



**FCMAT**

FISCAL CRISIS & MANAGEMENT  
ASSISTANCE TEAM

CSIS California School Information Services

# ***Consultant Handbook***

*A Guide to Working with the Fiscal Crisis and Management Assistance Team*

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## **Consultant Protocol**

## ***FCMAT Consultant Protocol***

The Fiscal Crisis and Management Assistance Team (FCMAT) is an independent agency supported by the State of California. Our mission is to provide financial, instructional, and management advisory services to local districts, charter schools, community colleges and county offices of education throughout the state. To accomplish this mission, FCMAT utilizes public and private professional consultants who are not full time FCMAT employees. As one of those professional consultants, you should be aware of the following protocols:

### **FCMAT is independent and impartial.**

FCMAT consultants must be independent in fact, attitude, and appearance during FCMAT engagements. FCMAT consultants should avoid participating in engagements where family, business, or personal relationships or financial interests preclude the consultant from being independent in fact or appearance. During a study engagement, FCMAT consultants should not seek additional work from clients separate from the current engagement unless subsequently independently solicited by the district or county office of education (COE). FCMAT consultants should also avoid recommending the services or products of specific vendors.

FCMAT is not an enforcement agency, and in most cases, is not responsible for statutory oversight. As such, FCMAT expects consultants to make clients feel as comfortable as possible with both the routine and detail of our involvement with them. Consultants need to take care not to express opinions or comment on findings or recommendations during the course of our fieldwork to anyone other than team members.

### **The Study Agreement outlines the scope and objectives of the team's assignment.**

FCMAT consultants need to be familiar with the scope and objectives of the engagement as stated in the Study Agreement. The Study Agreement details the focus of the work to be performed. Consultants should not alter the scope and objectives identified in the Study Agreement without approval from the team leader. If the scope changes during the course of the review, the Study Agreement will be amended by the leader, and those details will be provided to each team member.

### **FCMAT consultants should obtain sufficient evidential matter to support their findings and recommendations. The evidence should be gathered through inquiry, observation, interview, documentation, recalculation and other confirmation.**

FCMAT consultants are neutral parties who collect data. As such, the maintenance and preservation of your working papers and documents are very important. All notes should be clear, concise, dated, and initialed by you. They should include the names of persons interviewed or observed. All working papers and documents should be purposeful and understandable. Each should clearly indicate its sources, the purpose for its preparation, the procedures performed in its preparation, and any conclusions determined.

The notes and working papers created by you will be utilized in the development of your written report. At the conclusion of the fieldwork and within fourteen days you are required to submit your written report to the team lead along with any other written information requested. At a minimum that should include:

- All supporting documentation that is to be included in the draft report
- A brief written analysis of each area of responsibility detailing your findings, conclusions, and recommendations. The findings and recommendations should be supported by evidential matter in your working papers.

Complete and accurate findings and recommendations prepared by each consultant are critical to the development of the final report. We have attached sample documents illustrating the format, typical content and structure of FCMAT reports. The FCMAT writing team will compile the final report. The quality and content of the report is determined by the information that is provided by individual consultants. Your analysis, findings and recommendations should be submitted to FCMAT in an electronically processed format, preferably Microsoft Word. Your report should be downloaded into the Job Management System (JMS). FCMAT requests consultants to submit their information to the team lead within fourteen calendar days after the completion of the fieldwork.

**Information should be released only by the team lead or the FCMAT staff member managing the project.**

Consultants should not make independent recommendations separate from the team. No findings or recommendations should be released to anyone before the team has reviewed them and collectively agreed upon the content and/or directions of the recommendations.

The final FCMAT report will not be released prior to its formal presentation to the requesting agency. Prior to the final report, a draft report is submitted to the client for review. The draft report is not a public document and is also not released. Questions from the media, legislators, etc. should be directed to either the team leader or the FCMAT staff member assigned to the project.

**Professional consultants have a contractual relationship with the Fiscal Crisis and Management Assistance Team.**

Consultants do not work for or represent their employer while conducting the study. Nor do the consultants represent the state, county or district while working for FCMAT.

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Signature \_\_\_\_\_ Date \_\_\_\_\_

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Print Name \_\_\_\_\_

### ***Fingerprinting***

Education Code section 45125.1 provides that any contractor providing administrative services to a school district must certify that its employees providing that service who may come into contact with pupils have not been convicted of a serious or violent felony as defined by law. Those employees must be fingerprinted and the Department of Justice must report to the contractor if they have been convicted of such felonies. No person so convicted may be assigned to work under the contract. The school district may determine, under the totality of circumstances including,

- the length of time the employees will be on school grounds,
- whether pupils will be in proximity of the site where the employees will be working, and
- whether the contractors will be working alone or with others that the employees will have only limited contact with pupils and neither fingerprinting nor certification is required.

FCMAT has determined that section 45125.1 is applicable to this contract. FCMAT has also determined that the employees assigned to work under this contract will have only limited contact with pupils, provided the following conditions are met at all times:

1. Contractor employees shall not come into contact with pupils or work in the proximity of pupils at any time except under the direct supervision of school district employees.
2. Contractor employees shall use only restroom facilities reserved for district employees and shall not use student restrooms at any time.
3. Contractor will inform all of its employees who perform work at any school or district site of these conditions and require its employees, as a condition of employment, to adhere to them.
4. Contractor will immediately report to the school district and to FCMAT any apparent violation of these conditions.
5. Contractor shall assume responsibility for enforcement of these conditions at all times during the term of this agreement.

Failure of the Contractor to adhere to these conditions shall result in immediate termination of this agreement.

If, for any reason, Contractor cannot adhere to the conditions stated above, Contractor shall so inform FCMAT and shall assign only those employees who have been fingerprinted and cleared for employment by the Department of Justice. In that case, Contractor shall provide to the school district and FCMAT the names of all employees assigned to perform work under this agreement.

_____ Signature	_____ Date	_____ Print Name
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# **Agreement for Professional Services (Consultant Contract)**

### ***Consultant Requirements and Contract Procedures***

All consultants must wear ID badges when conducting fieldwork. A new consultant or contractor should send a recent photo (head and shoulders) and a signature (in black ink) for the FCMAT badge to the FCMAT – Secretary I.

FCMAT badges are mailed with the professional services agreement or services agreement to the lead consultant. Upon completion of fieldwork, consultants need to return FCMAT badges to their lead consultant.

For a new individual consultant, FCMAT will also need a current resume, two letters of recommendation and a writing sample. New consultants must also send a business tax ID number and or a completed W-9 form to FCMAT to process the professional services agreement.

Once FCMAT receives a signed study agreement from the county, district office or charter school, a professional services agreement (consultant contract) will be issued to each consultant assigned to the job. FCMAT's practice is to send all contracts electronically; however, a hard copy may be sent to the consultant by request only. Consultants must contact their lead consultant if they need to request a hard copy. The consultant is responsible for signing/dating (blue ink) the contract and returning it to FCMAT prior to the start of the contract date. A copy of the signed contract is to be faxed/mailed to Secretary I, Amanda Aguirre, prior to returning the original contract to FCMAT. Amanda may be contacted by e-mail at [aaguirre@fcmat.org](mailto:aaguirre@fcmat.org) and/or by fax at (661) 636-4647.

It is imperative that the signed contract be returned to FCMAT prior to the first date of the contract. If the contract is not received by the start date of the contract, it will be cancelled by the KCSOS business office. As a result, the consultant will not be able to start any fieldwork or report writing until another contract is issued with a deferred start date.

# Professional Services Agreement *SAMPLE*

Vendor #:

**OFFICE OF CHRISTINE LIZARDI FRAZIER**  
**KERN COUNTY SUPERINTENDENT OF SCHOOLS**  
*Advocates for Children*

Contract No:

**FCMAT AGREEMENT FOR PROFESSIONAL SERVICES**

Enter School District

This Agreement for Professional Services ("Agreement") is between THE KERN COUNTY SUPERINTENDENT OF SCHOOLS, as administrative agent for the Fiscal Crisis and Management Assistance Team ("Superintendent"), and the party whose legal name and status are described in the signature block below ("Contractor").

