

Berkeley Unified School District

Assessment and Improvement Plan

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Submitted by

Fiscal Crisis & Management Assistance Team

INTRODUCTION

On September 29, 2002, the Governor signed Assembly Bill 2859 (Aroner) into law. In part, the bill required the Fiscal Crisis and Management Assistance Team to conduct assessments of the Berkeley Unified School District in five major operational areas. The bill reallocated to FCMAT funds to conduct the assessments that were withheld from the district's principal apportionments in 2000-2001 and 2001-2002, and funds scheduled to be withheld from the 2003-2004 apportionment for disallowed average daily attendance (ADA) claims. The legislation further required FCMAT to file status reports every six months through June 2005 with various entities, including the Legislature, on the school district's progress in meeting the recommendations of the various improvement plans.

The purpose of this report is to provide the Berkeley Unified School District with the results of a systemic, comprehensive assessment in the following five areas of district operation:

1. Community Relations
2. Personnel Management
3. Pupil Achievement
4. Financial Management
5. Facilities Management

This report provides data to the district, community and Legislature to assist in facilitating more effective collaboration and to build the necessary capacity within the district to promote student learning. The report also provides critical information related to site and facility issues that interfere with effective teaching and learning.

This assessment has been based upon existing legal and professional standards applicable to all California school districts. Independent and external professional experts from both the private and public sectors assisted in the research, identification and categorization of the standards utilized in the assessment of the Berkeley Unified School District. The Fiscal Crisis and Management Assistance Team monitored the use of the standards in the assessment process to ensure necessary fairness and rigor in their application. The standards provide a clear path to improvement when implemented in a manner that considers the nature of the current organization and endeavors to affect functions directly at the school site and classroom level. When the designated standards are implemented with this sort of depth and focus, improved pupil achievement, financial practices, personnel procedures, community relations, and facilities management can be expected.

This process of systemic assessment, prioritization and intervention lays the foundation to increase the overall capacity and productivity of the district by establishing a baseline by which progress can be measured. The process must also engage the parents, students and the community in the partnership of improving student learning. Parent and community participation, effective school leadership and communication tied with a strong curriculum are an interrelated theme of this report.

The Berkeley Unified School District can meet its most difficult challenges by implementing a focused and consistent strategy for improvement that understands the most significant needs

of the district and deals with those needs that are most critical to the basic functions related to organizational structure and student learning. FCMAT has provided both an analysis of the issues in Berkeley Unified and a priority listing of those needs that are most pressing through its comprehensive review.

The findings presented in this report represent a snapshot of the district, and the recommendations are based on the improvement of student learning. In the time since the data-gathering portion of the review, the district has begun to address certain areas of concern, making progress that is not reflected in this report.

FCMAT would like to acknowledge the cooperation of the district Governing Board, administration and staff during the review process.

Study Guidelines

FCMAT's approach to implementing the statutory requirements of AB 2859 is based upon a commitment to a standards-based, independent and external review of the Berkeley Unified School District's operations. FCMAT performed the assessment and developed the improvement plan in collaboration with four other external providers selected through a competitive process. Professionals from throughout California contributed their knowledge and applied the identified legal and professional standards to the specific local conditions found in the Berkeley Unified School District.

Prior to beginning work in the district, FCMAT adopted five basic tenets to be incorporated in the assessment and improvement plans. These tenets were based on previous assessments conducted by FCMAT in school districts throughout California and a review of data from other states implementing external reviews of troubled school districts. The five basic tenets are:

1. Use of Professional and Legal Standards

FCMAT's experience indicates that for schools and school districts to be successful in program improvement, the evaluation, design and implementation of improvement plans must be standards-driven. FCMAT has noted positive differences between an objective standards-based approach and a nonstandards-based approach. When standards are clearly defined, reachable, and communicated, there is a greater likelihood they will be measured and met.

In order to participate in the process of the Berkeley Unified School District review, potential providers responded to a Request for Applications (RFA) that identified these standards as the basis of assessment and improvement. Moreover, the providers were required to demonstrate how the FCMAT-identified standards would be incorporated into their work. It is these standards on which the improvement plans for the Berkeley district were based. The standards, while identified specifically for the Berkeley Unified School District, are benchmarks that could be readily utilized as an indication of success for any school district in California.

Every standard was measured on a consistent rating format, and each standard was given a scaled score from zero to 10 as to its relative status of completeness. The following represents a definition of terms and scaled scores. The single purpose of the scaled score is to establish a baseline of information by which the district's future gains and achievements in each of the standard areas can be measured.

Not Implemented (Scaled Score of 0)

There is no significant evidence that the standard is implemented.

• Partially Implemented (Scaled Score of 1 through 7)

A partially implemented standard lacks completeness, and it is met in a limited degree. The degree of completeness varies as defined:

1. Some design or research regarding the standard is in place that supports preliminary development. (Scaled Score of 1)
2. Implementation of the standard is well into the development stage. Appropriate

- staff is engaged and there is a plan for implementation. (Scaled Score of 2)
- 3. A plan to address the standard is fully developed, and the standard is in the beginning phase of implementation. (Scaled Score of 3)
- 4. Staff is engaged in the implementation of most elements of the standard. (Scaled Score of 4)
- 5. Staff is engaged in the implementation of the standard. All standard elements are developed and are in the implementation phase. (Scaled Score of 5)
- 6. Elements of the standard are implemented, monitored and becoming systematic. (Scaled Score of 6)
- 7. All elements of the standard are fully implemented, are being monitored, and appropriate adjustments are taking place. (Scaled Score of 7)

- **Fully Implemented (Scaled Score of 8 through 10)**

A fully implemented standard is complete relative to the following criteria.

- 8. All elements of the standard are fully and substantially implemented and are sustainable. (Scaled Score of 8)
- 9. All elements of the standard are fully and substantially implemented and have been sustained for a full school year. (Scaled Score of 9)
- 10. All elements of the standard are fully implemented, are being sustained with high quality, are being refined, and have a process for ongoing evaluation. (Scaled Score of 10)

2. Conduct an External and Independent Assessment

FCMAT employed an external and independent assessment process in the development of the Berkeley Unified assessment and improvement plans. The report represents findings and improvement plans based on the external and independent assessment from four separate professional agencies:

- California School Boards Association (CSBA) – Governance/Community Relations
- Schromm and Associates – Personnel Management
- Community Training and Assistance Center – Pupil Achievement
- School Services of California – Facilities Management
- FCMAT – Financial Management

Collectively, the four professional agencies that assisted FCMAT constitute FCMAT’s providers in the assessment process. Their external and independent assessments serve as the primary basis for the reliability, integrity and credibility of the review.

