

## **Personnel Management**

The Human Resources Services Department is performing at a level far below that needed to support the objectives and missions of the district. The deficiencies observed and recommendations are categorized under several broad themes.

### ***Leadership***

The Human Resources Services Department has lacked continuity of purpose and leadership during a long period of time when the department was led by short-term Assistant Superintendents. Capable leadership will be needed to improve the department's operations.

The department is still utilizing outdated procedures and systems to hire, train, retain and evaluate the people critical to the organization. The department has a tremendous responsibility to facilitate productive relationships with bargaining units and conducting at-the-table negotiations, yet the communications necessary to make these relationships work are not present.

### ***Staffing***

Although department staff appears motivated and committed, many of them voiced frustration and disappointment with the level of services they were able to provide with existing systems, procedures, and resources.

Routine work functions are not automated, leading to inefficient operations and poor utilization of staff within the department. The department has a sufficient number of positions; however, until systems are automated, people will continue to feel overwhelmed.

### ***Use of Technology and Systems***

Several of the systems used within the Human Resources Department are outmoded, ineffective, and inefficient, or are not being fully utilized.

The district is in the process of implementing a new payroll/personnel system called CECC. The basic personnel and payroll functions have just been implemented, but employee benefits and leave accounting functions have not. This requires a great deal of effort by HR and business staff, as staff members are maintaining portions of the old system, operating the new system, and doing significant functions manually. Converting the employee benefits and leave accounting data to the new system will require additional staff time. Few systems are more sensitive than the payroll system, and much testing will be needed before these additional functions can be made operable.

There are other systems being used in the department that are not being fully utilized or do not interface with any other systems. Efforts need to be made to train staff members, and enhance or replace these other systems so that they can more fully support the needs of the department and its customers.

The district should consider acquiring document imaging technology. Untold labor hours are invested in finding and massaging the massive amounts of data buried in paper personnel records. Document imaging systems are being used successfully in a number of large school districts. These systems pay for themselves quickly and improve customer service dramatically.

Some of the department's system deficiencies have to do with internal processes, such as new employee orientation. Employees are processed individually to set up the personnel and payroll records, and they receive benefits information in a one-on-one interview format. This is time consuming and delays the enrollment process. Employees and the district would be better served by using small group processing or explanatory videos.

Simple changes can be made to improve document flow, timing, approval processes, and quality control in all department functional areas.

### ***Resources***

Resources devoted to personnel support functions have declined, as they have in other non-classroom areas in the district. Although support staffing has been reduced, more staff will not necessarily improve the performance of the department. The leadership void and systems and technology issues need to be addressed. Investing in document imaging, for example, is much more likely to improve effectiveness and efficiency at a lower cost than additional staffing.

### ***Employee/Employer Relations***

The district does not appear to have had a bargaining strategy. As a result, the bargaining contracts that have been negotiated do not reflect the interests of the public or the students, and do not address the quality of education provided. Existing contract language makes it extremely difficult for site managers to effectively direct their operations.

The teachers' contract, for example, is one of the most restrictive that the review team has seen in school districts visited, and encroaches on almost every administrative, financial, or educational decision that management will make.

### ***Operational Procedures***

The Vallejo City Unified School District Board Policies and Administrative Regulations (BP 4000[a]) contain written policies and administrative procedures that address almost all of the operational and legal compliance areas of Human Resources. Some of these policies and procedures have been kept current while others are in need of review and still others are clearly out-dated. However, there is little connection between what the staff in Human Resources does operationally and what the board policies and administrative regulations suggest should be done.

The board policies and administrative regulations should be reviewed to ensure they reflect the desires of the district's current leaders and continue to comply with state and federal regulations and the Education Code. For each board policy and administrative regulation, there should be a human resources operational procedure that details the steps that are taken and the job positions that are responsible for implementing the board policies and administrative regulations.

### ***Communications: Internal and External***

Communication within the department, especially when coupled with the lack of technology, is ineffective. People cannot get information when they need it.

A frequent complaint heard from the customers interviewed was that phone calls and e-mails to Human Resources were not responded to in a timely manner. This is a major source of irritation for other departments and school site personnel.

## **1.1 Organization and Planning**

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### **Professional Standard**

An updated and detailed policy and procedures manual exists that delineates the responsibilities and operational aspects of the personnel office.

#### Sources and Documentation

1. Vallejo City Unified School District board policies and administrative regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services Department staff
4. Interviews with central office staff

### **Findings**

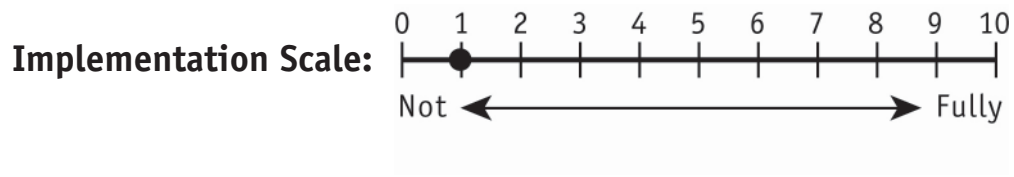
1. The Vallejo City Unified School District board policies and administrative regulations (BP 4000[a]) are composed of those developed by the California School Boards Association (CSBA). They were initially adopted by the district on July 20, 1994.
2. Some policies and regulations remain in standard CSBA language, while others have been modified to make them relevant to Vallejo City USD.
3. Policies and regulations were made or revised in 1995, 1998, 1999, 2000, 2001, 2002, 2003, and 2004.
4. The 4000 series represents a detailed policies and regulations (not necessarily procedures) manual. It appears that some of the board policies and administrative regulations are being followed, but there are discrepancies between some day-to-day procedures and the official policy and regulation.
5. Some board policies and administrative regulations are not being followed.
6. Some board policies and administrative regulations are no longer necessary due to changes in Education Code, credentialing laws, and state or federal law.
7. It appears that there is some process for reviewing and updating policies, but there is no indication how that occurs or why outdated policies and regulations are left in place.

### **Recommendations and Improvement Plan**

1. The Personnel Department should develop a detailed timeline for reviewing and updating the 4000 Series of the board policies. Where appropriate, updated versions of board policies and administrative regulations must be taken through the approval process under the State Administrator. They will form the basis for developing the day-to-day operating procedures in Human Resources. Policies that are outdated or no longer followed should be deleted or modified.
2. The department should also develop a process for ongoing review of all board policies and administrative regulations. The review team can provide a model for this process.

**Standard Implemented: Partially**

November 1, 2004 Rating: 1



## **1.2 Organization and Planning**

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### **Professional Standard**

The district has clearly defined and clarified roles for board and administration relative to recruitment, hiring, evaluation, and dismissal of employees.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002 to June 30, 2005
4. Contract between Vallejo City Unified School District and the California School Employees Association Vallejo Chapter 199, dated July 1, 2002 to June 30, 2005
5. Interviews with Human Resource Services Department staff
6. Interviews with central office staff

### **Findings**

1. Board Policy 4000(a), Concepts and Roles (adopted July 20, 1994, without revision), describes the roles of the Governing Board and the Superintendent with respect to recruitment and hiring of employees.
2. Board Policy 4115, Certificated Evaluation and Supervision (last revised December 19, 2001), describes the expectations of the Governing Board and the role of administration in certificated evaluation.
3. Board policies 4117.4 and 4117.6, Certificated Personnel Dismissal and Certificated Personnel Decision Not to Rehire (adopted July 20, 1994, without revisions), define the Governing Board's and administration's roles in certificated dismissal and release.
4. Board Policy 4117.5, All Personnel Termination Agreements (adopted July 20, 1994, without revisions), describes the Governing Board's and administration's roles in one aspect of the termination proceedings.
5. Board Policy 4118, Certificated Personnel Suspension/Disciplinary Action (last revised December 19, 2001), describes the Governing Board's and administration's roles in certificated employee discipline.
6. Board policies 4211 and 4212 and Administrative Regulation 4214(a), Classified Personnel Recruitment and Selection and Classified Personnel Appointment and Conditions of Employment (BP adopted July 20, 1994 without revision and AR revised December 19, 2001), describe the Governing Board's and administration's roles and processes for recruitment and selection of classified personnel.
7. Board Policy 4215, Classified Personnel Evaluation/Supervision (adopted July 20, 1994, without revision), describes the expectations of the Governing Board and the role of administration in classified evaluation.

8. Board Policy 4218, Classified Personnel Dismissal/Suspension/Disciplinary Action (Adopted July 20, 1994 without revision), describes the Governing Board's and administration's roles in classified employee discipline.
9. Board Policy 4311, Management, Supervisory and Confidential Personnel Recruitment and Screening (adopted July 20, 1994, without revision), describes the Governing Board's and administration's roles in management, supervisory, and confidential recruitment and selection.
10. Board Policy and Administrative Regulation 4313.2, Management, Supervisory and Confidential Personnel Promotion/Demotion/ Reclassification (last revised January 21, 2004), describe the Governing Board's and administration's roles in demotion as it may relate to discipline and/or evaluation.
11. Board Policy 4315, Management, Supervisory and Confidential Personnel (adopted July 20, 1994, without revision), describes the Governing Board's expectation and the role of administration in the evaluations.
12. The draft Human Resources Services Reference Manual Table of Contents lists: (1) Section A, "Art of Hiring"; (2) Section D, "Dismissal—Certificated/Teachers"; (3) Section E, "Employment of Personnel; Evaluations"; (4) Section H, "Process, Flowcharts and Forms"; Section I, "Interview File Documentation"; "Interview (Oral) Panel Guidelines"; Section P, "Pre-Employment Do's and Don'ts; Probationary Release"; Section S: "Screening Applicant Files." The manual was not completed, so many of these topics are unfinished.
13. Article 14, "Procedures for Evaluation of Unit Members," of the Contract between Vallejo City Unified School District and the California School Employees Association (CSEA) Vallejo Chapter 199 provides the classified employee evaluation procedures.
14. Article 15, "Disciplinary Action," of the Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199 provides the steps for classified employee discipline.
15. Article 11, "Procedures for Evaluation of Unit Members," of the Contract between Vallejo City Unified School District and the Vallejo Education Association (VEA) provides the certificated evaluation procedures.
16. The collective bargaining agreements for classified employees and for certificated employees do not address hiring procedures.
17. The collective bargaining agreement for certificated employees lacks an article on disciplinary procedures.
18. Seven of the board policies that relate to recruitment, evaluation, and discipline of employees were adopted in July 1994, and have not been revised. It is not clear whether they have been reviewed and not revised, or simply not reviewed. It is also not clear whether

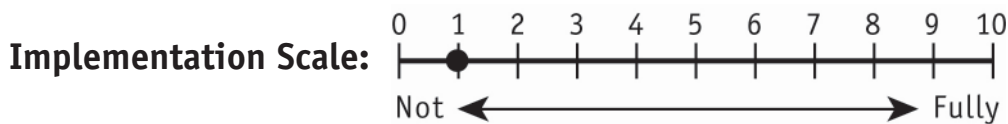
the day-to-day procedures being used in these areas are consistent with board policies. The lack of clarity is because there are no written procedures for Human Resources staff to use to implement the board policies. Staff turnover has resulted in a staff who responded that they are not clear about what procedures to follow and that they are unaware of the content of the board policies. The draft Human Resources Services Reference Manual, which is a work in progress, contains an index that indicates that sections describing recruitment, evaluation, and disciplinary procedures related to the board policies and the collective bargaining agreements are planned.

### Recommendations and Improvement Plan

1. The board policies referenced above should be brought to the Cabinet level by the Assistant Superintendent of Human Resources, with recommendations for updating or for leaving them the same. If decisions are reached to update the policies, then procedures should be followed to update them under the State Administrator.
2. The work to date on the Human Resource Services Reference Manual is excellent, but the manual is less than one-third complete. The procedures linking recruitment, evaluation, and discipline to the board policies and the collective bargaining agreements must be developed by the Assistant Superintendent of Human Resources and the Human Resources staff.
3. A recovery sub-plan should be developed to achieve the result of written procedures.
4. Written procedures for these functions are a high priority, as they are basic and essential to the operational efficiency and success of the Human Resources functions. The timeline should reflect the urgency and priority of this task.

### Standard Implemented: Partially

November 1, 2004 Rating: 1



## **1.3 Organization and Planning**

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### **Professional Standard**

The Personnel Division has developed a mission statement that sets clear direction for personnel staff. The Personnel Division has an organizational chart and a functions chart that include the names, positions, and job functions of all staff in the Personnel Division.

### **Sources and Documentation**

1. Written mission statement
2. Human Resource Services Organization Chart dated August 9, 2004
3. Interviews with Human Resource Services staff

### **Findings**

1. The department's Mission Statement is: "The mission of the Human Resources Services Division is to ensure a successful education for all students by providing and maintaining certificated and classified staff in a positive and caring environment."
2. The Human Resources Department has a current structural organization chart that includes names and position titles, and shows reporting relationships. The chart includes the position titles of Director of Community Affairs and Compliance and Director of Student Welfare, which are not normally found within a Human Resources Department. It also shows that one of these directors reports to the other director, which is an unusual reporting configuration.
3. The Interim Assistant Superintendent and the State Administrator both emphasized that the organization charts were a work in progress, and that changes were ongoing. For example, during the team's visit, the BTSA Coordinator position was removed from Human Resources.
4. Some of the Human Resources staff interviewed were aware of the department's Mission Statement, but were unsure of its contents. Others were not aware of the Mission Statement.
5. The department's Mission Statement appears on the Human Resources Web page.

### **Recommendations and Improvement Plan**

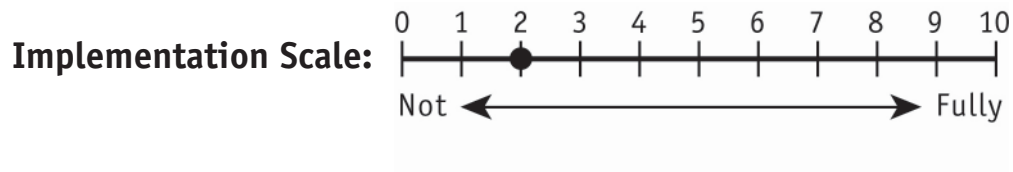
1. The structural organization chart must be continually revised as decisions are made regarding the functions that belong in Human Resources.
2. The functions of Student Welfare and Attendance, Community Affairs, and Compliance and Work Permits should be carefully considered, since they do not ordinarily belong in Human Resources.
3. Workers' Compensation is currently divided between Risk Management and Human Resources. All of Risk Management, including all of Workers' Compensation and Employee Benefits, should remain in Human Resources.



- The current Human Resources Department organization is flat, and has more positions than would be needed if the organization were structured with fewer managers. The organization must be redesigned to eliminate redundancy in the workflow of functions associated with recruitment, selection, and hiring.

**Standard Implemented: Partially**

November 1, 2004 Rating: 2



## 1.4 Organization and Planning

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### Professional Standard

The Personnel Division has an organizational chart and a functions chart that include the names, positions, and job functions of all staff in the Personnel Division.

### Sources and Documentation

1. Human Resource Services Organization Chart dated August 9, 2004
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Interview with the Interim Assistant Superintendent and the State Administrator

### Findings

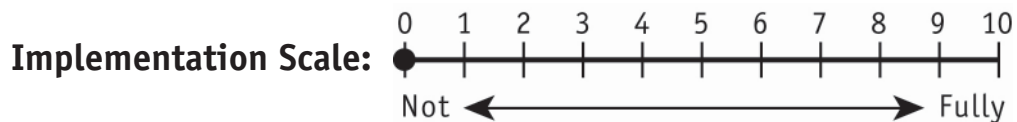
1. There was no evidence of a functional organization chart for the department.
2. Staff reported uncertainty about their own functional responsibilities and were also uncertain about those of their Human Resources colleagues.

### Recommendations and Improvement Plan

1. The Assistant Superintendent must develop a functional organization chart. The chart should be readily available to all Human Resources staff to ensure a distinction between functions and the employees responsible and accountable for those functions. The chart must be updated as frequently as the workflow of the department becomes more efficient and effective.
2. The Directory of Services in the draft Human Resources Services Reference Manual lists many of the functions of Human Resources and links the functions to Human Resources staff. This can be used in part for assigning duties on the functional organization chart.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## 1.5 Organization and Planning

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### Professional Standard

The Personnel Division has a monthly activities calendar and accompanying lists of ongoing personnel activities to be reviewed by staff at planning meetings.

### Sources and Documentation

1. Documents requested prior to audit visits
2. Draft Human Resources Services Reference Manual
3. Interviews with Human Resources staff

### Findings

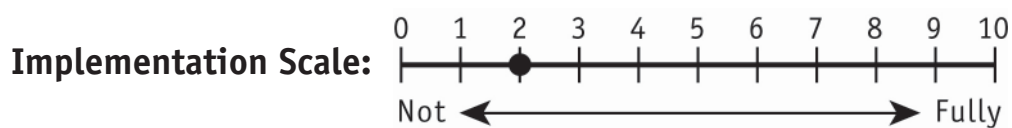
1. The draft Human Resource Services Reference Manual contains a five-page “Human Resource Services Annual Calendar” plus “Ongoing or Intermittent Duties.” The calendar is outlined by month and includes headings labeled: “To Board,” “Must Do,” and “Should Do.”
2. Human Resources staff interviewed were not aware that this calendar existed.

### Recommendations and Improvement Plan

1. The Interim Assistant Superintendent should take the calendar described above and verify with the Human Resources staff that these are the month-by-month duties of the department and/or modify the duties as necessary. The calendar should be given to each staff member, with instructions to recommend additions and deletions to the Interim Assistant Superintendent.
2. The calendar should be reviewed at a staff meeting at the beginning of each month.

### Standard Implemented: Partially

November 1, 2004 Rating: 2



## 1.6 Organization and Planning

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### Professional Standard

The Personnel Division head is a member of the Superintendent's Cabinet and participates in decision making early in the process.

### Sources and Documentation

1. District organization chart dated 2001-02
2. District organization chart dated August 3, 2004
3. Interviews with Human Resource Services staff

### Findings

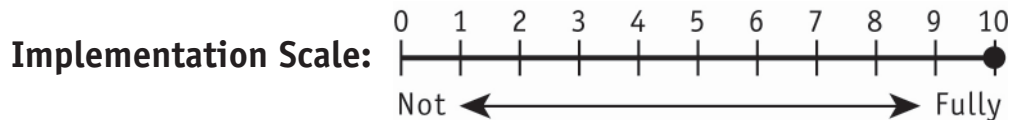
1. The Assistant Superintendent of Human Resources has been a Cabinet position since 2000-01.
2. Prior to 2000, there was no Assistant Superintendent for Human Resources, but the directors for Human Resources served on the Cabinet.

### Recommendations and Improvement Plan

1. Continue having the chief personnel officer serve as a member of the Cabinet or highest level decision-making body.

### Standard Implemented: Fully - Sustained

November 1, 2004 Rating: 10



## **2.1 Communications: Internal/External**

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### **Professional Standard**

The Personnel Division utilizes the latest technological equipment for incoming and outgoing communications.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with staff members from other departments and school sites
3. District Web site
4. ED-JOIN Web site
5. Board policies and administrative regulations (BP 4000[a]), "Employee Use of Technology"
6. Human Resources Information Request Form

### **Findings**

1. The department maintains job postings on the district's Web site and on ED-JOIN. There are some differences in the postings between the two Web sites, the most critical being the posting for substitute teachers, which is on ED-JOIN but not on the district's site.
2. The district's Web site contains outdated information, including the Human Resource Services personnel listing and salary schedules. Some of the salary schedules do not have dates on them, and others do not match the dates given on the link.
3. There is a rather comprehensive board policy and administrative regulation addressing the guidelines for individual use of district technology resources. It states, in part, "The Board expects all employees to learn to use the available electronic resources that will assist them in their jobs. As needed, staff shall receive training in the appropriate use of these resources." This policy has not been fully implemented in the Human Resource Services Department, as evidenced by the other findings and recommendations in this report.
4. There are no board policies or administrative regulations specifying the purpose and uses of technology in the district.
5. The district Web site does not include many publications that are prepared by the Human Resource Services Department, such as bargaining unit contracts, employee handbooks, staff development offerings and schedules, and forms to change employee names and addresses.
6. E-mail is not used as a regular communication tool for mass communications, either within the department or between the department and its customers. Paper sent by district mail is the most common method of communicating between the department and other departments and school sites.
7. The department has recently implemented a "no red lights on phones" policy, meaning that each employee is expected to answer the phone if he/she is at his/her desk, and to pick up messages as soon as he/she returns to his/her desk.

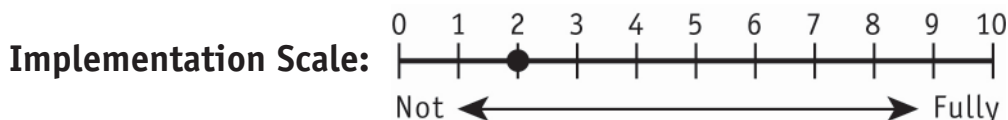
8. The department has a reputation among its customers of not returning e-mails or phone calls in a timely manner, or in some cases not responding at all.
9. The department has designed a form to request information from the department, but this is not available electronically.

### Recommendations and Improvement Plan

1. The district’s Web site should be used as more of a communication tool between the Human Resource Services Department and its customers. Publications and forms prepared by the department that would have broad interest among customers should be posted and available. A staff member needs to be designated to keep these items up to date and to notify customers via e-mail when there are new postings.
2. The job postings on the ED-JOIN and district Web sites need to be coordinated so that both contain all current open positions.
3. Establish e-mail as the main method for mass communications within the Human Resource Services Department, and between the department and other departments and school sites. Notices to all employees will still need to be on paper, since not all employees have an e-mail address or access to a computer. However, these notices can be posted to the Web site for employees to refer to as needed.
4. Provide training to all staff members who are not fully utilizing technology, such as posting to the Web site and getting reports online, using e-mail for mass communications, and getting management reports from the various department systems.
5. The department’s recent “no red lights on phones” policy is a step toward improving customer service. A protocol needs to be established for how and when the department’s employees respond to its customers. Establish acceptable time frames for returning phone calls and e-mails, even if it’s only to say “we’re working on it and will get back to you when we have the answer.” Hold department employees accountable for adhering to the expectations for customer service.
6. Train department employees to be cognizant of the customers’ needs, and to be more communicative. For example, update other departments on how the recruiting and hiring processes are going for a position in that department. As soon as an employee submits their resignation, a quick e-mail copied to benefits and payroll could prevent issues down the road.

### Standard Implemented: Partially

November 1, 2004 Rating: 2



## **2.2 Communications: Internal/External**

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### **Professional Standard**

The personnel and business departments have developed and distributed a menu of services that includes the activities performed, the individual responsible, and the telephone numbers where they may be contacted.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with Human Resource Services customers from other departments and school sites
3. Administration Internal Extensions list dated September 16, 2004
4. Vallejo City Unified School District 2004-05 Site Listing dated September 22, 2004
5. Human Resource Services Department listing of personnel, job titles, and extension numbers
6. District Web site

### **Findings**

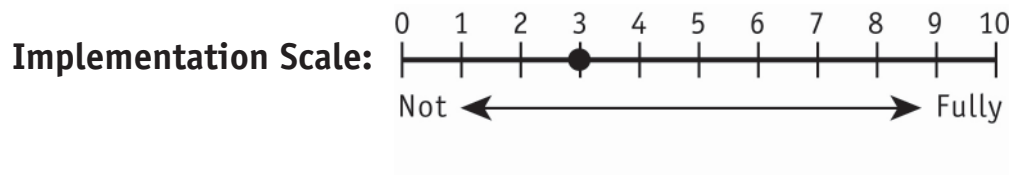
1. Directories exist for the entire district office and for the Human Resource Services Department, arranged by organizational structure or by name. There are no functional directories for the district, the Human Resource Services Department, or the Business Department.
2. The directories in use were recently produced and reflect the current staff members.
3. Customers, including other district departments, who have a question or a need, are often unsure who to contact in HR. Sometimes customers get sent back and forth between different people within HR and between departments.
4. The district's Web site for the Human Resource and Business departments reflect the current staff in these areas. However, the lists are by name or by department; there is no functional directory.

### **Recommendations and Improvement Plan**

1. Develop a functional directory for the entire district office and within each department. Distribute it to all sites and departments, and post it on the Web site.
2. Designate one employee in the department to be responsible for keeping the lists current and for getting new lists distributed and posted on the Web site.
3. Any time a customer is sent back and forth between departments, determine if an update to the functional list could have prevented that issue, and, if so, include that in the next update of the list.

**Standard Implemented: Partially**

November 1, 2004 Rating: 3





## 2.3 Communications: Internal/External

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### Professional Standard

The Personnel Division provides an annual report of activities and services provided during the year.

### Sources and Documentation

1. Discussions with Human Resource Services staff members
2. Report dated April 19, 2002: An Overview of Human Resource Services in Vallejo City Unified School District

### Findings

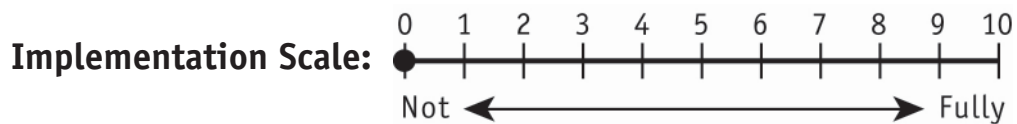
1. The Human Resource Services Department provided a report to the board in April 2002. It contained the important elements of a report on the department's activities and services, but was a PowerPoint presentation rather than a written report.
2. No other reports to the board were found regarding the activities of the department.

### Recommendations and Improvement Plan

1. Provide an annual report to the Governing Board describing (and quantifying, where possible) the department's activities and services provided during the year. The elements of the April 2002 report can be used as the basis for a more formal report.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## **2.4 Communications: Internal/External**

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### **Professional Standard**

The Personnel Division staff is cross-trained to respond to client need without delay.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with staff members from other departments and school sites

### **Findings**

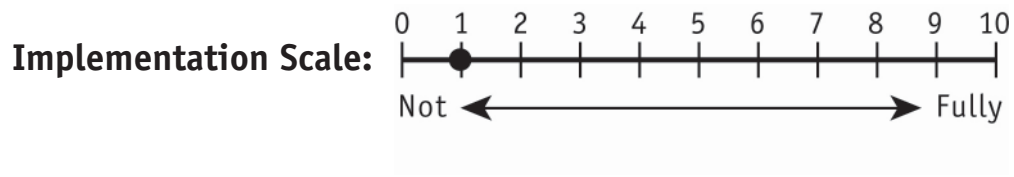
1. The department does not have a cross-training plan or a schedule of backup personnel for each major function.
2. Some cross training is occurring; however, most functions in the department do not have adequate backup, either because of lack of training or because a backup person has not been assigned. This has led to inadequate service and, in some cases, inconsistent or incorrect information given to customers.
3. Most department personnel operate under a definite dividing line between the personnel and activities for each of the three sections: certificated personnel, classified personnel, and benefits. This lack of coordination leads to inconsistencies in the way the same transactions are handled for different types of employees, and results in inefficient and inadequate services.
4. Several employees are concerned that they do not see a career path within the department.
5. Several department personnel have been rotated through the front office and receptionist functions, which has provided backup personnel for those duties. Department personnel better understand the challenges involved in those positions.

### **Recommendations and Improvement Plan**

1. Combine like functions across the three sections of the department in order to streamline activities and provide better and more consistent customer service. This should also improve communications between and relationships with the different sections of the department.
2. Develop a cross-training schedule for critical functions of all positions, and ensure that employees appropriately fill in for each other during absences.
3. List the backup employee for each function in the department directory.
4. Establish career paths for employees within the department, and ensure that employees are aware of the requirements to move to the next step.

**Standard Implemented: Partially**

November 1, 2004 Rating: 1



## 2.5 Communications: Internal/External

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### Professional Standard

The Personnel Division holds regularly scheduled staff meetings.

### Sources and Documentation

1. Discussions with Human Resource Services staff members

### Findings

1. The department has held department-wide staff meetings, but has not been holding them regularly either within the three functional areas (certificated personnel, classified personnel, and benefits) or for the department as a whole.
2. The district did not have a list of meeting dates or agendas for meetings that were held within the department.
3. The meetings most recently held were perceived by employees as an available forum for providing input on the discussion items. However, no minutes or meeting summaries were produced.
4. In many cases, employees believe they have insufficient input or knowledge regarding decisions that affect department staff.

### Recommendations and Improvement Plan

1. Establish regularly scheduled (perhaps weekly) meetings of department managers, with the expectation that decisions or information will be communicated promptly after each meeting by each manager to his/her staff members. Depending on the information to be provided, this may take the form of e-mail or a section staff meeting with minutes.
2. Each manager should establish regularly scheduled (monthly) staff meetings of his/her section, with minutes reflecting any decisions made or issues that need to be pursued.
3. Department-wide meetings should be held. If the above two recommendations are implemented, full department meetings may only be needed twice a year. Again, the decisions, issues, and assignments arising from each meeting should be documented.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## **2.6 Communications: Internal/External**

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### **Professional Standard**

Various publications are provided on a number of subjects to orient and inform various clients.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with customers: staff members from other departments and school sites
3. Classified Check-Off List of Required Forms
4. Certificated Employee Hiring Conference Checklist
5. Student/Tutor Employee Check-Off List of Required Forms
6. Certificated Hiring packet
7. Substitute Teacher/Waiver/Permit Packets
8. Certificated Employee Handbook
9. Draft Human Resource Services Reference Manual

### **Findings**

1. The department does not have a process for notifying supervisors of upcoming performance evaluations and providing the necessary forms. Most employees interviewed could not recall when their last performance evaluation occurred. Those who did recall stated it was two years ago or more.
2. The paycheck format changed significantly when the district office converted from Escape to the CECC system for Human Resources and Payroll, but there was no sample or notification sent to employees beforehand.
3. The recruitment process and related publications were significantly curtailed this year because of the reductions in overall staffing. However, the Special Education department was still in need of recruiting efforts and assistance.
4. All employees receive a hiring packet and notifications, along with a checklist to ensure that the necessary items are completed.
5. The Certificated Employee Handbook is provided to all new certificated employees. The current version is not dated and does not list the current Human Resources staff.
6. No handbooks were available for any other employee groups.
7. A completed version of the Human Resource Services Reference Manual was not found. However, the table of contents and the completed portions indicate that it could be a very comprehensive and useful document.

