The responsibility for all amounts directly affecting an employee pay warrant should be entered exclusively by the Payroll Department. The health benefit technician should provide documentation to the Payroll Department indicating the amounts that should be used to calculate payroll, but entry should be completed in the Payroll Department. This department is typically the only one allowed to make changes directly to an employee pay warrant; two different departments should not be allowed the direct access to affect pay warrants.

If the district chooses to continue allowing the health benefit technician to enter information prior to processing, it should develop an approval process for verifying the accuracy of the information entered by the health benefit technician before payroll is processed.

Interviews with staff members indicated the Human Resources Department does not provide information on changes in employee status to the business office as they occur, but instead all at once before the payroll deadline. This creates a backlog of processing changes to the payroll near the monthly payroll processing deadline. Establishing a monthly due date for providing information in advance of the payroll deadline will allow sufficient time for the Payroll Department to process the changes and ensure accuracy and reliability.

Recommendations

The district should:

1. Hold regular staff meetings of the entire HR Department to discuss the workload and duties of all staff members during peak workload periods.
2. Immediately address the conflicts and issues that exist among HR staff and define job duties so responsibilities and professional standards are clear.
3. Develop specific performance objectives to maintain a high level of satisfaction among the HR Department's customers.
4. Communicate expectations on the standards for working together and the consequences of not following them. Staff members should be held accountable for these standards.
5. Develop and implement a district master calendar to avoid scheduling conflicts.
6. Communicate changes made in responsibilities and processes for the HR Department throughout the organization.
7. Redistribute position control functions between the Human Resources and Business Services departments. The recommended human resources manager position should manage the position control system. Under this model, most of the position control functions would be transferred to the Human Resources Department, including maintaining salary schedules and work calendars and rolling positions from one fiscal year to the next.
8. Separate the duties of position control management from payroll processing.
9. Closely integrate the position control and hiring processes for new positions and communicate with all administrators involved in hiring new employees to prevent any hiring before approval is completed at the district level.

10. Establish a formal written process for approving new positions and clearly define the role and responsibilities of each individual involved in the approval process. All steps should be performed before initiation of the hiring process.
11. Ensure that the responsibility for entering all information that directly affects an employee pay warrant is entered into the system exclusively by the Payroll Department.
12. Establish a monthly due date calendar for updating information in position control and providing new employee and existing employee change information to the Payroll Department.
13. Update the information in the position control system timely as personnel changes take place to ensure the information produced for budget development, payroll and multiyear financial projections is current, reliable and accurate.

Interrelationship between the Governing Board and Personnel Commission

The personnel commission has been in operation only since 2008. The commission and its director have a thorough understanding of the roles and responsibilities of the commission. However, the governing board is sometimes not informed of the distinction between its responsibilities and authority and those of the commission, and therefore has occasionally attempted to make decisions that properly belong to the commission. Examples include board concerns regarding a disciplinary matter that came before the commission and the process for revising job descriptions. In both cases, the commission acted according to its rules and regulations while the board attempted to exert the authority it had before the commission was created. This has caused friction between the board and commission.

The director of HR and labor relations is reviewing commission rules and comparing them to CSEA's collective bargaining agreement.

Recommendations

The district should:

1. Keep the governing board and personnel commission informed of the effect of any changes in responsibilities and processes made by the director of HR and the commission's director as responsibilities are delineated.
2. Regularly provide the governing board and personnel commission with updates and an overview of information on the interrelationship between governing board policies, commission rules and the collective bargaining agreement with CSEA.

Labor Relations

During FCMAT's fieldwork, the district was in contract mediation with the teachers' union since the collective bargaining agreement expired June 30, 2012, and the two parties were at impasse.

Principals are members of an administrators' union and therefore do not participate in district negotiation teams for other units. The principals indicated that the administrators' union was formed several years ago in response to administrators' concerns about their assignments. Principals are not asked for input on other units' contracts even though they are required to implement the provisions of the collective bargaining agreements.

Interviews indicated that the district sometimes used verbal agreements with the unions and did not memorialize them in contract language or a memorandum of understanding (MOU). However, since a new superintendent, deputy superintendent and director of HR were hired within the last two years, there is more reliance on contract language and not recollections of a verbal agreement. This change is appropriate, but may have caused frustration and created a need for more frequent communication to resolve issues. It is industry standard and a best practice for school districts to memorialize agreements in contract language or MOUs to avoid misunderstanding and to maintain these agreements even when district and/or union leadership changes.