3. Utilize Multiple Measures of Assessment

For a finding to be considered legitimate, multiple sources need to be utilized to provide the same or consistent information. The assessments and improvement plans were based on multiple measures. Testing, personal interviews, group meetings, public hearings, observations, review and analysis of data all provided added value to the assessment process. The providers were required to utilize multiple measurements as they assessed the standard. This process allowed for a variety of ways of determining whether the standards were met. All school district operations with an impact on student achievement, including governance, fiscal, personnel, and facilities were reviewed and included in the improvement plan.

4. Empower Staff and Community

The development of a strong professional development plan for the board and staff is a critical component of an effective school district. This report includes the importance of a comprehensive professional development plan. The success of the improvement plans and their implementation are dependent upon an effective professional and community development process. For this reason, the empowerment of staff and community is one of the highest priorities, and emphasizing this priority with each of the four partners was critical. As a result, a strong training component for board, staff and administration is called for consistently throughout the report.

Of paramount importance is the community's role of local governance. The absence of parental involvement in education is a growing concern nationally. A key to success in the Berkeley Unified School District is the re-engagement of parents, teachers, and support staff. Berkeley parents care deeply about their children's future and want to participate in improving the school district and enhancing student learning. The community relations section of this report provides necessary recommendations for the community to have a more active and meaningful role in the education of its children.

5. Engage Local, State and National Agencies

It is critical to involve various local, state and national agencies in the recovery of the district. This was emphasized through the Request for Applications (RFA) process, whereby state-recognized agencies were selected as partners to assist with the assessment and improvement process. The California Department of Education, city and county interests, professional organizations, and community-based organizations all have expressed and shown a desire to assist and participate in the improvement of the Berkeley Unified School District.

Study Team

The study team was composed of the following members:

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District Background

Berkeley Unified School District is situated in the northern part of Alameda County surrounded by the cities of Oakland, Richmond, Kensington and Emeryville. The city of Berkeley is one of the most densely populated communities in the state, with nearly 102,000 residents living in approximately 10.5 square miles. The University of California plays a prominent role in the community and is the city's largest employer. Approximately 18 percent of the city's residents are UC Berkeley students.

There are 16 schools in the school district: 12 elementary, three middle and one comprehensive high school, and one continuation high school. Berkeley schools are as diverse as their community of more than 100,000. The elementary and middle schools serve three geographic attendance "zones" and through the district's student assignment program, all schools are able to serve a mix of students from throughout the city. There are approximately 550 full-time equivalent teaching positions, 40 administrative positions and 450 classified staff (these totals may have fluctuated significantly due to budget cuts and reorganization during the past two years).

Total K-12 enrollment for the district is approximately 9,060. The California Department of Education shows the student ethnicity for 2002-03 as 33 percent African-American, 29 percent white, 15 percent Hispanic, 14 percent of mixed race or who did not respond, 7 percent Asian, 1 percent Filipino, and less than 1 percent Native American and Pacific Islander. English learners make up approximately 13 percent of the student population.

Ethnicity comparisons between the student population and the overall population of the community reveal important differences. According to 2000 Census data, 59 percent of the population in the city of Berkeley was white, 16 percent Asian, 14 percent African-American, 10 percent Hispanic or Latino, and less than one percent American Indian or Pacific Islander.

Lower-income residents are most likely to be focused in the southern and western parts of the city. African American and Latino residents are also disproportionately concentrated in these low-income sections. The remainder of the city, including the high-income "hill" area, is predominantly white.

The Berkeley community demonstrates an exceptional level of support for its public schools. The community approved a parcel tax measure in 1994 by a vote of 83 percent (this measure was originally adopted in 1986 and was re-approved in 1998). The community also supported school bonds in 1992 (71 percent support) and 2000 (84 percent support), and an additional parcel tax for maintenance and safety in 2000 (79 percent support). These votes indicate a willingness by citizens to tax themselves to support school projects and activities. Berkeley citizens provide further financial support for the district through a nonprofit community foundation.

Executive Summary

FCMAT's assessment of the Berkeley Unified School District indicates that the district is having some difficulty meeting basic legal and professional standards. The Berkeley Unified School District board of trustees and administrators must address the findings and recommendations provided in this report thoroughly and systematically. This report lists numerous findings and recommendations in five school district operational areas. The prioritization and redirecting of resources to address these recommendations must be the first order of business for the district.

In addition, there are several broad issues and common themes that are addressed in most or all of the five individual operational area reports. These broader issues and themes are summarized here to provide a more holistic view of the factors affecting many operational areas that have contributed to the ineffective functioning of the district.

- The Berkeley Unified School District is a decentralized organizational system. Whereas decentralization can work for an organization, the system in Berkeley is extreme, with individual schools operating almost autonomously. The district office provides few controls and the schools often resist central office authority and direction. There is a lack of consistent operational procedures and systems. Examples of this include the following: when the district developed the district personnel seniority list, separate seniority lists had to be collected from the sites; individual sites have wanted to determine the architect to be selected for their on-site construction projects rather than have the district manage their facilities needs; community and school site committees have voiced opposition to board and central office “interference” in school operations; curriculum implementation and standards work varies widely from school to school. Working within the culture of the “Berkeley way,” improvement in academic, program or operational areas may be difficult to achieve. However, centralization of district functions is necessary to provide direction and accountability.
- District employees perceive central office administration as “them” and are resistant to change. Principals are often more supportive of their site staffs than district administration. The staff is often not responsive to directions, and more centralization may be met with more resistance. Communication and increased dialogue need to be established. The decision not to fill two vacant Associate Superintendent positions in the district may further weaken the district's leadership team.
- The board lacks a well communicated direction for the district. There appears to be no common goals, objectives or expectations among the board and district leadership. Few written documents are available to guide district operations. Board policies are outdated or nonexistent. The board has initiated the process of updating required policies and administrative regulations. The local community is politically active, and voter turnout is fairly high. The board faces parent and community pressure on many educational issues.
- The district benefits from a high level of community and parent involvement. However, community committees often act authoritatively and do not understand that their role is advisory to the board. Several committees make program and spending decisions that are submitted for board approval. However the committees really expect board concurrence of the committee's decisions.

- The district is noncompliant in a number of program areas. The special education program needs improvement to provide appropriate cost-effective services to students. The program costs are excessive, and students may not always be best served. Excessive numbers of Individualized Education Program (IEP) time lines are noncompliant. A high number of one-to-one instructional assistants are assigned. The centralized assessment team is not effective as presently organized. School Accountability Report Cards are not developed as required.

Some of these issues cannot be remedied in a short period of time, and many of them will require collaboration with community and employee groups. However, the district must continue efforts to resolve these issues to strengthen district operations.

Principal Findings

The full report includes a complete list of the various findings and recommendations for district improvement. Each finding and recommendation addresses the professional and legal standards previously identified in the assessment process. The following is a summary of the general findings and recommendations that are presented in greater detail by study area in Section Two of this report.

The assessment represents data collection and analysis at a specific point in time. The assessment team began work in February 2003 and concluded in May 2003. The formal report is scheduled for presentation to the district in July 2003. The district has been addressing some preliminary findings reported during the course of the assessment and is benefiting by ongoing feedback from the assessment team.