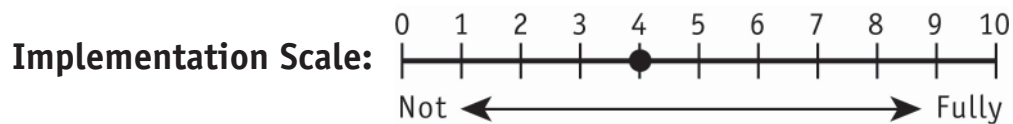
### **Recommendations and Improvement Plan**

1. Implement an electronic process to notify supervisors of upcoming performance evaluations. Make the performance evaluation form available on the Web site so that supervisors can retrieve and use the form electronically.

2. Whenever the department changes automated systems or implements new functions, procedures, or forms, and these changes directly impact employees, notify the affected employees and provide them with the name of a contact person in Human Resource Services in case there are questions. This is especially true if the layout or contents of payroll checks will be affected.
3. Invest in recruitment publications and efforts, even when staffing is being reduced, so that hard-to-recruit areas (such as Special Education) do not end up short on qualified staff.
4. Update the Certificated Employee Handbook and indicate the published date on the document so that the most current version is always in use. Post the current handbook on the Web site and notify all employees in that group so they can access the document as needed. Continue to provide a hard copy to each new employee.
5. Develop handbooks for other employee groups (substitute teachers, classified employees, school administrators, etc.) containing the policies, regulations, and procedures that pertain to them. Post these on the Web site as well, and notify all employees in each group. Provide hard copies to new employees.
6. Complete the Human Resource Services Reference Manual and review it with all department personnel.

**Standard Implemented: Partially**

November 1, 2004 Rating: 4



## **3.1 Employee Recruitment/Selection**

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### **Legal Standard**

The Governing Board provides equal employment opportunities for all people without regard to race, color, creed, sex, religion, ancestry, national origin, age, or disability (EC 44100-44105).

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Annual Legal Notice for All Employees dated August 14, 2002 and for the 2003-04 school year
3. Draft Human Resource Services Reference Manual
4. Certificated Employee Handbook
5. Poster displays in Human Resource Services and other locations in central office
6. Interviews with Human Resources staff
7. Personnel files
8. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002, to June 30, 2005
9. Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199, dated July 1, 2002, to June 30, 2005
10. Job applications
11. Job posting notices

### **Findings**

1. Board Policy 4030, All Personnel, Nondiscrimination in Employment (adopted July 20, 2004, without revisions), provides for equal opportunity in employment. Although the policy does not have a revision date, it does include the newest categories of protected status, including sexual orientation, which was added in January 2000.
2. Board Policy 4111 and Administrative Regulation 4111, All Personnel Affirmative Action (adopted July 20, 1994, without revision), provides for affirmative action in employment and an affirmative action program.
3. Administrative Regulation 4031, All Personnel, Complaints Concerning Discrimination in Employment (adopted July 20, 1994, revised December 6, 2001), provides a complaint process for alleged discrimination.
4. The Annual Legal Notices for All Employees contains AR 4031.
5. The draft Human Resource Services Reference Manual contains a section titled “Equal Employment Opportunity” and “Governing Board Policy: Equal Opportunity Employment,” which emphasizes the board policy; however, it refers to the wrong policy.
6. The draft Human Resource Services Reference Manual contains a section titled “Guidelines for Oral Interview Panel Members” that contains a statement of the district’s commitment to equal opportunity in employment and instructions regarding the procedure to follow if someone feels that he/she has been discriminated against during the hiring process.

7. Article 2 of both collective bargaining agreements address non-discrimination.
8. School office managers and principals who were interviewed recall receiving the Annual Legal Notifications.
9. Of the sample of personnel files, less than a third contained the signed cover sheet from the Annual Legal Notifications, dated August 14, 2003.
10. Employment applications contain a statement of non-discrimination and equal opportunity in employment.
11. While most of the job postings reviewed had an equal opportunity statement, some of the most recent classified postings did not.

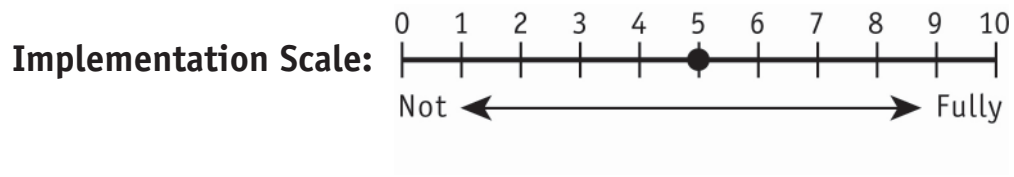
### **Recommendations and Improvement Plan**

1. Board Policy 4030 requires board action with a revision date to reflect the most recent changes in the protected classes in California law. As indicated, the classes are enumerated but it does not appear that the Governing Board took action to make the revision official.
2. Complete the Human Resource Services Reference Manual sections as follows: Section E, "Equal Employment Opportunity Information"; Section H, "Certificated Hiring Process, Flowcharts and Forms"; Section I, "Interview (Oral) Panel Guidelines"; Section P, "Posting and Notice Requirements (Labor Law Posters)" and "Pre-Employment Do's and Don'ts." Ensure that these sections contain procedures and notices that support equal employment opportunity and non-discrimination.
3. Provide a copy of the Certificated Employee Handbook to all new hires.
4. Develop a classified employee handbook and include notices of prohibition of discrimination. Disseminate the handbook to all new hires.
5. Place an equal employment opportunity and nondiscrimination statement on the Human Resources section of the district's Web site.
6. Provide training for all new Human Resources staff on equal employment opportunity and non-discrimination procedures within the Human Resources functions.
7. Affirmative action programs may actually require discrimination during employment procedures, because an affirmative action procedure may be contrary to equal opportunity and nondiscrimination. Therefore, it is recommended that a legal review of Board Policy 4111 be done and a legal opinion sought by the district regarding the reconciliation between affirmative action and equal opportunity and nondiscrimination.
8. Make certain that the signed cover sheet from the Annual Legal Notification packet is returned by all employees and a copy is placed in the personnel files.



**Standard Implemented: Partially**

November 1, 2004 Rating: 5



## **3.2 Employee Recruitment/Selection**

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### **Professional Standard**

Employment procedures and practices are conducted in a manner that ensures equal employment opportunities. Written hiring procedures are provided.

### **Sources and Documentation**

1. Department documents
2. Vallejo City Unified School District board policies and administrative regulations (BP 4000[a])
3. Annual Legal Notice for All Employees, dated August 14, 2002, and for the 2003-04 school year
4. Draft Human Resource Services Reference Manual
5. Certificated Employee Handbook
6. Poster displays in Human Resources and other locations in the central office
7. Interviews with Human Resource Services staff responsible for hiring both certificated and classified employees
8. Personnel files
9. Job applications
10. Job posting notices

### **Findings**

1. Board Policy 4030, All Personnel, and Nondiscrimination in Employment (adopted July 20, 2004, without revisions), provides for equal opportunity in employment. Although the policy does not have a revision date, it does include the newest categories of protected status, including sexual orientation, which was added in January 2000.
2. Board Policy and Administrative Regulation 4111, All Personnel Affirmative Action (adopted July 20, 1994, without revision), provides for affirmative action in employment and an affirmative action program.
3. Administrative Regulation 4031, All Personnel, Complaints Concerning Discrimination in Employment (adopted July 20, 1994, revised December 6, 2001), provides a complaint process for alleged discrimination.
4. Employment applications contain a statement of non-discrimination and equal opportunity in employment.
5. All certificated job postings contain the Equal Opportunity Employer information.
6. Classified job postings were audited and, in most cases, the Equal Opportunity Employer information was not part of the documents posted or a standard inclusion on the position description. Classified job postings initiated within the current month of the audit visit did contain the required information.

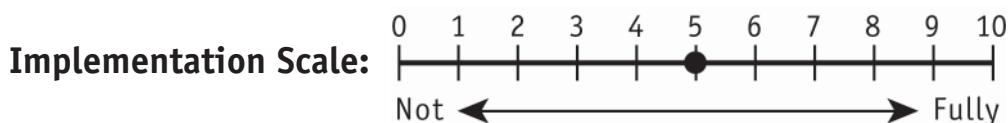
7. Although the procedures utilized by both certificated and classified panels are appropriately consistent, written hiring procedures exist only in the draft Human Resource Services Reference Manual and only for certificated staff.
8. Certificated and classified personnel staff maintain a division of duties that separates the units and limits customer service interactions.
9. Many complaints and dissatisfaction were heard about Personnel Services. Lack of responsiveness, rudeness in dealing with candidates, and poor communication practices were often mentioned.

### **Recommendations and Improvement Plan**

1. Board Policy 4030 requires board action, with a revision date to reflect the most recent changes in the protected classes in California law. As indicated, the classes are enumerated, but it does not appear that the Governing Board took action to make the revision official.
2. Complete the Human Resource Services Reference Manual sections as follows: Section E, “Equal Employment Opportunity Information”; Section H, “Certificated Hiring Process, Flowcharts and Forms”; Section I, “Interview (Oral) Panel Guidelines”; Section P, “Posting and Notice Requirements (Labor Law Posters)” and “Pre-Employment Do’s and Don’ts.” Ensure that these sections contain the written procedures and notices that support equal employment opportunity and non-discrimination.
3. Provide training for all Human Resources staff on hiring procedures documented in the draft Human Resource Services Reference Manual, and implement the procedures with consistency.
4. Write processes and procedures for hiring classified staff. Train and then implement the standardized process so that all candidates have the same equal opportunity and non-discrimination experience.
5. Cross train certificated and classified personnel staff on hiring processes and procedures, and on providing service and information support assistance to all customers.
6. Consider reorganizing the department to change the culture, the climate, and the delivery of services.

### **Standard Implemented: Partially**

November 1, 2004 Rating: 5



### **3.3 Employee Recruitment/Selection**

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#### **Professional Standard**

The job application form requests information that is legal, useful, pertinent, and easily understood.

#### **Sources and Documentation**

1. Job applications
2. Job posting notices
3. Draft Human Resource Services Reference Manual
4. Draft Certificated Employee Handbook
5. 2002-03 Recruitment Schedule
6. 2000-01 Recruitment Matrix
7. Interviews with staff in Human Resources
8. Online application

#### **Findings**

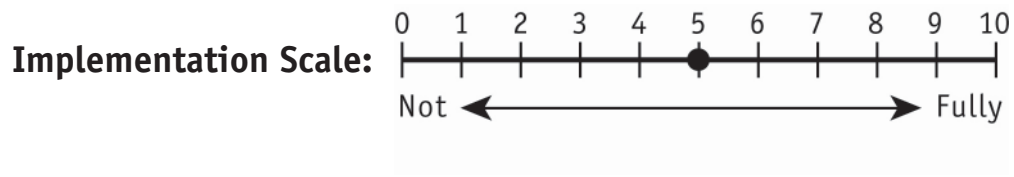
1. Job postings are created and posted in the lobby of the district office, at school sites, on the Web page, in newspapers, and on ED-JOIN.
2. Regional recruitment is done through Project Pipeline.
3. The application contains legal, pertinent, and useful information.
4. Online application filing is not available to classified applicants.
5. Posting times vary from five days to indeterminate, and are often determined by the person posting the vacancy.
6. All certificated job applications contain the required legal information.
7. Classified job applications were reviewed and, in most cases, the Equal Opportunity Employer information was not included in the documents posted or in the position description. Classified job postings initiated within the current month of the review team's visit did contain the required information.

#### **Recommendations and Improvement Plan**

1. An online application should be made available for all applicants and used as a basis for establishing appointments to complete the process with Human Resources staff.
2. The posting time for position openings needs to be standardized and determined by the appropriate Human Resource Services manager.
3. A job application/posting template should be developed for both certificated and classified positions and used as a quality control checklist.

**Standard Implemented: Partially**

November 1, 2004 Rating: 5



### **3.4 Employee Recruitment/Selection**

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#### **Professional Standard**

The Personnel Department has a recruitment plan that contains recruitment goals, including the targeting of hard-to-fill positions such as those in the areas of math, science, special education, and bilingual education. The district has established an adequate recruitment budget that includes funds for travel, advertising, staff training, promotional materials, and the printing of a year-end report, and that effectively implements the provisions of the district recruitment plan.

#### **Sources and Documentation**

1. District and department budgets
2. Department documents
3. 2002-03 Recruitment Schedule
4. 2000-01 Recruitment Matrix

#### **Findings**

1. The Human Resource Services Department does not have a current recruitment plan for 2004-05. There was a recruitment plan for 2002-03, but none was provided for 2003-04.
2. Recruitment goals are neither written nor articulated for the current year. Positions are filled on a crisis basis, with most of the certificated employee recruiting and recommendation for hiring coming from the site administrators.
3. Classified employee recruiting is more centralized, except for part-time/short-hour positions such as noon supervisors. Personnel for these are also recruited by site administrators.
4. The district has not established any funding for recruitment. There is no recruitment budget.
5. Site administrators state that they most often must do their own recruiting because there is very little support from the Human Resource Services staff.
6. Persons interviewed reported that communication is a major area of difficulty with and within the Human Resource Services Department. Telephones are not answered, voice mail and e-mail messages are not responded to, and candidates are treated rudely by Human Resource Services staff when they are not personally escorted by a site administrator.

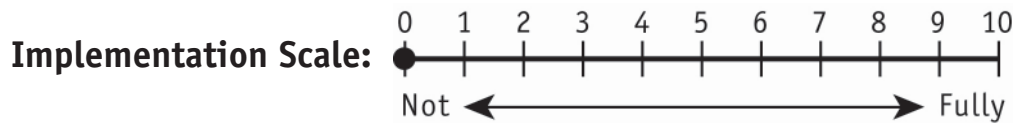
#### **Recommendations and Improvement Plan**

1. The Human Resource Services Department must develop a recruitment plan, especially for hard to fill positions, such as secondary math and science, K-12 special education, and K-12 bilingual education.
2. The Human Resource Services Department must develop written recruitment goals for both certificated and classified positions.

3. The district must establish a recruitment budget that includes funds for travel, advertising, staff training, and promotional materials, and that effectively implements the provisions of the district recruitment plan.
4. The Human Resource Services Department culture must change to focus on customer service.
5. Ineffective and inefficient communication should be addressed by reorganizing the department, cross-training staff, requiring that all voice and e-mail messages be responded to within a specified time period (such as “24 hours”), and requiring all department staff to be well informed, courteous, and helpful to all visitors.

**Standard Implemented: Not Implemented**

November 1, 2004 Rating: 0



### 3.5 Employee Recruitment/Selection

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#### Professional Standard

The district has developed materials that promote the district and community, are attractive, informative, and easily available to all applicants and other interested parties.

#### Sources and Documentation

1. Interviews with pertinent staff
2. Recruitment materials
3. The district's Web site

#### Findings

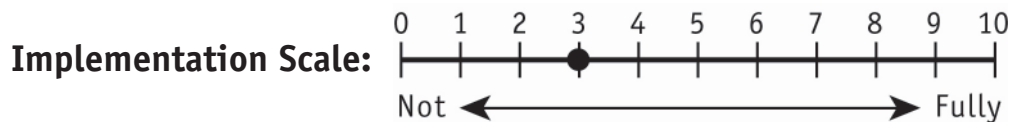
1. The district has developed attractive, informative materials for certificated positions that promote the district and community.
2. These materials are not easily available to all applicants or other interested parties unless the recruitment efforts are part of a formal job fair.
3. Classified job applicants generally receive only a job description.

#### Recommendations and Improvement Plan

1. Make recruitment materials available to all applicants and other interested parties who make formal inquiries into job availability or make formal application for a position.
2. Ensure that classified job applicants also receive materials that promote the district and the community.
3. Update the Web site and use it as a promotional tool.

#### Standard Implemented: Partially

November 1, 2004 Rating: 3





## **3.6 Employee Recruitment/Selection**

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### **Professional Standard**

The district has identified people to participate in recruitment efforts, including principals, district personnel and others, as appropriate, and has provided them with adequate training to carry out the district's recruitment goals.

### **Sources and Documentation**

1. Department documents
2. 2002-03 Recruitment Schedule
3. 2000-01 Recruitment Matrix
4. Interviews with principals and department heads

### **Findings**

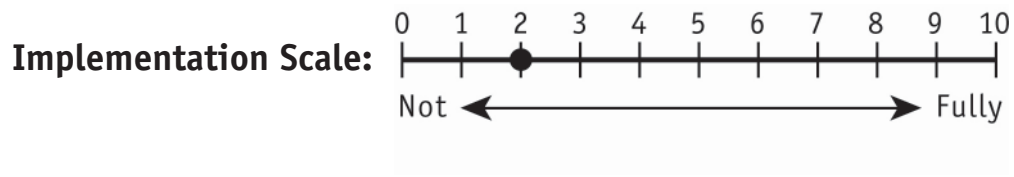
1. The district has identified participants in recruitment efforts, including principals, district personnel, and others, as appropriate.
2. The district has provided principals, district personnel, and others with some training to participate in the district's recruitment efforts.
3. Because the district has established neither recruitment goals nor a recruitment budget, planning for and participation in recruitment efforts were last minute, casual and not scheduled as a Human Resource Services effort. Participation in the last job fair was driven by the Director of Special Education.

### **Recommendations and Improvement Plan**

1. The district should provide principals, district personnel, and others with formal training so that they can participate in the district's recruitment efforts utilizing a standard format.
2. The district needs to establish recruitment goals and a recruitment budget.
3. The district must conduct advanced planning and establish participation in recruitment efforts.
4. Participation in the recruitment efforts of the district should be determined in advance by the Assistant Superintendent of Human Resources.
5. Recruitment teams should be formed no later than February of each year and training on interview techniques should be provided to all team participants. The recruitment process should be standardized to meet all legal obligations placed on employers in the public sector.

## Standard Implemented: Partially

November 1, 2004 Rating: 2



### 3.7 Employee Recruitment/Selection

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#### Professional Standard

The district has effectively identified a variety of successful recruitment sources, including Web sites, job fairs, colleges, and universities and publications.

#### Sources and Documentation

1. Department documents
2. 2002-03 Recruitment Schedule
3. 2000-01 Recruitment Matrix

#### Findings

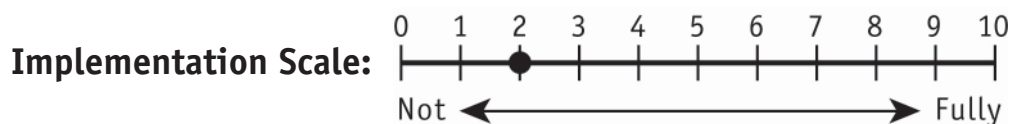
1. The district has identified a variety of successful recruitment sources, including Web sites, job fairs, colleges, universities, and publications.
2. Early identification of staffing needs will enable the district to better plan its level of participation in job fairs.
3. Recruitment goals have not been identified and documented. These are essential in order to effectively utilize recruitment opportunities.

#### Recommendations and Improvement Plan

1. The district needs to identify its staffing needs as early as possible each calendar year to better plan its level of participation in job fairs.
2. The district needs to develop recruitment goals each year.
3. Recruitment locations and teams should be identified no later than February of each calendar year.

#### Standard Implemented: Partially

November 1, 2004 Rating: 2



### 3.8 Employee Recruitment/Selection

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#### Professional Standard

The district has developed an annual written summary report of its recruitment efforts, including data detailing the goals for the year, sites visited, number of candidates contacted, employees hired as a result of the recruitment efforts, and plans for any changes for the following year. This information can be provided as part of the department's annual report of personnel activities as called for in Standard 2.3.

#### Sources and Documentation

1. Department documents
2. 2002-03 Recruitment Schedule
3. 2000-01 Recruitment Matrix
4. Board agendas

#### Findings

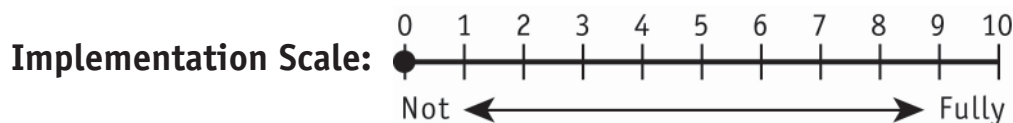
1. The district has not developed an annual written summary report of its recruitment efforts.
2. The district has not developed recruitment goals for the year.
3. This task may be unnecessary since personnel reports are included as part of every regular board meeting.

#### Recommendations and Improvement Plan

1. The district may choose to develop an annual written summary report of its recruitment efforts. This task should be addressed as part of Standard 2.3.
2. The district must develop recruitment goals for the year.
3. Since tracking is done by Project Pipeline, this particular standard need not be a high priority for Vallejo City USD.

#### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



### 3.9 Employee Recruitment/Selection

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#### Professional Standard

The district has developed alternative teacher certification programs and process (i.e., preintern, intern, committee on assignment).

#### Sources and Documentation

1. Board document that includes Education Code Sections 44258.7 and 44258.3.

#### Findings

1. The district had developed alternative teacher certification programs at one time, but nothing is active at this time.
2. A Committee on Assignments was put together in 2001. The committee met once or twice, but is not currently active.
3. No one is assigned responsibility for developing alternative routes to certification for the district.

#### Recommendations and Improvement Plan

1. The district should develop alternative teacher certification programs and processes (i.e., preintern, intern, committee on assignment).
2. The responsibility for development of these programs should be assigned to the Assistant Superintendent of Human Resources.
3. The district should establish a cooperative program relationship with the nearest colleges and universities so that a viable program can be offered and implemented in the district.

#### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



### **3.10 Employee Recruitment/Selection**

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#### **Professional Standard**

The district is preparing to address new federal regulations as they relate to the No Child Left Behind Act.

#### **Sources and Documentation**

1. Board policies
2. Department documents
3. Draft Human Resource Services Reference Manual
4. Interviews with appropriate staff

#### **Findings**

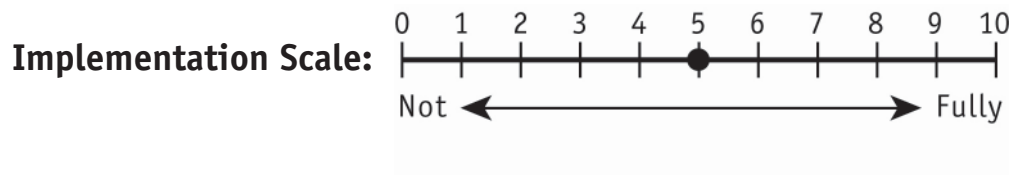
1. The district is significantly behind in preparing to address new federal regulations as they relate to certificated employees and the No Child Left Behind Act.
2. There are no systems yet in place to identify staff members who meet the “highly qualified” federal requirements.
3. No credential audit has been done.
4. The district assessed the status of current instructional aides and notified them last year to take advantage of the Cooperative Organization for Development of Employee Selection Procedures (CODESP) testing through the Solano County Office of Education (COE).
5. The district maintains a spreadsheet of the status of the instructional aides, including those who have not yet passed the tests.
6. No additional instructional aides have been hired for this year. The district plans to work with the COE on a testing schedule for prospective employees.

#### **Recommendations and Improvement Plan**

1. The district should address new federal regulations as they relate to the No Child Left Behind Act.
2. Systems should be developed to track qualifications, placement, and the pathway to certification as a “highly qualified” credentialed employee.
3. A credential audit should be conducted as soon as possible.
4. The process and procedures currently in place for NCLB compliance with classified employees should be maintained.
5. The department should coordinate with the Instructional Department to notify parents when classes are being taught by a teacher who has not met the “highly qualified” criteria.

## Standard Implemented: Partially

November 1, 2004 Rating: 5



### 3.11 Employee Recruitment/Selection

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#### Professional Standard

The district systematically initiates and follows up on reference checking on all applicants being considered for employment.

#### Sources and Documentation

1. Interviews with Human Resource Services staff
2. Interviews with district staff

#### Findings

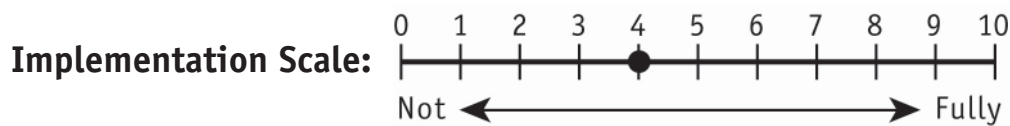
1. The district relies on the site or unit administrator with a vacancy to initiate and follow up on reference checking on the particular applicant being considered for the vacant position.
2. The district has a form for the background check. The form is a checklist used to rate the candidate as superior, strong, average, or below average, or indicate no basis to judge.

#### Recommendations and Improvement Plan

1. The district Human Resource Services administrators should conduct the initial reference checks. Site/unit administrators should conduct follow-up reference checking on the applicants being considered for employment within the site/unit.
2. The form for background checks needs revision. References to emotional stability should be dropped.

#### Standard Implemented: Partially

November 1, 2004 Rating: 4





### 3.12 Employee Recruitment/Selection

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#### Professional Standard

Selection procedures are uniformly applied.

#### Sources and Documentation

1. Interviews with Human Resource Services staff
2. Interviews with district staff

#### Findings

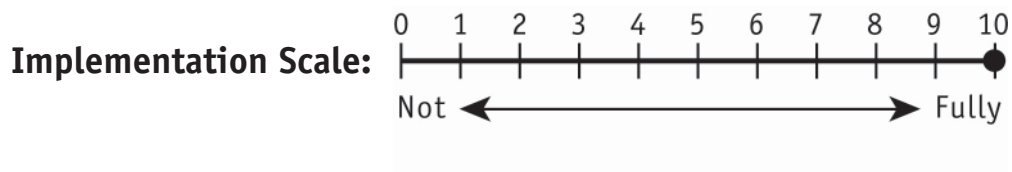
1. Selection procedures are uniformly applied.

#### Recommendations and Improvement Plan

1. This practice should be sustained.

#### Standard Implemented: Fully - Sustained

November 1, 2004 Rating: 10



### **3.13 Employee Recruitment/Selection**

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#### **Legal Standard**

The district appropriately monitors teacher assignments and reports as required under EC 44258.9.

#### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Interviews with school office managers and principals

#### **Findings**

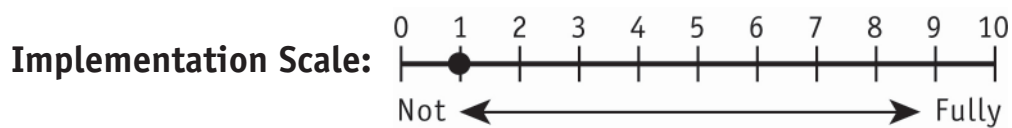
1. Approximately four years ago, a Credential Analyst from the COE assisted the district in organizing the credential function. The California Commission on Teacher Credentialing (CCTC) sent an auditor to conduct an assignment audit. Misassignments were corrected. The Credential Analyst and the Director of Certificated Personnel stated that they have not been able to secure copies of the high school and middle school master schedules, so an annual internal audit has not occurred. The COE will do a four-year audit during 2004-05.
2. Board Policy 4113, Certificated Personnel Assignment (revised May 20, 1998), states that there will be a process of annually reviewing and reporting to the Governing Board on the legality of teacher assignments.
3. Administrative Regulation 4113, Certificated Personnel Assignment (revised May 20, 1998), states that each principal shall annually file with the Superintendent a signed affidavit stating that all certificated staff at their site are assigned within credential authorizations and that a report will go to the Governing Board by December 15 of each year. Further, the regulation states that a signed affidavit shall go to the Superintendent of the Solano County Office of Education by June 1 each year.
4. The draft Human Resource Services Reference Manual contains the Human Resource Services Annual Calendar. Under "MUST DO" is "Verify All Certificated Credentials/Assignments." That reference appears again in October, but does not include a report to the Governing Board in December, nor is there a reference to a report to the COE by June 1.
5. Office managers of the middle schools and high schools reported that master schedules are available on paper and that they have submitted them to the Human Resource Services Department every year.
4. Principals confirmed that master schedules were submitted to Human Resource Services annually. They further stated that they were aware of making appropriate assignments and would not make an intentional misassignment because they thought that Human Resource Services was monitoring the assignments with the master schedules provided.

## Recommendations and Improvement Plan

1. The Interim Assistant Superintendent should review Board Policy and Administrative Regulation 4113 and determine whether the affidavit process is desirable. The policy should be modified to reflect the process that is deemed best for ensuring that assignments are within the legal parameters.
2. A procedure should be developed to implement the monitoring that is required by Board Policy and Administrative Regulation 4113.
3. The procedure should be incorporated into the Human Resource Services Reference Manual and included in the annual calendar of activities.
4. The policy and procedure should be communicated to the principals and the office managers.

## Standard Implemented: Partially

November 1, 2004 Rating: 1



### 3.14 Employee Recruitment/Selection

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#### Professional Standard

Appropriateness of required tests for specific classified positions is evident.

#### Sources and Documentation

1. Tests selected to match randomly selected job descriptions
2. Interviews with recently hired employees
3. Classified job descriptions

#### Findings

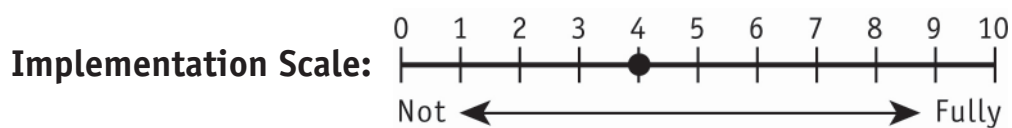
1. Tests for specific classified positions are evident.
2. Job descriptions for the classified service are out of date and do not reflect current position requirements.
3. Because the job descriptions are out of date, the appropriateness of the tests for the current job requirements could not be validated.