District and union leadership each perceive that the other group lacks understanding of the importance of union issues. District administrators indicated there are systems to help union leadership with these issues, but the district staff cannot immediately set aside other tasks to deal with these.

The union leadership also indicated that the governing board does not set aside time for union concerns during board meetings. As a result, the union has to speak to the board during the public-comment part of the meeting. However, this practice is common among school districts.

It is important for any district to communicate with labor unions. Many districts schedule informal monthly meetings to address and resolve any issues with their bargaining units as they arise and before a grievance is filed. These meetings can reduce the amount spent on legal fees related to personnel issues.

Recommendations

The district should:

1. Work with union leadership to schedule informal monthly meetings led by the superintendent's designee, preferably the director of HR. An agenda should be included for each meeting to ensure that everyone's concerns are addressed.
2. Address issues raised during board meetings promptly and communicate resolutions to the board.

Appendices

- A. Sample Calendar
- B. Sample Internal Function Chart
- C. District Comparison Summary
- D. Study Agreement

Appendix A: Sample Calendar

Human Resources "TICKLER"

JULY

- Budget (Pos, etc.) for New Fiscal Year (AC)
- Recruiting for fall, HR Specialists (KW, CM)
- Mandated Costs Logs Due (AC)
- Organize County Teacher of the Year Process (CLN & AC)
- Year-End Rollover (CM, BS)
- Longevity Pay (CM)
- Vacation Liability Report to Business (CM, BS)
- Submit BTSA eligible to BTSA Coordinator (HH)
- Organize New Teacher/Manager Orientations (CLN)
- Step all classified management (CM)
- Notify school districts in annual assignment monitoring (HH)
- Stipends Verification (CM)
- STRS Retiree Earnings Limitation Annual Notification (CM)
- Updates Handbooks (CLN, HH)
- Update Association Contracts (AC)
- Notification of expiring credentials (BS)
- Present HR Staff with Whom to Contact, Functions Chart (AC)
- Audit Position Control (CM, BS)
- Delinquent contract notification (HH)
- Submit certificated management stepping spreadsheet to payroll (HH)
- Submit State Preschool stepping spreadsheet to payroll (HH)
- Submit First Five stepping spreadsheet to payroll (HH)
- Annual Statement of need to Dr. Crocker (HH)
- Coordinate Professional Growth Committee for Review (AC)
- Post Intent to Move Announcement and forms by first week in August (AC)
- Verify members of HR Forum List serve for next school year (AC)
- Notify Speakers that will present at the New Hire Orient. in August (AC)

AUGUST

- Get staffing rosters and update SubFinder (MD)
- Update/distribute Organizational Charts (AC)
- Update/distribute "Whom To Contact" list (AC)
- Update/distribute Uniform Complaint Procedures brochures (AC)
- Back-To-School/New Staff Orientations (CLN)
- Process intern/emergency permits for cert staff (BS)
- Close out ESY and authorize ESY teacher Stipends (CM)
- Audit and update substitute list (MD)
- SubFinder Purge/Rollover (MD)
- Reference Check Training if needed (HH)
- Spreadsheet to payroll for non-mgmt cert. staff (HH)

- Audit Position Control (CM, BS)
- Prepare Initial Proposals – CSEA/CTA/Grizzly (CLN/AC)
- Email extra duty applications to certificated teachers (KW)
- Work Restriction Letters (KW)
- BTSA Private School MOA's (TT/AC)
- Notify the speakers that will present at the New Managers Orient. In Sept. (AC)

SEPTEMBER

- Mail Teacher of the Year application to CDE by deadline early in September (AC)
- Pre-designated physician letter (KW)
- Sub Teacher Orientation (BS)
- NCLB determinations for new hires (KW)
- Williams Report to Mary Jarvis (HH)
- BTSA Invoicing for Private School MOA's (AC)