A Fiscal Advisor has been appointed by the Alameda County Office of Education to oversee the district's finances. FCMAT serves as Fiscal Advisor to the district. A financial recovery plan was recently developed by the district, which requires major cuts in expenditures to achieve fiscal solvency.

Community Relations and Governance

The assessment of Community Relations and Governance is based on the belief that strong ties between schools and community are essential to student learning. The community's support and involvement in the schools enhance the district's ability to serve its students by improving staff and student morale, providing additional resources, and ensuring that district programs address the needs of all students.

Communications

The Berkeley Unified School District has not yet developed a comprehensive communications plan, but is beginning to refocus on its communications program with the recent hiring of a Public Information Officer. The development of a communications plan should be accomplished with broad input from board members, the Superintendent, senior administrators and other staff.

The district primarily relies on electronic communications and meetings to inform staff about district activities and issues, however, electronic communications are not easily accessible to all staff. Teachers and classified staff generally feel disconnected from the district office, but feel they receive adequate information about district issues from their principals. Interviewees report that the “Berkeley style” has traditionally been a very decentralized and collaborative one, so there is an expectation that staff at all levels will be highly involved in decision-making. Recently, staff input has been sought on budget issues. Staff members who participate on district and school-site committees and councils also have those avenues to provide input on district issues and operations.

In terms of *external* communications, the district conducts a standard media relations program. The Public Information Officer appears knowledgeable of the needs of the media. Board meetings are broadcast on radio and cable television, however, the district can do more to proactively provide information about board actions and decisions following meetings. Parents and community members receive information through the district’s Web site, e-mail system and E-trees as well as school site and PTA newsletters. Parents generally feel that their local school sites provide them with useful information.

There is concern that the district relies too much on electronic communications methods that are not accessible to large numbers of parents. Also, a district newsletter was not funded this year, and some interviewees expressed concerns regarding the adequacy of translation services for parents and community members who do not speak English. Parents and community members also should be able to receive information directly from the district office and schools upon request. A tremendous number of problems were reported regarding the responsiveness of some district office staff to requests for information or assistance. The customer-service role of the district office staff should receive higher priority and may require related training and/or tracking of responses to requests.

Parent/Community Relations

The district benefits from a comparatively high level of parent and community engagement. Berkeley parents and citizens volunteer directly in the schools and also serve on site- and district-level committees and councils. They demonstrate a deep commitment to their children, play a vital role in raising additional funds for schools, and support additional programs and opportunities for students. The Berkeley community has also repeatedly demonstrated support for its public schools by approving a parcel tax and school facilities bond measures.

There are numerous district and site-level committees and councils that serve in an advisory role, and an opportunity is provided at each board meeting for the public to address the board. At Berkeley Unified, the concern is not about the amount of parent/public input in general, but whether the input is focused on district priorities, whether traditionally disenfranchised parents and community members feel welcome to give input, and whether the board and Superintendent listen and respond to the input. The district and schools make sincere efforts to reach out and be inclusive, but need to do more to reach underrepresented groups.

This district also benefits from a high level of parent/community involvement in school activities at individual school sites. There is a large volunteer base in Berkeley schools; these volunteers play meaningful roles, offer their personal time and energy, and bring a great deal of expertise.

Parents and community members also attend school and classroom functions and help raise funds for school projects. Among the identified barriers to parent/community participation were language barriers, parents' employment, families not living near the school site as a result of school assignment/choice, and occasionally, parents feeling unwelcome or frustrated by their initial encounters with staff or other parent activists.

The lack of visibility of board members and the Superintendent at school sites has been noted as a concern by many staff and parents. The board has recently resumed an "adopt-a-school" program to enhance its presence, but sustained efforts in this area are needed. The district must implement effective and appropriate methods of handling complaints by the public.

Community Collaboratives, District Advisory Committees and School Site Councils

Community groups, local agencies and businesses are highly involved with this district and its schools. Berkeley has a number of organized parent/community groups interested in education, including several that are focused on the educational needs of specific populations of students. The business sector donates funds, materials and time to read with students. The district also has an active education foundation, which raises funds for school and classroom projects and other initiatives such as music programs, capital projects and classroom minigrants. Furthermore, the district and city are working together toward common goals. Representatives of the school board and the city council meet regularly, several specific collaborative projects are underway, and the mayor recently sponsored a forum on education. There is some collaboration with the University of California, but little collaboration with the County of Alameda.

There appears to be a lack of coordination and direction provided by the district to more effectively harness all of these efforts toward specific districtwide goals and student outcomes. Much of the good work currently occurs at or through the school sites, and the programs and projects are not widely known throughout the district. Evaluation processes also should be used to determine the effectiveness and impact of the district's many collaboratives.

District committees study issues, develop recommendations, and have an opportunity to report to the board at each board meeting. Some committees, such as the district-level and site-level BSEP (Berkeley Schools' Excellence Project) committees that are required by a ballot measure, are widely lauded, while other district committees are seen as exceeding their authority and attempting to implement programs. Little training is provided to committee and council members on a regular basis, with the exception of the BSEP committees. The board is currently undergoing a comprehensive review of its committees, examining their composition, charges, and reporting mechanisms. District and school committees and task forces should serve specific roles that are linked to the district's vision and goals, and should receive training and information to assist them in the fulfillment of their responsibilities.

Policy

Board members and staff often cannot locate current district policies, and the district was unable to provide a policy manual for the team. The policies do not serve as a useful resource and guide, and the board's direction is not consistently implemented throughout the district.

The district has recently renewed its efforts to review and update its policies. Board representatives and a consultant are working to make policy recommendations to the board. The

district chose to begin with those policies that are mandated by state or federal law, and nearly all of these were adopted by the board in May 2003.

The district should make a concerted effort to complete the large-scale review of its policies in a timely manner in order to provide consistent direction to staff, students and the public and ensure that the district is complying with current law. It must design an effective policy development process that involves staff, parents and the community as appropriate in order to obtain the buy-in of key stakeholders, while ensuring that the process itself does not become so overwhelming that it discourages progress. In setting priorities for policy review and development, the district should consider focusing on issues most likely to affect student learning and those that will help further the district's progress toward its vision and goals when those are more clearly articulated.

Finally, the board needs to set an example by using and following its own policies. If the board determines that an existing policy no longer meets the district's needs, it should initiate a review and revision of the policy through established procedures rather than waiving or ignoring the policy.

Board Roles/Boardsmanship

Board members have an understanding of their roles and responsibilities, although they have not recently adopted bylaws or policies to formalize this understanding. The board has not participated extensively in continuing education programs, but the district does receive materials and publications on effective governance. The current board president has participated in more extensive governance training.