**RECITALS**

A. Superintendent is the administrative agent for the Fiscal Crisis and Management Assistance Team ("FCMAT"), a unit established by the California Legislature pursuant to Education Code section 42127.8. As needed, FCMAT requires special services and advice in financial, economic, accounting, engineering, legal or administrative matters from persons specially trained and experienced and competent to provide such services.

B. Contractor is specially trained and experienced and competent to provide the specialized services required under this Agreement. This Agreement is intended to be the written agreement between the parties related to the services and/or products to be provided during the referenced term relating to the educational entity referenced in the title.

**TERMS**

Based upon the Recitals and the promises exchanged by the parties in this Agreement, the parties agree as follows:

1. Scope of Services. The nature and scope of services under this Agreement are set forth in Attachment A and are incorporated by reference into this Agreement. Contractor shall not furnish additional services beyond those specified in Attachment A for additional compensation without a prior written modification of the Agreement signed by both parties. Unless otherwise specified in this Agreement, final written reports are due within 14 days after completion of site fieldwork.

2. Term. The initial term of this Agreement shall begin effective \_\_\_\_\_ and shall end on \_\_\_\_\_  
Extension or renewal shall require the approval of Superintendent.

3. Price. Contractor shall provide all labor, equipment, materials, and supplies to furnish the services called for under this Agreement in exchange for payment in the amount of:

Rate: **\$0.00**      **Select Fee Type**

Contractor shall be paid for services satisfactorily rendered based upon invoices submitted no less frequently than monthly, detailing the dates and nature of the services provided. Amounts billed per hour or day may include on-site field work, travel time to and from the job site and preparation and review of written reports.

☐ If this box is checked, Superintendent will also reimburse Contractor for the following actual, reasonable and necessary related expenses, which Contractor shall certify to Superintendent and submit along with receipts: lodging, car rental, bus or train fare, airfare if travel is over 125 miles and transportation to and from the site and street parking. Lodging costs should not exceed amounts reasonable for the job site area. Itemized meal receipts are required and reimbursement for Contractor meals only will be at the lesser of actual costs or \$50 per day. Reported mileage is reimbursed at the current IRS rate.

The total amount payable to Contractor under this Agreement shall not exceed:

4. Additional Provisions. The attached additional provisions are part of the Agreement and fully incorporated by reference.

**CONTRACTOR**

**CHRISTINE LIZARDI FRAZIER**  
**KERN COUNTY SUPERINTENDENT OF SCHOOLS**

By: \_\_\_\_\_ Date: \_\_\_\_\_

By:

By:

Name:

**Signatory Name: Mary L. Simms**  
**Title: Director, Internal Business Services**  
**1300 17th St., Bakersfield, CA 93301**

Address:

Account Number(s):

City: \_\_\_\_\_ State: California

1. \_\_\_\_\_ Amt: **\$0.00**

Zip Code:

2. \_\_\_\_\_ Amt: \_\_\_\_\_

Social Security Number:

3. \_\_\_\_\_ Amt: \_\_\_\_\_

(for EDD Reporting Purposes Only)

4. \_\_\_\_\_ Amt: \_\_\_\_\_

## ADDITIONAL PROVISIONS OF THIS AGREEMENT

5. Indemnification. Contractor agrees to defend, hold harmless, and indemnify Superintendent (and Superintendent's officers, employees, trustees, agents, successors, and assigns) against all claims, suits, expenses (including reasonable attorney's fees), losses, penalties, fines, costs, and liability whether in contract, tort, or strict liability (including but not limited to personal injury, death at any time, and property damage) arising out of or made necessary by (A) Contractor's breach of the terms of this Agreement, and (B) the act or omission of Contractor, its employees, officers, agents, and assigns in connection with performance of this Agreement.

6. Insurance Requirements. Contractor shall maintain automobile insurance coverage in the minimum amounts required by law and shall provide proof of coverage upon request.

7. Status of Parties. The parties agree that in performing the services specified in this Agreement, Contractor shall act as an independent contractor. Except as specified in this Agreement, Contractor shall determine the means and methods for carrying out the work to achieve the result required by Superintendent. Contractor shall be free to contract for similar services to be performed while under contract with Superintendent; provided that Contractor will not accept such engagements which interfere with performance under this Agreement. Contractor is not entitled to participate in any pension plan, insurance, bonus, or similar benefits Superintendent provides for its employees.

Any employees or assistants retained by Contractor shall be the responsibility of Contractor and not of Superintendent. Contractor shall determine the hours during which the services shall be performed and the sequence of tasks, subject to the reasonable business needs of Superintendent.

8. Termination. Superintendent may terminate this Agreement at any time on 15 days' prior written notice to Contractor. In addition, either party may terminate the Agreement in the event the other party commits a material breach of its terms which is not cured after written notice of the breach. A material breach on the part of Contractor includes, but is not limited to, the unlawful harassment of any person on Superintendent's premises or otherwise in connection with this Agreement, and the failure to comply with any confidentiality requirements in this Agreement and failure to submit a final written report within 14 days or in a time line identified by the FCMAT team leader.

### 9. Miscellaneous Provisions.

A. Entire Agreement/Amendment. This Agreement, including any exhibits or schedules to which it refers, constitutes the final, complete, and exclusive statement of the terms of agreement between the parties pertaining to the subject matter of the agreement. It supersedes all prior and contemporaneous understandings or agreements of the parties. No party has been induced to enter into this Agreement by, nor is any party relying on, any representation or warranty outside those expressly set forth in this Agreement. The provisions of this Agreement may be modified only by mutual agreement of the parties. No modification shall be binding unless it is in writing and signed by the party against whom enforcement of the modification is sought.

B. Waiver. Any of the terms or conditions of this Agreement may be waived at any time by the party entitled to the benefit of the term or condition, but no such waiver shall affect or impair the right of the waiving party to require observance, performance, or satisfaction either of that term or condition as it applies on a subsequent occasion or any other term or condition of this Agreement.

C. Assignment. Neither party may assign any rights or benefits or delegate any duties under this Agreement without the written consent of the other party. Any purported assignment without written consent shall be void.

D. Severability. If any provision of this Agreement is held by an arbitrator or court of competent jurisdiction to be invalid or unenforceable, the remainder of the Agreement shall continue in full force and effect and shall in no way be impaired or invalidated.

E. Governing Law. The rights and obligations of the parties and the interpretation and performance of this Agreement shall be governed by the laws of California, excluding any statute which directs application of the laws of another jurisdiction.

F. Notices. Any notice under this Agreement shall be in writing, and any written notice or other document shall be deemed to have been duly given on the date of personal service on the parties or on the second business day after mailing if the document is mailed by registered or certified mail, addressed to the parties at the addresses listed on the signature page, or at the most recent address specified by the addressee through written notice under this provision. Failure to conform to the requirement that mailings be by registered or certified mail shall not defeat the effectiveness of notice actually received by the addressee.

G. Authority to Enter Into Agreement. Each party to this Agreement warrants that it has the full power and authority to enter into this Agreement and to carry out the transactions contemplated by it, and has taken all action necessary to authorize the execution, delivery, and performance of the Agreement.

H. Conflict of Interest. The parties to this Agreement have read and are aware of the provisions of Section 1090 and following and 87100 and following of the California Government Code relating to conflict of interest of public officers and employees. Contractor represents that it is aware of no financial or economic interest of any officer or employee of Superintendent relating to this Agreement. It is further understood that if such a financial interest does exist at the inception of this Agreement, Superintendent may immediately terminate this Agreement by giving written notice to Contractor. Contractor shall comply with the terms of Government Code Section 87100 and following during the term of this Agreement.

I. Compliance with Law. In the course of performing this Agreement, Contractor shall observe and comply with all applicable federal, state, and local laws, regulations and ordinances now in effect or subsequently enacted.