#### Recommendations and Improvement Plan

1. Job descriptions for the classified service should be revised to reflect current position requirements.
2. A systematic process should be established to review and, where appropriate, revise all job descriptions with input from managers and current employees.
3. Tests should be revised to reflect the skills required of employees.

#### Standard Implemented: Partially

November 1, 2004 Rating: 4



### **3.15 Employee Recruitment/Selection**

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#### **Legal Standard**

The district has implemented procedures to comply with the recent state legislation governing short-term employees (EC 45103).

#### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Interviews with school office managers

#### **Findings**

1. Board Policy 4200, Classified Personnel (adopted July 20, 1994, without revision), defines the classified service. The policy is outdated with respect to the definition of playground positions (noon duty aides). Noon duty aides who have other employment with the district are now members of the classified service.
2. Board Policy 4200 does not reflect the new requirement that the Governing Board, at a regularly scheduled meeting, shall specify the service required to be performed by the employee pursuant to the definition of “classification” and shall specify the ending date of the service.
3. Board Policy 4200 does not contain the modified definition that full-time students employed part time, and part-time students employed part time, in any college work study program or in a work experience education program conducted by a community college district are not part of the classified service.
4. Elementary school office managers understand that district classified employees who serve as noon duty aides must now be given benefits as members of the classified service.
5. Staff reported that the regular employment board agenda included short-term employees with the classification and a beginning date. The ending date is not included. Staff is unaware of a monitoring process that ensures that short-term employment does end before reaching 75 percent of the school year threshold.

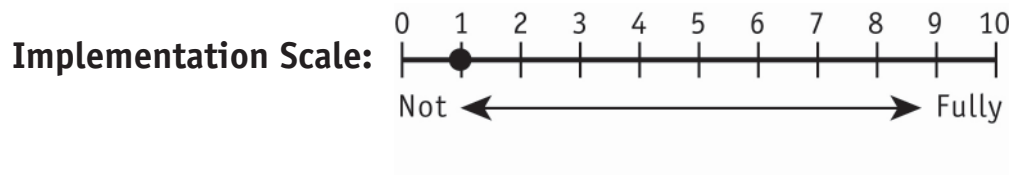
#### **Recommendations and Improvement Plan**

1. Board Policy 4200 should be revised to be consistent with Education Code 45103, including the new provisions regarding students as workers, noon duty aides as members of the classified service if already district employees, and the procedure requiring the Governing Board to approve part-time employment prior to work commencing and including an ending date for the service that is less than 75 percent of a school year.
2. A procedure should be developed for the Human Resource Services Reference Manual that outlines the day-to-day process for implementing the board policy.

3. Board policy changes and the new procedures should be communicated to the school office managers and the principals of the district.
4. A procedure should be developed for monitoring short-term employment to ensure that it does not exceed the “75 percent of the school year” rule. This may be in the form of a separate database or spreadsheet from which a report can be run to flag the upcoming ending dates. Programming the new CECC system to accomplish this purpose would be the preferable solution.

**Standard Implemented: Partially**

November 1, 2004 Rating: 1



### **3.16 Employee Recruitment/Selection**

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#### **Legal Standard**

Recruitment and selection for classified service are delegated to the Personnel Commission (EC 45240-45320).

#### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Interviews with school office managers

#### **Findings**

1. Vallejo City Unified School District is not a merit system school district and therefore does not have a personnel commission.
2. Board Policy 4211, Classified Personnel Recruitment and Selection (adopted July 20, 1994, without revision), outlines the five steps for recruiting and selecting classified employees.
3. Board Policy 4211 is consistent with EC Section 45111, which provides that qualified candidates for positions in the classified service should be granted the opportunity to compete for and obtain positions based solely on merit and fitness.
4. Classified positions are posted at the district office, the school sites and departments, and on the Web site. Some positions are advertised in local newspapers.
5. Human Resource Services checks all applications and flags those that are incomplete. The hiring manager screens the applications.
6. Human Resource Services administers job-related tests when appropriate.
7. The hiring manager arranges for a panel to interview the applicants who have been screened and deemed appropriate for an interview.
8. The hiring manager conducts the reference checks using a district form.
9. The Human Resource Services Department provides screening tools and maintains a book of interview questions for hiring managers to use.
10. The hiring manager provides the name of his/her choice of candidates to Human Resource Services, and the employment offer is made by Human Resource Services.
11. Board Policy 4212, Classified Personnel Appointment and Conditions of Employment (adopted July 20, 1994, without revision), states that the Director of Personnel is responsible for ensuring that all procedures were followed properly and then forwards the recommendation to the Superintendent and the board for appointment.

12. Board Policy 4212 also contains a section allowing the Superintendent to bypass the process in BP 4211 when it is necessary to maintain the proper functioning of the district.
13. Sites and departments often have to walk paperwork through the system to get the process under way and must often follow up frequently so that the process moves along and someone is hired.
14. Human Resource Services staff are somewhat confused regarding the steps in the process, particularly who is responsible for each step and what standards apply, e.g., whether incomplete applications are considered, and whether applications are screened for quality.

### **Recommendations**

1. Board policies 4211 and 4212 should be reviewed and modified, if necessary, to reflect the current process desired. There should be a legal review of the section titled “Appointment Through Superintendent,” as it is not supported by EC 45111.
2. The Human Resource Services Reference Manual should have a section called “Classified Hiring Process, Flowcharts, and Forms.” The detailed day-to-day procedures should be developed in this section, including clarification regarding issues such as incomplete applications, late applications, screening standards, etc.
3. Consideration should be given to a process in which the Human Resource Services staff conducts reference checks.

### **Standard Implemented: Not Applicable**

November 1, 2004 Rating: N/A



### **3.17 Employee Recruitment/Selection**

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#### **Legal Standard**

The Personnel Commission prepares an eligibility list of qualified candidates for each classified position that is open, indicating the top three candidates.

#### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Interviews with school office managers

#### **Findings**

1. Vallejo City Unified School District is not a merit system school district and therefore does not have a personnel commission.

#### **Recommendations and Improvement Plan**

None.

#### **Standard Implemented: Not Applicable**

November 1, 2004 Rating: N/A

### **3.18 Employee Recruitment/Selection**

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#### **Professional Standard**

Classified recruitment results are provided in an annual report to the Personnel Commission Board.

#### **Sources and Documentation**

1. Documents requested by the review team
2. Interviews with Human Resources staff

#### **Findings**

1. There is no annual report of classified recruitment results.

#### **Recommendations and Improvement Plan**

None.

#### **Standard Implemented: Not Applicable**

November 1, 2004 Rating: N/A

## **4.1 Employee Induction and Orientation**

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### **Professional Standard**

Initial orientation is provided for all new staff, and orientation handbooks are provided for new employees in all classifications: substitutes, teachers, and classified employees.

### **Sources and Documentation**

1. Interviews with Human Resource Services personnel responsible for employee orientations
2. Interviews with employees hired within the last two years
3. Vallejo City Unified School District new hire packets

### **Findings**

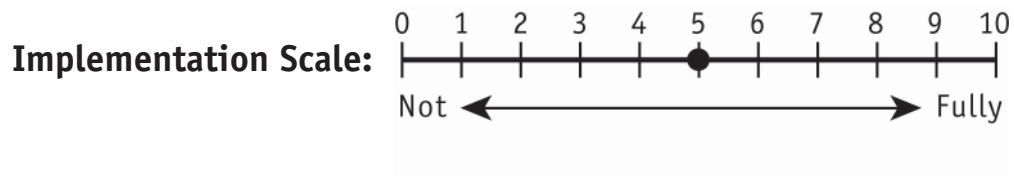
1. The Human Resource Services Department has new hire packets and a checklist to ensure that the appropriate forms are completed and explained, and that appointments are scheduled. It appropriately includes an emergency card, W-4, Oath of Office, TB Test, District Directory, Physical Form, Sexual Harassment, Child Abuse Information, and Smoke Free Workplace.
2. Observation of the orientation process revealed that the Human Resource Services employee conducted the orientation in a professional manner. The Human Resource Services employee was knowledgeable and was able to answer any questions asked by the new employee.
3. Employees hired within the last two years indicated that they had a new employee orientation and that it was helpful. They did indicate however, that the orientation regarding employee fringe benefits sometimes occurred a couple of months after they were hired.
4. Newly hired certificated employees are provided the Certificated Employee Handbook.
5. There currently is no handbook for classified employees.

### **Recommendations and Improvement Plan**

1. Based on the number of new hires processed each year, it appears that the district is able to handle the volume doing personal one-on-one orientations. However, because the process also involves employee benefits, to ensure that the entire process is performed, the Personnel Department should develop a video presentation of district activities and expectations for new employee orientation. This will ensure a uniform and full orientation of each employee and may be used to orient employees in groups.
2. Develop a Classified Employee Handbook for classified employees and incorporate it into the orientation process.

**Standard Implemented: Partially**

November 1, 2004 Rating: 5



## 4.2 Employee Induction and Orientation

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### Professional Standard

The Personnel Division has developed a video presentation (i.e., tape, CD-ROM, DVD) of the district activities and expectations for new employee orientation.

### Sources and Documentation

1. Interviews with Human Resource Services personnel responsible for employee orientations
2. Interviews with employees hired within the last two years

### Findings

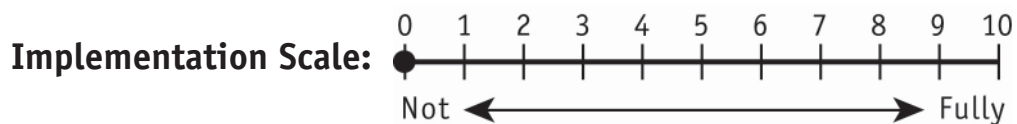
1. The Human Resource Services Department does not use a video presentation of district activities and expectations for new employee orientation.
2. The orientation process is conducted by the Human Resource Services Department. There is a new hire checklist that addresses most of the major issues. The process appeared to be thorough. When possible, the labor union representative and an employee from Employee Benefits are brought in. However, this does not happen all the time. New employees reported that their orientation with Employee Benefits happened a couple of months after hire.

### Recommendations and Improvement Plan

1. The Human Resource Services Department should develop a video presentation of district activities and expectations for new employee orientation. This will ensure a uniform and full orientation of each employee and may be used to orient employees in groups.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



### 4.3 Employee Induction and Orientation

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#### Professional Standard

The Personnel Division has developed an employment checklist to be used for all new employees that includes district forms and state and federal mandated information. The checklist is signed by the employee and kept on file.

#### Sources and Documentation

1. Interviews with Human Resource Services personnel responsible for employee orientations
2. Interviews with employees hired within the last two years
3. Vallejo City Unified School District new hire packets

#### Findings

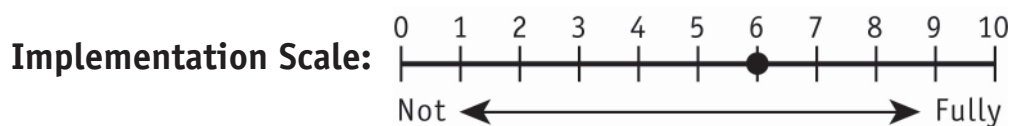
1. The Human Resource Services Department has developed an employment checklist to be used for all new employees that includes district forms and state and federal mandated information. Inspection of the personnel files revealed that it is being used consistently as part of the new hire process.
2. The checklist does not include a signature line for the employee to sign. It should be noted that most of the individual forms in the new hire packet include employee signatures.

#### Recommendations and Improvement Plan

1. The new hire checklist should be modified to include an employee signature line to acknowledge receipt of all documents in the new hire packet.

#### Standard Implemented: Partially

November 1, 2004 Rating: 6



## **5.1 Operational Procedures**

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### **Professional Standard**

Personnel files are complete, well-organized, and up to date.

### **Sources and Documentation**

1. Review of personnel files
2. Interviews with Human Resource Services staff

### **Findings**

1. Overall, the personnel files mostly included the minimum required information.
2. The personnel files also included a great deal more than is necessary or appropriate, such as:
  - a. Medical information in the general file that should be in a separate confidential file.
  - b. Multiple copies of the same document when only one copy is needed.
  - c. Livescan requests that need not be in the file.
  - d. I-9's in the general file that should be in a separate file.
  - e. Change of address and name requests that need not be in the file.
  - f. Emergency notification cards that need not be in the file.
  - g. Timesheets and miscellaneous memos not pertaining to the employee that do not need to be in the file.
  - h. Photograph of the employee attached to employee record, which should not be in the file.
3. The district has a personnel file organization sheet of what should be included in the file. It is very thorough. However, it includes items that should be maintained by the district, but not in the personnel file.
4. Personnel files were unorganized due in part to the inclusion of unnecessary documents, and because there are no dividers used in the file to make them easy to review.
5. Personnel files do not include a section for confidential information.
6. A signed statement on non-discrimination was not always on file.

### **Recommendations and Improvement Plan**

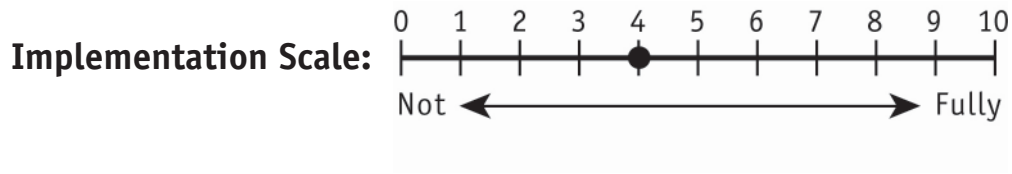
1. The task of reorganizing all of the personnel files in the district is enormous and therefore should not be the Human Resource Services Department's highest priority. However, in the future, as new employees are hired, it is recommended that personnel files with dividers be used to properly organize the files. In addition, it is recommended that a confidential section be added to ensure that only appropriate information is available for review by someone not in the Human Resource Services Department.
2. The district should consider utilizing document imaging. Untold labor hours are invested in finding and massaging the massive amount of data buried in paper personnel records.

Document imaging systems are being used successfully in a number of large school districts and other enterprises. These systems pay for themselves quickly and improve customer service dramatically.

3. Revise the personnel file organization sheet to reflect the appropriate items that should be included and where they should be kept. Items listed under Payroll/Employment should be in a separate file. Items listed under correspondence should be removed. The TB verification forms should be in a separate medical file.

**Standard Implemented: Partially**

November 1, 2004 Rating: 4





## 5.2 Operational Procedures

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### Professional Standard

Personnel Division non-management staff members have individual desk manuals for all of the personnel functions for which they are held responsible.

### Sources and Documentation

1. Interviews with Human Resource Services staff
2. Review of documentation that might validate the district's compliance with this standard

### Findings

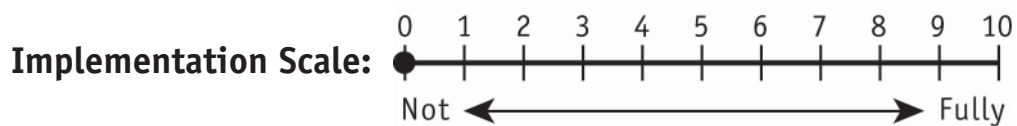
1. The Human Resource Services Department does not have desk manuals for its non-management staff. While there were manuals for computer systems provided by the software vendors, there were no manuals detailing how job functions were to be carried out. Staff stated that desk manuals would be helpful and would ease the learning process for new hires.

### Recommendations and Improvement Plan

1. The district has recently converted from its old HR/Payroll system to a new system called CECC. As a result, it has had to refine the department's operating procedures. These procedures should be documented in the development of desk manuals for the various functions in the Human Resource Services Department.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



### 5.3 Operational Procedures

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#### Professional Standard

The Personnel Division has an operation procedures manual for internal department use in order to establish consistent application of personnel actions.

#### Sources and Documentation

1. Interviews with Human Resource Services staff
2. Review of documentation that might validate the district's compliance with this standard
3. Draft Human Resource Services Reference Manual

#### Findings

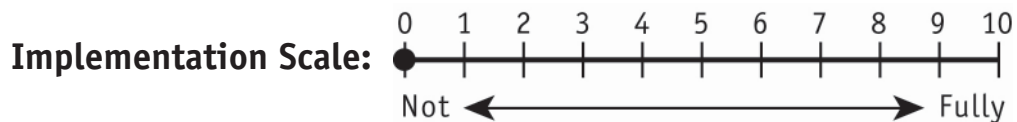
1. The Human Resource Services Department does not have an operation procedures manual for internal department use for consistent application of personnel actions. Staff stated that a manual would be helpful. The district has a draft Human Resource Services Reference Manual, but none of its procedures has been implemented.

#### Recommendations and Improvement Plan

1. The district should develop an operation procedures manual for the various functions in the Human Resource Services Department and distribute it to department employees.

#### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## **5.4 Operational Procedures**

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### **Professional Standard**

The Personnel Division has a process in place to systematically review and update job descriptions. These job descriptions shall be in compliance with the Americans with Disabilities Act (ADA) requirements.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Binders of job descriptions
4. Interviews with Human Resource Services staff
5. Interviews with central office staff

### **Findings**

1. Board Policy 4213, Classified Employee Assignment/Classification (adopted July 20, 1994), states that the board will classify all positions, including specific statements of the duties required.
2. Administrative Regulation 4212(b), Classified Personnel Appointment and Conditions of Employment (revised December 19, 2001), states that all classified employees shall receive, upon employment and upon each subsequent change in classification, two copies of their class specification.
3. Section J of the Index of the Draft Human Resource Services Reference Manual marks a place for a procedure for “Job Description and Job Promotion Notification.”
4. Section P of the Index of the Draft Human Resource Services Reference Manual marks a place for a procedure for “Position Descriptions – Development and Revision.”
5. District staff interviewed are not certain how job descriptions are developed.
6. District staff interviewed did not recall seeing their job description. They did recall seeing duties on the job posting when they applied for the job.
7. There was no written process for developing or updating job descriptions.
8. Human Resource Services staff did not know if there was a process for developing job descriptions. It was reported that when a new job description was needed or when someone did request a revision, the Director(s) of Personnel developed or revised them.
9. The binders of job descriptions contained job descriptions in many different styles and formats. Dates on the job descriptions ranged from recent to 10 or more years ago.
10. Some job descriptions labeled the “essential functions” with an “E” for purposes of the Americans with Disabilities Act. Many job descriptions had no essential functions delineated.

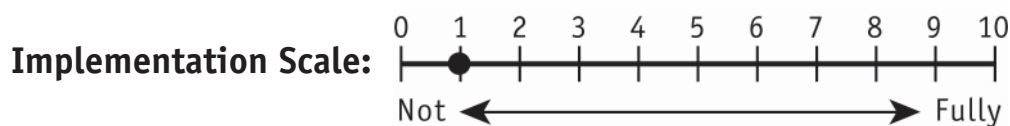
11. There is one job description for teachers.
12. There has been no sustained effort to maintain job descriptions.

### Recommendations and Improvement Plan

1. A format should be developed for all job descriptions that includes: Job Title, Work Year (hours per day and days per week for classified jobs), Exempt or Non-exempt Status, Position Type (certificated, classified, supervisor, manager, confidential), Pay Range (monthly, weekly, or hourly as appropriate), Summary Statement of Duties, Specific Duties, Knowledge/Skills/Abilities, and Working Conditions.
2. The essential functions of all job descriptions should be highlighted.
3. A timeline should be developed for a complete rewrite of all job descriptions into the new format. Only significant changes to the job duties of a job description will require approval of the Governing Board.
4. An ongoing process should be developed for the review of job descriptions for the Human Resource Services Reference Manual. For some positions, job descriptions may have an annual review. For some positions, the job description may require review only when the position is vacated and a new recruitment is taking place. Some positions may require review on a three- to four-year schedule or whenever technology or other forces cause a change in job duties.
5. Instructions should be developed for the creation of new job descriptions, as well as a process for bringing them through board approval.
6. A long-term plan should be developed for having the job descriptions maintained in electronic format and published on the district's Web site.
7. A process should be developed for presenting all classified personnel with their job descriptions upon employment and with each change of classification. This process should be contained in the Human Resource Services Reference Manual and in a Classified Employee Handbook if one is developed.

### Standard Implemented: Partially

November 1, 2004 Rating: 1



## **5.5 Operational Procedures**

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### **Professional Standard**

The Personnel Division has procedures in place that allow for both personnel and payroll staff to meet regularly to solve problems which develop in the process of new employees, classification changes, and employee promotions.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with Payroll and Finance Department staff members

### **Findings**

1. While some personnel in Human Resource Services and Finance/Payroll do communicate on issues as needed, there are no regularly scheduled meetings between the departments. Even during the implementation of the new human resources and payroll system, there were very few formal meetings between the departments, and the employees affected in the two departments were not involved in the overall planning efforts.
2. The district did not have a list of meeting dates or agendas for meetings that did occur between the departments.
3. Situations occur regularly where employees are not paid correctly or do not receive the correct type of leave or benefits because of a lack of coordination between the departments.
4. There have been instances where a memo generated from one of the departments affects other departments, but was not coordinated ahead of time. This has resulted in the other department being unprepared to address questions or implement the subject of the memo.
5. Interpretations of certain provisions in the bargaining unit contracts are not always consistent over time, and are not always communicated or discussed between the two departments. This results in confused employees in these departments and inconsistent treatment of district employees.
6. The delineation of duties between the two departments is not clear in some areas, such as leave accruals and usage, certain aspects of health and welfare benefits, and Workers' Compensation cases. This results in customers being referred back and forth, incorrect applications of benefits or leave, and incorrect payments to employees.
7. For the most part, interdepartmental procedures do not exist. Employees generally rely upon memory of past practice or refer to documents from previous transactions. This reduces the timeliness and the quality of processes between the two departments.

## Recommendations and Improvement Plan

1. Regularly scheduled meetings should be held between the Human Resource Services Department and Payroll. These meetings should be monthly at first. Each department should submit items for the agenda, and the meeting can be expanded to include Benefits, Risk Management and Budget/Accounting personnel when the topics being discussed affect them. Each meeting should result in the documentation of decisions, new procedures, revised procedures, and assignments made or issues that need to be further investigated.
2. In between meetings, the lines of communication should be kept open between departments so that any issues encountered that affect others can be placed on the agenda for the next meeting or, if it is more urgent, a special meeting can be called.
3. These meetings should be used as a forum for developing interdepartmental procedures and timelines. A list of the procedures needed should be prepared and used to prepare items for the meeting agendas. Afterwards, the procedure should be documented and distributed to the employees who need to use it. A schedule of timelines and deadlines between the departments should be prepared, and all employees should be aware of and respect the schedule.
4. Before issuing any communications to customers that may affect other departments, the cognizant people in each department need to discuss the issue and be prepared to support the contents of the communication.
5. Interpretations of policy, regulation, bargaining unit contract, or law must be documented and available for future use by employees who may be responsible for implementing that provision. This will help to ensure consistent application of these provisions over time and between departments.
6. The duties between the Human Resource Services Department and the Business Department must be clearly delineated in areas of common responsibility (leave accruals and usage, benefits, Workers' Compensation, etc.), so that employees can be trained and held responsible for performing their duties and so that customers receive more accurate and prompt information.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## **5.6 Operational Procedures**

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### **Professional Standard**

Wage and salary determination and ongoing implementation are handled without delays and conflicts (substitutes, temporary employees, stipends, shift differential, etc.).

### **Sources and Documentation**

1. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002, to June 30, 2005
2. Contract between Vallejo City Unified School District and the California School Employees Association Vallejo Chapter #199, dated July 1, 2002, to June 30, 2005
3. Interviews with Human Resource Services Department staff
4. Interviews with central office staff
5. Interviews with site staff

### **Findings**

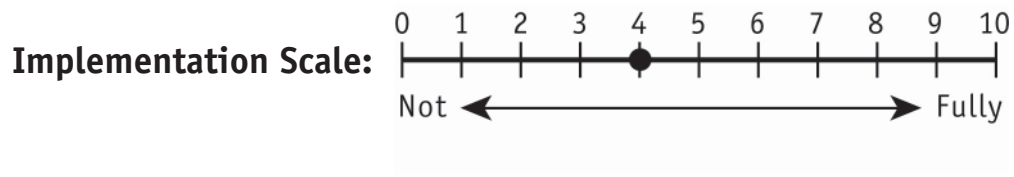
1. Both of the collective bargaining agreements contain an Article 3 – “Wages” that contains all of the rules for salary placement and advancement, as well as special pay and extra pay provisions. The contracts contain very complex and many unique pay provisions.
2. The draft Human Resource Services Reference Manual index contains markers for pay procedures as follows: Section A; “Additional Duty Days & Increased Work Day — Certificated”; Section B, “Certificated/Classified Payroll Transmittal Form”; Section E, “Extra-Duty/Stipends/Additional Assignments Form; Section P, “Paid Coach List” and “Paid Stipend List”; Section S, “Salary Schedule Placement — Certificated” and “Salary Placement — Management.”
3. All wage and salary placement and adjustments for classified staff are processed by the Secretary I, Confidential, working with the Coordinator of Classified Personnel.
4. All wage and salary placement and adjustments for certificated staff are processed by the Credentials Technician.
5. Interviews with central office and site staff revealed some pay problems that required inquiry and interaction with Human Resource Services and Payroll to resolve. Some of the school office managers said that they rarely had problems except with extra pay contracts.

### **Recommendations and Improvement Plan**

1. Procedures for wage and salary placement and adjustments for all personnel should be written with processes, flow charts, and forms. These procedures should be added to the Human Resource Services Reference Manual.
2. Positions in Human Resources should be designated for training as backup and/or overload for processing wage and salary transactions and expediting the forms to Payroll.

**Standard Implemented: Partially**

November 1, 2004 Rating: 4





## 5.7 Operational Procedures

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### Professional Standard

Regulations or agreements covering various types of leaves are fairly administered.

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002, to June 30, 2005
4. Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199, dated July 1, 2002, to June 30, 2005
5. Interviews with Human Resource Services staff

### Findings

1. Board Policy 4160, Certificated Personnel Absences and Leaves (adopted July 20, 1994, without revisions), describes a process for reporting day-to-day absences for teachers. This policy is not consistent with the procedures actually followed in the district.
2. Board Policy 4161, Certificated Personnel Personal Illness and Injury Leave (adopted July 20, 1994, without revisions), describes the rights to sick leave and the process to be followed in using sick leave and industrial accident leave. However, its provisions conflict with the district procedures being followed.
3. Board Policy 4161.2, All Personnel Personal Leaves Personal Necessity (adopted July 20, 1994, without revision), provides a foundation for personal necessity leave.
4. Administrative Regulation 4161.2 (a)-(f), All Personnel Personal Leaves (approved February 20, 2002), provides the regulations for Bereavement Leave, Personal Necessity Leaves, Legal Duties Leaves, Leave for Victims of Domestic Violence, Personal Leave for a Child's School Activities, Civic Duties Leave, Religious Leave, and Leave for Volunteer Firefighters. The regulation is accompanied by an Exhibit, E 4161.2, Leave of Absence Request. The leave is requested through the immediate supervisor and is signed off by the Assistant Superintendent of Human Resources. Copies of the form are to be distributed to Human Resource Services, Payroll, the work site, the employee, and Risk Management.
5. Board Policy 4161.3, Certificated Personnel Professional Leave Sabbatical Leave (adopted July 20, 1994, without revision), provides for sabbatical leave for teachers.
6. Board Policy 4161.5(a), All Personnel Military Leave (adopted July 20, 1994, without revision), provides a foundation for military leaves.
7. Article 7 of both collective bargaining agreements outlines all of the leaves of absence for which bargaining unit members are eligible, including Catastrophic Leave.

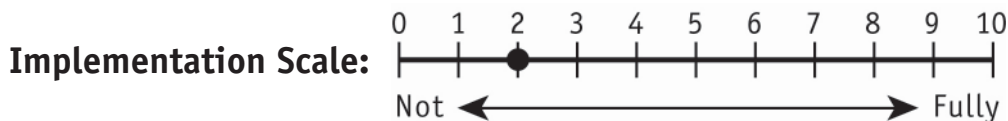
8. Board Policy 4161.8 and Administrative Regulation 4161.8, All Personnel Family Care Leave (adopted July 20, 1994), provides the foundation and broad procedures for family care leaves.
9. The Leave of Absence Request form lists all of the available personal leaves and implies that the form will be submitted in advance. However, procedures in the collective bargaining agreements and board policies explain that there are cases when the leave is taken first and then covered by the employee submitting an absence form. It is confusing and difficult to determine the workflow and the management tracking of leaves of absence. It is even more difficult to determine if the leaves are being fairly and consistently administered.
10. No one interviewed on the Human Resource Services staff claimed responsibility for processing leaves of absence.

### Recommendations and Improvement Plan

1. Board Policy 4160 should be revised or deleted.
2. Human Resource Services and Payroll should review each type of leave of absence and develop the workflow that creates a system for requesting/taking the leave and district monitoring/tracking/reporting the leave. Leaves that have the same process may have the same or similar forms and procedures, while some leaves may have unique procedures.
3. All leave request forms and absence reports should take the most direct route to the payroll system. Human Resource Services should only be involved for the purpose of providing leave advice or information on options, approval when it is required, or for providing a substitute or replacement as appropriate.
4. A system for monitoring leaves and leave returns should also be developed.

### Standard Implemented: Partially

November 1, 2004 Rating: 2



## **5.8 Operational Procedures**

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### **Professional Standard**

Personnel staff members attend training sessions/workshops to keep abreast of the most current acceptable practices and requirements facing personnel administrators.