The board as a whole at times lacks a strong unity of purpose, as each member brings particular priorities to the boardroom. On critical issues such as the recent financial crisis, however, the board has functioned with a high degree of shared purpose. The individual members recognize the different experiences and perspectives that each brings to the team and, even when they strongly disagree on issues, they publicly respect each other's viewpoint and do not try to undermine decisions made by the board majority.

To further strengthen the governing team's effectiveness, the board and Superintendent should formally agree upon their roles and responsibilities, ensuring there is clarity that the superintendent is responsible for all operational aspects of the district. The board must continue to focus on providing overall direction, maintaining structure and stability through policies and ensuring accountability.

The most significant area on which the board should focus is developing a vision and goals for the district. Even difficult deliberations on the budget would be better informed if the board could measure and communicate about choices based on the district's vision and goals. The district has not revisited its central vision or goals in at least five years, and the absence of a focused board direction is felt throughout the schools and community. Involving the community and staff in a process to update the vision and goals would provide a framework to guide all major district activities.

Once the board has provided leadership in adopting a district vision, the Superintendent should regularly report to the board on progress toward the goals and objectives. The Superintendent's

annual evaluation can also become even more meaningful when aligned to a district vision and goals. The Superintendent and board should more regularly reference the vision and goals, and the Superintendent and staff should present reports and information in the context of their relationship to particular goals when communicating to the board and public.

There is a high awareness that an achievement gap exists among students of different races and ethnicities. This is a concern throughout the district and community, but many feel that the board is not providing leadership to address it, and others worry that the severity of recent budget cuts will further stall any serious efforts to actively address it. The board and Superintendent need to initiate a serious districtwide analysis of student achievement using disaggregated data and place a high priority on developing plans and accountability measures to address the achievement gap.

Board Meetings

While the board does not currently have board-adopted bylaws and policies related to board meeting postings and procedures, meetings (both in open and closed session) seem to be conducted in a professional and appropriate manner and are compliant with legal requirements. However, to ensure that board members and the public have access to all Brown Act requirements, the board should adopt relevant bylaws.

The public has ample opportunities to provide input at board meetings, and in fact, the public is often highly engaged at meetings. All regular board meetings are broadcast live on KPFR/FM 89.3 and Cable TV channels 25 and Berkeley Government Access Channel 78, which helps promote greater awareness of and access to board meetings.

Board members appear generally well prepared for meetings and operate with dignity and respect. Board meetings at times can exceed four or more hours in length, and steps can be taken to minimize the amount of time devoted to discussions of topics that are important but peripheral to student achievement.

The review of Community Relations included the assessment of 60 standards of performance related to community relations, including 45 professional standards and 15 legal standards. Of the 60 standards:

- 3 were fully implemented-sustained
- 6 were fully implemented-substantial
- 51 were partially implemented
- None were not implemented.

The average rating of the assessment standards for this operational area was 5.67 on a scale of 10, with 10 the highest score possible.

Personnel Management

The employees of any school district are its most valuable asset. Recruitment, selection, orientation, training, salary, and benefits provided to the work force will contribute greatly to the effectiveness of the organization. The Human Resources Division of the Berkeley Unified School District has the responsibility to provide leadership and manage these essential functions.

The Human Resources Division provides personnel services to approximately 1,622 employees. This figure includes 45 certificated administrators, nine classified administrators, 15 classified supervisors, 1,036 certificated nonmanagement personnel, six classified confidential personnel, and 511 classified nonmanagement personnel.

Until recently, the Human Resources Division was administered by an Associate Superintendent, who reported directly to the Superintendent. The Associate Superintendent of Human Resources was supported by one Director of Classified Personnel, one Manager of Certificated Personnel, and a Supervisor of Risk Management, Workers' Compensation and Benefits. The district's classified employees are served by a merit system. There were 13 full-time equivalent (FTE) employees in the Human Resources Division. At the time of the assessment team's visit, only two employees of the 13 positions in the Human Resources Division had more than two years' experience. The recent resignation and the district's decision not to fill the Associate Superintendent of Human Resources position will further compound the workload and negatively affect division leadership.

There are five recognized unions, or bargaining units, representing employees of the Berkeley Unified School District:

1. Berkeley Federation of Teachers/AFT Local 1078
2. United Berkeley Administrators (UBA) Local 81
3. AFL-CIO Local 39, Stationary Engineers
4. BCCE Local 6192, Clerical/Instructional/Paraprofessional
5. International Federation of Professional and Technical Engineers (IFPTE), AFL-CIO, Local 21, Managers and Supervisors

The assessment report presents a number of findings and recommendations that will challenge this staff.

Communication: External and Internal

The Human Resources Division needs to establish clear expectations for its support staff on the requirement to promptly return e-mail and voice mail messages. The expectations need to establish voice mail as an alternative to be used only when an employee is either away from his/her desk or on another phone line. A menu of services needs to be provided to district and school offices that identifies all Human Resources staff, phone numbers, e-mail address and areas of responsibilities.

The Human Resources Web page needs to be enhanced to provide more information regarding application procedures, salary schedules, benefits and other pertinent job information. The Web page information needs to be kept current. The Human Resources Division should provide an annual report that summarizes the division's activities and accomplishments for appropriate stakeholders.

A process needs to be developed that formalizes cross training in the office. Each workstation needs an assigned and trained backup person. Training for all support staff needs to emphasize the importance and requirement for a customer-service-oriented approach for dealing with staff and applicants.

A new employee handbook needs to be developed. Such a handbook could be used in conjunction with a formalized new employee orientation process.

Recruitment and Selection

The district has not actively recruited new teachers for the past two school years and does not have a certificated recruitment plan. The number of new hires needed for the past two years has been reduced due to certificated layoffs. There are no standard processes or written procedures in place that guide certificated recruitment and selection. Hiring procedures are inconsistent and do not ensure equal employment opportunities. The Human Resources Division should begin to collect data regarding certificated recruitment and selection and prepare an annual report including goals, summary of candidates, employees hired, and successful recruitment sources.

The Human Resources Division's practice of identifying race and sex as a selection criteria for making transfer decisions needs to be reviewed with legal counsel to determine if such a practice is legal.

A proposal to abolish the merit system has gone before the board, but at present, the system is still utilized. The Personnel Commission rules have not been revised since the 1970s and need to be updated to reflect current law and practices. A form, process and training needs to be put in place that ensures reference checks occur for all new hires. Internal written operational procedures need to be developed on the selection process. An annual report needs to be developed for the Personnel Commission that covers all activities of the Classified Personnel Department that fall under the Personnel Commission's purview.

Employee Induction and Orientation

The district provides a one-day orientation for new teachers prior to the opening of school and two additional days during the school year. Induction and information packets are issued to new employees that include payroll and benefit information as well as state and federal mandate requirements regarding reporting suspected child abuse and sexual harassment policies. The district needs to develop a checklist of all state and federal mandates and require employee signatures on the checklist rather than on each individual document. The checklist should be retained in the employee's personnel file.