OCTOBER

- Hold HR Informational meeting (HR-ALL)
- CBEDS NCLB data submission (HH)
- Attend CCAC Conference (HH & BS)
- Quarterly Analysis of HR Budgets (AC)
- Successful Credentialed Intent to Move data to Payroll (HH)
- Attend county School Boards Association TOTY Dinner at Madonna Inn (CLN)
- Plan Halloween Potluck (AC)
- Audit Position Control (CM, BS)
- E-mail to Cabinet the Closing Open Position summary- Oct/Feb (CM, BS)
- BTSA 1st Allocation to Districts (CLN)
- Annual Report to Personnel Commission (CM)

NOVEMBER

- Conduct Sub Teacher Orientation (BS)
- Notify Employees/Managers of Excess Vacation Leave and/or Low Sick leave Balance – e-mail (CM)
- Set Up Fingerprint Schedules/Calendars for New Calendar Year (MC)
- Clean out files (storage, etc.) – (ALL)
- Destruction of examination material from fiscal year 4 years past (ALL)
- Classified EOY – Send to HR Forum and CSEA President (CLN/AC)
- Photograph for Holiday Card day (AC/ALL)
- Solicitation/Distribution of literature policy reminder to all staff (CLN)
- SARC and WASC data expected (HH)

DECEMBER

- Stipend and Mileage to PC (CM)
- Revise fingerprinting services postcard (MC)
- Create new files for new year (MDN)
- Schedule Fingerprinting Vacations/Fingerprint Services Closures (MC)
- Williams Report to Mary Jarvis (HH)
- Coordinate Position Control rollover with Fiscal (CM, BS)
- Audit Position Control (CM, BS)

JANUARY

- Audit sub list (MD)
- Prepare Interest Surveys for Credentialed Teachers (KW)
- Create/mail postcards advertising fingerprint services (MC, MDN)
- Review Staffing for Following Year (CLN)
- Non-Reelection Discussions with Managers (CLN)
- Remind managers to run absence reports for evals (CLN)
- Schedule HR Informational Meeting (Specialists)
- Sub Teacher Orientation (BS)
- Plan Job Fair Attendance (HR Specialists)
- Draft SLOCOE Master Calendar (AC)
- Position Control Projection Audit/Roll (CM, BS)
- Update/mail flier concerning LiveScan rolling fees/schedule (MD)
- Camp Hapitok Advertising (KW)
- Classified EOY names are due (AC)
- Generate “Positions with end date” Report (CM, BS)
- E-mail to Cabinet the Closing Open Position policy- Oct/Jan (CM, BS)
- BTSA 2nd Allocation to Districts (TT)
- DOJ Consortia MOA’s to Districts (AC)
- Select meeting Dates for next year meetings (AC)

FEBRUARY

- Discuss Possible Layoffs with Managers (CLN)
- Download State Teacher of the Year info from CDE web and post(AC)
- Interest survey distributed (KW)
- Receive Classified EOY Applications (AC)
- Submit County Classified EOY final names to CDE (AC)
- Present Initial Proposals to COE Board – CSEA/CTA/Grizzly (CLN/AC)

MARCH

- Week of the School Administrator (CLN)
- Interest Survey Results (KW)
- Meet w/Admin. Asst.’s re: staffing needs for ESY and new school year (Specialists)
- Mail TB Test Reminder Letter – see Data Tracking Procedure (MD w/CM help)

- Sub Teacher Orientation (BS)
- Remind managers about classified evaluations due April 15 (CM)
- ESY sub interest survey (MD)
- Sub “Where Are You?” postcard mailing (MD)
- Intent to Advance Memo (HH)
- Williams Report to Mary Jarvis (HH)
- Determine date for New Certificated, New Manager Orientations (AC)

APRIL

- Order employee service pins - engraving and pins as needed (AC)
- Budget Planning/Projections for Next Year (AC)
- SubFinder agreement to San Miguel (AC)
- Recruitment for ESY (CM)
- SLOCOE calendar to Board, then distribution (AC)
- Mail Invitations for Year-End Staff Reception (AC)
- Staffing for fall (HR Specialists)
- Classified Evaluations due to HR April 15 (CM)
- Employee Appreciation Week - (AC work with Admin)
- PC Budget (AC)
- Declaration of Need for Fully Qualified Individuals (HH)
- Audit Position Control (CM, BS)
- Prepare Pay Calendars for next school year (CM)
- Mail Second TB Test Notice – end of month April/May (MD)
- Respond to alternative work schedule request from teachers (CLN)
- Coordinate emergency purchases for year-end closing of PO's (AC)
- Intent to move forms updated to .pdf fillable to post May 2nd (HH and AC)
- Distribute the TOTY information to districts, CTA president (AC)
- Year-End Staff Reception – Initial Preparations (AC/LP)