J. Nondiscrimination. Neither Contractor, nor any officer, agent, employee, or subcontractor of Contractor shall discriminate in the treatment or employment of any individual or groups of individuals on any ground prohibited by law, nor shall any of them harass any person in the course of performing this Agreement based on gender or any other basis prohibited by applicable law.



K. Ownership of Documents. All reports, documents, and other items generated in the course of providing services to Superintendent shall be the property of Superintendent, and shall be provided to Superintendent upon full completion of services, termination of this Agreement, or as otherwise specified in the Agreement.

L. Licenses and Permits. Contractor represents that Contractor and Contractor's employees who will render services under this Agreement are fully qualified and competent to provide the services called for under the Agreement. Contractor shall secure and maintain in force any permits or licenses required to perform the services called for under this Agreement, at Contractor's expense unless specified otherwise in the Agreement.

M. Confidentiality. Contractor shall at all times protect the confidentiality of all matters to which Contractor has access under this Agreement, including but not limited to any records pertaining to pupils or employees. Contractor shall not disclose or discuss the facts of any such matter with any person other than Superintendent's authorized representatives without prior written consent of Superintendent, a court order, judicial subpoena, or other valid legal process. Contractor shall notify Superintendent immediately by telephone and facsimile of any subpoena or court order seeking information covered by this Agreement.

N. Contractor's Records. Contractor agrees to maintain and make available to Superintendent accurate books and records relative to all its activities under this Agreement. Contractor shall permit Superintendent to audit, examine, and make excerpts and transcripts from such records, and to conduct audits of all invoices, materials, personnel records, or other data related to all other matters covered by this Agreement. Contractor shall maintain such data and records in an accessible location and condition for a period of not less than two years from the date of final payment under this Agreement.

O. Site Contact Requirements. In order to help assure the safety of pupils in the event Contractor performs services at a school site, Contractor and any employees of Contractor shall check in at the site office upon arrival and departure to notify school site authorities of their presence. Neither Contractor nor Contractor's employees shall travel to areas of the campus where pupils are present other than the site office without the consent of authorized school site personnel. If required by Superintendent, Contractor shall comply with any criminal background screening and certification requirements required by Superintendent relating to Contractor and/or Contractor's employees.

P. Copyrights. To the maximum extent permitted by law, any original work produced by Contractor under this Agreement shall be considered a "work made for hire" under copyright law. This means that Superintendent will be considered the author of the work as well as the owner of all of the copyrights in the work. If for any reason the "work made for hire" doctrine does not apply to the work, Contractor agrees to assign all copyrights in the work to Superintendent on a perpetual, royalty-free, exclusive basis, and will not use the work without the prior written consent of Superintendent. Superintendent will have the right to publicly perform, display and teach, duplicate, copy, publish, distribute, award, modify, translate, or otherwise adapt or represent any such work in film, print, sound, electronic, or any other media.

**ATTACHMENT A  
SCOPE OF SERVICES  
FCMAT AGREEMENT FOR PROFESSIONAL SERVICES**

Enter School District

1. \*Contractor\* will provide consultant services to the Fiscal Crisis and Management Assistance Team (FCMAT) for the \*School District\* School District study. Consultant will be working on \*Project\* at \*Price per day price per hour\*not to exceed \*Total Payable\* (including travel expenses). Consultant will prepare written findings and recommendations for FCMAT that will be incorporated into the final written report. The written report should be submitted to FCMAT within fourteen (14) calendar days of the completed on-site fieldwork. Failure to complete and submit a final written report within (14) days or within a timeline identified by the FCMAT Team Leader may result in the removal of the Contractor from the FCMAT Consultant roster. 2. Consultant will invoice FCMAT for expenses (e.g. travel expenses: lodging, meals, mileage or airfare, car rental expenses, etc.) incurred during the study.

Director Approval:

Director Approval:

Administrator Approval:

Administrator Approval:

## **Writing and Report Conventions**

## ***FCMAT Writing Standards***

The information and standards that follow are intended to assist FCMAT consultants in completing and submitting their report to the team lead and staff writers.

These standards are based on those used by the RAND Corporation and FCMAT's nearly 20 years of assisting California's local education agencies (LEAs) through on-site fieldwork and written reports. RAND is a nonprofit institution that helps improve policy and decision making through research and analysis in fields such as health, education, international affairs, and law and business.

A summary of the standards:

- Data and information contained in reports should be the best available.
- Recommendations should be logical, warranted by the findings, and explained thoroughly, with appropriate caveats.
- Reports should be accurate, understandable, well structured, and temperate in tone.
- Reports should be compelling, useful, and relevant to decision-makers.
- Reports should be objective, independent, and balanced.

### **Data and information contained in reports should be the best available.**

Data and other information are essential elements of the research and analysis required to produce a credible report. Research data, such as information gleaned from other districts or counties, statistics gathered from sources such as the Educational Data or Educational Demographics websites, and number data extracted from district records and documents is helpful in its ability to sustain findings and recommendations or to draw conclusions about the organization.

Data-generation methods and database fields should be clearly specified, and the data should be properly screened and manipulated. The study team should indicate limitations in the quality of available data. In addition, information presented as factual should be correct and the source should be verifiable.

To the extent possible, data should be verified using more than one source. Typically, you will verify information utilizing differing review functions. For example, you may notice something in a document that you review. During the course of an interview, you ask a question to verify the information gathered during your document review is accurate. Finally, you observe something within the organization that is consistent with what you have learned through the interview and document review process.

There are cases when utilizing multiple sources to verify that data is factual is not possible. You were asked to participate in this work because you have significant background, experience and expertise in the field of study. When other methods fail, FCMAT depends on your professional judgment to make decisions regarding the viability of information and data.

### **Recommendations should be logical, warranted by the findings, and explained thoroughly, with appropriate caveats.**

FCMAT staff and consultants are highly accountable for the courses of action they recommend. Because of the nature of our mission, the actions of decision makers relying on our reports may affect the resources or well-being of many individuals. For this reason, recommendations must follow logically from a study's findings and implications and be strongly supported by them.



Particularly when recommending courses of action, the report should include caveats to help ensure that it is not applied to inappropriate cases or with unrealistic expectations.

Utilize a common numbering convention for findings and recommendations. This helps the FCMAT staff writers keep track of multiple findings in the same area of study and which findings and recommendations go together. The consultant may provide further explanatory text in italics or in parentheses to communicate to the job lead and FCMAT staff writers a rationale, context or more information to assist in composing the final report.

### **Reports should be accurate, understandable, clearly structured, and temperate in tone.**

A well-written report should be understandable to its intended audiences. Wording should be straightforward and precise. Necessary technical terms should be defined and explained. Graphics or pictorial elements should help explain complex concepts.

The report should be temperate in tone. It should sound neither so flat as to appear unengaged nor so emotional as to lack objectivity.

Except for state-mandated comprehensive reports, all FCMAT reports follow the same format. They begin with an introduction, followed by an executive summary, and then the findings and recommendations are presented by review area. The project lead is responsible for writing the introduction and executive summary, and the consultants are responsible for developing findings and recommendations.

### **Reports should be compelling, useful, and relevant to stakeholders and decision makers.**

A high-quality report makes an impression and compels respectful attention; it cannot be ignored or dismissed by those working in the areas it addresses. FCMAT's studies focus on real-world problems and practical issues. Therefore, the report should be both interesting and useful.

FCMAT is widely respected for operating independently of political and commercial pressures. FCMAT's studies involve frequent interactions with its clients and other agencies, both publicly and privately run. These agencies are recognized as important sources of expertise. These interactions can help to ensure that the report is relevant and its recommendations are practical.

The timing and turnaround of these reports is very important to FCMAT's clients, particularly when crucial budgetary and personnel decisions must be made. For that reason, the information from the professional consultants should be turned over to the project lead in a timely manner. Consultants should submit their report information to the project lead **no more than 14 calendar days** after their final day of fieldwork. The sooner FCMAT receives information, the more quickly we can provide the final report to the district or county office.