Operational Procedures

There are no written procedures manuals for the Human Resources Division's operations. Desk manuals for individual workstations are not in place and need to be developed, clearly establishing and outlining the overall functions and assignments for each staff member.

Classified job descriptions are in place, in compliance with the Americans With Disabilities Act (ADA), and current within the past five years. There are no certificated job descriptions, and these need to be developed. Personnel files are not well-organized, often do not contain mandatory materials, and need attention to be legally compliant. The Human Resources

Division has established appropriate forms for requesting leaves and resignations that are easily understood and available to employees. The district has been working on establishing improved communication and processes between Human Resources and Payroll staff to address pay errors and to improve the accuracy of employee data. These efforts should be continued as a priority.

Staff and Federal Compliance

There is no functioning system to review, record and report credentials with accuracy. More training for division staff in the areas of technology and in credential management should be addressed. The district also lacks an effective system of recording and tracking employee tuberculosis tests.

Use of Technology

The Human Resources Division operates an automated substitute calling system, B-Smart, that provides substitutes for all certificated and most classified employees and is utilized to track all employee absences.

The district activated the Quintessential School System (QSS) data system for Human Resources, Payroll, Purchasing and budget in July, 2002. The system has not been utilized by Human Resources for major functions including applicant tracking, credentials, tuberculosis clearance, position control, benefits, leaves of absence, or evaluations. Stand-alone data files and paper processes are used that work around the utilization of the QSS capabilities. Automated position control, activated in October 2002, is administered by the business office. The Human Resources staff is not adequately familiar with QSS to fully implement the Human Resources functions.

Evaluation and Due Process Assistance

Employee evaluation is a high priority of the district. There is a need to update current evaluation information and develop handbooks for classified, certificated and management evaluations. Certificated and classified managers and supervisors received Facts, Rules, Impacts, Suggestions and Knowledge (FRISK) training this year. The Human Resources Division leadership included due process training as a strand of the evaluation training program provided to certificated managers. Training should include the provision of a remediation plan and due process procedures.

Employee Services

There is no formal retirement or preretirement counseling program available where employees may discuss options available for "life after retirement." The district has an Employee Assistance Program (EAP) that provides coverage for employees and their families. The district needs to increase awareness of the program.

New employees are provided information packets that include information outlining the benefits and date of coverage. Employees do not always receive the assistance and detailed explanation of the benefits. There is no formal orientation/ induction program in place for new certificated or classified employees.

There has been a significant reduction of claims during this past year. There was a Workers' Compensation Experience Report completed in 2001. The district needs to develop a Workers' Compensation Experience Report for the current year and present the report to the Superintendent and Cabinet. The district has a modified light duty program that provides injured

workers the opportunity to continue working while they are recovering. This is a valuable program for employees and the district.

Employer/Employee Relations

Collective bargaining in the Berkeley Unified School District encompasses almost all employee classifications. School principals together with district administrators have their own bargaining unit. Classified supervisors comprise another bargaining unit. The Human Resources Division has begun a program of training its administrators, managers and supervisors in the area of contract management. Further expansion of this training is planned and encouraged.

The district has been using comparative salary data from comparable districts to determine salary schedule increases for teachers and administrators. A district health benefits committee is currently in place, however, it could be used more effectively by the district and the employee organizations.

The review of Personnel Management included the assessment of 102 professional and legal standards. Of the 102 standards:

- 3 were fully implemented-sustained
- 8 were fully implemented-substantial
- 81 were partially implemented
- 10 were not implemented.

The average rating of the assessment standards for this operational area was 4.40 on a scale of 10, with 10 the highest score possible.

Pupil Achievement

The assessment of pupil achievement in the Berkeley Unified School District is based on school visits, principal and teacher interviews, and class observations in 10 elementary schools, three middle schools, one comprehensive high school, one continuation school and an adult school. Added to these data are interviews of district staff, analyses of student achievement results, parent comments in community meetings, high school course enrollments, school plans, and other available program descriptions and student data. The review team also studied several hundred pages of policies, documents, workshop materials, and special project plans.

The prevalent impression of the review team was that this district does not write much down and/or does not routinely update and maintain written organizational material, beginning with board policies and regulations that are outdated or missing.

School Autonomy

The district operates as a very loosely organized system where many of the significant teaching and learning decisions reside with the local principals and teaching staffs. These decisions include those of standards implementation, assessment and data analyses, school improvement planning, professional development, parent communication and involvement, and student support programs. Many of the important district functions of planning for and implementing

standards and programs as well as providing staff development for principals and teachers are not written down and are not being implemented or evaluated in a systematic manner. Thus, principals and teachers talk about the standards work in which they are involved, but this work varies widely from school to school. More importantly, there is little evidence that standards are explicitly implemented in classroom lessons where it counts the most. This type of loose organization is described as “the Berkeley way.” Staff responsibilities and accountability for outcomes are thus difficult to pin down.

Until recently, the Educational Services Division was administered by an Associate Superintendent, who reported directly to the Superintendent, but the position is vacant at this time. The division also includes two directors, four program managers, and 24 other staff members. Their work centers on organizing and providing information that supports school-level efforts and responding to principals’ requests. The area of the Educational Services Division that provides the most explicit direction to schools is the office that manages the state and federal programs. Most of the district’s written documents, including school plans, which are systematically developed, emanate from this office. On the other hand, special education, which is also a function of this division, has been seriously undersupervised and is out of compliance with many state and federal mandates. Not only are students and parents not well served in many cases, but the program is encroaching approximately \$9 million on the general fund. The student services area, which should be systematically managing and improving the district’s attendance and behavioral issues, has been hamstrung by the school sites’ independent “ways of doing things.”

Lack of Written Directions

The chief means of communication and articulation of purpose between the district administrative staff and the school principals include the school planning process, which is based on student achievement data as well as other school program requirements, and weekly principals’ meetings, one of which each month is focused on curriculum and instructional issues. These meetings are structured so that some monthly meetings include K-12 principals and others K-6 and 7-12 principals. While principals like the autonomy to make decisions about their schools, several acknowledge that their efforts to carry out needed reforms could be more effective with greater district focus, direction, and systematic support.

A major theme in the findings and recommendations is the need for the district Educational Services Division to develop written plans to implement important teaching and learning programs, particularly standards-based curriculum. Written plans ensure equal access to high quality teaching and learning for all of the district’s teachers and students. Written expectations and plans are also the basic building blocks of accountability systems.

Providing Equal Access

A cursory look at the district’s schools and student achievement results provide an enviable picture. Based on the schoolwide Academic Performance Index data, the district’s schools are performing above the state average.

However, disaggregated student data tell a different story. While white students’ average performance on mandated assessments are among the highest in the state, there is a consistent gap of approximately 35 percentile points (on the norm referenced test) between the performances of African-American and Hispanic students and white students that starts in early grades and holds steady until ninth grade when it increases.