MAY

- Final TB Test notice – notify administrators (LP)
- Generate new contracts & salary notifications for cert. staff (HH)
- Generate salary notifications for Grizzly staff (HH)
- Schedule Substitute Teacher Orientation for coming school year. (BS)
- Update Substitute Roster (MD)
- Start SubFinder setup for Summer (MD)
- Classified Professional Growth Letters mailed out (AC)
- Prepare list of employees receiving service pin awards (AC)
- TB tests – send payroll notification of paychecks to be held (LP)
- Reasonable assurance letters (CM)
- J-90 Report (CM)
- Schedule/Calendar Meetings for the next year (IBB, HR Forums, Staff, PC) (AC)
- Notify John Murphy to reserve the date for STRS (AC)
- Create Cabinet's Multiple Committee Dist. lists/Meetings for coming year (AC)
- Intent to move budget information to Mary (HH)

- Email extra duty applications to recruit for BTSA Mentors (TT/KW)
- Year-End Staff Reception – Final Preparation (AC/LP)

JUNE

- Management Evaluations due June 1 (CM)
- Notify HR Specialist of Managers that will not step (CLN)
- ESY Spreadsheet to Payroll – (CM)
- Camp Hapitok Spreadsheet to Payroll – (KW)
- Update/mail flier concerning LiveScan rolling fees/schedule (MD)
- Vacation Pay-Out to Payroll (CM)
- Select County TOTY committee and schedule meeting (CLN & AC)
- Submit Assignment Monitoring documentation (HH)
- Submit William's Settlement documentation(HH)
- Stipend and Mileage to PC (CM)
- Notify payroll of terminations/retirements – (BS)
- Check credential status for renewals, emergency permits, interns, etc. (BS)
- Fingerprint Yearly Report to districts (MC)
- Complete SubFinder setup for Summer (MD)
- Submit Grizzly stepping spreadsheet to payroll (HH)
- Plan for SubFinder purge/rollover with CRS (MD)
- Retiree incentive stipend claim forms to payroll (KW)
- Stipends due to Payroll (CM)
- Update HR functions/duties and goals (CLN with group)
- Year-End Staff Reception – Final Event (AC)
- Prepare open enrollment packets (BS/CM/LP)