### **Reports should be objective, independent, and balanced.**

FCMAT's client agencies and working partners, as well as the general public, must be able to rely on and actively utilize FCMAT's work. FCMAT's reputation for objectivity and independence, combined with other aspects of quality, have instilled trust in its work throughout California.

FCMAT's research and resulting documentation seeks balance among competing perspectives by treating them fairly, portraying them accurately, and weighting them according to merit.

## ***Preparation of Consultant's Written Report***

The written report should contain findings and analyses as well as resulting recommendations. It should be submitted to the FCMAT study team leader in the format described here within fourteen calendar days of the completion on-site fieldwork.

### **Topic headings**

Each major topic addressed in the report area should have a descriptive heading. For example, a typical fiscal review report might include the following topic headings:

- Accounting
- Budget Development
- Payroll
- Purchasing and Contracts
- Multiyear Financial projection

Recommendations should be provided together at the end of each topic section.

The pages following this section containing examples of findings and analyses with recommendations at the end.

Focusing on and adhering to your assigned topic area or areas is critical, particularly if you are working on only one or two portions of a report. Do not seek to address issues outside your assigned topic area.

### **About Findings and Analyses**

Findings and analyses are the heart of any FCMAT report. Their purpose is to clearly describe what is happening and how this is affecting or may in the future affect the local educational agency (LEA) being reviewed.

Findings are to be based on the study team's observations, interviews, and document review. Findings should be clear, unequivocal, logical and justified by the data and evidence reviewed. Interwoven with the findings should be equally clear and justifiable statements of analysis that describe in a compelling manner the present and sometimes potential future effects of the findings on the LEA. When warranted, analyses should contain statements of caution and acknowledge the possibility of multiple courses of action or outcomes.

### **About Recommendations.**

Recommendations describe what the LEA should do to correct the current condition or conditions described in the findings and analyses section.

Recommendations should flow naturally from and be warranted by the preceding findings and analyses narrative. They should be specific and well delineated to avoid confusion regarding their scope and application. They should not be a surprise to any reader who has absorbed the preceding findings and analyses.

Recommendations should be presented in a numbered list and should be short and succinct.

It is permissible to have a finding and analysis without a corresponding recommendation, but it is not permissible to provide a recommendation without a preceding and directly related finding and analysis.

### *Sample Finding and Analysis*

The district had a surplus of \$2.1 million in 2006-07 but a deficit of \$1.9 million in 2007-08.

As of the 2008-09 first interim budget report, the district's fund balance is projected to decrease by \$3.1 million. This figure is the net of interfund transfers of \$2.7 million, which means that the ongoing deficit is -\$5.8 million. The fund balance will further decrease by \$3.1 million in the 2010 fiscal year and by \$2.5 million in the 2010-11 fiscal year.

Because of the state budget crisis, deficits on the revenue limit and lack of increase in funding for categorical programs, the district will need to make additional budget reductions and/or identify revenue increases.

### *Sample Recommendation:*

The district should:

1. Make additional budget reductions and/or identify revenue increases to eliminate deficit spending and to maintain the recommended 3% reserve for economic uncertainties.

### *Sample Finding and Analysis*

District staff prepared multiyear financial projections (MYFPs) using Microsoft Excel and rolled over the following line items from the 2008-09 general fund budget, indicating that no changes would occur:

- Unrestricted: Other Local Revenues; Books and Supplies; and Other Outgo
- Restricted: Federal Revenues; Services and Other Operating Expenses; and Other Financing Uses

This practice indicates that the district's MYFP was prepared with less scrutiny and vigor than is standard in the industry. The use of Microsoft Excel to prepare such projections also increases the risk of calculation errors by those who develop the spreadsheet and oversight errors by those who review it.

### *Sample Recommendation:*

The district should:

1. Eliminate unadjusted rollers of prior year budget amounts when preparing multiyear financial projections.
2. Develop a budget for the 2010-11 fiscal year using zero-based budgeting, with assistance from outside professional experts.

The above are simple examples of FCMAT's basic report structure. You would likely want to include more detail, particularly in the finding and analysis narrative.

## **Audience and Writing Style**

FCMAT reports become public documents with a broad audience that can include education administrators, board members, the public, legislators and the media. It is therefore imperative that consultants define industry-specific terms and acronyms and strive to write a straightforward and concise narrative that will be useful and relevant to a broad range of readers. Narratives should be free of jargon, repetition and excess verbiage. Your written submission should contribute substantially to FCMAT's final goal of a report that is widely accessible, professionally compelling, measured, and temperate.

### **Sources and Attribution**

Professional data and/or quotations from sources other than the FCMAT study team are used in some reports and often provide support for analyses or recommendations. Consultants should ensure that any outside sources used are of the highest professional quality. Proper attribution and a complete source citation should be included with any such information.

### **A Deficit Model of Reporting**

Educational agencies contact FCMAT for assistance with areas in which they are facing challenges. Therefore, FCMAT reports typically focus on these areas and on recommendations for improvement. Areas that do not need improvement may receive brief mention if they fall within the scope of study; however, avoid praise for or detailed findings and analyses of an area of operation that is functioning effectively. This information may be communicated verbally at the conclusion of fieldwork if desired but is neither part of FCMAT's purview nor an effective use of FCMAT's resources when producing a final report.

### **Part of a Larger Process**

The report or portion thereof that you submit is vitally important, appreciated and highly valued. Like all FCMAT publications, it will undergo rigorous review, revision and professional editing by FCMAT's writers and management staff to ensure that it meets both FCMAT's standards and the client's needs.

### **Questions**

If you are uncertain about the approach to take with any topic, contact your FCMAT team leader for further guidance. He or she will be able to provide you with support and advice as well as samples of reports that have addressed the same or similar topics.

## **Examples of Written Findings and Recommendations**

## ***Cash Flow Projections***

The purpose of a cash flow statement is to project the timing of receipts and expenses so that an organization can understand its monthly or even daily cash needs. The cash flow statement reflects the charter's liquidity and ability to meet its current payroll and other required financial obligations. As an analytical tool, the cash flow analysis should not be confused with the charter school's budget and fund balance; it excludes transactions that do not directly affect cash receipts and payments.

Any forecast of financial data for cash flow purposes has inherent limitations, including issues such as unanticipated changes in enrollment trends and changing economic conditions at the state, federal and local levels. Therefore, the cash flow forecasting model should be evaluated as a trend based on certain criteria and assumptions rather than a prediction of exact numbers. Multiyear cash flow projections help provide for more informed decision making and the ability to forecast the fiscal impact of current decisions. The cash flow projections should be updated each month to accurately account for all revenues, expenditures and other changes related to cash.

The July 2009 state budget revisions included SBX4 16, which changed the statutory apportionment schedules for local education agencies and pushes state funding to later in the fiscal year. In addition, several additional cash deferrals were enacted with the July budget revisions, making cash flow for local education agencies an even larger challenge than in previous years and making it imperative to place emphasis on cash flow analysis.

### ***Apportionment & Cash Payment Schedules 2009-10***

<b>Month</b>	<b>Apportionment</b>	<b>Cash Payment</b>
July	5.0%	1.0%
August	5.0%	0.0%
September	9.0%	9.0%
October	9.0%	14.0%
November	9.0%	4.5%
December	9.0%	13.0%
January	9.0%	13.5%
February	9.0%	0.5%
March	9.0%	9.0%
April	9.0%	6.0%
May	9.0%	4.5%
June	9.0%	0.0%
<b>Subsequent Year</b>		
July		17.5%
August		7.5%
Total	100.0%	100.0%

Charter school staff indicated that the cash flow statement is updated each month and that updates are presented monthly at a governing board meeting. Board meeting minutes indicate that these presentations began at the April 14, 2009 meeting. The June 18, 2009 board meeting minutes indicate that a fiscal policies manual was approved. The manual includes Policy 2100.1, Financial Accounting and Reporting, and 2300.1, Budget Policy, which require that a cash flow statement be provided to the governing board monthly.