These data are not new to Berkeley staff. The learning gap is discussed often and with concern. It is the subject of news articles, an element of the high school's difficult accreditation process, the target of myriad intervention programs that treat the symptoms, and the worry of some Berkeley parents who feel that their youngsters may not get the best learning opportunities. Thus, another major theme of the findings and recommendations is that of improving access for all students to high quality teaching and learning experiences.

This report of findings and recommendations emphasizes the following areas as critical to improving pupil achievement in the Berkeley schools:

- Clear, written board direction are needed, including long-term goals or priorities that are reviewed and updated annually as well as updated policy and administrative regulations for the student and curriculum areas.
- Clear, written curriculum and instructional expectations are needed from the district's educational services division, including guides for standards implementation and teacher professional development in standards-based teaching along with a matrix of the services and resources all schools will receive and what they will in turn provide students.
- Compliance with special education laws and regulations is needed, as well as regular updates of the consolidated areas to ascertain that these programs are helping students achieve the standards to the greatest degree possible, and a systematic approach to the district's attendance and behavioral issues formulated on the Education Code and a well-maintained database.
- A rigorous, research-based plan with implementation strategies and time lines is needed to address the learning gap in the district, one that is based on both student data and organizational assessment data and that gets to the underlying causes of underachievement, particularly of African-American and Hispanic students and students of low socioeconomic status in the district's schools.

Most of the staff interviewed and observed clearly care about student achievement, and are interested in improvements that will help students. By working together in a more focused and systematic way, the district can become a powerful team.

The FCMAT standards for Pupil Achievement are organized and presented under the following functional areas: Planning processes, Curriculum, Instructional strategies, Assessment and Accountability, and Professional development. The review of Pupil Achievement included the assessment of 79 professional and legal standards. Of the 79 standards:

- 1 was fully implemented-sustained
- 6 were fully implemented-substantial
- 68 were partially implemented
- 3 were not implemented
- 1 was not applicable.

The average rating of the assessment standards for this operational area was 4.30 on a scale of 10, with 10 the highest score possible.

Financial Management

Background

On September 28, 2001, the Alameda County Office of Education disapproved the district's 2001-2002 budget. In October 2001, FCMAT was assigned as Fiscal Advisor to the district by the county office, and continues in that capacity. In the 2001-2002 fiscal year, FCMAT completed the first-, second- and third-interim reports for the district, with negative certifications. The county office concurred with the district's negative certifications for the 2001-2002 fiscal year.

Again, on September 17, 2002, the county office disapproved the district's adopted budget for the 2002-2003 fiscal year. The budget document was prepared by FCMAT due to vacancies in the district's business office. The 2002-2003 budget included approximately \$8 million in district-approved budget cuts to address deficit spending. District staff prepared the first-, second- and third-interim reports during the 2002-2003 fiscal year. All three interim reports for the 2002-2003 were submitted with negative certification.

The district prepared a financial recovery plan, approved by the Governing Board on February 19, 2003. According to the plan, \$8 million in budget cuts would occur during the 2003-2004 fiscal year.

Based on the 2002-2003 third interim report dated May 2003, the general fund unrestricted fund has a deficit of \$4.4 million. Adjusting for the beginning fund balance, revolving cash and stores, and the designation for economic uncertainties, the ending fund balance is a negative \$3.2 million. This negative balance does not take into account the negative fund balance in the food services fund of negative \$645,165.

The preliminary budget for 2003-2004 indicates that the ending fund balance will have a negative balance of \$5.8 million, again without including the contribution that will need to be made to the food services program. The district must continue its recovery plan to make necessary cuts in expenditures and eliminate deficit spending so that the ending balance can be fully reinstated.

Financial Management Assessment

The review of the district's financial management included 22 specific financial areas that focus on managing the district's fiscal resources to overcome the district's current fiscal crisis, eliminate deficit spending and reinstate the district's required state reserve for economic uncertainty. The assessment of the district's financial management and operations is intended to support the board, administration and staff as the district works through its fiscal crisis.

The 22 specific financial areas reviewed during the assessment process included:

1. Internal Control Environment (8 standards)
2. Inter- and Intra-Departmental Communications (4 standards)
3. Staff Professional Development (2 standards)
4. Internal Audit (4 standards)
5. Budget Development Process: Policy (7 standards)
6. Budget Development Process: Technical (3 standards)
7. Budget Adoption, Reporting, and Audits (11 standards)

8. Budget Monitoring (7 standards)
9. Budget Communications (2 standards)
10. Investments (1 standard)
11. Attendance Accounting (9 standards)
12. Accounting, Purchasing, and Warehousing (10 standards)
13. Student Body Funds (5 standards)
14. Multi-Year Financial Projections (3 standards)
15. Long-Term Debt Obligations (3 standards)
16. Impact of Collective Bargaining Agreements (2 standards)
17. Management Information Systems (9 standards)
18. Maintenance and Operations Fiscal Controls (9 standards)
19. Food Service Fiscal Controls (2 standards)
20. Charter Schools (1 standard)
21. State Mandated Costs (1 standard)
22. Special Education (1 standard)

The review of financial management included the assessment of 104 professional and legal standards. Of the 104 standards:

- None were fully implemented-sustained
- 9 were fully implemented-substantial
- 84 were partially implemented
- 11 were not implemented.

The average rating of the assessment standards for this operational area was 3.08 on a scale of 10, with 10 the highest score possible.

Facilities Management

Board Policies

Most of the Board policies examined were deficient, either because they were many years out of date or because the particular topic in which the team was interested was not included in policy. The district has initiated an aggressive program to update board policies, and several of the policies dealing with facilities issues were updated and adopted during the period of the team's review. This assessment should be helpful in completing the update of district policies.

School Safety and Security

Several concerns related to school safety surfaced during the review. Areas designated for loading and unloading of students were often ignored by parents, and school staff did not address the issues. Unsupervised adults were observed on campus and were not challenged by school site staff. There is poor campus control and adult supervision.

Hallway and outside security lighting was a problem at many sites. Several fire hazards were observed at the sites such as uncertified fire extinguishers and the absence of an employee safety training program. Safety plans were not available at all school sites. Fire drills were not conducted or recorded properly at school sites. Boiler inspection and maintenance was not properly documented.

Absence of a board policy on fingerprinting of classified employees, required by law, creates a huge amount of exposure for the district. Control, inventory and safety issues related to classroom and custodial chemicals were also very evident.

Facility Planning

The district does not have a long-range facilities master plan and lack of such a plan can lead to other planning and staffing difficulties. The district does extremely well in funding and constructing projects. It was evident that bond monies are coupled with aggressive efforts to capture state funding and that there is good oversight of the construction of individual projects.

However, the district does not collect developer fees for which it is likely eligible now and in the future. The district cannot afford to overlook this source of funding. By the same token, more could be done with the district's asset management plan for facilities.