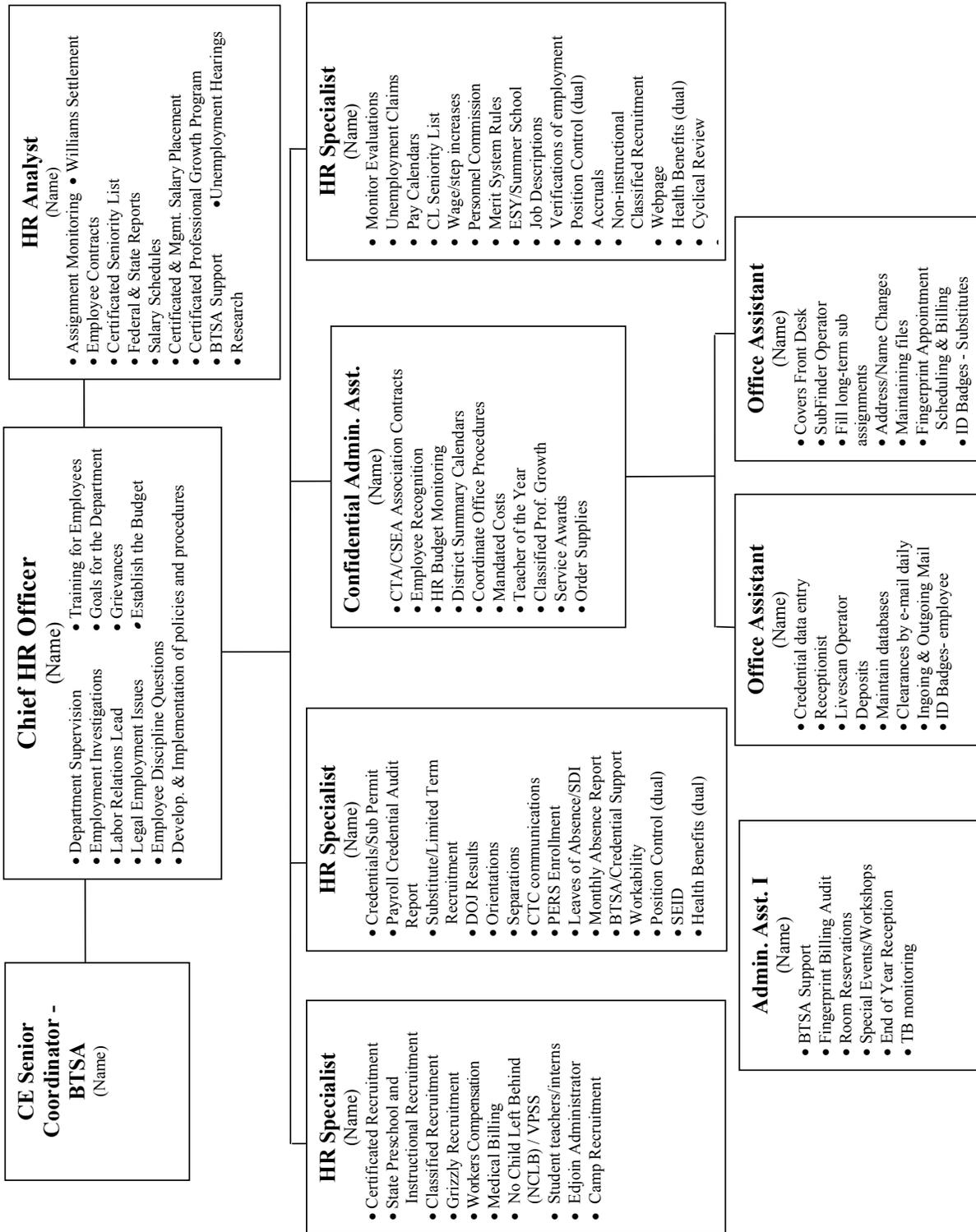
MONTHLY

- Payroll Credential Audit Report, (BS)
- Count and mail payroll checks (CM with KW as backup)
- Step Increases (CM)
- Vacation Accruals (CM)
- Leave Audits (BS & MD)
- Payroll Sub Report (MD)
- Fingerprint Billing (MC)
- Personnel Commission Packets distributed (CM)
- Update Classified/Certificated Recruitment Schedule (KW)
- Prepare Classified/Certificated Human Resources Action Report (CM/KW)
- Conduct Cyclical Review (HH & CM)
- Reminders of Evaluations Due (CM)
- DOJ Audit (MC)
- Seniority Lists (CM & HH)
- Credential Expiration Notices – every 3 months (BS)
- Update Workers' Comp. log for safety committee meeting (KW)
- Audit LVN/RN and Occupational Therapists license expirations (MD)
- Assignment Monitoring (HH)
- William's Settlement (HH)

- Credentials 101 (HH BS CM)
- Clean, organize e-files, (ALL)
- Weekly classified NCLB testing for public (KW)
- Post new documents to website (CM)