### **Sources and Documentation**

1. Interviews with Human Resource Services staff

### **Findings**

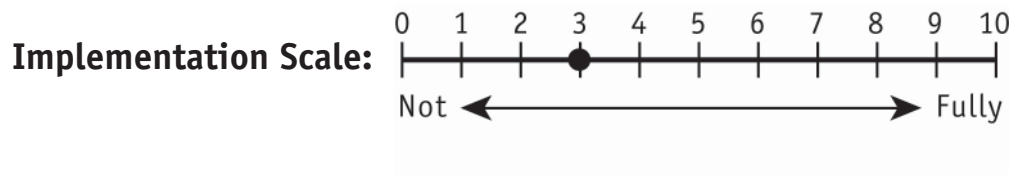
1. Lack of adequate training was cited as a problem by all non-management employees. They indicated that there was little or no cross training, in-district training, or outside training. In fact, they felt left out of the loop when it came to training on the new CECC HR/Payroll system. That is because they believed that their workload was so heavy that they rarely went to training sessions on the new system.
2. It was noted that some administrators in the department attended personnel-related workshops periodically.

### **Recommendations and Improvement Plan**

1. Highly trained and qualified people are essential to the success of any operation. Staff development is recognition that people need continuous learning to maintain and improve competence. Key elements of an effective training program include:
  - a. An analysis of who should be trained.
  - b. Identification of who will provide the training.
  - c. Identification of subjects to be covered in training.
  - d. Scheduling of initial and refresher training sessions.
  - e. Identification and development of training materials.
  - f. An analysis of training costs and related resources.
2. The Human Resource Services Department should establish ongoing staff development for its non-administrative staff. There are many options available through outside organizations, such as ACSA and CASBO. To minimize costs in the current fiscal crisis, it may be advisable to send one staff member to a workshop and have him/her present what he/she has learned to others in the district.
3. The department should have a representative at all county-sponsored trainings on the CECC system.

**Standard Implemented: Partially**

November 1, 2004 Rating: 3



## 5.9 Operational Procedures

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### Professional Standard

The Personnel Division provides employees with appropriate forms for documenting requested actions (i.e., leaves, transfers, resignations, retirements).

### Sources and Documentation

1. Review of district forms
2. Interviews with Human Resource Services staff

### Findings

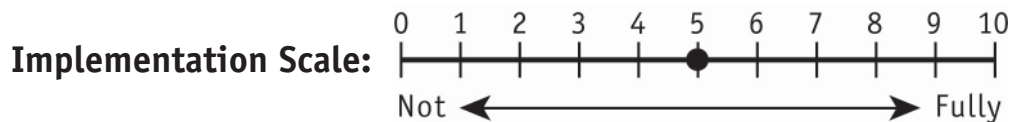
1. The Human Resource Services Department has appropriate, easy to understand forms for leaves of absence, transfers, and resignations.
2. Forms are available at the Human Resource Services Department and were noted at some, but not all, work sites.
3. Not all leave forms are submitted and/or received by the Payroll Department in advance.
4. See Professional Standard 5.7 for leave monitoring.

### Recommendations and Improvement Plan

1. The district should continue to provide understandable forms for employees for actions such as leaves, transfers, resignations, and retirements. The Human Resource Services Department should notify sites annually that these forms are available for re-order as needed by the sites.
2. All leave request forms should be processed in a timely manner and forwarded to Payroll.

### Standard Implemented: Partially

November 1, 2004 Rating: 5



## **5.10 Operational Procedures**

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### **Professional Standard**

Established staffing formulas dictate the assignment of personnel to the various sites and programs.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with staff members from other departments and school sites
3. Board policies
4. Administrative regulations
5. Employee bargaining unit contracts
6. Staffing worksheets

### **Findings**

1. No board policies or administrative regulations exist to address staffing formulas for any type of positions in the district.
2. The certificated bargaining unit contract contains maximum class size and student contact parameters, as well as student-to-adult ratios for certificated support personnel. The district uses this information to determine staffing levels for certificated staff at school sites. These parameters severely restrict the district's ability to manage its expenditures.
3. The certificated bargaining unit contract also contains requirements affecting the duties of Maintenance and Operations personnel, which has the effect of requiring a minimum level of Maintenance and Operations staffing in order to accomplish the duties.
4. The initial staffing allocations are based upon the latest enrollment projections, which date back to January. However, the district staff members responsible for staffing have not been able to find any supporting information indicating how the projections were prepared.
5. Staffing is provided by rolling up to at least the next full FTE. This is more generous than necessary, and restricts flexibility since enrollment has been declining.
6. Once the staffing assignments are made, increases are made on a case-by-case basis at the request of school sites. There is no evidence of a comprehensive review of enrollments, staffing, and class sizes for the rest of the school year.
7. The certificated bargaining agreement also restricts the district's flexibility for staffing and results in even more FTE being allocated to the sites. In addition to maximum class sizes for middle and high schools, there are maximum student contacts of 160 students.

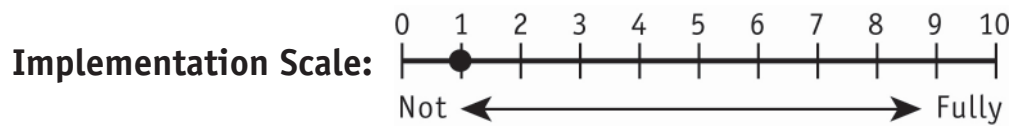
### **Recommendations and Improvement Plan**

1. The district should negotiate relief from the restrictions on class size, student contacts, and custodial services in the certificated bargaining unit contract.

2. Staffing formulas should be developed for classified, certificated, and management staff members at school sites and the district office in order to ensure consistency between sites and to manage expenditures. These should be incorporated into board policy and administrative regulations.
3. Staffing formulas and staffing levels should reflect the work year and daily hours needed for each program.
4. In determining the initial staffing levels for schools, the practice of rounding up should be discontinued. As the school year rolls out, adjustments will be made naturally to handle the actual number of students.
5. Supportable projections for enrollment should be established early in the spring before the next school year, and continually adjusted as needed. After the school year starts, enrollment and class sizes should be monitored throughout the year to ensure that staffing levels reflect changes in these variables.

**Standard Implemented: Partially**

November 1, 2004 Rating: 1



## **6.1 State and Federal Compliance**

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### **Legal Standard**

Policies and regulations exist regarding the implementation of fingerprinting requirements for all employees. Education Codes: 44237, 45125, 45125.1, 44332.6, 44346.1, 44830.1, 45122.1.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Material requested by the review team prior to visit
4. Interviews with Human Resource Services staff
5. Livescan system

### **Findings**

1. Administrative Regulation 4112, Certificated Personnel Appointment and Conditions of Employment (approved December 19, 2001), requires that a certificated candidate submit to fingerprinting and outlines the crimes that preclude employment.
2. Administrative Regulation 4212, Classified Personnel Appointment and Conditions of Employment (approved December 19, 2001), requires that a classified candidate submit to fingerprinting and outlines the crimes that preclude employment.
3. The draft Human Resource Services Reference Manual index Section F contains markers for “Fingerprint Process” and “Fingerprint Process for Consultants and Contractors.”
4. Human Resource Services staff provide recommended candidates, both certificated and classified, with an employment packet that includes the Livescan form. They use the Livescan to conduct the fingerprinting process.
5. Negative reports and counseling are conducted by the Director of Human Resources, who determines whether the person can be employed. This includes reviewing the record for crimes enumerated in EC 44346.1.
6. Candidates are required to make an appointment for fingerprinting, which often means making another trip to the district office. Livescan hours are limited, but opportunities do occur to accommodate the candidate.

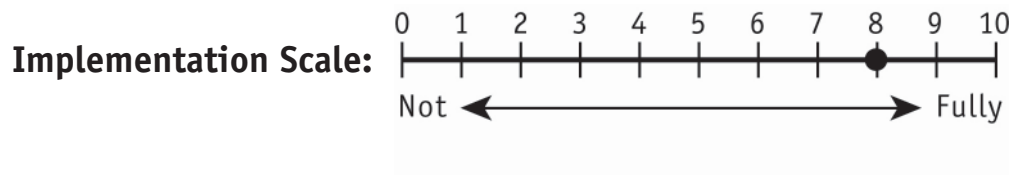
### **Recommendations and Improvement Plan**

1. Section F of the Human Resource Services Reference Manual should be completed to provide clear written procedures for fingerprinting. These procedures can be used to ensure training for backup or for a new Human Resource Services employee.
2. The department should revise the scheduling process for candidates with Human Resource Services and Livescan to improve service delivery.



**Standard Implemented: Fully - Substantially**

November 1, 2004 Rating: 8



## **6.2 State and Federal Compliance**

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### **Legal Standard**

The Governing Board requires every employee to present evidence of freedom from tuberculosis as required by state law (EC 44839, 49406).

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Material requested by the review team prior to visit
4. Interviews with Human Resource Services staff
5. Interviews with central office staff
6. Interviews with school site staff
7. Personnel files

### **Findings**

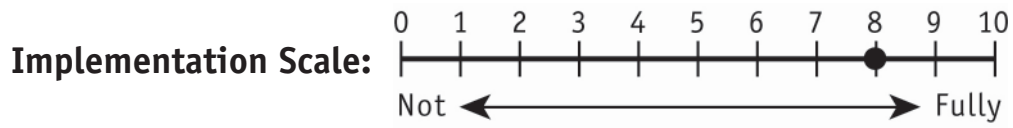
1. Administrative Regulation 4112, Certificated Personnel Appointment and Conditions of Employment (approved December 19, 2001), requires that a certificated candidate submit to tuberculosis testing.
2. Administrative Regulation 4212, Classified Personnel Appointment and Conditions of Employment (approved December 19, 2001), requires that a classified candidate submit to tuberculosis testing.
3. Board Policy 4112, All Employees Health Examinations (adopted July 20, 1994, without revision), requires all employees to undergo tuberculosis tests once every four years.
4. The draft Human Resource Services Reference Manual index Section T contains a marker for “Tuberculosis Tests—Existing Employees and New Hires,” but this section is not complete.
5. The draft Human Resource Services Reference Manual index Section T contains a Human Resources Services Annual Calendar that schedules TB reminder notices in September and in January.
6. Staff from school sites and the central office recalled having a TB clearance to start work. Employees who had been in the district for many years recall being tested regularly and some could recall their next test date or their most recent test date. They stated that they get a reminder letter.
7. The Human Resource Services receptionist currently sends the reminder notices.
8. Personnel files contained TB clearances from initial employment, as well as subsequent clearances.

## Recommendations and Improvement Plan

1. Section F of the Human Resource Services Reference Manual should be completed to provide clear written procedures for TB clearances.

### Standard Implemented: Fully - Substantially

November 1, 2004 Rating: 8



## 6.3 State and Federal Compliance

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### Legal Standard

No person is employed as a teacher's aide unless that person has passed the basic reading, writing, and mathematic skills proficiencies required for graduation from high school (EC 45361.5). Instructional aides hired before January 8, 2002 will meet NCLB expectations by January 8, 2006 and all instructional aides hired after January 8, 2002 meet the NCLB expectations: (1) two years of study in a school of higher education, or (2) associates degree or higher, or (3) passed an assessment that demonstrates ability to assist in instruction of reading, writing and mathematics (EC 45330).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Testing of interviewees' knowledge of requirements

### Findings

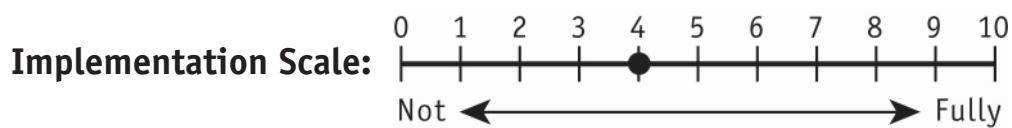
1. Administrative Regulation 4214(b), Classified Personnel Appointment and Conditions of Employment (approved December 19, 2001), addresses the requirement of EC 45344.5, which is the demonstration of proficiency in basic reading, writing, and mathematics skills.
2. There is no board policy or administrative regulation that addresses EC 45330 and the provisions of No Child Left Behind.
3. There is no mention of procedures for implementing the mandates of No Child Left Behind in the draft Human Resource Services Reference Manual.
4. Human Resource Services staff explained that last year they created a spreadsheet of all currently employed instructional aides in the district with their status relative to the three options for demonstrating competence as an instructional aide as outlined in EC 45330. Instructional Aides were notified of the requirements and informed about three opportunities last year to take a test through the Solano County Office of Education (COE). The test was developed by the Cooperative Organization for Development of Employee Selection Procedures (CODESP), and has been recognized as meeting the requirements of No Child Left Behind. Human Resource Services is planning to notify instructional aides who have not yet met the requirements of the January 8, 2006, deadline and offer testing through the Solano County Office of Education this year.
5. No instructional aides have been hired yet for this school year. The Coordinator of Classified Personnel plans to work with the COE on a testing schedule that can accommodate new hires. Applications will be screened through transcripts for two years of higher education or an associate's degree or higher, which will satisfy the requirements and preclude the need for testing.

## Recommendations and Improvement Plan

1. The district should update AR 4212 (b) to reflect EC 45330 requirements that will effectively supersede the basic proficiency requirements that are in place.
2. The procedures for ensuring that the employment process covers the requirements should be written and included in the Human Resource Services Reference Manual.
3. A short-term plan should be written for the notification and testing of current instructional aides, including timelines for testing opportunities. It should include a plan to hire and replace aides who have not met the requirements by January 8, 2006, particularly because that will occur in the middle of a school year.
4. The district should follow up with the COE to ensure that there will be timely testing that will meet the hiring needs of the district throughout a school year.

## Standard Implemented: Partially

November 1, 2004 Rating: 4



## 6.4 State and Federal Compliance

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### Legal Standard

A clear implemented policy exists on the prohibition of discrimination (Government Code 11135).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Annual Legal Notice for All Employees August 14, 2002 and 2003-04 School Year
3. Draft Human Resource Services Reference Manual
4. Certificated Employee Handbook
5. Poster Displays in Human Resource Services and other locations in the central office
6. Interviews with Human Resource Services staff
7. Personnel files
8. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002, to June 30, 2005
9. Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199, dated July 1, 2002, to June 30, 2005
10. Job applications
11. Job posting notices

### Findings

1. Please see Standard 3.1.

### Recommendations and Improvement Plan

1. Please see Standard 3.1.

### Standard Implemented: Partially

November 1, 2004 Rating: 5



## **6.5 State and Federal Compliance**

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### **Legal Standard**

All certificated employees hold one or more valid certificates, credentials, or life diplomas that allow the holder to engage in school services designated in the document (EC 44006).

### **Sources and Documentation**

1. Board policies
2. Human Resource Services department documents
3. Draft Human Resource Services Reference Manual
4. Interviews with appropriate staff

### **Findings**

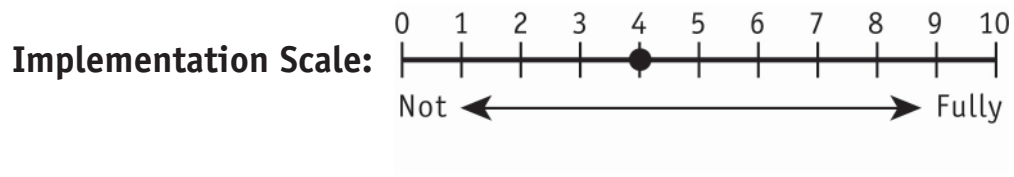
1. There are significant numbers of certificated employees who are teaching special education students on emergency permits.
2. No credential audit has been conducted in the district to date, but the COE has scheduled a credential audit this year. It is highly probable that some misassignments exist.

### **Recommendations and Improvement Plan**

1. The district must meet the licensing standards established by the CCTC and replace emergency permit teachers with fully credentialed staff by 2005-06.
2. The district should participate in programs that lead candidates through alternative methods to achieve either an appropriate authorization or a clear credential.
3. Staff development training should also include opportunities for selected staff to complete coursework or training to achieve proper credential status.
4. Efforts should be coordinated with the COE and Project Pipeline and the institutes of higher education.
5. The staff of the Professional Development Center should be utilized to develop, articulate, and implement services that augment the BTSA (Beginning Teacher Support and Assessment) programs.
6. Following the COE credential audit, all necessary changes to meet licensing requirements should be made.

**Standard Implemented: Partially**

November 1, 2004 Rating: 4





## 6.6 State and Federal Compliance

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### Legal Standard

Duties to be performed by all persons in the classified service and other positions not requiring certification are fixed and prescribed by the Governing Board (EC 45109).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Binders of job descriptions
4. Interviews with Human Resource Services staff
5. Interviews with central office staff

### Findings

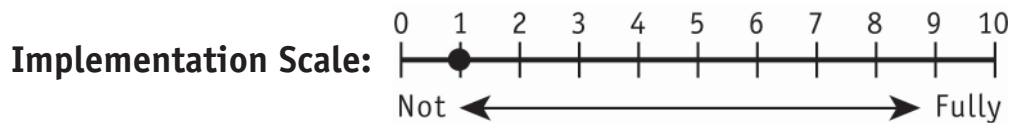
1. Please see Standard 5.4.

### Recommendations and Improvement Plan

1. Please see Standard 5.4.

### Standard Implemented: Partially

November 1, 2004 Rating: 1



## 6.7 State and Federal Compliance

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### Legal Standard

Professional growth requirements exist for maintenance of a valid credential (EC 44277).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Interviews with school office managers and principals

### Findings

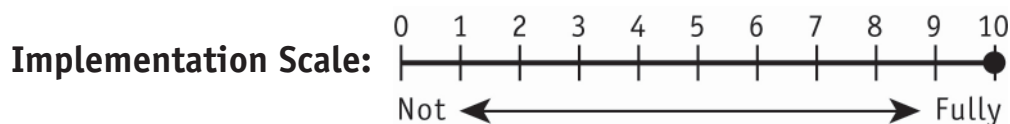
1. The Human Resource Services staff notifies each certificated employee of the professional growth requirements integral to credential renewal.
2. The Human Resource Services staff also notifies each credential holder prior to the expiration date of his/her credential about the process of credential renewal.
3. Candidates are responsible for submitting the required documentation for credential renewal to the appropriate Human Resource Services staff member.

### Recommendations and Improvement Plan

1. Human Resource Services staff should continue to provide notification, support, and assistance to credential holders through the renewal process.
2. Human Resource Services staff should continue to maintain an electronic spreadsheet regarding credential types, authorizations, renewal dates, and temporary county certificates.

### Standard Implemented: Fully - Sustained

November 1, 2004 Rating: 10



## 6.8 State and Federal Compliance

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### Legal Standard

The district has established a process by which all required notices and in-service training sessions have been performed and documented such as those for child abuse reporting, blood-borne pathogens, sexual harassment, and nondiscrimination. (EC 44691, GC 8355).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Personnel files
4. Interviews with Human Resource Services staff
5. Interviews with school office managers and principals

### Findings

1. The district has established a process by which all required notices and in-service training sessions have been performed and documented, such as those for child abuse reporting, blood-borne pathogens, sexual harassment, and nondiscrimination.
2. The Risk Manager prepares an annual packet of required notices for each employee that contains a sign-off sheet.
3. Sign-off sheets are intended as proof of receipt, and are to be stored in individual personnel files.
4. A number of personnel files were randomly selected and reviewed for compliance. Only one-third of the files reviewed contained a sign-off sheet.

### Recommendations and Improvement Plan

1. The Human Resource Services Department should review its personnel filing procedures to ensure that sign-off sheets are received and filed.

### Standard Implemented: Fully - Substantially

November 1, 2004 Rating: 8



## **6.9 State and Federal Compliance**

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### **Legal Standard**

The district is in compliance with Title IX policies on discrimination and Government Code 12950(a) posting requirements concerning harassment or discrimination.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Annual Legal Notice for All Employees dated August 14, 2002, and for the 2003-04 School Year
3. Draft Human Resource Services Reference Manual
4. Certificated Employee Handbook
5. Poster displays in Human Resource Services and other locations in the central office
6. Information available in the Human Resource Services Department waiting room
7. Interviews with Human Resource Services staff
8. Personnel files

### **Findings**

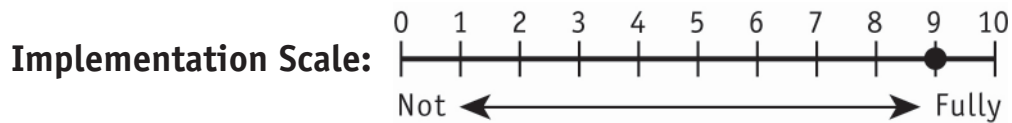
1. Board Policy 4119 and Administrative Regulation 4119, All Personnel Sexual Harassment (adopted July 20, 1994, without revision), explain what sexual harassment is, give examples, and state that it will not be tolerated in Vallejo City USD. The regulation requires that supervisors provide the board policy to all staff at the beginning of each school year and upon employment.
2. The draft Human Resource Services Reference Manual index contains a placeholder for procedures for dealing with sexual harassment under Section S.
3. The Annual Legal Notice for All Employees, dated August 14, 2002, and for the 2003-04 School Year, contains a document titled “Gender Equity—Title IX” as a broad explanation, the Uniform Complaint Procedures for Discrimination Complaints associated with Title IX, and the Sexual Harassment Board Policy and administrative regulations. These notices are sent to every employee every year and are accompanied by a cover sheet that the employee must sign and return to Human Resource Services.
4. Appropriate legal posters are displayed in Human Resource Services and in other locations in the central office.
5. Copies of the signed cover sheet from the August 14, 2002, Annual Legal Notice for All Employees, were found in approximately 30 percent of the files reviewed.
6. School office managers explained that the notices arrive at the school sites and that they are responsible for collecting the signature page and returning it to Human Resource Services.
7. Principals reported that they review the sexual harassment board policy with staff at the beginning of the school year.

## Recommendations and Improvement Plan

1. The department should complete the procedures for dealing with sexual harassment for Section S of the Human Resource Services Reference Manual.
2. The district should consider creating a place on the district's Web site to display Board Policy and Administrative Regulation 4119. A complaint form may be added that can be downloaded.
3. The district should properly log and file signature pages in a manner where they can be easily updated annually.

## Standard Implemented: Fully - Substantially

November 1, 2004 Rating: 9



## 6.10 State and Federal Compliance

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### Legal Standard

The district is in compliance with the Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Interviews with Employee Benefits staff

### Findings

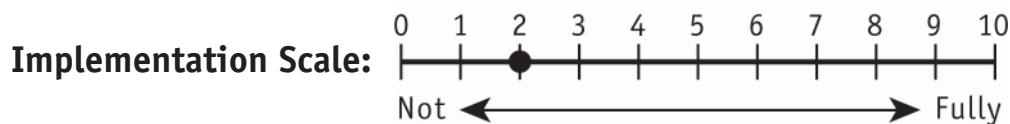
1. There is no board policy or administrative regulation regarding COBRA.
2. The draft Human Resource Services Reference Manual Index Section C has a placeholder for COBRA—Continuation of Group Health Coverage.
3. It was reported that there was no COBRA packet in 2002-03. The process being followed was that Human Resources would send the terminating employee the COBRA notice and then let Benefits know so that Benefits could send additional COBRA information. The Director of Community Affairs and Compliance has created a complete COBRA packet so that the notice and the packet of information can go out at the same time.

### Recommendations and Improvement Plan

1. The procedures for COBRA should be developed and placed in Section C of the Human Resource Services Reference Manual.
2. The department should designate the positions that will be responsible for the COBRA procedures.

### Standard Implemented: Partially

November 1, 2004 Rating: 2



## **6.11 State and Federal Compliance**

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### **Legal Standard**

The district is in compliance with the Family Medical Leave Act (FMLA), including posting the proper notifications.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002, to June 30, 2005
3. Contract between Vallejo City Unified School District and the CSEA Vallejo Chapter 199, dated July 1, 2002, to June 30, 2005
4. Draft Human Resource Services Reference Manual
5. Poster displays in Human Resource Services and other locations in the central office
6. Information available in the Human Resource Services Department waiting room
7. Interviews with Human Resource Services staff
8. Interviews with Employee Benefits staff

### **Findings**

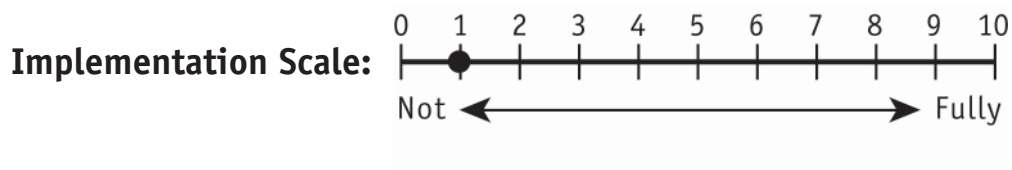
1. The draft Human Resource Services Reference Manual Index for Section F marks a place for procedures concerning the Family Medical Leave Act.
2. Board Policy and Administrative Regulation 4161.8, All Personnel Family Care Leave (adopted July 20, 1994, without revision), provides the foundation for the Family Medical Leave Act leave consistent with the federal regulations in effect in 1994.
3. The Contract between Vallejo City Unified School District and the Vallejo Education Association is silent regarding leave under the Family Medical Leave Act.
4. Article 7.16 of the Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199 references the Family Medical Leave Act (FMLA) leave and provides 12 weeks of FMLA leave with full benefits after all sick leave is exhausted.
5. Posters containing notice of FMLA leave exist in the Human Resource Services Department and another location in the central office.
6. School office managers stated that they referred all questions about pregnancy leaves and longer term leave to Human Resource Services.
7. Human Resource Services staff stated that a pregnancy disability packet is available from the receptionist and that employees use that to apply for the leave.
8. There was no process found for making the determination about when a leave is an FMLA leave or the process to be followed to implement the provisions of the board policy.

## Recommendations and Improvement Plan

1. Board Policy and Administrative Regulation 4161 should be reviewed and modified to reflect changes since 1994.
2. The modified board policy and administrative regulation should be used to develop a detailed workflow process for handling FMLA leaves. Include appropriate forms and assign appropriate positions to be responsible for steps in the process. The procedures must cross departmental lines to include Benefits and Payroll responsibilities.
3. The procedures and forms should be included in the Human Resource Services Reference Manual.
4. An FMLA notice should be added to the Annual Legal Notices to All Staff.
5. The implications of the language in the CSEA collective bargaining agreement should be reviewed.

### Standard Implemented: Partially

November 1, 2004 Rating: 1





## **6.12 State and Federal Compliance**

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### **Legal Standard**

The district is in compliance with the Americans with Disabilities Act (ADA) in application procedures, hiring, advancement or discharge, compensation, job training and other terms, conditions, and privileges of employment.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Annual Legal Notice for All Employees dated August 14, 2002, and for the 2003-04 School Year
3. Draft Human Resource Services Reference Manual
4. Certificated Employee Handbook
5. Poster displays in Human Resource Services and other locations in the central office
6. Interviews with Human Resource Services staff
7. Personnel files
8. Job applications
9. Job posting notices

### **Findings**

1. Board Policy 4030, All Personnel Nondiscrimination in Employment (adopted July 20, 1994, without revision), includes individuals with physical or mental disabilities as members of the protected class.
2. Administrative Regulation 4031(a), All Personnel Complaints Concerning Discrimination in Employment (adoption page missing), provides a means of registering a discrimination complaint.
3. Administrative Regulation 4032(a), All Personnel Reasonable Accommodation (approved July 20, 1994, without revision), provides a general commitment and plan for addressing requests for “reasonable accommodation.”
4. Board Policy 4112.4, All Personnel Health Examinations (adopted July 20, 1994, without revisions), indicates that the district may require an applicant to undergo a pre-employment physical examination to show that he/she is physically able to perform the duties of the specific job.
5. Administrative Regulation 4112.4(a), All Personnel Health Examinations (approved July 20, 1994, without revision), explains that a new certificated employee who has not previously been in a certificated position in California must have a medical certificate on file with the district certifying that he/she is free from any disabling disease that would render him/her unfit to instruct children.
6. The draft Human Resource Services Reference Manual contains a one-page section that outlines a procedure for dealing with Americans with Disabilities cases that may arise during employment. Human Resource Services is designated as the organizational point of the process.

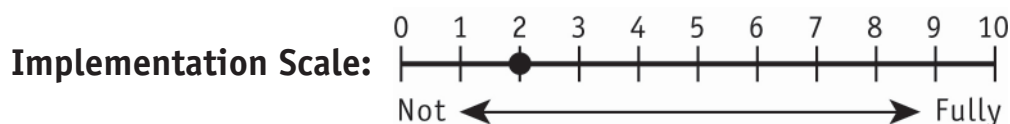
7. Posters and information located in the Human Resource Services Department include notices of compliance with the ADA.
8. Personnel files sampled contained TB clearance notices, copies of a medical certificate signed by a physician, and other miscellaneous medical documents that should be kept in a separate locked file, according to the ADA.
9. The medical certificate being used by the district asks questions and seeks information that is prohibited by the ADA for applicants, new employees, and current employees.
10. There are no procedures that detail the handling of ADA cases, including the employer's duty to engage in a timely and good faith interactive process with an employee who seeks an accommodation or reveals a potential need for an accommodation.
11. The policy and regulations have not been updated to include the changes in definitions for a qualified individual with a disability under California law.

### Recommendations and Improvement Plan

1. Administrative Regulation 4032(a), All Personnel Reasonable Accommodation, should be updated so that it reflects the changes in California laws related to the ADA, specifically the definition of a qualified individual and the duty to engage in the interactive process.
2. A substantial procedure for handling ADA cases should be developed to replace the current briefly outlined procedure in the draft Human Resource Services Reference Manual.
3. The district should immediately cease using the Health Questionnaire at the time of employment. Freedom from disabling diseases is handled through the teacher credentialing process and does not have to be addressed by school districts individually.
4. A plan should be adopted for filing all medical information in a separate and locked file. The plan may initially be prospective so that all new files remain free of medical information, but should contain a procedure for moving medical information from existing files over time into the secure medical file.
5. The district should consider adding an ADA notice to the Annual Legal Notices for All Employees packet.
6. Interview guidelines should be created that show examples of legal and illegal interview questions under the ADA.