Energy Management

Energy consumption in the district can be better managed, particularly for heating and air conditioning systems. Some upgrades are being performed as part of modernization or other construction, but many facilities could offer savings now. The district should create an energy management policy and an aggressive program for lower energy consumption and costs.

Class-Size Reduction Facilities

Implementation of the state-funded K-3 class-size reduction program imposed huge facilities obligations on the district. Berkeley Unified has done an unusually good job of providing appropriate classrooms for those students.

Community Use of Facilities

There is extensive community use of district facilities, but neither the Business Department nor the Facilities Departments appear to want to administer this area. The area is not appropriately organized or staffed and is rife with internal control problems.

District Operations Building

The district operations building on Oregon Street is rundown, unsightly, and in need of major restoration if it is to continue to house district functions, particularly those that serve the public. There is some discussion about the future of the building and its site, and it seems that repairs have been put in abeyance until resolution of that issue. In the meantime, several district customer service functions operate out of a building that is unsightly from the outside and much worse on the inside. The district should decide what to do with the building.

District Technology Plan

The district has a good plan for incorporating technology in the instructional program. The plan, however, lacks an identifiable funding source. Therefore, expectations for technology are tied to the efforts of individual schools to raise money for this purpose. Expectations for progress in this area are understandably low in the current funding environment.

The review of facilities management included the assessment of 111 professional and legal standards. Of the 111 standards:

- 17 were fully implemented-sustained
- 22 were fully implemented-substantial
- 63 were partially implemented
- 9 were not implemented.

The average rating of the assessment standards for this operational area was 5.75 on a scale of 10, with 10 the highest score possible.

Priorities for Six-month Progress Review

Community Relations

- 1.1 The district has developed a comprehensive plan for internal and external communications, including media relations.
- 1.2 Information is communicated to the staff at all levels in an effective and timely manner.
- 1.3 The staff's input into school and district operations is encouraged.
- 1.5 Media contacts and spokespersons who have the authority to speak on behalf of the district have been identified.
- 2.2 A school accountability report card is issued annually for each school site (EC 35256).
- 2.6 Parents and community members are encouraged to be involved in school activities and in their children's education.
- 2.9 The district has established procedures for visitor registration and posts registration requirements at each school entrance. (Penal Code 627.2, 627.6)
- 3.4 Community collaboratives and district and school advisory councils all have identified specific outcomes goals that are understood by all members.
- 3.5 The membership of community collaboratives and district and school advisory councils reflects the full cultural, ethnic, gender and socioeconomic diversity of the student population.
- 4.1 Policies are written, organized and readily available to all members of the staff and to the public.
- 4.2 Policies and administrative regulations are up to date and reflect current law and local needs.
- 4.5 The district has established a system of securing staff and citizen input in policy development and review.
- 5.5 The board has established a districtwide vision/mission and uses that vision/mission as a framework for district action.
- 5.6 The board makes decisions based on the study of all available data, including the recommendations of the Superintendent.
- 5.15 The board evaluates the performance of the Superintendent regularly on criteria that will encourage student achievement.
- 5.16 The board acts for the community and in the interests of all students in the district.
- 6.4 Board meetings are conducted according to a set of bylaws adopted by the board.

Personnel Management

- 1.6 Individual staff members have developed goals and objectives in their areas of responsibility and a personal professional development plan.
- 2.2 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.
- 2.3 The Personnel Division provides an annual report of activities and services provided during the year.
- 3.2 Employment procedures and practices are conducted in a manner that ensures equal employment opportunities. Written hiring procedures are provided.
- 3.11 The district is preparing to address new federal regulations as they relate to the No Child Left Behind Act.

- 3.12 The district systematically initiates and follows up on reference checking on all applicants being considered for employment.
- 4.5 The district systematically initiates and follows up on all applicants being considered for employment.
- 5.1 Initial orientation is provided for all new staff.
- 6.2 Personnel Division nonmanagement staff members have individual desk manuals for all of the personnel functions for which they are held responsible.
- 6.3 The Personnel Division has an operation procedures manual for internal department use in order to establish consistent application of personnel actions.
- 6.6 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.
- 6.9 Personnel staff members attend training sessions/workshops to keep abreast of the most current acceptable practices and requirements facing personnel administrators.
- 7.2 The Governing Board requires every employee to present evidence of freedom from tuberculosis as required by state law (EC 44839, 49406).
- 9.5 The district provides training for all management and supervisory staff responsible for employee evaluations.
- 10.4 The Personnel Division provides a process for the monitoring of employee evaluations and the accountability reporting of their completion.
- 10.5 The Personnel Division has developed an evaluation handbook for management and supervisory training.
- 10.6 The Personnel Division has developed due process training for managers and supervisors.
- 11.1 The Personnel Division has developed a program for retirement counseling, including: STRS counseling, PERS counseling, and “life after retirement.”
- 11.8 The district’s Workers’ Compensation experiences and activities are reported periodically to the superintendent’s cabinet.
- 12.6 The Personnel Division provides clearly defined forms and procedures in the handling of grievances for its managers and supervisors.

Pupil Achievement

- 1.1 A common vision of what all students should know and be able to do exists and is put into practice.
- 1.3 The district has long-term goals and plans to support student achievement improvements.
- 2.1 The district through its adopted policy provides a clear operational framework for management of the curriculum.
- 2.2 An instructional system is in place that focuses on students as the primary clients and that includes integrated, clearly expressed policies and regulations to govern the curriculum.
- 2.3 A process is in place to maintain alignment between standards, practices and assessments.
- 2.5 The district has clear and valid objectives for students, including the core curriculum content.
- 2.6 The Governing Board has adopted and the district is implementing the California state standards and assessments.
- 3.1 The district provides equal access to educational opportunities to all students regardless of race, gender, socioeconomic standing, and other factors (EC 51007).
- 3.2 Challenging learning goals and instructional plans and programs for all students are evident.

- 3.3 Programs and plans for students with special needs are designed with access to the state standards and core curriculum as a foundation.
- 3.4 Expectations and a practice exist to improve the preparation of students and to build a school structure with the capacity to serve all students.
- 3.6 Students are engaged in learning, and they are able to demonstrate and apply their knowledge and skills.
- 3.7 The district and school staffs promote and communicate high expectations for the learning and behavior of all students.
- 3.8 The district and school sites actively encourage parental involvement in their children's education (examples of programs EC 51100-51143).
- 3.21 The identification and placement of special education students into appropriate courses is conducted in a timely and effective manner.
- 3.22 Individual education plans are reviewed and updated on time.
- 3.23 Curriculum and instruction for special education students is rigorous and appropriate to meet special education students' learning needs.
- 3.24 Programs for special education students meet the least restrictive environment provision of the law and the quality criteria and goals set forth by the California Department of Education.
- 4.1 The district has developed content and learning standards for all subject areas and grades that are understood and followed by school site staff.
- 4.7 The district shall be accountable for student results by using evaluative information regarding the various levels of proficiency and allocating educational resources to ensure a maximum educational opportunity is provided for all students.
- 5.1 Staff development demonstrates a clear understanding of purpose, written goals, and appropriate evaluations.