During FCMAT's fieldwork, charter school staff provided a copy of the 2009-10 cash flow statement that contained actual monthly data through August 2009. An updated copy of the cash flow statement provided to FCMAT following fieldwork contained actual data through October 2009. The 2009-10 beginning cash balance on the cash flow statement is \$1,941,441. This does not match the charter school's unaudited actual and audited

cash balance of \$1,995,062.45, which includes cash in county treasury, cash on hand, and cash in banks (object codes 9110 and 9120). Discussions with charter school staff indicated that the monthly cash balance is taken from the reconciled bank statements rather than from object codes 9110 and 9120 on the monthly trial balance. The charter school should discuss this issue with their independent auditors to determine what source should be used to report the ending monthly cash balance.

The charter school's most recent cash flow projection for 2009-10 includes actual receipts and expenditures through the month of October. However, the statement does not include a column for current year accruals and does not include a total column that balances back to the current working budget. The cash flow spreadsheet should be updated to include these columns to help ensure that the budgeted amounts for each category are reflected appropriately on the cash flow statement. In addition, it appears that formulas are not used on the spreadsheet which requires the user to calculate the monthly projections manually.

The current year cash flow statement includes line items to account for prior year accounts receivable; however, it does not include line items to account for prior year payables. The charter school should include a line item for prior year accounts payable on its cash flow spreadsheet to ensure that all items that affect cash are reflected on the monthly statement.

A review of the general purpose block grant line item indicates that the monthly apportionment is deposited to the charter school's bank account during the month after it is received by the county office. Charter school staff indicated that the funds are deposited the same day the check is received from the county office. The charter school should review the timing of these receipts with the county office and determine if, based on the processing capabilities of the county treasurer's financial system, it is possible to receive the apportionment in the month the funds are received by the county office.

The October cash flow statement also reflects that in-lieu property taxes have not been received in the months of July-October. In addition, the projection months do not include the receipt of property taxes. Education Code section 47635(b) states that the sponsoring local educational agency must transfer the in-lieu of property tax funds to the charter school by the 15<sup>th</sup> of each month and specifies the transfer schedule. The charter school should review this schedule and work with the affected school districts to ensure that funds are received per the schedule indicated in the Education Code.

The current year cash flow statement includes a line item for net payments to employees and includes a line item for taxes/withholdings that appears to include amounts withheld from employee wages and amounts paid by the employer for some of the statutory benefits. The charter school should include gross wages paid to employees under the 1000 and 2000 (certificated and classified salaries) object codes and report the benefits paid by the charter school on behalf of its employees in the 3000 object codes (employee benefits).

The charter school's current year cash flow statement includes a separate line item for each individual object code in the 4000 (books and supplies) and 5000 (services and other operating expenses) major object code series. This appears to add a level of detail to the cash flow statement that is not necessary and requires a significant amount of additional work by the staff member who updates the statement. The charter school should consider eliminating the individual lines items for these object codes and report one line item for books and supplies and one line item for services and other operating expenses.

On July 9, 2008 the charter school obtained a revenue anticipation note (RAN) from Wells Fargo Institutional Securities, LLC of \$2 million that matured on September 1, 2009 and was repaid by the charter school in August 2009. The \$2 million repayment is included on the 2009-10 cash flow statement. On April 28, 2009 the charter school obtained a RAN from Wells Fargo Institutional Securities, LLC of \$1.575 million that matures on September 1, 2010.

Although the charter school's 2009-10 cash flow statement does not reflect a negative cash balance in any month, it does include additional borrowing of \$1.3 million in June 2010 to end the year with a positive cash balance.

The 2010-11 Cash Flow Projection spreadsheet prepared by the charter school does not include a column for current year and prior year accruals, and the total column for each line item does not balance to either the MYFP that was presented at budget adoption or the Projected Budget spreadsheets dated September 14, 2009. The charter school should ensure that the revenue and expense included in the cash flow statement balance to the current working budget and MYFP for each fiscal year.

The 2010-11 cash flow statement does not reflect a negative ending balance in any month. However, it does include an additional borrowing of \$1 million in July as well as the repayment of the April 2009 RAN of \$1.575 million. In addition, it does not yet include the cash deferrals for the months of February, April and May as indicated in Education Code section 14041.6.

### ***Recommendations***

*The charter school should:*

1. Continue to monitor its current year and subsequent year cash flow at least monthly.
2. Contact its independent external auditors and determine what source should be used to report the monthly ending cash balance.
3. Update the current year and projection year cash flow statements to include a column for current year and prior year accruals, ensure that the total column for each line item balances to the budget for that respective year, and include formulas to calculate the projection months.
4. Include a line item for prior year accounts payable on its cash flow statement to ensure that all items that affect cash are reflected.
5. Work with the county office to determine, given the capabilities of the county treasurer's finance system, if the general purpose block grant funds can be forwarded to the charter school in the same month they are received by the county office.
6. Review the funding schedule for in-lieu property taxes included in Education Code section 47635(b) and work with the affected school districts to ensure that funds are received as specified by the Education Code.
7. Include the gross wages paid to employees under the 1000 and 2000 (certificated and classified salaries) object codes and report the benefits paid by the charter school on behalf of its employees in the 3000 (employee benefits) object codes on its cash flow statement.
8. Consider eliminating the individual lines items for the 4000 and 5000 object codes on the current year cash flow statement. Instead, use one line item for books and supplies and one line item for services and other operating expenses.
9. Include cash deferrals as reflected in Education Code section 14041.6 in the 2010-11 cash flow projection.



## ***Internal Controls***

Internal controls are the foundation of sound financial management and allow districts to fulfill their educational mission while helping ensure efficient operations, reliable financial information and legal compliance. Internal controls also help protect the district from material weaknesses, serious errors and fraud.

All educational agencies should establish internal control procedures to perform the following:

1. Prevent internal controls from being overridden by management.
2. Ensure ongoing state and federal compliance.
3. Provide assurance to management that the internal control system is sound.
4. Help identify and correct inefficient processes.
5. Ensure that employees are aware of the proper internal control expectations.

Districts should apply the following basic concepts and procedures to their transactions and reporting processes to build a solid internal control structure:

### **System of checks and balances**

Formal procedures should be implemented to initiate, approve, execute, record and reconcile transactions. The procedures should identify the employee responsible for each step and the time period for completion. Key areas of checks and balances include payroll, purchasing, accounts payable and cash receipts.

### **Segregation of duties**

Adequate internal accounting procedures should be implemented and changes made as needed to segregate job duties and properly protect the district's assets. No single employee should handle a transaction from initiation to reconciliation, and no single employee should have custody of an asset (such as cash or inventory) and maintain the records of related transactions.

### **Staff cross-training**

More than one employee should be able to perform each job. Each staff member should be required to use accrued vacation time, and another staff member should be able to perform those duties. Inadequate cross-training is often a problem even in the largest central business offices.

### **Use of prenumbered documents**

An outside printer should print checks, sales/cash receipts, purchase orders, receiving reports and tickets. Physical controls should be maintained over the check stock, cash receipt books and tickets. It is not sufficient to simply use prenumbered documents. A log of the documents and numbers should be maintained and reconciliation performed periodically.

### **Asset security**

Cash should be deposited daily, computer equipment should be secured, and access to supplies/stores, food stock, tools and gasoline should be restricted to designated employees.*Pleasant Valley School District* 11 Business and Financial Services Department Staffing

### **Timely reconciliations**

Bank statements and account balances should be reconciled monthly by an employee independent from the original transaction and recording process. For example, a central office accountant should reconcile ASB accounts every month, and the district office employee who reconciles the revolving checking account should not also maintain the check stock.

### **Comprehensive annual budget**

The annual budget should include revenues and expenditures by school site, department and resource in sufficient detail to identify variances and determine whether financial goals were achieved. Material variances in revenues and expenditures should be investigated promptly and thoroughly. This includes ensuring that potential revenues and expenditures for ASB funds are identified at the start of each year.