### Standard Implemented: Partially

November 1, 2004 Rating: 2



## **6.13 State and Federal Compliance**

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### **Legal Standard**

The district has identified exempt and nonexempt employees and has promulgated rules and regulations for overtime that are in compliance with the Fair Labor Standards Act and California Statutes.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199, dated July 1, 2002, to June 30, 2005
3. Draft Human Resource Services Reference Manual
4. Poster displays in Human Resource Services and other locations in the central office
5. Binders of job descriptions
6. Interviews with Human Resource Services staff
7. Interviews with school site staff

### **Findings**

1. Board Policy 4313.1, Management, Supervisory and Confidential Personnel, Load/Scheduling/Hours of Employment (adopted July 20, 1994, without revision), states that the Governing Board will designate positions that are exempt from overtime.
2. Board Policy 4253, Classified Personnel Overtime Pay/Compensatory Time Off (adopted July 20, 1994, without revision), explains overtime pay in terms of a 40-hour work week, which is inconsistent with Education Code Section 45128 that defines overtime as more than eight hours in a work day.
3. Administrative Regulation 4253, Classified Personnel Extra Services and Overtime Pay (approved July 20, 1994), corrects overtime pay to mean any hours beyond eight hours in a work day or 40 hours in a work week.
4. Article 3.5 of the Contract between Vallejo City Unified School District and the CSEA Vallejo Chapter 199 explains overtime correctly as hours beyond eight hours in a work day or 40 hours in a work week.
5. The draft Human Resource Services Reference Manual contains Fair Labor Standards Act Non-Exempt Status in Section F. This explains the concept of non-exempt status and then explains absences of less than a day.
6. Some school site personnel maintain records of overtime. It is compensated at time and a half in compensatory time off. Others loosely maintain the time, assuming that things even out when people have to leave for medical appointments and so forth. The sites report that the district gives them no rules or procedures to follow for recording or reporting overtime or for maintaining records.
7. Job descriptions do not have a designation for exempt or non-exempt status.

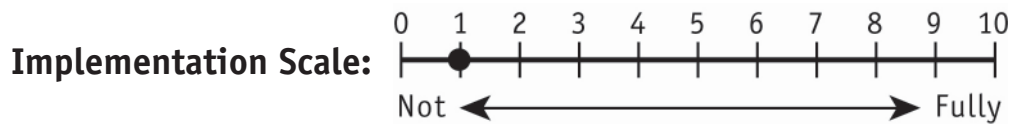
8. Posters regarding the Fair Labor Standards Act (FLSA) are visible in the Human Resource Services Department and in other locations of the central office.

### **Recommendations and Improvement Plan**

1. Board Policy 4253 should be corrected.
2. Example procedures should be prepared for school sites and departments to follow for maintaining records of overtime and compensatory time. Procedures should also explain the responsibility and accountability for maintaining records. This procedure should be added to the Human Resource Services Reference Manual.
3. The California Labor Law Digest should be utilized to analyze district positions to determine whether they are exempt or non-exempt. The designation should appear on the job description.
4. A training program on FLSA should be developed for periodic review with school office managers, department secretaries, principals, and managers.

### **Standard Implemented: Partially**

November 1, 2004 Rating: 1



## 6.14 State and Federal Compliance

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### Legal Standard

Current position descriptions are established for each type of work performed by certificated and classified employees (EC 35020).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Binders of job descriptions
4. Interviews with Human Resource Services staff
5. Interviews with central office staff

### Findings

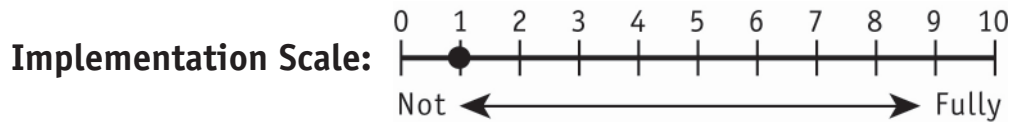
1. Please see Standard 5.4.

### Recommendations and Improvement Plan

1. Please see Standard 5.4.

### Standard Implemented: Partially

November 1, 2004 Rating: 1



## 6.15 State and Federal Compliance

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### Legal Standard

The district obtains a criminal record summary from the Department of Justice before employing an individual, and does not employ anyone who has been convicted of a violent or serious felony (EC 44332.6, 44346.1, 45122.1).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Material requested by the audit team prior to visit
4. Interviews with Human Resource Services staff
5. Livescan system

### Findings

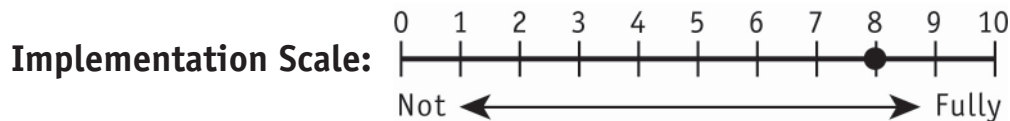
1. Please see Standard 6.1.

### Recommendations and Improvement Plan

1. Please see Standard 6.1.

### Standard Implemented: Fully - Substantially

November 1, 2004 Rating: 8



## **7.1 Use of Technology**

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### **Professional Standard**

An online position control system is utilized and is integrated with payroll/financial systems.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with staff members from other departments and school sites
3. Discussions with technology staff members
4. Review of CECC Reports
5. Review of district forms

### **Findings**

1. The district recently converted to a new finance, human resources, and payroll system through the County Office of Education.
2. This new system includes an integrated position control process, where all personnel transactions affecting positions are first reviewed and approved by the Finance Department. The position number, account coding, and FTE are verified at that point. Then the Human Resource Services Department enters the employee demographic and salary data and the Payroll Department enters the tax withholdings, voluntary deductions, time sheets, and other necessary information to generate the payroll. No department has the ability to change the other departments' data in the system.
3. The position budget was rolled over from 2003-04 to 2004-05 at a time when a significant number of transactions had not yet been reflected in the system, such as the closing of a school site. This resulted in the payment of employees at this invalid school site for 2004-05.
4. Because of a data formatting error, all direct deposits generated by the first payroll in the new system were rejected and not posted to bank accounts on payday.
5. Some groups of employees are not included in the position control records, such as Adult Education teachers, yard duty aides, and substitutes. The district is planning to implement position control for all employees, except for day-to-day substitutes.
6. There have been a significant number of incorrect paychecks generated, partially because of a lack of internal auditing of data, as well as some delays in the processing of paperwork to update position control.
7. The training for staff using the new system was early on in the process. Many staff members need refresher training, now that the initial conversion to the new system has been completed. Also, many staff members did not attend any training sessions. A Coordinator of Technology has been appointed and it was reported that the completion of training for Human Resource Services and Finance is top priority.

8. The County Office of Education holds user group meetings for the new system, but staff members have found it difficult to find the time to attend.
9. The County Office of Education provides an additional point of review for internal controls by controlling the security and logons to the system.
10. Staff members throughout the district who are responsible for generating Human Resource Services and Payroll data are not held accountable for meeting deadlines or for completing the paperwork correctly. This results in incorrect payments or employees not getting paid, followed by the requirement to generate a special check, or it requires staff time to backtrack and get the necessary paperwork.
11. No leave accruals or usage have been posted to the new system since its inception. The leave information in the old system has not been updated since May. The district is grappling with determining which department will be responsible for these tasks, and is currently verifying the data. In the meantime, employees are using leave, but the verification of leave balances cannot be done except individually, necessitating a lengthy investigation.
12. Not all employees on leave are reflected in the position control system, so staff members using the system are concerned that an employee's status in the system is not correct, and that his/her pay or leave usage are also not correct.
13. Employee benefits information is still being maintained on the old system, but the benefits technician has not yet been trained on how to run reports from the system. Benefits for employees hired after the system conversion are maintained manually. Benefits information for all employees is transmitted to Payroll on paper, rather than by an automated system. Payroll then enters the necessary information to effect the payroll deductions. Staff members involved do not know the timeline for implementing the benefits portion of the new system.
14. There are times when the Benefits Department does not get advance notification of a change in an employee's full-time equivalency, which can trigger a change in benefits coverage. These are discovered when Payroll has determined, based upon the time sheets submitted, that an employee is working a different full-time equivalency.
15. The Benefits and Payroll departments do not receive timely information on departing employees. This has resulted in overpayments and additional benefit costs to the district.
16. There are a significant number of situations where the time sheet gets to Payroll before the employee is hired on the system. This is mostly because the hiring paperwork has not been completed before the employee has begun work.
17. The district does not provide any payroll advances.
18. The new system does not seem to provide an audit trail indicating which user made changes to system records. Also, the users believe that records can be completely deleted from the system without a trail.



19. There is no test version of the new system available for users to test new procedures or functions.
20. Employees across the district who complete tally sheets (lists of salaried employees for payroll) have been receiving an additional \$50 per month because this duty was added on a few years ago. The Payroll Department believes that these tally sheets are no longer necessary with the new system.
21. No procedures developed for the position control process were found.
22. There have been an inordinate number of cases where paperwork has been lost or duplicated.
23. The budget department still retains Excel spreadsheets of all positions, including the FTE allocations by site. Board actions are posted to the spreadsheet, which is then used to verify the personnel requisition when it is received. Budget technicians have not been trained on running reports from the new system to verify positions.

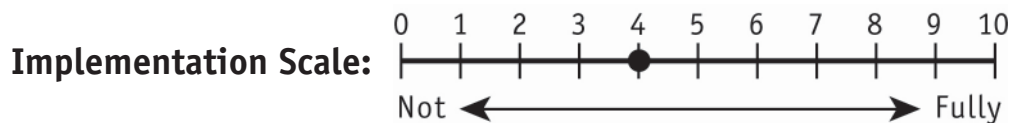
## **Recommendations and Improvement Plan**

1. The district should automate the employee health and welfare benefit information, as well as the leave accrual and usage information, as soon as possible within the new system. These should be the highest priority activities for the project team. Without these functions automated and working properly, the district is at significant risk of making errors. District staff members are spending significant amounts of time processing transactions manually and going back to correct errors. In addition, the longer it takes to implement these functions, the more data that has to be backtracked and entered into the system to bring each employee's information current.
2. An investigation should be conducted as to whether or not the system's audit trail identifies the user for each transaction, and whether or not records can be deleted with no audit trail at all. Recommendations should be made to the County Office of Education through the user group to eliminate any loopholes in the system.
3. Procedures should be developed for the position control process, and provide training on the procedures, as well as on the use of the system to all staff members. Some staff members need only refresher training, and others have not received any training and need the full course.
4. Position control should be implemented, wherever practical, for positions in the district that are currently not included.
5. Work should be conducted with the County Office of Education to establish a test version of the system so that users can test scenarios within the software. Before more conversions of data are done (such as leave records and benefits information), convert a sampling of data into the test system and allow users to verify that the data is correct, the system functions appropriately using the data, and the users are prepared to maintain the data.

6. The district should designate a representative from each functional area to attend the County Office of Education’s user group meetings. Provide these staff members with the release time and necessary backup of their critical daily functions in order to attend and provide input for the county meetings and to communicate with department staff about the meetings.
7. The district should develop and implement procedures so that each department involved in position control can verify or audit its own data before going to the next step. Train employees on these procedures and ensure that they are done so that errors, and staff time required to follow audit trails and make corrections, are minimized.
8. The district should determine where the paperwork bottlenecks are occurring and resolve them. This should speed up the process and reduce the number of documents that end up getting “lost” somewhere in the process. Eventually, the personnel requisition process should be automated within the system, including electronic authorizations, so that paperwork is no longer required.
9. Human Resource Services and the Business Department together should develop a schedule of requirements and deadlines for information from school sites and departments. This should include the requirement that an employee’s hours or status cannot be changed and that a new employee cannot work until the paperwork is completed and approved. Training on these requirements should be provided and managers held accountable for meeting the deadlines and for providing complete and accurate information.
10. Procedures should be established for designating all employees on leave within the system.
11. The district should determine why the budget department is still depending on the Excel spreadsheets to control FTE allocations by site, and make improvements to the system if necessary so that this extra step can be eliminated.
12. The district should determine whether or not tally sheets are still needed, and, if not, eliminate their use and the stipend that goes with them.

**Standard Implemented: Partially**

November 1, 2004 Rating: 4



## **7.2 State and Federal Compliance**

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### **Professional Standard**

The Personnel Division provides an automated substitute calling system. The system has the ability to input and retrieve data. Data should be distributed to site and program managers.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with staff members from other departments and school sites
3. Substitute Employee Management System User Manual
4. Various reports from the Substitute Employee Management System

### **Findings**

1. The district uses an automated substitute calling system.
2. The district does not have enough substitute teachers or substitute classified staff in its pool to fill all of the needs on any given day.
3. The automated system does not have a feature that allows vacancies to be prioritized in the substitute calling process.
4. There is one other person in the department who can run the substitute calling system in a pinch, but this does not adequately back up the person primarily responsible for substitutes.
5. Some departments keep their own list of substitutes and do their own substitute calling because they believe the process in Human Resources does not meet their needs.
6. There was no evidence that the district has determined which positions require a substitute list and which do not. Several managers commented that the district does not have substitute lists everywhere they are needed.
7. All substitutes are trained on how to use the automated substitute calling system to register themselves and get their personal identification number.
8. Each school site runs a report from the system in order to prepare an absence slip for each absence to be submitted to Payroll. Payroll does not perform a final verification of the absence slips against the absence data in the substitute calling system.
9. No information from the system is provided to Payroll. Budget account numbers are not in the system; they are provided to Payroll on the substitute time sheets.
10. The system does not interface with any other system used in the department, nor is it reconciled to the payroll system periodically.

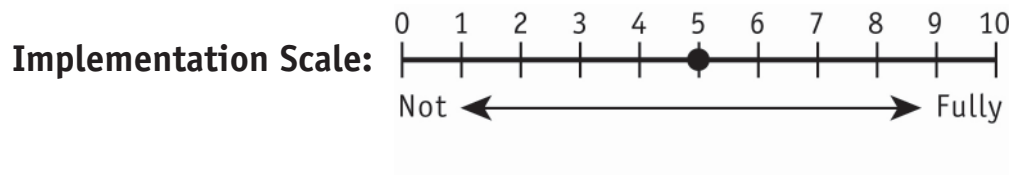
11. Each classroom teacher, instructional assistant, and school secretary is required to call in his/her individual absences to the system. However, exceptions are made for some of these employees to call the school instead.
12. There is a Substitute Employee Management System User Manual, but no procedure manuals for the substitute management process.

## **Recommendations and Improvement Plan**

1. The district should increase the focus on maintaining enough qualified and interested substitutes to reduce the risk of having classrooms without teachers. The department should consider creative and more aggressive ways to attract substitutes to the pool, and should determine whether or not the level of pay is a factor.
2. Procedures should be developed for the substitute desk.
3. The department should consider splitting up the duties on the substitute desk so that more than one person is very familiar with the system and procedures. These two people can then easily back each other up when needed so that this very critical daily job is covered.
4. The department should determine why other departments maintain substitute pools and find a way to meet the departments' needs so that these substitutes can be shifted back to the Human Resource Services Department.
5. The department should determine which positions in the district require a daily substitute. All employees in these positions should be required to call their absences in directly to the substitute calling system. Whether or not they also need to call their site or department is a determination that management needs to make and communicate.
6. The district should use the absence data in the system to generate monthly reports of absences by employee and eliminate the need for pink slips. The absence reports, once approved at the site or department level, can be used for payroll. Eventually, the district should implement a direct automated interface between the substitute calling system and the payroll system for this absence data.
7. The district should use the substitute assignment data in the system to generate time sheets and budget accounts for payroll, eliminating the need for manual time sheets. This information can also be included when an automated interface is developed.
8. Eventually, all employees should call in absences to the system so that absences can be automatically tracked and reported.
9. Management reports of the data in the system should be generated, such as historical absence information by employee, that can be used both by Human Resource Services and by managers throughout the district.

**Standard Implemented: Partially**

November 1, 2004 Rating: 5



## **7.3 State and Federal Compliance**

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### **Professional Standard**

The certificated and classified departments of the Personnel Division have an applicant tracking system.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with staff members from other departments and school sites
3. Discussions with technology staff members
4. The district's Web site
5. The ED-JOIN Web site
6. Equal Employment Opportunity Commission (EEOC) report

### **Findings**

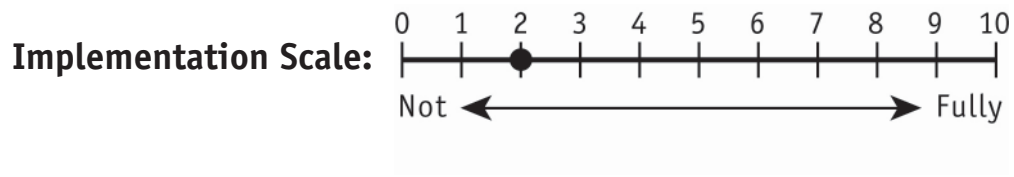
1. The district uses ED-JOIN to post its job openings and accept applications electronically. This means that the district can run ED-JOIN's available reports on applicant data. However, this data does not include applicants who choose not to have their information shared, and may include applicants who are no longer active.
2. The district also provides the ability on its own Web site for applicants to view job openings and complete applications electronically. This system was developed in-house, and there is one report generated from the database that is used for EEOC reporting.
3. No reports are regularly run from either the ED-JOIN or the district's applicant data, with the exception of the EEOC report. Staff members have not been fully trained on the data available and how to run reports. The Technology Department has the ability to add new functions and reports to the district's Web application.
4. Neither database tracks applicants beyond the point of filing the application, and neither database is used to electronically share information with the human resources/payroll system once applicants are hired.

### **Recommendations and Improvement Plan**

1. The district should explore the reporting capabilities of both ED-JOIN and the district's Web application and establish a set of management reports that can be used by Human Resource Services and other managers. Training should be provided for managers on how to run and interpret the reports. For example, the district should have the capability to run reports from the applicant database on the types of certifications and credentials that are represented in the applicant pool.
2. The district should develop or implement an automated system that carries the application process through testing and interviews to the point of employment, with an automated interface to the main human resources system. The district should also investigate the option of developing more functions within the applicant tracking system in-house, versus purchasing applicant tracking software available on the market.

**Standard Implemented: Partially**

November 1, 2004 Rating: 2



## **7.4 State and Federal Compliance**

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### **Professional Standard**

The Personnel Division has a program of providing funds and time for staff training and skills development in the use of computers.

### **Sources and Documentation**

1. Interviews with Human Resource Services staff

### **Findings**

1. The department does not have a formal training plan for the HR/Payroll computer system. Training on the various software systems is sporadic and usually performed by the software vendor, CECC, or the County Office of Education. The many department employees interviewed indicated various levels of satisfaction with the training they were provided. Some were extremely satisfied while others found the training to be inadequate. New employees typically learned by experience before formalized training was offered to them.
2. Lack of adequate training on computerized systems was cited as a problem by all non-management employees. They indicated that there was little or no cross training, in-district training, or outside training. They felt left out of the loop regarding training on the new CECC HR/Payroll system. That is because they believed that their workload was so heavy that they were rarely able to attend training sessions on the new system.
3. The primary reason cited for the lack of training on the computerized systems in the department was lack of time.

### **Recommendations and Improvement Plan**

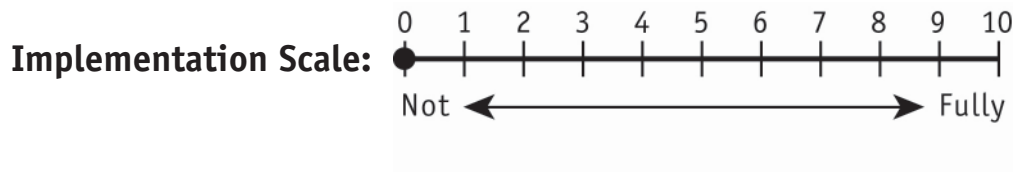
1. Highly trained and qualified people are essential to the success of any Human Resource Services operation. Staff development is recognition that people need continuous learning to maintain and improve competence. To enable them to be successful, a comprehensive training program for the operation of the HR/Payroll computer system is necessary. Key elements of an effective training program include:
  - a. An analysis of who should be trained.
  - b. Identification of who will provide the training.
  - c. Identification of subjects to be covered in training.
  - d. Scheduling of initial and refresher training sessions.
  - e. Identification and development of training materials.
  - f. An analysis of training costs and related resources.
2. The plan should also specify who is to provide the training and how the training is to be documented.
3. Once the initial training sessions are in place, refresher courses to keep employees current on their training should be developed and implemented. Also, an analysis of training costs and related resources needs to be performed and factored into the budget development process.



4. If lack of available staff time is the issue, consider sending one staff member to a workshop or to the County Office of Education for training and having him/her present what he/she has learned to others in the district. Training may be a cost issue, but lack of training can be even more costly.

**Standard Implemented: Not Implemented**

November 1, 2004 Rating: 0



## **7.5 State and Federal Compliance**

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### **Professional Standard**

The Personnel Division has computerized its employee database system including, but not limited to: credentials, seniority lists, evaluations, personnel by funding source, program, location, and Workers' Compensation benefits.

### **Sources and Documentation**

1. Interviews with Human Resource Services staff
2. Interviews with Payroll staff
3. Interviews with Fiscal Services staff
4. Review of CECC manuals
5. Interviews with County Office of Education staff

### **Findings**

1. The district recently converted to a new computerized database for HR/Payroll and Finance. It is being run by the County Office of Education. The system is called CECC and is recognized as one of the five main systems in the state that can adequately handle school districts' needs.
2. Prior to conversion, the district had its own system called Escape Technologies.
3. System security is currently handled by the County Office of Education. Everyone in Human Resource Services has been given the same security/access level. The plan is to eventually transfer security responsibilities back to the district when it migrates from HP to Sequel Server.
4. No leave accruals or usage have been posted in the new CECC system since its inception. The leave information in the old system has not been updated since May. The district is still determining which department will be responsible for this, and is in the middle of verifying the data. In the meantime, employees are using leave, but the verification of individual leave balances cannot be done except by lengthy investigation.
5. Employee benefits information is still being maintained on the Escape system, but the Benefits Technician has not been trained yet on how to run reports from the system. Any employees hired after the point of system conversion are maintained manually. Benefits information for all employees is transmitted to Payroll on paper, rather than by using an automated system. Payroll then enters the necessary information to effect the payroll deductions. Staff members involved do not know what the timeline is for implementing the benefits portion of the new system.
6. The district's automated substitute employee calling system does not interface with CECC. A great deal of time is spent in the Human Resource Services Department entering employee information twice: once on the substitute calling system, and once in CECC. By not having the two systems communicating electronically, the district is not taking advantage of efficiencies that other districts enjoy. Properly interfaced, the process of paying substitutes, adjusting the permanent employee's leave balance, and docking as

necessary could be automated. In addition, it would allow a district-level reconciliation of substitute pay and leave/release time. Currently there is no reconciliation between the two systems to detect errors.

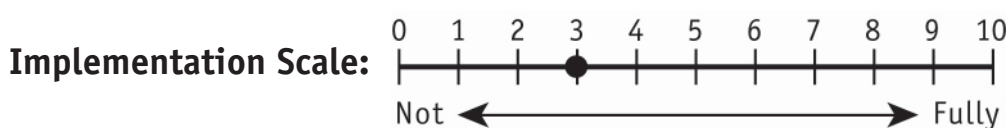
7. There is no test version or environment in the new system available for users to test new procedures, functions, or transactions. It was unclear at the time of the review if this is a County Office of Education or district decision.
8. The current version of CECC does not have an applicant tracking module. See Standard 7.3.

### Recommendations and Improvement Plan

1. The district should automate the employee health and welfare benefit information, as well as the leave accrual and usage information, as soon as possible within the new system. These should be the highest priority activities. Without these functions automated and working properly, the district is at significant risk of making errors and district staff members are spending significant amounts of time processing transactions manually and going back to correct errors. In addition, the longer it takes to implement these functions, the more data has to be backtracked and entered into the system to bring each employee's information current.
2. The district should work with the County Office of Education to establish a test version of the system so that users can test scenarios within the software. Before more conversions of data are done (such as leave records and benefits information), a sampling of data should be converted into the test system and users allowed to verify that the data is correct, the system functions appropriately using the data, and the users are prepared to maintain the data.
3. The district should work to interface the automated substitute calling system with CECC. Properly interfaced, the process of paying substitutes, affecting the permanent employee's leave balance, and docking as necessary could be automated. In addition, it would allow a district-level reconciliation of substitute pay and leave/release time.
4. Until the automated substitute calling system is interfaced with CECC, the district should perform a monthly reconciliation between the two systems prior to processing the substitute payroll.

### Standard Implemented: Partially

November 1, 2004 Rating: 3



## **8.1 Staff Training**

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### **Professional Standard**

The district has developed a systematic program for identifying area of need for in-service training for all employees.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Interviews with central office staff
5. Interviews with school site staff

### **Findings**

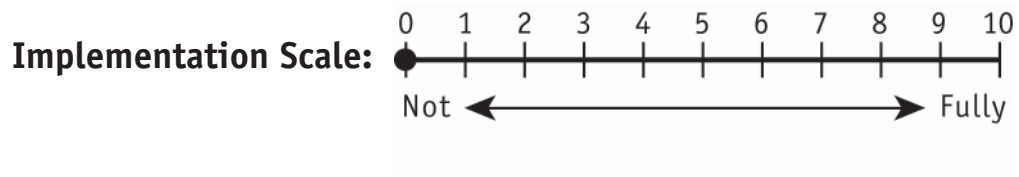
1. Board Policy 4131 and Administrative Regulation 4131, Certificated Personnel Staff Development (adopted and approved February 2, 2000), states that the superintendent or designee shall ensure that there is a district staff development plan that is coordinated with school improvement objectives and school plans.
2. Staff in Human Resource Services do not know if Human Resource Services has any involvement in professional development other than Beginning Teacher Support and Assessment (BTSA) as a support for new teachers.
3. The person in the central office who has been charged with professional development for certificated staff indicated that Board Policy 4131 is not being followed.
4. Classified staff at the central office and school sites indicate that they receive training for new technology or new procedures, but that is the extent of it and they do not know of any district-level plans.

### **Recommendations and Improvement Plan**

1. The responsibility for professional development and training must be assigned to a division of the district.
2. Human Resource Services should not be responsible for district-wide professional development and training. This responsibility is most frequently placed in Curriculum and Instruction.
3. It is recommended that Human Resource Services be consulted regarding professional development and training opportunities for inclusion in a district-wide plan.

**Standard Implemented: Not Implemented**

November 1, 2004 Rating: 0



## 8.2 Staff Training

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### Legal Standard

The district makes provisions for department-directed staff development activities (EC 52034 (g)).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Interviews with central office staff
5. Interviews with school site staff

### Findings

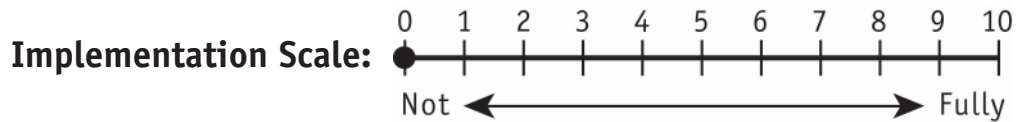
1. Please see Standard 8.1.

### Recommendations and Improvement Plan

1. Please see Standard 8.1.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## 8.3 Staff Training

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### Legal Standard

Teachers and other professional school services personnel are provided with diversity training (EC 44560).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Interviews with Human Resource Services staff
4. Interviews with central office staff
5. Interviews with school site staff

### Findings

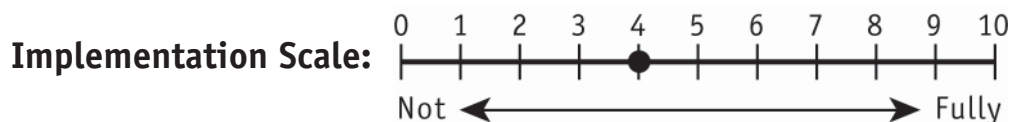
1. Teachers and other professional school services personnel are not currently being provided with diversity training as a district-wide effort. (EC 44560).
2. Some school sites have included diversity training as part of their site staff development agenda, but not on a regular or recurring basis.

### Recommendations and Improvement Plan

1. Teachers and other professional school services personnel should be provided with diversity training (EC 44560) at every site where 25 percent or more of all the students in the school are of diverse ethnic backgrounds.
2. Qualifying schools should incorporate an annual training experience for school staff to effectively relate to the history, culture, and current problems of students from these diverse ethnic backgrounds.
3. Courses offered through the community colleges, colleges, and universities can also meet this requirement and the district may choose to investigate options with their neighboring providers.
4. The district supports a Professional Development Center that could assist in providing the required training at the district level, as well as at individual site in-service opportunities.

### Standard Implemented: Partially

November 1, 2004 Rating: 4



## 8.4 Staff Training

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### Legal Standard

The district has adopted policies and procedures regarding the recognition and reporting of sexual harassment (GC 12940).

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Annual Legal Notice for All Employees dated August 14, 2002, and for the 2003-2004 School Year
3. Draft Human Resource Services Reference Manual
4. Certificated Employee Handbook
5. Poster displays in Human Resource Services and other locations in the central office
6. Information available in the Human Resource Services Department waiting room
7. Interviews with Human Resource Services staff
8. Personnel files

### Findings

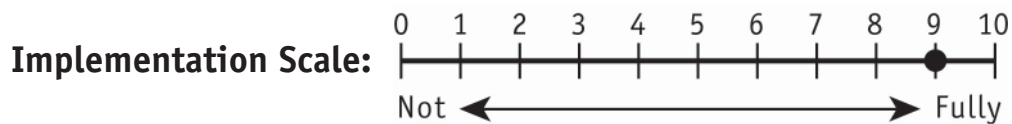
1. Please see Standard 6.9.

### Recommendations and Improvement Plan

1. Please see Standard 6.9.

### Standard Implemented: Fully - Substantially

November 1, 2004 Rating: 9





## **8.5 Staff Training**

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### **Professional Standard**

The district provides training for all management and supervisory staff responsible for employee evaluations.