Financial Management

- 2.1 The business and operational departments should communicate regularly with internal staff and all user departments on their responsibilities for accounting procedures and internal controls. The communications should be written whenever possible, particularly when it (1) affects many staff or user groups, (2) is an issue of high importance, or (3) when the communication reflects a change in procedures. Procedures manuals are necessary to the communication of responsibilities. The departments also should be responsive to user department needs, thus encouraging a free exchange of information between the two (excluding items of a confidential nature).
- 3.2 Develop and use a professional development plan for the in-service training of school site/department staff by business staff on relevant business procedures and internal controls. The development of the plan should include the input of the business office and the school sites/departments and be updated annually.
- 5.7 The district must have an ability to accurately reflect its net ending balance throughout the budget monitoring process. The first and second interim reports should provide valid updates of the district's net ending balance. The district should have tools and processes that ensure that there is an early warning of any discrepancies between the budget projections and actual revenues or expenditures.

- 7.2 Revisions to expenditures based on the State Budget should be considered and adopted by the governing board. Not later than 45 days after the governor signs the annual Budget Act, the district shall make available for public review any revisions in revenues and expenditures that it has made to its budget to reflect funding available by that Budget Act. [EC 42127(2) and 42127(i)(4)]
- 7.3 The district should have procedures that provide for the development and submission of a district budget and interim reports that adhere to criteria and standards and are approved by the county office of education.
- 7.4 The district should complete and file its interim budget reports within the statutory deadlines established by Education Code Section 42130, et. seq.
- 7.5 The district must comply with Governmental Accounting Standard No. 34 (GASB 34) for the period ending June 30, 2003. GASB 34 requires the district to develop policies and procedures and report in the annual financial reports on the modified accrual basis of accounting and the accrual basis of accounting.
- 7.11 Education Code Section 41020(c) (d) (e) (g) establishes procedures for local agency audit obligations and standards. Pursuant to Education Code Section 41020(h), the district should submit to the county superintendent of schools in the county that the district resides, the State Department of Education, and the State Controller's Office an audit report for the preceding fiscal year. This report must be submitted "no later than December 15."
- 8.2 There should be budget monitoring controls, such as periodic reports, to alert department and site managers of the potential for overexpenditure of budgeted amounts. Revenue and expenditures should be forecast and verified monthly.
- 8.4 Budget revisions are made on a regular basis and occur per established procedures and are approved by the board of education.
- 8.5 The district uses an effective position control system, which tracks personnel allocations and expenditures. The position control system effectively establishes checks and balances between personnel decisions and budgeted appropriations.
- 8.7 The district should be monitoring the site reports of revenues and expenditures provided.
- 10.1 The governing board must review and approve, at a public meeting and on a quarterly basis, the district's investment policy. [GC 53646]
- 11.1 An accurate record of daily enrollment and attendance is maintained at the sites and reconciled monthly.
- 11.7 School site personnel should receive periodic and timely training on the district's attendance procedures, system procedures and changes in laws and regulations.
- 12.2 The district should timely and accurately record all information regarding financial activity (unrestricted and restricted) for all programs. Generally Accepted Accounting Principles (GAAP) require that in order for financial reporting to serve the needs of the users, it must be reliable and timely. Therefore, the timely and accurate recording of the underlying transactions (revenue and expenditures) is an essential function of the district's financial management.
- 12.3 The district should forecast its revenue and expenditures and verify those projections on a monthly basis in order to adequately manage its cash. In addition, the district should reconcile its cash to bank statements and reports from the county treasurer reports on a monthly basis. Standard accounting practice dictates that, in order to ensure that all cash receipts are deposited timely and recorded properly, cash be reconciled to bank statements on a monthly basis.

- 17.8 Administrative system users should be adequately trained in the use of administrative systems and should receive periodic training updates to ensure that they remain aware of system changes and capabilities.
- 17.9 Business office computers, computer screens, operating systems, and software applications used for administrative system access should be kept up to date.

Facilities Management

- 1.3 The district should be able to demonstrate that a plan of security has been developed, which includes adequate measures of safety and protection of people and property. [EC 32020, 32211, 35294-35294.9]
- 1.4 The district should ensure that the custodial and maintenance staff are regularly informed of restrictions pertaining to the storage and disposal of flammable or toxic materials. [EC 49341, 49401.5, 49411, F&AC 12981, H&SC 25163, 25500-25520, LC 6360-6363, CCR Title 8 §5194]
- 1.6 Bus loading and unloading areas, delivery areas, and parking and parent loading/unloading areas are monitored on a regular basis to ensure the safety of the students, staff and community. Students, employees and the public should feel safe at all times on school premises.
- 1.21 All asbestos inspection and asbestos work completed in the US is performed by Asbestos Hazard Emergency Response Act (AHERA) accredited individuals. [EC 49410.5, 40 CFR Part 763]
- 1.23 Safe work practices exist with regard to boiler and fired pressure vessels. [CCR Title 8 §782]
- 1.25 The district maintains a comprehensive employee safety program. Employees are made aware of the district safety program and the district provides in-service training to employees on the requirements of the safety program.
- 2.1 The district should have a long-range school facilities master plan.
- 3.6 The district has established and maintains a system for tracking the progress of individual projects.
- 4.3 The district maintains appropriate project records and drawings.
- 5.3 The district maintains files of conflict-of-interest statements and complies with legal requirements. Conflict of interest statements should be collected annually and kept on file.
- 6.1 The district complies with California Department of Education (CDE) requirements relative to the provision of Special Education facilities.
- 6.2 The district provides facilities for its special education programs that ensure equity with other educational programs within the district and provide appropriate learning environments in relation to educational program needs.
- 6.3 The district provides facilities for its special education programs that provide appropriate learning environments in relation to educational program needs.
- 8.1 An energy conservation policy should be approved by the board of education and implemented throughout the district.
- 8.2 The district should create and maintain a system to track utility costs and consumption and to report on the success of the district's energy program.
- 8.3 An energy analysis should be completed for each site.
- 8.6 Procedures are in place for evaluating the work quality of maintenance and operations staff. The quality of the work performed by the maintenance and operations staff should be evaluated on a regular basis using a board-adopted procedure that delineates the areas of evaluation and the types of work to be evaluated.

- 8.11 The district has implemented a planned program maintenance system. The district should have a written planned program maintenance system that includes an inventory of all facilities and equipment that will require maintenance and replacement. This program should include purchase prices, anticipated life expectancies, anticipated replacement timelines and budgetary resources necessary to maintain the facilities.
- 10.3 Districts should maintain comprehensive records and controls on civic center implementation and cash management.