### **Inventory records**

Inventory records should be maintained that identify the items and quantities purchased and sold or designated as surplus. Physical inventory should be taken periodically and reconciled with inventory records. Typical inventoried items include computer equipment, warehouse supplies, food service commodities, maintenance and transportation parts, and student store goods.

Although several district employees have experience and knowledge of other job duties and areas in the Business and Financial Services Department, little or no cross-training occurs for some of the department's key functions. This includes some tasks in purchasing, accounts receivable, accounts payable, employee benefits and payroll. These tasks are essential to the district's operations, and the lack of cross-training could place the district at risk.

Desk procedure manuals are important to ensure proper internal controls and provide a better understanding of each position's responsibilities. The majority of the positions in the Business and Financial Services Department lack desk manuals that include step-by-step procedures for each job duty. In one particular instance, a comprehensive desk manual was not developed and a retired employee was hired to train her successor.

### ***Recommendations***

*The district should:*

1. Employees are cross-trained in all key areas of responsibility.
2. Develop individual desk manuals for each position and ensure that each employee includes in his or her manual the step-by-step procedure for all assigned duties.

### ***Special Education Program Delivery***

In 2007-08 the district's K-12 enrollment increased by 225 students. The current K-12 special education enrollment is 11.3% of the general education population, making the district one of the few in California with a percentage that is the same as the statewide average for special education enrollment. Preschool special education enrollment has been growing, which is also consistent with the statewide growth in this area. There is no evidence that the district is over-identifying students for special education.

The district offers special education programs for students with disabilities from infancy through grade 12, and transition services for students ages 18-22. The district provides resource specialist program (RSP), mild/moderate special day classes (SDC), moderate/ severe SDC, autistic, emotionally disturbed (ED), deaf and hard of hearing, and full inclusion services. The district has a range of program delivery systems, from traditional to collaborative models. The delivery systems appear to be determined by the level of support for special education at each site rather than being driven by student needs.

There are inconsistencies in the process that the district uses to review delivery systems in special education, making it ineffective. When program delivery systems are not functioning efficiently, the district incurs additional costs. There are no committees to help review and evaluate the district's special education delivery systems to increase their efficiency and effectiveness.

Both special and general education staffs need to share the same interpretation and understanding of special education policies and procedures. Without this, a fragmented system results, leading to program inefficiencies. The district lacks a system of collaboration and communication which would improve the special education delivery system for students. This could lead to noncompliance in the delivery of service and attendant financial losses.

### ***Autism***

The number of students identified with autism is increasing nationwide. A number of autistic students have intensive behavioral issues that require staff to have specialized training to assist with aggressive and disruptive behaviors. Although the district operates successful autism programs, it has not developed a program to meet the needs of autistic students with intensive behavioral issues, and its staff are not trained to meet the needs of this student population. As a result, several students have been placed out of the district at the Bay School at a cost of approximately \$1.2 million in 2007-08.

The district needs to continue developing its autism continuum. Staff who work in autism classrooms with students who exhibit intensive behavioral needs should be trained in many different autism methodologies, but the district may choose to use one methodology they determine to be most successful with students. An effective autism classroom includes, but is not limited to, a comprehensive program covering all areas of intensive needs, such as the following:

- Early intervention program for children with autism spectrum disorders
- Applied behavioral analysis
- Analysis of verbal behavior
- Social skills
- Occupational therapy
- Speech and language therapy
- Social skills training

The California Superintendent of Public Instruction Autism Advisory Committee's final report, available from the California Department of Education (CDE), offers the following recommendations

for training in autism spectrum disorders:

- a. Foundations of behaviorism
- b. Behavioral assessment
- c. The individual behavioral plan and the individual curriculum plan
- d. Monitoring student progress
- e. Supporting parents, families, and caregivers

The goals of an effective program are to ensure meaningful progress for students, build relationships with parents, reduce staff turnover, reduce litigation, and prevent excessively high staffing ratios.

The district has developed a continuum of autism programs from preschool through elementary school. Middle school students are served in their area of attendance through either inclusion programs or moderate/severe special day classes. As students approach the end of elementary school, it would benefit the district to consider whether an autism class at the middle school is warranted. This proactive measure could help avert costly placements at the Bay School.

### ***Recommendations***

*The district should:*

1. Ensure that the program directors or program specialists work closely with the students placed at the Bay School to determine which students can be appropriately transitioned to a program developed and operated by the district.
2. Begin discussing whether a middle school autism class will be warranted in the next few years.
3. Explore options for developing a district-operated autism program which will meet the needs of some of the students currently being placed at the Bay School.
4. Form an autism committee composed of administrators, special education staff, at least one principal and a parent to begin developing an effective district-operated program.

Ensure that the committee considers the following important elements when developing an effective program:

- a. Comprehensive and thorough assessment
  - b. Early intensive behavioral intervention
  - c. Intensive early and ongoing staff training
  - d. An appropriate sense of shared ownership from everyone involved in the program, from the instructional assistants to the superintendent
  - e. Collaboration of all staff members
  - f. Family support
  - g. Appropriate supervision
  - h. Defensible programs
  - i. Frequent evaluation of student progress
5. Ensure that staff members receive the appropriate training to work with students with autism who have intensive behavioral issues.

## **Using SharePoint**

***FCMAT uses SharePoint for the following purposes:***

- to serve as a document repository and;
- to enable collaborative document editing capabilities.

**Document Repository**

Every FCMAT “Final Report” requires the collection, creation, storage and review of multiple documents. These documents include:

- The Study Agreement that outlines the job scope;
- Consultant contracts in which the terms for participation on a review team are specified for individual FCMAT consultants;
- Documents supplied by the client in response to a document request list;
- Documents supplied and/or created by FCMAT consultants during fieldwork;
- Documents created by FCMAT consultants during the report writing phase;
- Exit letters, management letters, and reports in various stages of completion.

The use of SharePoint provides a single, secure and reliable repository for these and many other types of documents.

## ***Creating Your SharePoint Account***

A FCMAT staff member will create your SharePoint account when you have been assigned to a job. The Administrator will send you an e-mail similar to the one presented in Figure 1 below.

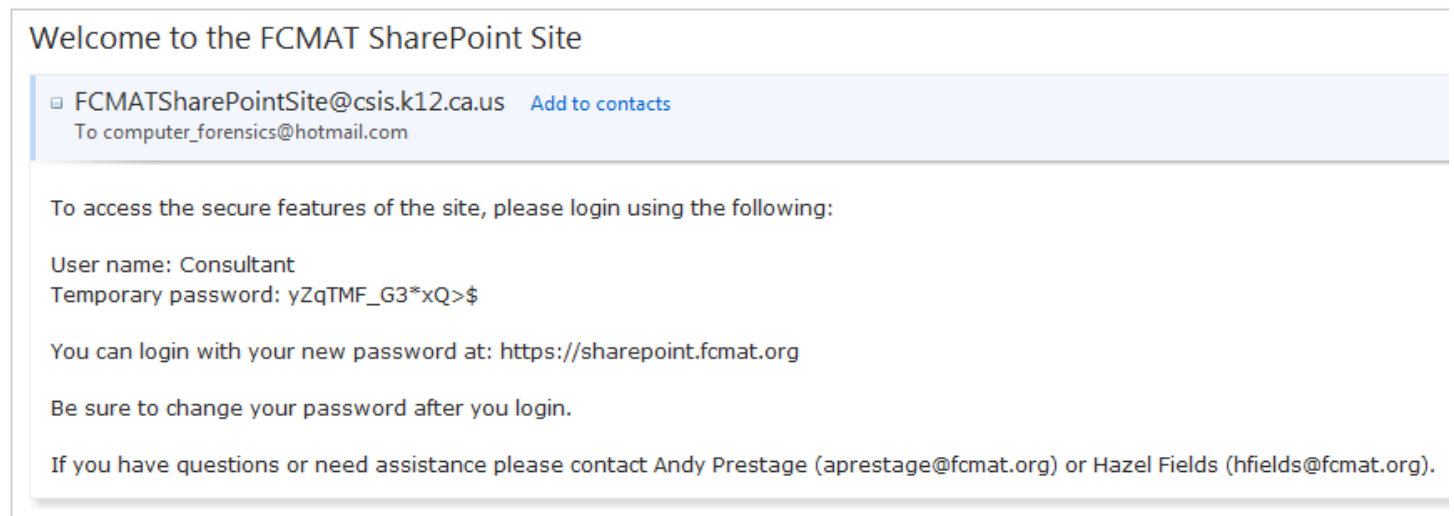


Figure 1

Alternatively, you may request a SharePoint account by contacting the Bakersfield FCMAT office listed below by phone or e-mail to request an account.