### **Sources and Documentation**

1. Evaluation documents
2. Interviews with administrators and Professional Development staff

### **Findings**

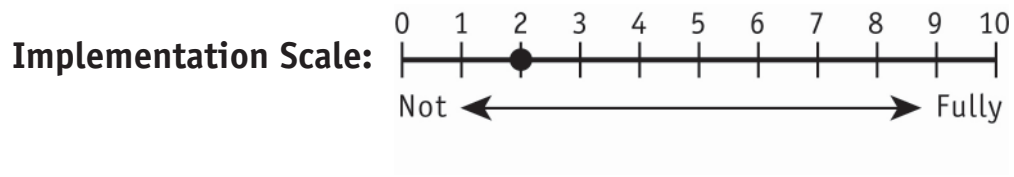
1. Many years ago all Vallejo administrators were trained to evaluate instruction using the Hunter Model of Effective Instruction.
2. Staff from the Professional Development Center do training for management and supervisory staff upon request.
3. Employees interviewed stated that they had not been evaluated for many years. This was true regardless of position. Principals, managers, supervisors, office staff, and school site staff reported an average of five or more years since their last evaluation.
4. A review of the files revealed that in most cases evaluations had not been conducted within the last four or five years.
5. Site administrators reported that they do receive a list from Personnel that identifies their certificated employees that must be evaluated. No list is sent for classified employees.
6. Training is available upon request, but few requests are made to the staff in the Professional Development Center.

### **Recommendations and Improvement Plan**

1. Evaluations should be done according to the established lawful timelines. Consequences should be imposed on managers who fail to meet the deadlines.
2. All staff responsible for evaluation should be required to participate in an evaluation refresher in-service conducted by district staff.
3. A process should be established that not only reminds managers of who must be evaluated and the timelines involved, but also provides a record of receipt of evaluations so that the administrators are held accountable.
4. Evaluations should be filed in personnel files in a timely manner.

**Standard Implemented: Partially**

November 1, 2004 Rating: 2



## 8.6 Staff Training

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### Professional Standard

The district provides training opportunities to managers and supervisors in leadership development and supervision. Training topics might include interpersonal relationships, effective supervision, conflict resolution, cultural diversity, gender sensitivity, and team building.

### Sources and Documentation

1. Evaluation documents
2. Interviews with administrators and professional development staff

### Findings

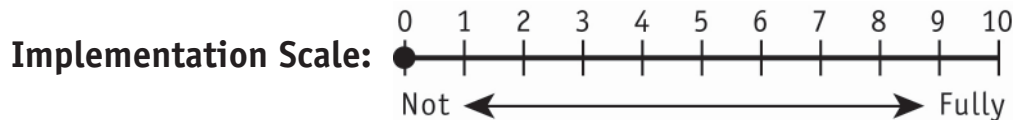
1. The district provides no training opportunities to managers and supervisors in leadership development and supervision.

### Recommendations and Improvement Plan

1. The district should provide training opportunities to managers and supervisors in leadership development and supervision.
2. Leadership meetings and training should be supported by the superintendent/State Administrator and be scheduled at regular intervals for each level of management.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## 8.7 Staff Training

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### Professional Standard

The district develops handbooks and materials for all training components.

### Sources and Documentation

1. Interviews with district staff
2. Requested copies of all handbooks
3. Requested sample training materials

### Findings

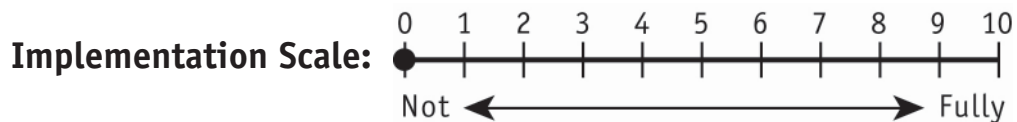
1. The district does not develop handbooks and materials for all training components.

### Recommendations and Improvement Plan

1. The district should offer regular staff development training to employees, and handbooks and materials for all training components offered.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## **9.1 Evaluation/Due Process Assistance**

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### **Professional Standard**

The evaluation process is a regular function related to each employee and involves criteria related to the position.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002- June 30, 2005
4. Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199, dated July 1, 2002, to June 30, 2005
5. Evaluation instruments
6. Personnel files
7. Interviews with Human Resource Services staff
8. Interviews with school site staff
9. Interviews with central office staff

### **Findings**

1. Board Policy 4115, Certificated Personnel Evaluation/Supervision (adopted July 20, 1994), provides the foundation for ongoing, consistent evaluation of certificated personnel.
2. Administrative Regulation 4115, Certificated Personnel Evaluation/Supervision (approved December 19, 2001), suggests that standards from the National Board for Professional Teaching Standards may be incorporated into the teacher evaluation standards and also recites the Education Code frequency of evaluation and criteria for evaluation.
3. Board Policy 4315, Management, Supervisory and Confidential Personnel Evaluation/Supervision, sets a foundation for the evaluation of management, supervisory, and confidential personnel by stating that evaluation shall be in writing on a form prescribed by the superintendent. These provisions apply to classified management as well, but there is no schedule of evaluations prescribed by the policy. Confidential employees are to be evaluated on a schedule consistent with their non-confidential peers, which would suggest once every year for the first five years and every other year thereafter.
4. Board Policy 4315.1, Management Supervisory and Confidential Personnel Competence in Evaluation of Teachers, calls for demonstrated competence to evaluate teachers by those who do the evaluation. The policy describes the competency factors and calls for the superintendent or designee to observe administrators conducting teacher evaluations as a means of assessing whether the administrator exhibits the competencies. This policy is supposed to be reviewed annually.
5. Board Policy 4215, Classified Personnel Evaluation/Supervision (adopted July 20, 1994, without revision), provides the board's intent for regular classified employee evaluations.

6. Administrative Regulation 4215 Classified Personnel Evaluation/Supervision (adopted July 20, 1994, without revision), delineates the timing of evaluations for probationary classified employees and the schedule of evaluations for permanent employees. Permanent employees are to be evaluated at least once annually for the first five years and at least every two years thereafter.
7. Article 11, "Procedures for Evaluation of Unit Members" of the Contract between Vallejo City Unified School District and the Vallejo Education Association describes the exact procedure and timelines for certificated evaluations. It incorporates six California Standards for the Teaching Profession as evaluation criteria. The article establishes that evaluations of permanent certificated employees are every other year (per Education Code) unless an unsatisfactory evaluation occurs or there is another reason by contract to do an off-year evaluation.
8. The Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199 includes employee evaluation in Article 14.
9. According to Human Resource Services staff and school site office managers, a list of teachers to be evaluated is sent to the sites annually, along with a single page calendar showing the deadlines in the process. It was reported that the lists often are not accurate.
10. The September calendar in the draft Human Resource Services Reference Manual states that the evaluation lists will be distributed to the school sites. The November and December calendars call for monitoring certificated evaluations/observations. The January calendar calls for a review of certificated evaluations for probationary and emergency permit teachers. The March calendar contains a statement that classified evaluations will be sent to supervisors. The April calendar calls for follow-up on the certificated summary evaluations that are due to be completed by April 15. The May calendar includes monitoring certificated evaluations (30 days prior to the end of the school year), as well as reviewing classified evaluations.
11. Staff in Human Resource Services and at the school sites reported that lists are not sent to school sites every two years for evaluations of classified employees who have five or more years with the district, nor are lists sent of those who have less than five years. Some employees who have been with the district for 10 years or more reported that they are evaluated every other year. Others report that they have not been evaluated in more than five years. Many interviews with classified staff in the central office revealed that they had never been evaluated or had been evaluated very sporadically.
12. Examination of the sample of personnel files supports the interview findings that evaluations are done by some managers and supervisors and not by others.
13. At least one central office manager has only received one evaluation. Principals report that their only recent memory of evaluation was the first year that the most recent superintendent arrived in the district.

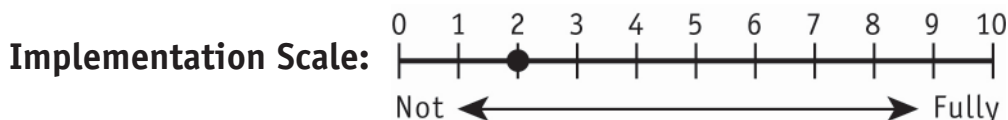
14. The Director of Personnel and the Coordinator of Classified Personnel provide assistance to managers and supervisors who are working with an employee who is performing the job in a less-than-satisfactory manner, but there is no handbook, no training, and no systematic process for providing assistance to certificated and classified employees performing below expectations.

### Recommendations and Improvement Plan

1. The Cabinet should review the board policies that set the foundation for employee evaluations and make modifications in accordance with their current intent for the employee evaluation process. Specific attention must be paid to BP 4315.1, Competence to Evaluate, to determine if this is the desired process. Annual review of this policy is pursuant to Education Code, so this task should be added to the Human Resources Annual Calendar.
2. Human Resource Services must take the lead to review the classified employee evaluation instruments and make recommendations regarding changes.
3. Human Resources must develop detailed procedures, including the timelines for the evaluation of classified personnel. These should be delivered annually to managers and supervisors along with a list of classified employees who are to be evaluated.
4. Human Resource Services must develop a better tracking mechanism for both certificated and classified employee evaluations. Examine the possibility of using a field on the new CECC system to track the evaluation dates, trigger notices to supervisors, and track the return of completed evaluations. If the CECC system cannot be used, then a separate spreadsheet program can be developed. An end-of-year report should be run showing any outstanding evaluations. This report should be provided to the Cabinet and Superintendent so that appropriate action can be taken when managers fail to evaluate.
5. Human Resource Services should take the lead in providing training in evaluation, due process, and discipline. The training may be developed and delivered in-house or by a third party.
6. As a long-range plan, Human Resource Services should store the evaluation forms on the district's Web site so that managers and supervisors can download them.
7. Human Resource Services should begin to develop procedures for managers to use in assisting employees whose performance is less than satisfactory. The procedures should include resources that can be used for assistance with particular performance problems.

### Standard Implemented: Partially

November 1, 2004 Rating: 2



## **9.2 Evaluation/Due Process Assistance**

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### **Legal Standard**

Clear policies and practices exist for the written evaluation and assessment of classified and certificated employees and managers (EC 44663).

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002- June 30, 2005
4. Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199, dated July 1, 2002, to June 30, 2005
5. Evaluation instruments
6. Personnel files
7. Interviews with Human Resource Services staff
8. Interviews with school site staff
9. Interviews with central office staff

### **Findings**

1. See Standard 9.1 for related board policies and administrative regulations on employee evaluations.
2. Article 11—“Procedures for Evaluation of Unit Members” of the Contract between Vallejo City Unified School District and the Vallejo Education Association describes the exact procedure and timelines for certificated evaluations. It incorporates six California Standards for the Teaching Profession as evaluation criteria. The article establishes that evaluations of permanent certificated employees are every other year (per Education Code) unless an unsatisfactory evaluation occurs, or there is another reason by contract to do an off-year evaluation.
3. The Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199 includes employee evaluation in Article 14.
4. According to Human Resource Services staff and school site office managers, a list of teachers to be evaluated is sent to the sites annually, along with a single-page calendar showing the deadlines in the process. It was reported that the lists are often not accurate.
5. Staff in Human Resource Services and at the school sites reported that lists are not sent to school sites every two years for evaluations of classified employees who have five or more years with the district, nor are lists sent of those who have less than five years. Some employees who have been with the district for 10 years or more reported that they are evaluated every other year. Others report that they have not been evaluated in more than five years. Many interviews with classified staff in the central office revealed that they had never been evaluated or had been evaluated very sporadically.



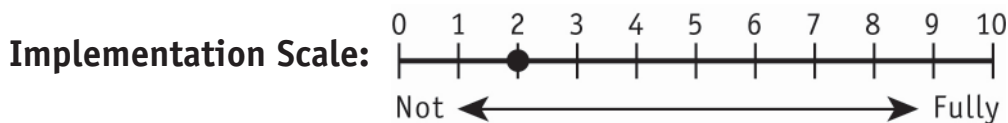
6. Examination of the sample of personnel files supports the interview findings that evaluations are done by some managers and supervisors and not by others.
7. The Director of Personnel and the Coordinator of Classified Personnel provide assistance to managers and supervisors who are working with an employee whose performance is less than satisfactory, but there is no handbook, no training, and no systematic process for providing assistance to certificated and classified employees performing below expectations.

### Recommendations and Improvement Plan

1. The Cabinet should review the board policies that set the foundation for employee evaluations and make modifications in accordance with their current intent for the employee evaluation process.
2. Human Resource Services must take the lead to review the classified employee evaluation instruments and make recommendations regarding changes.
3. Human Resources must develop detailed procedures, including the timelines for the evaluation of classified personnel. These should be delivered annually to managers and supervisors along with a list of classified employees who are to be evaluated.
4. Human Resource Services must develop a better tracking mechanism for both certificated and classified employee evaluations. Examine the possibility of using a field on the new CECC system to track the evaluation dates, trigger notices to supervisors, and track the return of completed evaluations. If the CECC system cannot be used, then a separate spreadsheet program can be developed. An end-of-year report should be run showing any outstanding evaluations. This report should be provided to the Cabinet and Superintendent so that appropriate action can be taken when managers fail to evaluate.
5. Human Resource Services should begin to develop procedures for managers to use when assisting employees whose performance is less than satisfactory. The procedures should include resources that can be used for assistance with particular performance problems.

### Standard Implemented: Partially

November 1, 2004 Rating: 2



## **9.3 Evaluation/Due Process Assistance**

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### **Professional Standard**

The Personnel Division provides a process for the monitoring of employee evaluations and the accountability reporting of their completion.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002 - June 30, 2005
4. Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199, dated July 1, 2002, to June 30, 2005
5. Evaluation instruments
6. Personnel files
7. Interviews with Human Resource Services staff
8. Interviews with school site staff
9. Interviews with central office staff.

### **Findings**

1. See Standard 9.1 for related board policies and administrative regulations on employee evaluations.
2. Article 11, “Procedures for Evaluation of Unit Members” of the Contract between Vallejo City Unified School District and the Vallejo Education Association describes the exact procedure and timelines for certificated evaluations. It incorporates six California Standards for the Teaching Profession as evaluation criteria. The article establishes that evaluations of permanent certificated employees are every other year (per Education Code) unless an unsatisfactory evaluation occurs, or there is another reason by contract to do an off-year evaluation.
3. The Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199 includes employee evaluation in Article 14.
4. According to Human Resource Services staff and school site office managers, a list of teachers to be evaluated is sent to the sites annually, along with a single-page calendar showing the deadlines in the process. It was reported that the lists are often not accurate.
5. Staff in Human Resource Services and at the school sites reported that lists are not sent to school sites every two years for evaluations of classified employees who have five or more years with the district, nor are lists sent of those who have less than five years. Some employees who have been with the district for 10 years or more reported that they are evaluated every other year. Others report that they have not been evaluated in more than five years. Many interviews with classified staff in the central office revealed that they had never been evaluated or had been evaluated very sporadically.

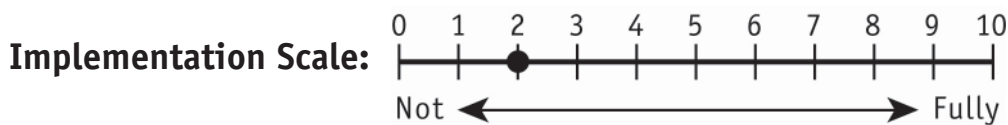
6. The Director of Personnel and the Coordinator of Classified Personnel provide assistance to managers and supervisors who are working with an employee whose performance is less than satisfactory, but there is no handbook, no training, and no systematic process for providing assistance to certificated and classified employees performing below expectations.

### Recommendations and Improvement Plan

1. The Cabinet should review the board policies that set the foundation for employee evaluations and make modifications in accordance with their current intent for the employee evaluation process.
2. Human Resource Services must take the lead to review the classified employee evaluation instruments and make recommendations regarding changes.
3. Human Resources must develop detailed procedures, including the timelines for the evaluation of classified personnel. These should be delivered annually to managers and supervisors along with a list of classified employees who are to be evaluated.
4. Human Resource Services must develop a better tracking mechanism for both certificated and classified employee evaluations.
5. Human Resource Services should take the lead in providing training in evaluation, due process, and discipline. The training may be developed and delivered in-house or by a third party.
6. Human Resource Services should begin to develop procedures for managers to use when assisting employees whose performance is less than satisfactory. The procedures should include resources that can be used for assistance with particular performance problems.

### Standard Implemented: Partially

November 1, 2004 Rating: 2



## **9.4 Evaluation/Due Process Assistance**

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### **Professional Standard**

The Personnel Division has developed an evaluation handbook and provided due process training for managers and supervisors.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002- June 30, 2005
4. Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199, dated July 1, 2002, to June 30, 2005
5. Evaluation instruments
6. Personnel files
7. Interviews with Human Resource Services staff
8. Interviews with school site staff
9. Interviews with central office staff

### **Findings**

1. An evaluation handbook has not been developed, but related board policies on employee evaluation are listed in Standard 9.1. The district uses a number of evaluation instruments.
2. See Standard 9.1 for appropriate contract clauses that describe the employee evaluation process.
3. The Director of Personnel and the Coordinator of Classified Personnel provide assistance to managers and supervisors who are working with an employee whose performance is less than satisfactory, but there is no handbook, no training, and no systematic process for providing assistance to certificated and classified employees performing below expectations.

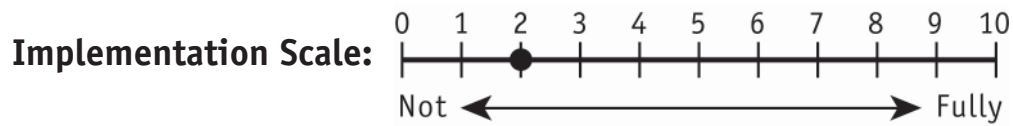
### **Recommendations and Improvement Plan**

1. Human Resource Services must take the lead to review the classified employee evaluation instruments and make recommendations regarding changes.
2. Human Resources must develop detailed procedures, including the timelines for the evaluation of classified personnel. These should be delivered annually to managers and supervisors along with a list of classified employees who are to be evaluated.
3. Human Resource Services must develop a better tracking mechanism for both certificated and classified employee evaluations.

4. Human Resource Services should take the lead in providing training in evaluation, due process, and discipline. The training may be developed and delivered in-house or by a third party.
5. Human Resource Services should begin to develop procedures for managers to use when assisting employees whose performance is less than satisfactory. The procedures should include resources that can be used for assistance with particular performance problems.

**Standard Implemented: Partially**

November 1, 2004 Rating: 2



## **9.5 Evaluation/Due Process Assistance**

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### **Professional Standard**

The Personnel Division has developed a process for providing assistance to certificated and classified employees performing at a less-than-satisfactory levels.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Draft Human Resource Services Reference Manual
3. Contract between Vallejo City Unified School District and the Vallejo Education Association, dated July 1, 2002- June 30, 2005
4. Contract between Vallejo City Unified School District and the CSEA Vallejo Chapter 199, dated July 1, 2002, to June 30, 2005
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9. Interviews with central office staff

### **Findings**

1. Board Policy 4115, Certificated Personnel Evaluation/Supervision (adopted July 20, 1994), provides the foundation for ongoing, consistent evaluation of certificated personnel.
2. Administrative Regulation 4115, Certificated Personnel Evaluation/Supervision (approved December 19, 2001), suggests that standards from the National Board for Professional Teaching Standards may be incorporated into the teacher evaluation standards and also recites the Education Code frequency of evaluation and the criteria for evaluation.
3. Board Policy 4315, Management, Supervisory and Confidential Personnel Evaluation/Supervision, sets a foundation for the evaluation of management, supervisory, and confidential personnel by stating that evaluation shall be in writing on a form prescribed by the superintendent. These provisions apply to classified management as well, but there is no schedule of evaluations prescribed by the policy. Confidential employees are to be evaluated on a schedule consistent with their non-confidential peers, which would suggest once every year for the first five years and every other year thereafter.
4. Board Policy 4315.1, Management Supervisory and Confidential Personnel Competence in Evaluation of Teachers, calls for demonstrated competence to evaluate teachers by those who do the evaluation. The policy describes the competency factors and calls for the superintendent or designee to observe administrators conducting teacher evaluations as a means of assessing whether the administrator exhibits the competencies. This policy is supposed to be reviewed annually.
5. Board Policy 4215, Classified Personnel Evaluation/Supervision (adopted July 20, 1994, without revision), provides the board's intent for regular classified employee evaluations.

6. Administrative Regulation 4215 Classified Personnel Evaluation/Supervision (adopted July 20, 1994, without revision), delineates the timing of evaluations for probationary classified employees and the schedule of evaluations for permanent employees. Permanent employees are to be evaluated at least once annually for the first five years and at least every two years thereafter.
7. Article 11, “Procedures for Evaluation of Unit Members” of the Contract between Vallejo City Unified School District and the Vallejo Education Association describes the exact procedure and timelines for certificated evaluations. It incorporates six California Standards for the Teaching Profession as evaluation criteria. The article establishes that evaluations of permanent certificated employees are every other year (per Education Code) unless an unsatisfactory evaluation occurs, or there is another reason by contract to do an off-year evaluation.
8. The Contract between Vallejo City Unified School District and CSEA Vallejo Chapter 199 includes employee evaluation in Article 14.
9. According to Human Resource Services staff and school site office managers, a list of teachers to be evaluated is sent to the sites annually, along with a single-page calendar showing the deadlines in the process. It was reported that the lists are often not accurate.
10. The September calendar in the draft Human Resource Services Reference Manual states that the evaluation lists will be distributed to the school sites. The November and December calendars call for monitoring certificated evaluations/observations. The January calendar calls for a review of certificated evaluations for emergency permit and probationary teachers. The March calendar contains a statement that classified evaluations will be sent to supervisors. The April calendar calls for follow up on the certificated summary evaluations that are due to be completed by April 15. The May calendar includes monitoring certificated evaluations (30 days prior to the end of the school year), as well as reviewing classified evaluations.
11. Staff in Human Resource Services and at the school sites reported that lists are not sent to school sites every two years for classified evaluations of classified employees who have five or more years with the district, nor are lists sent of those who have less than five years. Some employees who have been with the district for 10 years or more reported that they are evaluated every other year. Others report that they have not been evaluated in more than five years. Many interviews with classified staff in the central office revealed that they had never been evaluated or had been evaluated very sporadically.
12. Examination of the sample of personnel files supports the interview findings that evaluations are done by some managers and supervisors and not by others.
13. At least one central office manager has only received one evaluation. Principals report that their only recent memory of evaluation was the first year that the most recent superintendent arrived in the district.

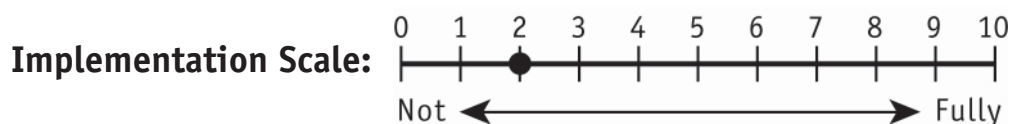
14. The Director of Personnel and the Coordinator of Classified Personnel provide assistance to managers and supervisors who are working with an employee whose performance is less than satisfactory, but there is no handbook, no training, and no systematic process for providing assistance to certificated and classified employees performing below expectations.
15. The Peer Assistance and Review (PAR) process in the teachers' contract is 11 pages long.

### Recommendations and Improvement Plan

1. The Cabinet should review the board policies that set the foundation for employee evaluations and make modifications in accordance with their current intent for the employee evaluation process. Specific attention must be paid to BP 4315.1, Competence to Evaluate, to determine if this is the desired process. Annual review of this policy is pursuant to Education Code, so this task should be added to the Human Resources Annual Calendar.
2. Human Resource Services must take the lead to review the classified employee evaluation instruments and make recommendations regarding changes.
3. Human Resources must develop detailed procedures, including the timelines for the evaluation of classified personnel. These should be delivered annually to managers and supervisors along with a list of classified employees who are to be evaluated.
4. Human Resource Services must develop a better tracking mechanism for both certificated and classified employee evaluations. Examine the possibility of using a field on the new CECC system to track the evaluation dates, trigger notices to supervisors, and track the return of completed evaluations. If the CECC system cannot be used, then a separate spreadsheet program can be developed. An end-of-year report should be run showing any outstanding evaluations. This report should be provided to the Cabinet and Superintendent so that appropriate action can be taken when managers fail to evaluate.
5. Human Resource Services should take the lead in providing training in evaluation, due process, and discipline. The training may be developed and delivered in-house or by a third party.
6. As a long-range plan, Human Resource Services should store the evaluation forms on the district's Web site so that managers and supervisors can download them.
7. Human Resource Services should begin to develop procedures for managers to use when assisting employees whose performance is less than satisfactory. The procedures should include resources that can be used for assistance with particular performance problems.

### Standard Implemented: Partially

November 1, 2004 Rating: 2





## **9.6 Evaluation/Due Process Assistance**

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### **Professional Standard**

The board evaluates the superintendent based upon preapproved goals and objectives.

### **Sources and Documentation**

Interviews of staff

### **Findings**

1. The previous superintendent was placed on administrative leave in March 2004.

### **Recommendations and Improvement Plan**

1. This standard will not apply under state receivership.

### **Standard Implemented: Not Applicable**

November 1, 2004 Rating: N/A

## **10.1 Employee Services**

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### **Professional Standard**

The Personnel Division has developed a program for retirement counseling, including: STRS counseling, PERS counseling, and “life after retirement.”

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with customers: staff members from other departments and school sites
3. Vallejo City Unified School District Policies and Regulations (BP 4000[a]) addressing separation from the district

### **Findings**

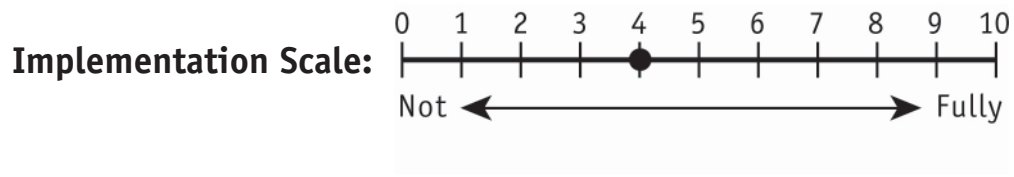
1. The district does not have a staff member designated for retirement assistance. Rather, STRS employees are referred to the County Office of Education and PERS employees are referred to PERS staff for counseling and information. The Benefits Technician assists retiring employees with information on their health and welfare benefit programs.
2. It does not appear that the district has held any retirement informational events in recent years or prepared publications or handbooks to assist retirees, other than the health and welfare benefit information.
3. The district offers an option, through Policies and Regulations (BP 4000[a]), for early retirees to do post-retirement consulting for a prescribed period of time.
4. The district does not have a process set up for conducting exit interviews with or getting exit information from departing employees.

### **Recommendations and Improvement Plan**

1. Retirement information forums should be established for employees, including STRS and PERS representatives where possible. These forums should include information on health and welfare benefits, working after retirement, and choices for further retirement counseling.
2. An exit process should be established for all employees who leave the district, whether retiring or not. This exit process should include checking in keys, badges, and other district property, as well as garnering information on why the employee is leaving, what things were positive in his/her employment experience, and how the district might make some improvements.

**Standard Implemented: Partially**

November 1, 2004 Rating: 4



## 10.2 Employee Services

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### Professional Standard

The Personnel Division has developed recognition programs for all employee groups.

### Sources and Documentation

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Interviews with Human Resource Services staff

### Findings

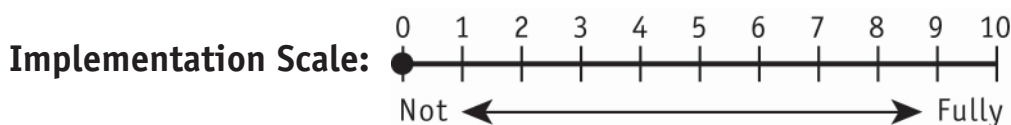
1. Board Policy 4156.2, All Personnel Awards and Recognition, grants the superintendent the ability to award recognition pins, plaques, or other mementos for employees who:
  - a. Propose ideas or procedures that eliminate or reduce district expenditures or improve district operations.
  - b. Perform special acts or services in the public interest.
  - c. By their superior accomplishments, make exceptional contributions to efficiency, economy, or other improvements in district operations (EC 44015).
2. It was reported that the Director of Human Resources developed a recognition program two years ago. Employees were asked quarterly to nominate individuals to be recognized. The program ended from lack of interest.
3. Staff reported that they were unaware that there was a board policy regarding recognition programs or that such a program had ever existed.

### Recommendations and Improvement Plan

1. The superintendent and Cabinet should review Board Policy 4156.2 very carefully and decide whether it is a policy they wish to keep, delete, or modify.
2. If a decision is reached to retain BP 4156.2, then Human Resource Services must take the lead in developing very detailed implementation procedures. The plan must include scheduling nominations, judging submissions (who and how), and what the “memento” will be. This process should then be built into the Human Resource Services Reference Manual and Human Resources Annual Calendar. There must be safeguards to ensure that recognition does not collide with employee discipline, due process procedures, and evaluations.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## **10.3 Employee Services**

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### **Professional Standard**

The Personnel Division has available to its employees various referral agencies to assist employees in need.

### **Sources and Documentation**

1. Vallejo City Unified School District Policies and Regulations (BP 4000[a])
2. Interviews with Human Resource Services Staff
3. Interviews with school site staff
4. DirectLinc brochure

### **Findings**

1. Board Policy 4159, All Personnel Employee Assistance Programs, provides the foundation for the Employee Assistance Program (EAP) by recognizing that employees sometimes have problems that interfere with their productivity and may be a safety issue for students. This policy states that management and supervisory personnel should be knowledgeable about the EAP and recognize symptoms that may result in a referral to an EAP.
2. Employees reported that they have an awareness of an Employee Assistance Program, but are not really familiar with it. They stated that it is not widely advertised.
3. The Director of Community Affairs and Compliance reported that the district has been involved in a county consortium for an EAP, but the contract is now due. The providers have not been reliable and the district has been contacted by an alternative bidder. The contract was about \$26,000. The providers were supposed to bring additional brochures and material, but failed to appear as scheduled on more than one occasion.
4. The DirectLinc program brochure states that the program provides:
  - a. Face-to-face counseling for marital problems, alcohol/drug dependency, relationships, emotional problems, stress and other issues. (3 sessions maximum)
  - b. Telephone counseling for a broad range of life management issues
  - c. Child and elder care assistance.
  - d. Federal tax consultation and representation
  - e. Pre-retirement planning.
  - f. Organizing life's affairs
  - g. Sanity Savers (personal assistance services): help with everyday errands, travel, event planning on a 24/7 basis.