Appendix B: Sample Internal Function Chart

HUMAN RESOURCES – PRIMARY RESPONSIBILITIES



1/3/2013

S:\Documents\Org Charts\Primary

Appendix C: District Comparison Summary

DISTRICT	Madera Unified School District	Antioch Unified School District	Pajaro Valley Unified School District	Simi Valley Unified School District	Oceanside Unified School District
Grade Level	K-12	K-12	K-12	K-12	K-12
Enrollment (2011-12) *	19576	19081	19545	19933	21081
# Schools	27	28	33	29	23
Financial System	SMARTe	Munis	CECC	Escape	ESCAPE
Position Control System	SMARTe / Payroll (Everest)	Munis	CECC/EPICS	Escape	ESCAPE
# Employees (Head Count)	1,036 Certificated 647 Classified	1654	2018 regular employees, 2993 regular and supplemental	1904	1730
Student Information System	AERIS	eSchool Plus	eSchool Plus	School Max	AERIS
DEPARTMENTAL STAFFING (Expressed in FTE)					
Human Resources					
Department Administration:	1.0 Director of HR and Labor Relations	2.0 - Assistant Superintendent, HR	1.0 - Assistant Superintendent, HR 1.0 - Director, Certificated	1.0 - Assistant Superintendent Personnel Services	1.0 Associate Superintendent, HR 1.0 Director of Human Resources
Support Staff:	1.0 Administrative Assistant to the Director 2.0 HR Technician I 3.0 HR Technician II - Credentials 1.0 HR Technician III	1.0 - Executive Assistant 2.0 - Certificated HR Specialist 1.0 - Certificated HR Technician 1.0 - HR Info System Analyst	1.0 Administrative Secretary-Confidential 1.0 Sr. HR Analyst-Confidential 2.0 HR Analyst 1.0 Workers Comp / Cert. & Class Leaves 1.0 HR Technician 2.0 Front Desk Recep./Fingerprinting (temp)	1.0 Administrative Assistant HR 1.0 HR Rep. Planning & Recruitment 1.0 Credential Technician 2.0 HR Assistant II 1.0 Certificated Employment Verification	1.0 Executive Assistant 2.0 Human Resource Assistant 1.0 Credential Technician
Classified Human Resources / Personnel Commission					
Department Head:	1.0 Director of Classified Personnel	1.0 Director, Classified Human Resources	1.0 Director, Classified	1.0 Director of Classified Personnel	1.0 Director, Classified Human Resources
Support Staff:	2.0 HR Technician	1.0 Administrative Assistant 1.0 HR Analyst 2.0 HR Technician II 1.0 HR Technician I 1.0 HR Info Systems Analyst	1.0 HR Technician 1.0 HR Analyst 1.0 HR Specialist	1.0 Administrative Assistant HR 1.0 HR Systems and Information 1.0 HR Assistant III 1.0 HR Assistant II 1.0 Classified Employment Verification	1.0 Administrative Secretary 2.0 HR Assistant
Benefits					
Reports to:	Director of HR & Labor Relations	Assistant Superintendent, HR	Business Services-CBO	Personnel Services	Human Resources Department
Department Head:	N/A	1.0 Benefits Manager	1.0 Supervisor	N/A	1.0 Director, Payroll and Benefits
Department Support Staff:	1.0 Benefits Technician	1.0 Benefits Technician	2.0 Benefits Technicians	1.0 Benefits Coordinator	1.0 Benefits Technician 1.0 Benefits Assistant
Risk Management					
Reports to:	Director of HR & Labor Relations	Business and Operations	Business Services-CBO	Assistant Superintendent Business Services	na
Department Head:	N/A	N/A	N/A	1.0 Director of Risk Management	na
Support Staff:	1.0 Risk Management Technician II	1.0 Executive Assistant III - Business/Risk Management	(see benefits above)	1.0 Secretary 1.0 Administrative Assistant II 1.0 Administrative Clerk	1.0 Executive Assistant
Self Insured or JPA?	JPA	JPA	Self Insured (part of JPA for Excess)	JPA for Property/Liability and Health	Keenan
# of Claims Annually for Workers Compensation?	142 (2010-11)	did not provide	Aug 120/year	117	200+
# Liability Claims Annually?	Avg 7/year	did not provide	Avg 2/year	11	approximately 10
Who Manages the following for your district:					
Property and liability insurance	Human Resources	Business and Operations (Risk Management)	Business Services	Business Services (Administrative Secretary RM)	Claims Retention Services
Workers Compensation insurance	Human Resources (Risk Management)	Human Resources (Benefits Manager)	Human Resources	Business Services (Administrative Secretary RM)	Keenan
Safety program		Committee	Business Services (Environmental Safety)	Business Services (Administrative Clerk RM)	Keenan
Facilities inspection programs		Business and Operations (Director of Maintenance & Operations)	Business Services (Maintenance/Operations/Facilities)	Williams & Associates	Keenan
Employee & Student health/safety trainings		did not provide	Business Services	POMS and Associates	Keenan
* Source: EdData					