FCMAT Office  
[contact@fcmat.org](mailto:contact@fcmat.org)  
(661) 636-4611

SharePoint will send an e-mail similar to the one presented above to you containing your username, a temporary password, and instructions on how to login for the first time.

## Logging Into SharePoint for the First Time

The “Welcome to the FCMAT SharePoint Site” e-mail message will contain a temporary password. Follow the steps outlined below to login to your new SharePoint account.

1. Run Internet Explorer.
2. Go to <https://sharepoint.fcmat.org>. SharePoint will display a screen similar to the one presented in Figure 2 below.

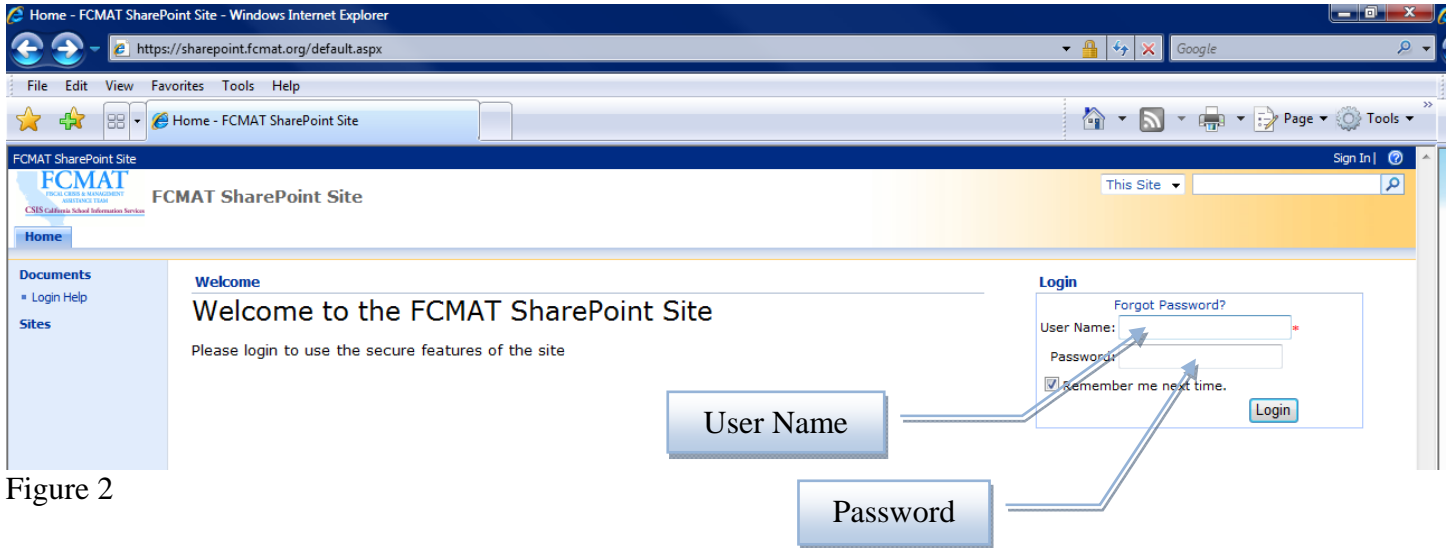


Figure 2

3. Type your username and temporary password into the respective input fields then click the **Login** button.



*SharePoint will generate a temporary password that is nearly impossible to remember and send it to you in your “Welcome to the FCMAT SharePoint Site” e-mail message. You will only have to use this temporary password 1 time. You may find it easier to simply copy and paste the temporary password into the password input field rather than attempt to enter it manually!*





If your username and password credentials are correct, SharePoint will respond by displaying a **Change Password** prompt (see Figure 3 below).

As you can see, any new password you create must have at least:

- 8 characters;
- 1 symbol;
- 1 numeral;
- 1 uppercase character, and;
- 1 lowercase character.

Figure 3

4. Copy and paste the system generated password into the **Password** field.
5. Type your new password into the **New Password** field.
6. Type your new password a second time into the **Confirm New Password** field.
7. Click the  button.

If...	then...
your new password <i>does not meet</i> the minimum password requirements	<p>SharePoint will display</p> <p><b>Password incorrect or New Password invalid.</b></p> <p><b>New Password length minimum: 8.</b> <b>Non-alphanumeric characters required: 1.</b></p> <p>Repeat steps 4 through 7 after verifying that your new password meets minimum password requirements.</p>
your new password <i>meets</i> the minimum password requirements	<p>SharePoint will display</p> <p>Change Password Complete Your password has been changed!</p> <p></p> <p>indicating that your password has been successfully changed.</p>

8. When you get the message indicating that your password has been changed, click the **Continue** button. SharePoint will respond by displaying a screen similar to the one presented in Figure 4 below.

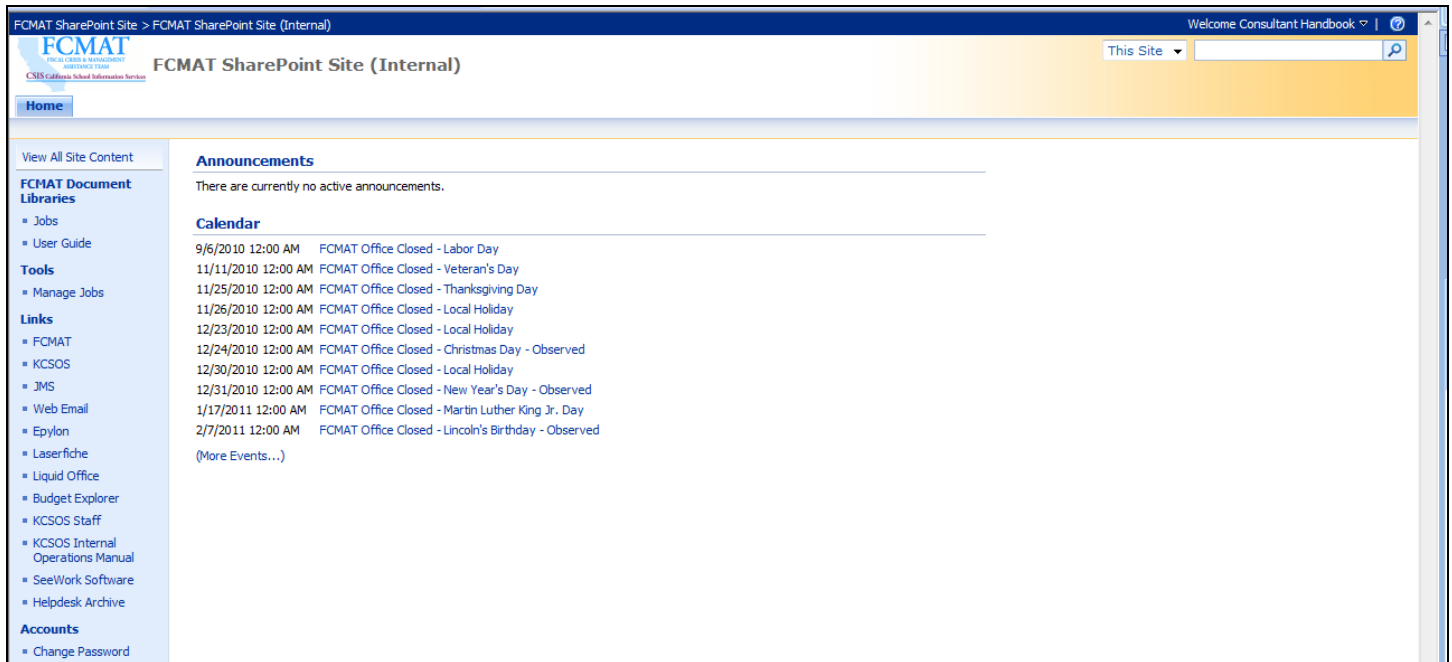


Figure 4

## What Can/Can't I Do After Logging In?

One of the first things to gain your attention after logging into SharePoint will be the navigation items displayed on the left side of the screen (see Figure 5 below).