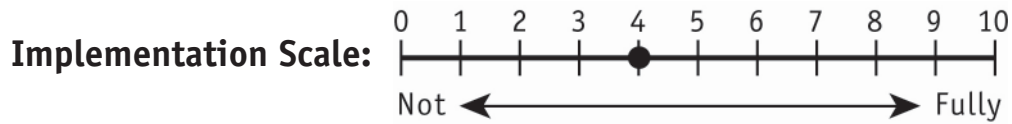
### **Recommendations and Improvement Plan**

1. Although not mandatory, it is recommended that the district issue a Request for Services Proposal to solicit possible vendors of EAP services.
2. The district should select a vendor and enter into a contract.

3. Sufficient numbers of brochures should be obtained to be distributed directly to every district employee.
4. A communications plan should be developed that annually notifies employees of the EAP and its services.
5. A presentation for managers and supervisors should be developed to ensure that they know Board Policy 4159, know about the EAP program, and recognize symptoms that are cause for possible referral to an EAP.
6. The district should consider changing the name of the Annual Legal Notice for All Employees to Annual Notice for All Employees and include a brief communication regarding the EAP.

**Standard Implemented: Partially**

November 1, 2004 Rating: 4



## **10.4 Employee Services**

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### **Professional Standard**

Employee benefits are well understood by employees through periodic printed communications provided by the Personnel Division. Timely notification of annual open enrollment periods is sent to all employees.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with customers: staff members from other departments and school sites
3. VCUSD Employee Benefits memorandum of premiums
4. Benefit check-off lists
5. Retiree Benefits Set Up Check Off Sheet
6. COBRA memorandum for 2003-04
7. Benefits Enrollment Packet for All Employees 2003-04 memorandum
8. Domestic Partnership Coverage memorandum for 2003-04
9. Benefits re-enrollment memo, dated September 11, 2003
10. Benefits enrollment packet
11. List of tax sheltered annuity vendors
12. Board policies and regulations (BP 4000[a]) on health and welfare benefits

### **Findings**

1. Publications provided to employees on the health and welfare benefit plans appear to be comprehensive and easy to understand. Very few questions come from employees who read the written information.
2. A number of the memoranda issued to employees may refer to a time frame in the body of the memo but are not dated to indicate when they were completed or issued. These include the VCUSD Employee Benefits memorandum of premiums, the Benefits Enrollment Packet for All Employees 2003-04, and the Domestic Partnership Coverage memorandum. Therefore, it was not possible to verify that these publications were issued in a timely manner, although department staff indicated that they were.
3. There is no publication given to all new employees to notify them that they are eligible to participate in a tax sheltered annuity plan [IRC 403(b)].
4. The list of tax sheltered annuity vendors lacks a disclaimer indicating that the district has not investigated and is not responsible for the financial viability or stability of the vendors or plans.

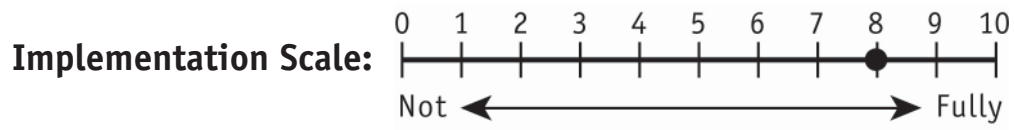
### **Recommendations and Improvement Plan**

1. A publication should be prepared on the availability of tax sheltered annuities that can be included in the hire packets for all new employees.
2. A disclaimer should be added to the list of tax sheltered annuity vendors to explain that the district has not investigated and cannot be held responsible for the financial viability or stability of the vendors or the plans.

- Each memorandum generated by the department should be dated to indicate when it was completed and issued.

**Standard Implemented: Fully - Substantially**

November 1, 2004 Rating: 8





## **10.5 Employee Services**

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### **Professional Standard**

The Personnel Division provides new hires and current employees with a detailed explanation of benefits, the effective date of coverage, along with written information outlining their benefits and when enrollment forms must be returned to implement coverage.

### **Sources and Documentation**

1. Discussions with Human Resource Services staff members
2. Discussions with staff members from other departments and school sites
3. VCUSD Employee Benefits memorandum of premiums
4. Benefit check-off lists
5. Retiree benefits set-up check-off sheet
6. COBRA memorandum for 2003-04
7. Benefits Enrollment Packet for All Employees 2003-04 memorandum
8. Domestic Partnership Coverage memorandum for 2003-04
9. Benefits re-enrollment memo, dated September 11, 2003
10. Benefits enrollment packet
11. Various employee benefit change forms

### **Findings**

1. All new employees eligible for benefits receive an orientation where the enrollment packet is explained and questions are answered. Employees believe that these sessions have been very helpful. Some interviewees indicated that recently the benefits orientation is not always timely because it may occur months after the employee is hired. This seems to be linked to the recent turnover in the Benefits Technician position.
2. Employee terminations are not received by the Benefits Technician in a timely manner, which has resulted in employees receiving coverage beyond their eligibility.
3. Employees ask many questions of the Benefits Department throughout the year, and for the most part are satisfied with the level of service.
4. There is no notification to all employees of their eligibility to participate in a tax sheltered annuity program. Employees who ask about tax sheltered annuities are provided with a list of vendors that the district uses.
5. The district recently discovered about \$2.5 million in payments for retirees' health and welfare benefits that should not have been made. The district is in the process of correcting this error and collecting funds back from the retirees involved.
6. When asked, interviewees could not identify a particular person designated for leave counseling and information for employees. The review team also could not determine that the district actively follows up with employees on leave to assist them with returning to work.

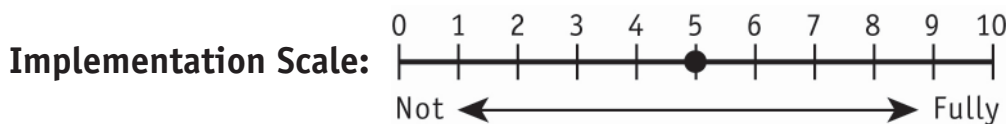
7. Each year, new blanket purchase orders need to be issued to reimburse each retiree for a part of the cost of his/her health and welfare benefits. This process has gotten off to a slow start for at least the last few years. This causes significant delays of up to two months in reimbursing the retirees.
8. Because there is no automated system currently handling all of the benefits information, billings from carriers are significantly delayed. It is very difficult and time-consuming to verify enrollment and billing accuracy. This problem also affects the Accounts Payable unit, which receives phone calls and complaints from carriers. This has also resulted in the district having to pay late charges and even employees getting billed by the carriers.
9. The district re-enrolled all employees and dependents last year. This resulted in a significant savings to the district.

### Recommendations and Improvement Plan

1. The district should automate employee benefits within the new system as soon as possible.
2. All new employees should receive their benefits orientation immediately upon hire so that they can make the appropriate choices and complete the paperwork in time for their eligibility.
3. The department should prepare a publication on the availability of tax sheltered annuities that can be included in the hire packets for all new employees.
4. Human Resource Services needs to establish a way to notify Benefits and Payroll immediately upon learning about the departure of an employee.
5. The blanket purchase requisitions should be issued at least two months before the new fiscal year begins so that retirees do not experience delays in reimbursement for their health and welfare benefits.
6. An employee (and a backup) in the Human Resource Services Department should be designated to provide employees with leave counseling and follow-up.

### Standard Implemented: Partially

November 1, 2004 Rating: 5



## 10.6 Employee Services

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### Professional Standard

Employees are provided the state's injury report form (DWC Form 1) within one working day of having knowledge of any injury or illness.

### Sources and Documentation

1. Interviews with Workers' Compensation employees
2. Interviews with Human Resource Services staff
3. Interviews with Payroll staff
4. DWC Form 1
5. Claims log
6. Workers' Compensation Benefits brochure

### Findings

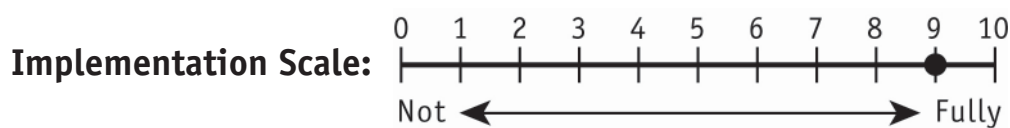
1. When a work-related illness or injury occurs at a site, the site-maintained DWC Form 1 is provided to the employee.
2. Once the DWC form is received in the Workers' Compensation Department, a copy is returned to the employee along with a "Your Workers' Compensation Benefits" brochure and a copy of the appropriate contract regarding Workers' Compensation.
3. The claim is then filed online with the third party administrator.

### Recommendations and Improvement Plan

1. The district should continue to ensure that employees are provided the state's injury report form (DWC Form 1) within one working day of learning of any injury or illness.

### Standard Implemented: Fully - Substantially

November 1, 2004 Rating: 9



## 10.7 Employee Services

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### Professional Standard

The district notifies the third party administrator of an employee's claim of injury within five working days of learning of the injury and forwards a completed form 5020 to the insurance authority.

### Sources and Documentation

1. Interviews with Human Resource Services staff
2. Interviews with Workers' Compensation staff
3. Review of Workers' Compensation Claims tracking reports

### Findings

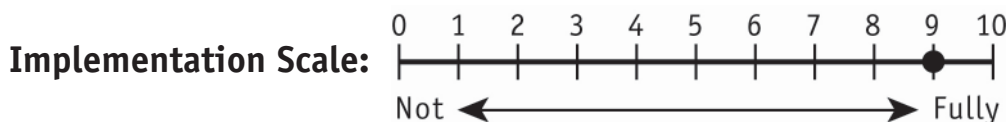
1. Once a claim is received, it is logged into CompWatch, the district's Workers' Compensation system, to add a claim.
2. Claims can either be filed online or by paper. Most claims are filed online with the third party administrator, Bragg and Associates. A claim number is issued immediately when it is filed online.
3. All claims are monitored on CompWatch, as it drives the annual OSHA Report.
4. There is currently no one cross trained on Workers' Compensation claim processing. Although no instances were noted, this is a weakness should the employee processing claims go on vacation or be ill for an extended period of time.

### Recommendations and Improvement Plan

1. The district should cross train another employee on the processing of Workers' Compensation claims in the event that the employee currently performing the function is away from his/her job for an extended period of time.

### Standard Implemented: Fully - Substantially

November 1, 2004 Rating: 9



## 10.8 Employee Services

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### Professional Standard

The district's workers' compensation experiences and activities are reported periodically to the superintendent's Cabinet.

### Sources and Documentation

1. Interviews of employees handling Workers' Compensation
2. Workers' Compensation activity reports
3. Quarterly Workers' compensation reports

### Findings

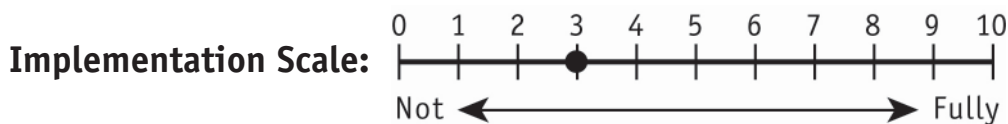
1. On a quarterly basis the Workers' Compensation unit produced a report for the Governing Board that detailed the numbers of new claims, denied claims, employees who weren't able to return to work, and pending claims.
2. Detailed spreadsheets were attached that itemized each claim. They showed the work site, occupation, accident type, injury type, and body part involved. It also noted whether it was record only, medical, or had any lost work time.
3. The quarterly report also had a page for year-to-date totals.
4. As of the review date, the last quarterly report submitted to the board was dated June 2003. When asked why subsequent reports had not been issued, the answer was that there is a lack of interest by the people who received the report in the past.

### Recommendations and Improvement Plan

1. The previous manner and format of the quarterly Workers' Compensation reports was adequate. Therefore, it is recommended that the district resurrect the report and submit it to the board on a quarterly basis.

### Standard Implemented: Partially

November 1, 2004 Rating: 3



## 10.9 Employee Services

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### Professional Standard

The Workers' Compensation unit is actively involved in providing injured workers with an opportunity to participate in a modified duty program.

### Sources and Documentation

1. Interviews with Workers' Compensation staff
2. Workers' Compensation activity reports
3. Quarterly Workers' Compensation reports

### Findings

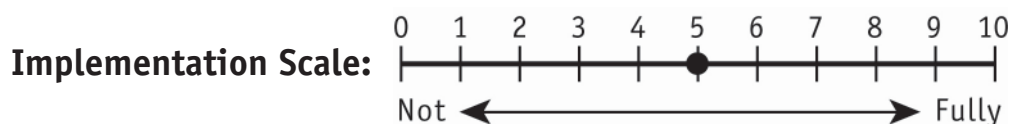
1. The district has a modified duty program for employees on Workers' Compensation, called the Transitional Work Program. The goals of the program are to:
  - a. Take whatever steps are available to assist and encourage injured workers to return to work as quickly as possible.
  - b. Assist injured workers in the transition from disability to full recovery so they can continue to be a productive part of the work group.
  - c. More effectively utilize the fiscal resources consumed by industrial injury.
2. The district has had problems with employees who stay on light duty for a long time, sometimes for years. There has been a recent push to ensure that employees do not abuse the Transitional Work Program. In the past, the length of time in the program was not periodically monitored. Now, employees are evaluated every 30 days, with a maximum time allowed in the program of 90 days.

### Recommendations and Improvement Plan

1. The newly improved procedure for monitoring modified duty employees should be placed in writing and included in the Transitional Work Program procedures to ensure future follow-up.

### Standard Implemented: Partially

November 1, 2004 Rating: 5



## 10.10 Employee Services

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### Professional Standard

The Workers' Compensation unit maintains the California OSHA log for all work sites and a copy is posted at each work site during the month of February as required.

### Sources and Documentation

1. OSHA Form 300A
2. OSHA Form 300
3. Interviews with Workers' Compensation employees

### Findings

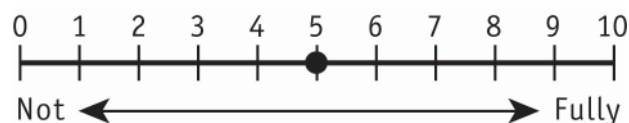
1. The district uses third party vendor software, CompWatch, to maintain its California OSHA log and summary of Work-Related Injuries and Illnesses.
2. The OSHA form and log appeared to be complete and up to date.
3. Posting of the log as required by OSHA was not consistent. It was posted in the Maintenance Department, but was not posted at all schools.

### Recommendations and Improvement Plan

1. The district Workers' Compensation Department should verify annually that OSHA's Form 300A is posted at each site from February 1 to April 30 of the year following the year covered by the form.

### Standard Implemented: Partially

November 1, 2004 Rating: 5



### Implementation Scale:

## 10.11 Employee Services

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### Professional Standard

The district does not pay temporary disability benefits during those times when an employee is in an extended nonpay status.

### Sources and Documentation

1. Interview with payroll technicians
2. Interview with employees processing temporary disability payments
3. Check log

### Findings

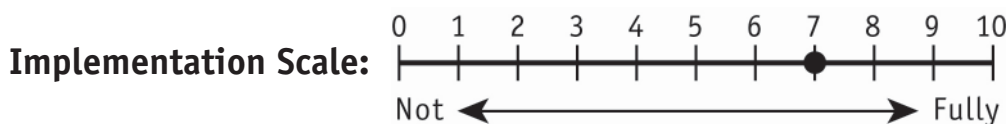
1. When disability checks are received in the Workers' Compensation Department, staff verifies that the physician has taken the employee off work for the time period indicated on the check. The current doctor's note is located in the employee's file.
2. If the employee returns to work during the time indicated on the check, the check is returned to the insurance company with the date the employee returned to work.
3. The insurance company will then re-issue the check, if necessary, with the correct dates.
4. It was reported that, on occasion, an employee has been overpaid.
5. Timesheets for employees on temporary disability or Workers' Compensation are sent to Risk Management for review.

### Recommendations and Improvement Plan

1. While the process appears adequate, due diligence is required to ensure that employees are not overpaid with temporary disability funds.

### Standard Implemented: Partially

November 1, 2004 Rating: 7





## 11.1 Employer/Employee Relations

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### Professional Standard

The district has collected data that compare the salaries and benefits of its employees with districts of similar size, geographic location, and other comparable measures.

### Sources and Documentation

1. Interviews with various employees in the Human Resource Services Department
2. Interviews with a member of the negotiations team
3. Statewide database of salaries and benefits

### Findings

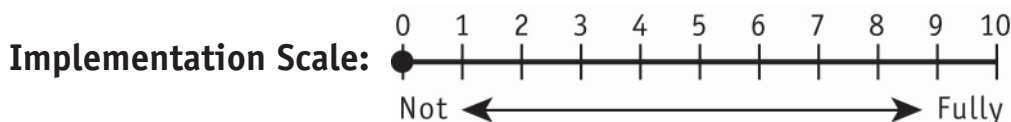
1. The district did not provide any documentation that would indicate that the district collects data for comparison of its employees' salaries and benefits. This finding was supported by those interviewed.
2. The last evidence of comparable data was in 1999-00, when salary data was requested from the statewide database.

### Recommendations and Improvement Plan

1. If the district is certified for fact-finding with its labor unions, each side picks one member of the fact-finding panel and PERB appoints a neutral chairperson. The panel is given subpoena powers and may make any investigation or obtain any documents and records necessary to facilitate its work. In making recommendations for settlement, the panel must consider wages, hours, and conditions of employment of comparable employees elsewhere. For this reason, the district should do the following:
  - a. Through various means, determine such factors as location, funding, and size and type of district to determine districts that are comparable to Vallejo City Unified.
  - b. Collect bargaining agreements from the comparable districts.
  - c. Either by using the statewide database or collecting salary information directly from the comparable districts, compare salary levels at the beginning, middle, and top of the salary schedule, as well as the levels of health and welfare benefits.
  - d. Either by using the statewide database or collecting financial information directly from the comparable districts, compare major revenue and expenditure categories to help measure level of effort.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## 11.2 Employer/Employee Relations

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### Professional Standard

The Personnel Division involves site-level administrators in the bargaining and labor relations decision-making process.

### Sources and Documentation

1. Interviews with Human Resource Services staff
2. Interviews with school site principals
3. Interviews with department administrators
4. Collective bargaining agreements

### Findings

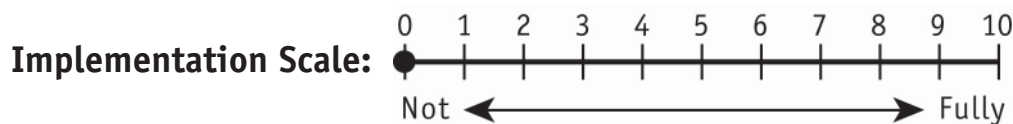
1. Labor negotiations have been done by a small number of district-level administrators without the involvement of school site principals or other department administrators. Those interviewed expressed frustration with the current contracts.
2. Interviewees believe that the contracts fail to protect the quality of education. They believe that the contract makes it tough for site principals to effectively direct operations.

### Recommendations and Improvement Plan

1. To ensure that all management interests are represented at the bargaining table, it is recommended that the district develop a process to ensure that input from site administrators and department managers is obtained. See Professional Standard 11.4 for additional recommendations on negotiations.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## 11.3 Employer/Employee Relations

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### Professional Standard

The Personnel Division provides all managers and supervisors (certificated and classified) training in contract management with emphasis on the grievance process and administration. The Personnel Division provides clearly defined forms and procedures in the handling of grievances for its managers and supervisors.

### Sources and Documentation

1. Interviews with Human Resource Services staff
2. Interviews with school site principals
3. Interviews with department administrators
4. Collective bargaining agreements

### Findings

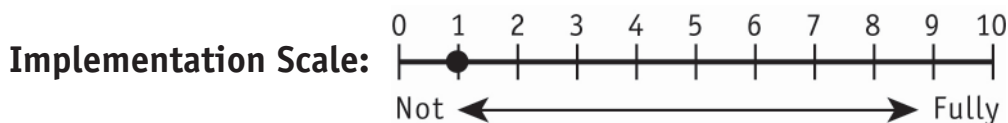
1. The district's grievance process is documented in the collective bargaining agreements.
2. Those interviewed could not recall being trained in contract management. In addition, they could not recall being trained on the grievance process.
3. The collective bargaining agreement mentions that a grievance form is to be used. However, the Human Resource Services Department forms are not maintained in that office, but at the schools. The Human Resource Services Department was able to provide a copy of the grievance form.
4. The labor contracts are a source of major frustration for department managers and principals because of their complexity and a lack of training on how to interpret their provisions.

### Recommendations and Improvement Plan

1. For this year, the Human Resource Services Department should implement a district-wide training program on the current labor agreements for managers.
2. In future years, labor contract training should be conducted for managers new to the district.
3. In future years, labor contract training should be conducted as changes are made to the contract. Training sessions could be held as an add-on to routine principal/manager meetings.

### Standard Implemented: Partially

November 1, 2004 Rating: 1



## **11.4 Employer/Employee Relations**

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### **Professional Standard**

The Personnel Division provides a clearly defined process for bargaining with its employee groups (i.e., traditional, interest-based.)

### **Sources and Documentation**

1. Vallejo City USD labor union contracts
2. Interviews with Human Resource Services staff responsible for negotiations

### **Findings**

1. It does not appear that the district has had a good bargaining strategy. As a result, the district has bargaining unit contracts that do not appear to protect the public, the students, or the quality of education. The limitations of the contracts make it difficult for principals and other site managers to effectively direct operations. The parents' and students' educational interests also are impeded.
2. The contract includes lengthy lists of administrative and governance controls. It encroaches on the administrative, financial, and educational decision-making process.
3. The contract is, however, well written and clear. The teachers and the Vallejo Education Association are clearly protected.
4. Examples of such protections include:
  - a. Transfers shall be filled based on credential, desires of the unit member, and seniority. Interviews with prospective voluntary transfers shall only be held for non-teaching positions. New hires shall only fill positions where no current teachers apply.
  - b. Teachers work a 6½-hour day, or 32.5 hours per week, including the preparation period, which shall be used as deemed appropriate by the teacher. Also, preparation time is provided to all non-teaching personnel.
  - c. There is a long article on teacher rights, but no parallel article on management rights.
  - d. Teacher advancement on the salary schedule can be accomplished by accumulating district professional growth units for about two-thirds of the salary advance. As an example, an employee must have 75 units to get to the last column on the salary schedule, but 50 of those units can be professional growth units provided by the district. No definition of the professional growth curriculum, time on task, or testing obligations are included in the contract.
  - e. Unit members can use personal necessity leave to the total of their accrued sick leave rather than the standard seven days. Employees may take personal necessity leave for any reason as determined by the employee.
  - f. Teachers complete their duty day five minutes after their students have left, provided there are no mandatory activities planned.
  - g. Site hourly practices can be changed upon only a 70 percent approval vote of the local site staff.
  - h. The Peer Assistance and Review (PAR) article is 11 pages long. It has controls on every aspect of PAR, but it does not include a provision suspending the article if the program is not funded by the state.

- i. The safety article of the certificated employee contract includes a long list of daily cleaning duties that custodians (who are classified employees) must perform.
- j. There are detailed contract controls on how the Reading Recovery Program will be staffed, even though methods of educational delivery are clearly beyond the scope of representation.
- k. Unit members can take three days off at the cost of a substitute. That means that even though the average employee is paid more than \$300 a day, including benefits, the employee can take the day off if he/she pays the district the approximately \$80 substitute rate.
- l. Association officers may take selected days off for union business, but are not required to pay the district the full costs of the employees' pay and benefits. The association pays only the cost of a substitute employee, or about \$200 less per day than the district's full costs.

## **Recommendations and Improvement Plan**

1. The Vallejo Education Association contract, as is, will be a significant impediment to educational and fiscal recovery.
2. Additional analysis should be conducted by a task force of district and site personnel. It is unclear from just a review of the language whether practice has moderated some of the most restrictive contract provisions.
3. The following articles are likely to impose costs on the district that are unique and potentially sizable. All of these articles or issues should be considered in any request to renegotiate the contract.
  - a. Salary Article (3.1 to 3.3)
    - i. Eliminate the required salary increase in 2004-05. Any salary increase should be subject to further negotiations.
    - ii. Criteria for approval of units for salary advancement should be stated in the contract. No criteria for unit approval can be found. Units that qualify for advancement on the salary schedule should have a direct benefit to the educational program.
    - iii. Although units for salary advancement are granted for in-district staff development, no standards are found as to the time or accomplishment required for the staff development.
  - b. Summer School Article (3.9)
    - i. Numerous provisions drive salary expense by the district for summer school. Hourly payments are based on a salary schedule per-diem basis. The contract provisions are likely to yield a high encroachment for the summer school program. The entire article should be re-evaluated.
  - c. Department Chairs and Team Leaders (3.11)
    - i. There are significant costs for the staffing standards for department chairs and team leaders, with payments of approximately \$2,400 per employee. The staffing obligations required are significant.
  - d. Extra Duty Pay (3.12)
    - i. There are extensive provisions regulating types of pay for types of duty. An analysis should be made of how much is being spent by the district for these services.

More typically, a district will pay a flat hourly rate for those duties that are clearly required beyond the professional duty day.

e. Professional Growth (4.1)

- i. Professional growth for the 150 hours required to retain a credential includes numerous options that do not benefit a teacher's educational delivery. Additionally, it is unclear if these hours can also be used for advancement on the salary schedule. An intense management review of student benefit for the district expense is appropriate.

f. Hours (5.0)

- i. This article controls every minute of services that the district can require. A more general article on professional hours is standard and gives the district wider latitude.
- ii. Some of the unique issues of the article include a prohibition on district services during a preparation period, and that preparation periods are provided to non-teaching personnel. There are extensive controls on site meetings and after school duties.
- iii. The district has a very fluid population and the tight controls can be very costly.

g. Health and Welfare Benefits (6.0)

- i. The district pays 100 percent of all costs. Employees should be partners in the dramatic growth in health benefit costs.

h. Personal Necessity Leave (7.1.4)

- i. Personal necessity days have few controls on either quantity or usage. The district will face high substitute costs as a result.

i. Association Leave (7.1.8)

- i. The association, which has an agency shop, should at least pay for the full cost of the release of union officers. The district should not subsidize union services.

j. Custodial Services (9.1.6.10)

- i. The district should determine classified services, not the certificated bargaining unit. Many districts provide classroom cleaning every other day in order to save on custodial staff costs. Changing custodial staff to every other day would not be possible given the Vallejo City USD certificated employee contract language.

k. Personal Property Damage (9.5)

- i. There are substantial obligations on the district to pay for lost properties, damaged automobiles, and vandalism.

l. Class Size (10)

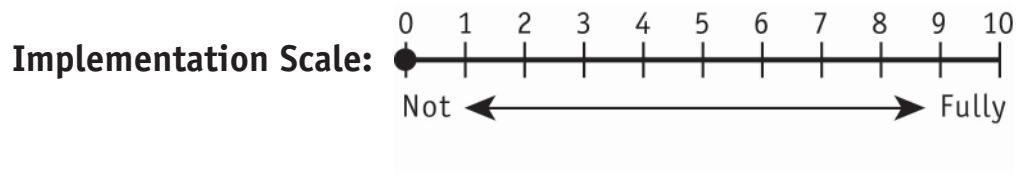
- i. Controls on class size of 32, 33, and 33, plus limits of 160 student contacts, will prove very costly to the district. Managing class size and creating a master schedule must be close to impossible with the language as designed.
- ii. Staffing minimums for all auxiliary personnel are also required by the contract. Controls on support personnel will again make it impossible to balance this budget.

m. Peer Assistance and Review (17.0)

- i. It should be made clear that the article will not be implemented if the state does not provide 100 percent of the funding.

**Standard Implemented: Not Implemented**

November 1, 2004 Rating: 0



## 11.5 Employer/Employee Relations

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### Professional Standard

The Personnel Division has a process that provides management and the board with information on the impact of bargaining proposals, e.g., fiscal, staffing, management flexibility, student outcomes.

### Sources and Documentation

1. Interviews with Human Resource Services staff
2. Interviews with Fiscal Services staff
3. Review of any documentation provided by the district supporting compliance with this standard
4. Vallejo City Unified School District board policies and administrative regulations (BP 4000[a])

### Findings

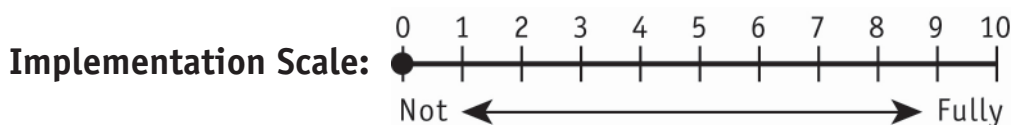
1. Negotiations with the labor unions were conducted by a small group of district level administrators. None of the group was employed by the district at the time of this review.
2. No one in the Human Resource Services Department acknowledged providing management and the board with information on the impact of bargaining proposals. They indicated that any financial analysis would have occurred in the Business Department.
3. The individuals from the Business Department who would have likely prepared financial analysis of bargaining proposals are no longer with the district.
4. Documentation as evidence of financial analysis on bargaining proposals was not available at the time of the review.

### Recommendations and Improvement Plan

1. The Human Resource Services Department, in cooperation with the Business Department, needs to develop a process that provides management and the board with information on the impact of bargaining proposals, e.g., fiscal, staffing, management flexibility, and student outcomes.
2. Multiyear impacts of bargaining proposals should be run for every proposal. The analysis should be done on a spreadsheet or other multiyear projection software that can be updated quickly and easily.