Appendix D: Study Agreement



CSIS California School Information Services

**FISCAL CRISIS & MANAGEMENT ASSISTANCE TEAM
STUDY AGREEMENT
June 11, 2012**

The FISCAL CRISIS AND MANAGEMENT ASSISTANCE TEAM (FCMAT), hereinafter referred to as the Team, and the Madera Unified District, hereinafter referred to as the District, mutually agree as follows:

1. BASIS OF AGREEMENT

The Team provides a variety of services to school districts and county offices of education upon request. The District has requested that the Team provide for the assignment of professionals to study specific aspects of the Madera Unified School District operations. These professionals may include staff of the Team, County Offices of Education, the California State Department of Education, school districts, or private contractors. All work shall be performed in accordance with the terms and conditions of this Agreement.

In keeping with the provisions of AB1200, the County Superintendent will be notified of this agreement between the District and FCMAT and will receive a copy of the final report. The final report will be published on the FCMAT website.

2. SCOPE OF THE WORK

A. Scope and Objectives of the Study

The scope and objectives of this study are to:

Human Resources/Risk Management Component:

1. Provide a detailed report that demonstrates the current state of services and provide recommendations regarding the organizational structure, staffing, interaction and division of duties between the human resources, personnel commission and risk management (including the workers compensation and property/liability programs) departments to support the District's needs.

- a. Review documentation, including policies and procedures, and interview staff from the human resources, personnel commission, business and risk management departments to gather data regarding current practices, procedures and separation of duties. Additionally, the FCMAT team may interview other staff to determine the efficiency and effectiveness of services delivered.
- b. Analyze the following items:
 - i. impact of responsibilities required as a merit system district
 - ii. status of relevant board policies
 - iii. status of relevant procedures, including those between the personnel commission and business office
 - iv. status of position control
 - v. separation of functions and distribution of workload between the departments
 - vi. adequacy of department staffing, including a review of job descriptions and a staffing comparison with districts of similar size and structure
 - vii. the relationship and division of duties between the District and the California Risk Management Authority Joint Powers Association
 - viii. organizational placement of the risk management department within the District
 - ix. efficiency and effectiveness of service to school sites, other departments and employees

Technology Component:

1. Provide a detailed report that demonstrates the District's current state of technology and use, including hardware, software, professional development, departmental staffing and the use of technology, and provide recommendations to support the district's needs
 - a. Interview site principals, instructional staff, department directors and classified staff to gather data regarding the type of applications and hardware utilized at the district. Review and analyze the technology master plan and make recommendations, if any

- b. Analyze the level of support for the following:
 - i. Network administration
 - ii. website development and support
 - iii. email support for district and site level staff
 - iv. student attendance system
 - v. financial reporting system
 - vi. hardware installation and setup
 - vii. application software used at district and site levels
 - viii. technology in the classrooms
- c. Review the job descriptions and staffing of the technology department, including any site level support and its impact on the technology department
 - i. review the district board policies on the use and integration of technology for district level and site based instructional strategies. Include any obstacles or barriers that prevent the use of effective technology
 - ii. Based upon the support level required by the district's technology department, provide staffing comparisons of districts of similar size and structure
- d. Review the network design regarding safeguards of the data residing on the systems in the event of a catastrophic event or security breach. Review the network design for sufficiency to meet district's short term and long term plans, including the district and instructional action plan (DIAP)

B. Services and Products to be Provided

Orientation Meeting - The Team will conduct an orientation session at the District to brief District management and supervisory personnel on the procedures of the Team and on the purpose and schedule of the study.

On-site Review - The Team will conduct an on-site review at the District office and at school sites if necessary.

1. **Exit Report** - The Team will hold an exit meeting at the conclusion of the on-site review to inform the District of significant findings and recommendations to that point.
2. **Exit Letter** - The Team will issue an exit letter approximately 10 days after the exit meeting detailing significant findings and recommendations to date and memorializing the topics discussed in the exit meeting.

3. Draft Reports - Electronic copies of a preliminary draft report will be delivered to the District administration for review and comment.
4. Final Report - Electronic copies of the final study report will be delivered to the District administration following completion of the review. Written copies are available by contacting the FCMAT office.
5. Follow-Up Support – Six months after the completion of the study, FCMAT will return to the District, if requested, to confirm the District’s progress in implementing the recommendations included in the report, at no cost. Status of the recommendations will be documented to the District in a FCMAT Management Letter.