### Standard Implemented: Not Implemented

November 1, 2004 Rating: 0





## **11.6 Employer/Employee Relations**

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### **Legal Standard**

Bargaining proposals and negotiated settlements are “sunshined” in accordance with the law to allow public input and understanding of employee cost implications and, most importantly, the effects on the children of the district (Government Code 3540 and 3547.5).

### **Sources and Documentation**

1. Interviews with Human Resource Services staff
2. Review of district-provided documentation supporting compliance with the standard

### **Findings**

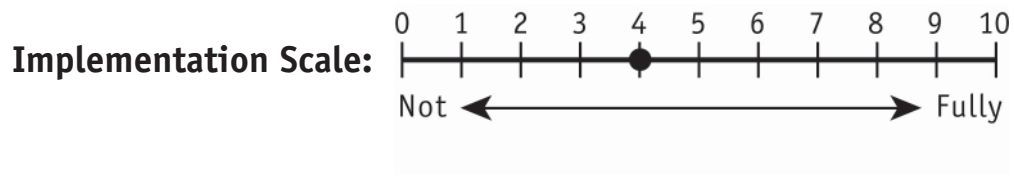
1. Review of the board policy and administrative regulations revealed that there are requirements regarding the sunshining of labor agreements and proposals. They make the appropriate references to the Government Code.
2. The district was able to provide evidence that bargaining proposals and negotiated settlements were properly sunshined in accordance with Government Code sections that allow public input of employee cost implication and the effects on the district’s students.

### **Recommendations and Improvement Plan**

1. All initial proposals that relate to matters within the scope of representation should be presented at a public meeting of the district and maintained as a public record.
2. Meeting and negotiating should not take place on any proposal until a reasonable time has elapsed after the submission of the proposal to enable the public to become informed, and until the public has had the opportunity to express itself regarding the proposal at a meeting of the district board.
3. After the public has had the opportunity to express itself, the district should, at a board meeting which is open to the public, adopt its initial proposal.
4. New subjects of meeting and negotiating arising after the presentation of initial proposals should be made public within 24 hours. If a vote is taken on such a subject by the district, the vote by each member voting shall also be made public within 24 hours.
5. Before the district enters into a written agreement with an exclusive representative covering matters within the scope of representation, the major provisions of the agreement, including, but not limited to, the costs that would be incurred by the public school employer under the agreement for the current and subsequent fiscal years, should be disclosed at a public meeting of the district in a format established for this purpose by the Superintendent of Public Instruction.

**Standard Implemented: Partially**

November 1, 2004 Rating: 4



## **12.1 Employee Benefits/Workers' Compensation**

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### **Legal Standard**

The district has its self-insured workers' compensation programs reviewed by an actuary in accordance with Education Code Section 17566 and filed with the county office of education.

### **Sources and Documentation**

1. May 11, 2004, Actuarial Review of the Vallejo City Unified School District Workers' Compensation Program
2. District's 2004-05 Adopted Budget
3. Interviews with central office staff
4. Interviews with Solano County Office of Education (COE) staff
5. Interview with COE-appointed fiscal advisors
6. District's 2003-04 projected ending fund balances

### **Findings**

1. The June 30, 2001, audit report showed a Workers' Compensation fund (Fund 67) negative July 1, 2000, beginning balance of <\$635,163> and an ending balance of \$401,313. The change in fund balance was the result of showing only part of the actual self insurance claims paid and not including the last quarter's claims payments. In reality, income and expense for this year were each approximately \$3 million. The district should have continued with the <\$635,163> negative balance and increased its transfer rate from the general fund to the Workers' Compensation fund to cover the deficit. However, in closing the books in 2001, the \$3 million in income was shown but only \$2 million in expense. By not reporting the outstanding \$1 million in expense, the fund went from a negative to a positive ending balance. No year-end payables were set up for the final 2000-01 claim payments, nor was a reserve for outstanding claims established.

This non-recognition of the accounts payable was rolled forward in subsequent years. On November 16, 2001, the district issued a \$5 million CSBA financing program through a Zions Bank lease. Approximately \$1 million of this lease was used to cover the \$969,034 prior year Workers' Compensation payments. However, this expense was paid out of the lease funds and not charged as an expense to the Workers' Compensation fund. In 2003, the district folded this loan into a \$25 million Certificates of Participation issuance to be paid for from Mello-Roos funds. The County Office of Education is aware of this transaction and is conducting an investigation.

The external audit report included an audit adjustment to recognize the \$969,034 as an expense. The 2002-03 unaudited actuals that were presented to the board on October 1, 2003, inappropriately reversed the \$969,034 audit adjustment and showed a June 30, 2003, ending balance of (\$47,594.05). The district had no basis or authority to reverse the prior year audit adjustment and, not including this reversal, the June 30, 2003, ending balance was (\$1,016,628.05) before any other 2003 adjustments.

## Summary

The approximate deficits in this fund using correct accounting principles were:

2000-01 Ending Balance	(\$650,000)
2001-02 Ending Balance	(\$750,000)
2002-03 Ending Balance	(\$1,500,000)

2. Effective April 1, 2003, the district left State Fund and went back to a self-insurance program for Workers' Compensation. For the last three months of the year, the district only reported as Workers' Compensation expense the actual cash payments made for claims. No reserve was set up at year end for the liability of claims reported during this three-month period.
3. In March 2004, the joint fiscal committee agreed that the 2003-04 Workers' Compensation rate would be increased from 3.5% to 5.12% retroactively for the 2003-04 fiscal year in order to cover expenses and reduce the deficit fund balance.

The 2004-05 Workers' Compensation rate was set at 6.24 percent in order to fully fund the program, cover any residual deficit, and establish a reserve for outstanding claim liability under the self-insured program.

Once the deficit is eliminated and the program is on solid ground, the rate can be reduced beginning in the 2005-06 year to a level necessary only to cover claim costs and related expenses.

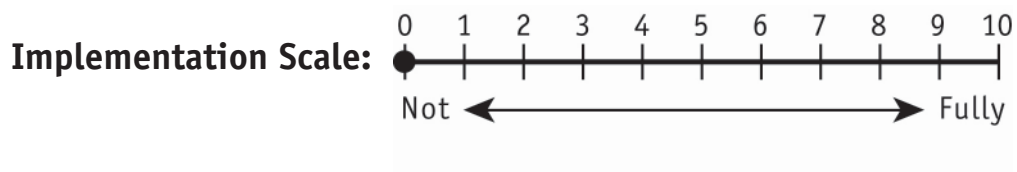
4. The district has on file an actuarial report for the Workers' Compensation program. It is dated May 2004. It shows that Vallejo City USD's claim frequency has been significantly higher than the statewide average for school districts. On the other hand, the district's average claim size is below the statewide average, with a trend line for increases at about 12.2 percent.
5. In the proposed budget for 2004-05, which was disapproved by the County Office of Education, the district projected a 71 percent increase in Workers' Compensation costs. The ending fund balance is projected to be negative by more than \$1 million. Review of the balance sheet indicates that an Incurred but Not Reported (IBNR) amount has not been booked, which would lower the fund balance even more. The actuarial report estimates unpaid claims to be in excess of \$3.5 million as of June 30, 2004.
6. The State Administrator has recognized the severity of the financial problems in the Workers' Compensation fund and has begun corrective action. The internal accrual rate has been raised for the Workers' Compensation insurance to properly fund the liability and fund balance.

## Recommendations and Improvement Plan

1. The district should have an actuarial study conducted every two years and the liability for IBNR updated as necessary based on the study. The district should initially establish the liability based on the May 2004 actuarial report.
2. Audit adjustments to the Workers' Compensation Fund (Fund 67) need to be booked and only reversed with the concurrence of the external auditor.
3. During the year-end closing process, accounts payable and accounts receivable need to be booked using appropriate accounting principles.
4. The district has appropriately increased the Workers' Compensation accrual rate to bring the ending fund balance to a positive number, in addition to funding the IBNR liability.
5. The district should account for the Workers' Compensation Fund in accordance with Generally Accepted Accounting Principles (GAAP).

## Standard Implemented: Not Implemented

November 1, 2004 Rating: 0



## 12.2 Employee Benefits/Workers' Compensation

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### Professional Standard

Timely notice of annual open enrollment period is sent to all eligible employees.

### Sources and Documentation

1. Discussions with Human Resource Services staff members
2. Discussions with staff members from other departments and school sites
3. VCUSD Employee Benefits memorandum of premiums
4. Benefits Enrollment Packet for All Employees 2003-04 memorandum
5. Domestic Partnership Coverage memorandum for 2003-04

### Findings

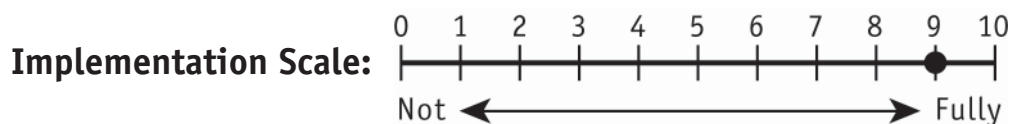
1. CalPERS sends an open enrollment notification to all employees who are currently on the plan. The district follows this up with a memo to all employees in the district who are eligible for health and welfare benefits.
2. The open enrollment packet appears to be comprehensive. Interviewees are generally satisfied with the open enrollment process and with the level of service when they ask questions.
3. Although the information in the memorandums referred to the year, the memorandums themselves were not dated. The review team was not able to verify when the memorandums were issued, although staff members indicated that they were issued in a timely manner.

### Recommendations and Improvement Plan

1. Each memorandum generated by the department should be dated to indicate when it was completed and issued.

### Standard Implemented: Fully - Substantially

November 1, 2004 Rating: 9



Standard to be addressed		Nov. 2004 Rating	May 2005 Focus
1.1	<b>PROFESSIONAL STANDARD - ORGANIZATION AND PLANNING</b> An updated and detailed policy and procedures manual exists that delineates the responsibilities and operational aspects of the personnel office.	1	<input type="checkbox"/>
1.2	<b>PROFESSIONAL STANDARD - ORGANIZATION AND PLANNING</b> The district has clearly defined and clarified roles for board and administration relative to recruitment, hiring, evaluation and dismissal of employees.	1	<input type="checkbox"/>
1.3	<b>PROFESSIONAL STANDARD - ORGANIZATION AND PLANNING</b> The Personnel Division has developed a mission statement that sets clear direction for personnel staff. The Personnel Division has established goals and objectives directly related to the district's goals that are reviewed and updated annually.	2	<input type="checkbox"/>
1.4	PROFESSIONAL STANDARD - ORGANIZATION AND PLANNING The Personnel Division has an organizational chart and a functions chart that include the names, positions and job functions of all staff in the Personnel Division.	0	
1.5	<b>PROFESSIONAL STANDARD - ORGANIZATION AND PLANNING</b> The Personnel Division has a monthly activities calendar and accompanying lists of ongoing personnel activities to be reviewed by staff at planning meetings.	2	<input type="checkbox"/>
1.6	PROFESSIONAL STANDARD - ORGANIZATION AND PLANNING The Personnel Division head is a member of the Superintendent's cabinet and participates in decision making early in the process.	10	
2.1	<b>PROFESSIONAL STANDARD - COMMUNICATIONS: INTERNAL/EXTERNAL</b> The Personnel Division utilizes the latest technological equipment for incoming and outgoing communications.	2	<input type="checkbox"/>
2.2	PROFESSIONAL STANDARD - COMMUNICATIONS: INTERNAL/EXTERNAL The personnel and business divisions have developed and distributed a menu of services that includes the activities performed, the individual responsible, and the telephone numbers where they may be contacted.	3	
2.3	PROFESSIONAL STANDARD - COMMUNICATIONS: INTERNAL/EXTERNAL The Personnel Division provides an annual report of activities and services provided during the year.	0	

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.

Standard to be addressed		Nov. 2004 Rating	May 2005 Focus
2.4	<b>PROFESSIONAL STANDARD - COMMUNICATIONS: INTERNAL/EXTERNAL</b> The Personnel Division staff is cross-trained to respond to client need without delay.	1	<input type="checkbox"/>
2.5	<b>PROFESSIONAL STANDARD - COMMUNICATIONS: INTERNAL/EXTERNAL</b> The Personnel Division holds regularly scheduled staff meetings.	0	<input type="checkbox"/>
2.6	PROFESSIONAL STANDARD - COMMUNICATIONS: INTERNAL/EXTERNAL Various publications are provided on a number of subjects to orient and inform various clients.	4	
3.1	LEGAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION The Governing Board provides equal employment opportunities for all people without regard to race, color, creed, sex, religion, ancestry, national origin, age, or disability (EC 44100-44105).	5	
3.2	PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION Employment procedures and practices are conducted in a manner that ensures equal employment opportunities. Written hiring procedures are provided.	5	
3.3	PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION The job application form requests information that is legal, useful, pertinent, and easily understood.	5	
3.4	<b>PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION</b> The Personnel Division has a recruitment plan that contains recruitment goals, including the targeting of hard-to-fill positions such as those in the areas of math, science, special education and bilingual education. The district has established an adequate recruitment budget that includes funds for travel, advertising, staff training, promotional materials and the printing of a year-end report, and that effectively implements the provisions of the district recruitment plan.	0	<input type="checkbox"/>
3.5	<b>PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION</b> The district has developed materials that promote the district and community, are attractive, informative and easily available to all applicants and other interested parties.	3	<input type="checkbox"/>

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.



Standard to be addressed		Nov. 2004 Rating	May 2005 Focus
3.6	<b>PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION</b> The district has identified people to participate in recruitment efforts, including principals, district personnel and others, as appropriate, and has provided them with adequate training to carry out the district's recruitment goals.	2	<input type="checkbox"/>
3.7	PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION The district has effectively identified a variety of successful recruitment sources, including Web sites, job fairs, colleges and universities and publications.	2	
3.8	PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION The district has developed an annual written summary report of its recruitment efforts, including data detailing the goals for the year, sites visited, number of candidates contacted, employees hired as a result of the recruitment efforts and plans for any changes for the following year. This information can be provided as part of the division's annual report of personnel activities as called for in Standard 2.3.	0	
3.9	PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION The district has developed alternative teacher certification programs and process (i.e., preintern, intern, committee on assignment).	0	
3.10	PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION The district is preparing to address new federal regulations as they relate to the No Child Left Behind Act.	5	
3.11	PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION The district systematically initiates and follows up on reference checking on all applicants being considered for employment.	4	
3.12	PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION Selection procedures are uniformly applied.	10	
3.13	<b>LEGAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION</b> The district appropriately monitors teacher assignments and reports as required under EC 44258.9.	1	<input type="checkbox"/>
3.14	PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION Appropriateness of required tests for specific classified positions is evident.	4	

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.

<b>Standard to be addressed</b>		Nov. 2004 Rating	May 2005 Focus
<b>3.15</b>	<b>LEGAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION</b> The district has implemented procedures to comply with state legislation governing short-term employees (EC 45103).	1	
<b>3.16</b>	<b>LEGAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION</b> In merit system districts, recruitment and selection for classified service are delegated to the Personnel Commission (EC 45240-45320).	Not applicable	
<b>3.17</b>	<b>LEGAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION</b> The Personnel Commission prepares an eligibility list of qualified candidates for each classified position that is open, indicating the top three candidates (EC45272-45278)	Not applicable	
<b>3.18</b>	<b>PROFESSIONAL STANDARD - EMPLOYEE RECRUITMENT/SELECTION</b> Classified recruitment results are provided in an annual report to the Personnel Commission Board.	Not applicable	
<b>4.1</b>	<b>PROFESSIONAL STANDARD - EMPLOYEE INDUCTION AND ORIENTATION</b> <b>Initial orientation is provided for all new staff, and orientation handbooks are provided for new employees in all classifications: substitutes, teachers and classified employees.</b>	5	<input type="checkbox"/>
<b>4.2</b>	<b>PROFESSIONAL STANDARD - EMPLOYEE INDUCTION AND ORIENTATION</b> The Personnel Division has developed a video presentation (e.g., tape, CD-ROM, DVD) of the district activities and expectations for new employee orientation.	0	
<b>4.3</b>	<b>PROFESSIONAL STANDARD - EMPLOYEE INDUCTION AND ORIENTATION</b> The Personnel Division has developed an employment checklist to be used for all new employees that includes district forms and state and federal mandated information. The checklist is signed by the employee and kept on file.	6	
<b>5.1</b>	<b>PROFESSIONAL STANDARD - OPERATIONAL PROCEDURES</b> Personnel files are complete, well-organized and up to date.	4	
<b>5.2</b>	<b>PROFESSIONAL STANDARD - OPERATIONAL PROCEDURES</b> <b>Personnel Division nonmanagement staff members have individual desk manuals for all of the personnel functions for which they are held responsible.</b>	0	<input type="checkbox"/>

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.

Standard to be addressed		Nov. 2004 Rating	May 2005 Focus
5.3	<b>PROFESSIONAL STANDARD - OPERATIONAL PROCEDURES</b> The Personnel Division has an operation procedures manual for internal department use in order to establish consistent application of personnel actions.	0	<input type="checkbox"/>
5.4	<b>PROFESSIONAL STANDARD - OPERATIONAL PROCEDURES</b> The Personnel Division has a process in place to systematically review and update job descriptions. These job descriptions shall be in compliance with the Americans with Disabilities Act (ADA) requirements.	1	<input type="checkbox"/>
5.5	<b>PROFESSIONAL STANDARD - OPERATIONAL PROCEDURES</b> The Personnel Division has procedures in place that allow for both personnel and payroll staff to meet regularly to solve problems which develop in the process of new employees, classification changes and employee promotions.	0	<input type="checkbox"/>
5.6	PROFESSIONAL STANDARD - OPERATIONAL PROCEDURES Wage and salary determination and ongoing implementation are handled without delays and conflicts (substitutes, temporary employees, stipends, shift differential, etc.).	4	
5.7	PROFESSIONAL STANDARD - OPERATIONAL PROCEDURES Regulations or agreements covering various types of leaves are fairly administered.	2	
5.8	<b>PROFESSIONAL STANDARD - OPERATIONAL PROCEDURES</b> Personnel staff members attend training sessions/workshops to keep abreast of the most current acceptable practices and requirements facing personnel administrators.	3	<input type="checkbox"/>
5.9	PROFESSIONAL STANDARD - OPERATIONAL PROCEDURES The Personnel Division provides employees with appropriate forms for documenting requested actions (e.g., leaves, transfers, resignations, retirements).	5	
5.10	<b>PROFESSIONAL STANDARD - OPERATIONAL PROCEDURES</b> Established staffing formulas dictate the assignment of personnel to the various sites and programs.	1	<input type="checkbox"/>
6.1	LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE Policies and regulations exist regarding the implementation of fingerprinting requirements for all employees. Education Codes: 44237, 45125, 45125.1, 44332.6, 44346.1, 44830.1, 45122.1.	8	

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.

<b>Standard to be addressed</b>		Nov. 2004 Rating	May 2005 Focus
<b>6.2</b>	<b>LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE</b> The Governing Board requires every employee to present evidence of freedom from tuberculosis as required by state law (EC 44839, 49406).	8	
<b>6.3</b>	<b>LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE</b> No person is employed as a teacher's aide unless that person has passed the basic reading, writing, and mathematic skills proficiencies required for graduation from high school (EC 45361.5).	4	
<b>6.4</b>	<b>LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE</b> A clear implemented policy exists on the prohibition of discrimination (Government Code 11135).	5	
<b>6.5</b>	<b>LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE</b> All certificated employees hold one or more valid certificates, credentials or life diplomas that allow the holder to engage in school services designated in the document (EC 44006).	4	
<b>6.6</b>	<b>LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE</b> Duties to be performed by all persons in the classified service and other positions not requiring certification are fixed and prescribed by the Governing Board (EC 45109).	1	
<b>6.7</b>	<b>LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE</b> Professional growth requirements for maintenance of a valid credential exist (EC 44277).	10	
<b>6.8</b>	<b>LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE</b> The district has established a process by which all required notices and in-service training sessions have been performed and documented such as those for child abuse reporting, blood-borne pathogens, sexual harassment and nondiscrimination. (EC 44691, GC 8355).	8	
<b>6.9</b>	<b>LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE</b> The district is in compliance with Title IX policies on discrimination and Government Code 12950(a) posting requirements concerning harassment or discrimination.	9	
<b>6.10</b>	<b>LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE</b> The district is in compliance with the Consolidated Omnibus Budget Reconciliation Act of 1986 (COBRA).	2	
<b>6.11</b>	<b>LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE</b> The district is in compliance with the Family Medical Leave Act (FMLA) including posting the proper notifications.	1	

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.

<b>Standard to be addressed</b>		Nov. 2004 Rating	May 2005 Focus
6.12	LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE The district is in compliance with the Americans with Disabilities Act (ADA) in application procedures, hiring, advancement or discharge, compensation, job training and other terms, conditions, and privileges of employment.	2	
6.13	LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE The district has identified exempt and nonexempt employees and has promulgated rules and regulations for overtime that are in compliance with the Fair Labor Standards Act and California statutes.	1	
6.14	LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE Current position descriptions are established for each type of work performed by certificated and classified employees (EC 35020)	1	
6.15	LEGAL STANDARD - STATE AND FEDERAL COMPLIANCE The district obtains a criminal record summary from the Department of Justice before employing an individual, and does not employ anyone who has been convicted of a violent or serious felony (EC 44332.6, 44346.1, 45122.1).	8	
7.1	<b>PROFESSIONAL STANDARD - USE OF TECHNOLOGY</b> <b>An online position control system is utilized and is integrated with payroll/financial systems.</b>	4	<input type="checkbox"/>
7.2	PROFESSIONAL STANDARD - USE OF TECHNOLOGY The Personnel Division provides an automated substitute calling system. The system has the ability to input and retrieve data. Data should be distributed to site and program managers.	5	
7.3	<b>PROFESSIONAL STANDARD - USE OF TECHNOLOGY</b> <b>The certificated and classified departments of the Personnel Division have an applicant tracking system.</b>	2	<input type="checkbox"/>
7.4	PROFESSIONAL STANDARD - USE OF TECHNOLOGY The Personnel Division has a program of providing funds and time for staff training and skills development in the use of computers.	0	
7.5	<b>PROFESSIONAL STANDARD - USE OF TECHNOLOGY</b> <b>The Personnel Division has computerized its employee database system including, but not limited to: credentials, seniority lists, evaluations, personnel by funding source, program, location, and Workers' Compensation benefits.</b>	3	<input type="checkbox"/>

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.

Standard to be addressed		Nov. 2004 Rating	May 2005 Focus
8.1	<b>PROFESSIONAL STANDARD - STAFF TRAINING</b> <b>The district has developed a systematic program for identifying areas of need for in-service training for all employees.</b>	0	<input type="checkbox"/>
8.2	LEGAL STANDARD - STAFF TRAINING The district makes provisions for department-directed staff development activities (EC 52034(g)).	0	
8.3	LEGAL STANDARD - STAFF TRAINING Teachers and other professional school services personnel are provided with diversity training (EC 44560).	4	
8.4	LEGAL STANDARD - STAFF TRAINING The district has adopted policies and procedures regarding the recognition and reporting of sexual harassment (GC 12940).	9	
8.5	<b>PROFESSIONAL STANDARD - STAFF TRAINING</b> <b>The district provides training for all management and supervisory staff responsible for employee evaluations.</b>	2	<input type="checkbox"/>
8.6	<b>PROFESSIONAL STANDARD - STAFF TRAINING</b> <b>The district provides training opportunities to managers and supervisors in leadership development and supervision. Training topics might include interpersonal relationships, effective supervision, conflict resolution, cultural diversity and gender sensitivity, team building.</b>	0	<input type="checkbox"/>
8.7	<b>PROFESSIONAL STANDARD - STAFF TRAINING</b> <b>The district develops handbooks and materials for all training components.</b>	0	<input type="checkbox"/>
9.1	<b>PROFESSIONAL STANDARD - EVALUATION/DUE PROCESS ASSISTANCE</b> <b>The evaluation process is a regular function related to each employee and involves criteria related to the position.</b>	2	<input type="checkbox"/>
9.2	<b>LEGAL STANDARD - EVALUATION/DUE PROCESS ASSISTANCE</b> <b>Clear policies and practices exist for the written evaluation and assessment of classified and certificated employees and managers (EC 44663).</b>	2	<input type="checkbox"/>
9.3	<b>PROFESSIONAL STANDARD - EVALUATION/DUE PROCESS ASSISTANCE</b> <b>The Personnel Division provides a process for the monitoring of employee evaluations and the accountability reporting of their completion.</b>	2	<input type="checkbox"/>

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.

<b>Standard to be addressed</b>		Nov. 2004 Rating	May 2005 Focus
9.4	<b>PROFESSIONAL STANDARD - EVALUATION/DUE PROCESS ASSISTANCE</b> The Personnel Division has developed an evaluation handbook and provided due process training for managers and supervisors.	2	<input type="checkbox"/>
9.5	<b>PROFESSIONAL STANDARD - EVALUATION/DUE PROCESS ASSISTANCE</b> The Personnel Division has developed a process for providing assistance to certificated and classified employees performing at less-than-satisfactory levels.	2	<input type="checkbox"/>
9.6	PROFESSIONAL STANDARD - EVALUATION/DUE PROCESS ASSISTANCE The board evaluates the Superintendent based upon preapproved goals and objectives.	Not applicable	
10.1	PROFESSIONAL STANDARD - EMPLOYEE SERVICES The Personnel Division has developed a program for retirement counseling, including: STRS counseling, PERS counseling, and "life after retirement."	4	
10.2	PROFESSIONAL STANDARD - EMPLOYEE SERVICES The Personnel Division has developed recognition programs for all employee groups.	0	
10.3	PROFESSIONAL STANDARD - EMPLOYEE SERVICES The Personnel Division has available to its employees various referral agencies to assist employees in need.	4	
10.4	PROFESSIONAL STANDARD - EMPLOYEE SERVICES Employee benefits are well understood by employees through periodic printed communications provided by the Personnel Division. Timely notification of annual open enrollment periods is sent to all employees.	8	
10.5	PROFESSIONAL STANDARD - EMPLOYEE SERVICES The Personnel Division provides new hires and current employees with a detailed explanation of benefits, the effective date of coverage, along with written information outlining their benefits and when enrollment forms must be returned to implement coverage.	5	
10.6	PROFESSIONAL STANDARD - EMPLOYEE SERVICES Employees are provided the state's injury report form (DWC Form 1) within one working day of having knowledge of any injury or illness.	9	

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.

<b>Standard to be addressed</b>		Nov. 2004 Rating	May 2005 Focus
10.7	PROFESSIONAL STANDARD - EMPLOYEE SERVICES The district notifies the third party administrator of an employee's claim of injury within five working days of learning of the injury and forwards a completed form 5020 to the insurance authority.	9	
10.8	PROFESSIONAL STANDARD - EMPLOYEE SERVICES The district's workers' compensation experiences and activities are reported periodically to the Superintendent's cabinet.	3	
10.9	PROFESSIONAL STANDARD - EMPLOYEE SERVICES The workers' compensation unit is actively involved in providing injured workers with an opportunity to participate in a modified duty program.	5	
10.10	PROFESSIONAL STANDARD - EMPLOYEE SERVICES The workers' compensation unit maintains the California OSHA log for all work sites and a copy is posted at each work site during the month of February as required.	5	
10.11	PROFESSIONAL STANDARD - EMPLOYEE SERVICES The district does not pay temporary disability benefits during those times when an employee is in an extended nonpay status.	7	
11.1	<b>PROFESSIONAL STANDARD - EMPLOYER/EMPLOYEE RELATIONS</b> <b>The district has collected data that compare the salaries and benefits of its employees with districts of similar size, geographic location and other comparable measures.</b>	0	<input type="checkbox"/>
11.2	<b>PROFESSIONAL STANDARD - EMPLOYER/EMPLOYEE RELATIONS</b> <b>The Personnel Division involves site-level administrators in the bargaining and labor relations decision making process.</b>	0	<input type="checkbox"/>
11.3	<b>PROFESSIONAL STANDARD - EMPLOYER/EMPLOYEE RELATIONS</b> <b>The Personnel Division provides all managers and supervisors (certificated and classified) training in contract management with emphasis on the grievance process and administration. The Personnel Division provides clearly defined forms and procedures in the handling of grievances for its managers and supervisors.</b>	1	<input type="checkbox"/>
11.4	<b>PROFESSIONAL STANDARD - EMPLOYER/EMPLOYEE RELATIONS</b> <b>The Personnel Division provides a clearly defined process for bargaining with its employee groups (i.e., traditional, interest-based).</b>	0	<input type="checkbox"/>

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.



<b>Standard to be addressed</b>		Nov. 2004 Rating	May 2005 Focus
<b>11.5</b>	<b>PROFESSIONAL STANDARD - EMPLOYER/EMPLOYEE RELATIONS</b> <b>The Personnel Division has a process that provides management and the board with information on the impact of bargaining proposals, e.g., fiscal, staffing, management flexibility, student outcomes.</b>	<b>0</b>	<input type="checkbox"/>
<b>11.6</b>	<b>LEGAL STANDARD - EMPLOYER/EMPLOYEE RELATIONS</b> Bargaining proposals and negotiated settlements are "sun-shined" in accordance with the law to allow public input and understanding of employee cost implications and, most importantly, the effects on the children of the district (EC 3547, 3547.5, and GC 41242).	4	
<b>12.1</b>	<b>LEGAL STANDARD - EMPLOYEE BENEFITS/WORKERS' COMPENSATION</b> The district has its self-insured workers' compensation programs reviewed by an actuary in accordance with Education Code Section 17566 and filed with the county office of education.	0	
<b>12.2</b>	<b>PROFESSIONAL STANDARD - EMPLOYEE BENEFITS/WORKERS' COMPENSATION</b> Timely notice of annual open enrollment period is sent to all eligible employees	9	

The identified subset of standards appears in bold print. These standards, indicated by , will be targeted for in-depth review for the May 2005 report.