3. PROJECT PERSONNEL

The study team will be supervised by Anthony L. Bridges, CFE, Deputy Executive Officer, Fiscal Crisis and Management Assistance Team, Kern County Superintendent of Schools Office. The study team may also include:

<i>A.</i>	<i>Andrea Alvarado</i>	<i>FCMAT Management Analyst</i>
<i>B.</i>	<i>To be determined</i>	<i>FCMAT Consultant</i>
<i>C.</i>	<i>To be determined</i>	<i>FCMAT Consultant</i>
<i>D.</i>	<i>To be determined</i>	<i>FCMAT Consultant</i>
<i>E.</i>	<i>To be determined</i>	<i>FCMAT Consultant</i>
<i>F.</i>	<i>To be determined</i>	<i>FCMAT Consultant</i>

Other equally qualified consultants will be substituted in the event one of the above noted individuals is unable to participate in the study.

4. PROJECT COSTS

The cost for studies requested pursuant to E.C. 42127.8(d)(1) shall be:

- A. \$500.00 per day for each Team Member while on site, conducting fieldwork at other locations, preparing and presenting reports, or participating in meetings.
- B. All out-of-pocket expenses, including travel, meals, lodging, etc. The District will be invoiced at actual costs, with 50% of the estimated cost due following the completion of the on-site review and the remaining amount due upon acceptance of the final report by the District.

Based on the elements noted in section 2 A, the total cost of the study is estimated at \$30,900.

- C. Any change to the scope will affect the estimate of total cost.

Payments for FCMAT services are payable to Kern County Superintendent of Schools - Administrative Agent.

5. RESPONSIBILITIES OF THE DISTRICT

- A. The District will provide office and conference room space while on-site reviews are in progress.
- B. The District will provide the following (if requested):
 - 1. A map of the local area
 - 2. Existing policies, regulations and prior reports addressing the study request
 - 3. Current or proposed organizational charts
 - 4. Current and two (2) prior years' audit reports
 - 5. Any documents requested on a supplemental listing
 - 6. Any documents requested on the supplemental listing should be provided to FCMAT in electronic format when possible.
 - 7. Documents that are only available in hard copy should be scanned by the district and sent to FCMAT in an electronic format.
 - 8. All documents should be provided in advance of field work and any delay in the receipt of the requested documentation may affect the start date of the project.
- C. The District Administration will review a preliminary draft copy of the study. Any comments regarding the accuracy of the data presented in the report or the practicability of the recommendations will be reviewed with the Team prior to completion of the final report.

Pursuant to EC 45125.1(c), representatives of FCMAT will have limited contact with pupils. The District shall take appropriate steps to comply with EC 45125.1(c).

6. PROJECT SCHEDULE

The following schedule outlines the planned completion dates for key study milestones:

Human Resources/Risk Management Component:

<i>Orientation:</i>	<i>to be determined</i>
<i>Staff Interviews:</i>	<i>to be determined</i>
<i>Exit Interviews:</i>	<i>to be determined</i>
<i>Preliminary Report Submitted:</i>	<i>to be determined</i>
<i>Final Report Submitted:</i>	<i>to be determined</i>
<i>Board Presentation:</i>	<i>to be determined</i>
<i>Follow-Up Support:</i>	<i>if requested</i>

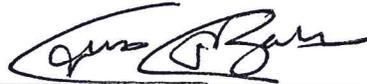
Technology Component:	
Orientation:	<i>to be determined</i>
Staff Interviews:	<i>to be determined</i>
Exit Interviews:	<i>to be determined</i>
Preliminary Report Submitted:	<i>to be determined</i>
Final Report Submitted:	<i>to be determined</i>
Board Presentation:	<i>to be determined</i>
Follow-Up Support:	<i>if requested</i>

7. **CONTACT PERSON**

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E-Mail: Porterfield_k@madera.k12.ca.us



6/26/2012

Gustavo Balderas, Ed.D, Superintendent
Madera Unified School District

Date



June 11, 2012

Anthony L. Bridges, CFE
Deputy Executive Officer
Fiscal Crisis and Management Assistance Team

Date