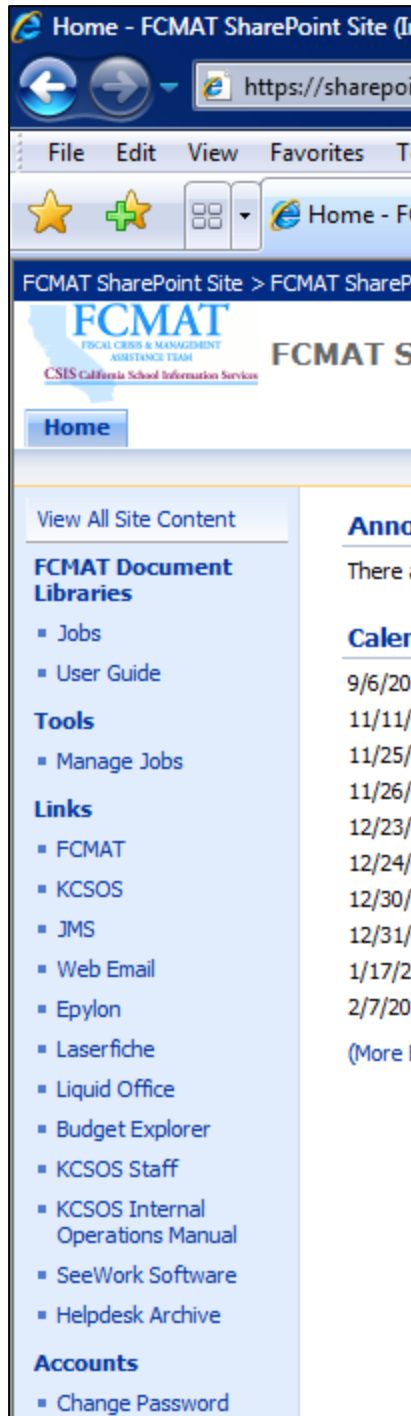



Figure 5

As a consultant, please know you will not have access to all of the navigation items. For example, you will have access to the **Jobs** and **User Guide** libraries and you will be able to use the **Change Password** option; however, you will have no access to **Manage Jobs** and many of the items within the **Links** section are peripheral systems that require login credentials.

The **Jobs** library is where most of your SharePoint work will be conducted. Follow the steps outlined below to explore the Jobs library.

1. Click the **Jobs** link. SharePoint will respond by displaying the following information in the center of the screen:


 **Current and Recent Jobs**

2. Click on the **Current and Recent Jobs** link. SharePoint will respond with a screen displaying all of the current and recent jobs that you, as a consultant, have been assigned to. Please contact the Bakersfield FCMAT office listed below if you have been contracted to serve as a consultant on a review but do not see an item associated with that job in your Current and Recent Jobs list.

FCMAT Office  
(661) 636-4611  
[contact@fcmat.org](mailto:contact@fcmat.org)

In our example, we found the following entry within our Current and Recent Jobs folder:

 **Escondido - 838**

- Click on any job folder that you have been assigned and have access to. At this point, you are drilling down into the folder hierarchy associated with the  **Escondido - 838** job (see Figure 6 below).

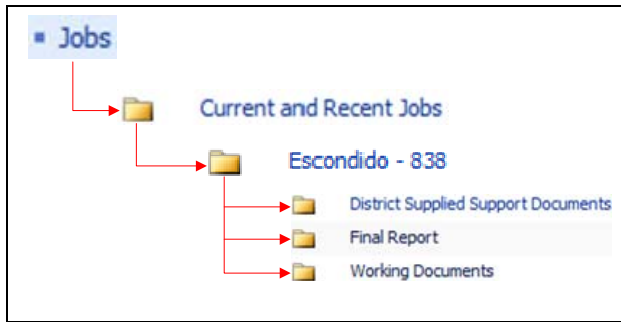


Figure 6

Your access to and purpose for each of the three subfolders is outlined below.



#### Client Supplied Support Documents

E-mail messages, spreadsheets, documents, databases, portable document format files (PDFs), and files from applications such as PowerPoint, Visio, Project, etc. as supplied by the client.

**Note:** All files uploaded to this folder are designated as “originals” and must remain unaltered so that authenticity as “unaltered original documentation” can be validated in court if necessary.

Consultant can access?	<b>Yes</b>
Consultant can add files?	<b>No</b>
Consultant can add subfolder(s)?	<b>No</b>
Primary contributor(s):	Job lead, assigned client staff



#### Working Documents

E-mail messages, spreadsheets, documents, databases, PDFs, and files from applications such as PowerPoint, Visio, Project, etc. as supplied by job lead, assigned FCMAT staff, and assigned consultants.

Consultant can access?	<b>Yes</b>
Consultant can add files?	<b>Yes</b>
Consultant can add subfolder(s)?	<b>Yes</b>
Primary contributor(s):	Job lead, FCMAT staff, assigned consultant(s)



#### Final Documents

**Limited to completed final versions of deliverables, in PDF format** (Exit Letter, Final Report, 6-Month Follow-up Letter, etc.).

Consultant can access?	<b>Yes</b>
Consultant can add files?	<b>No</b>
Consultant can add subfolder(s)?	<b>No</b>

## Uploading a File to SharePoint

The steps outlined below describe the process of uploading documents to SharePoint.

1. Click on the folder that you wish to upload a document to.
2. Click the **Upload** button in the upper-left corner of the screen (see Figure 7 below). SharePoint will respond by displaying a screen similar to the one presented in Figure 8 below.

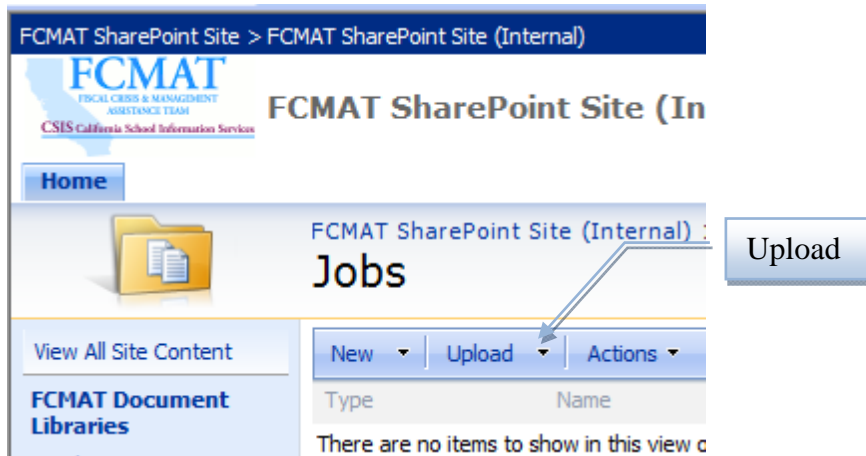


Figure 7

The screenshot shows the 'Upload Document: Jobs' dialog box. It has a light blue header with the title 'Upload Document: Jobs'. Below the header, there's a section for 'Upload Document' with the text 'Browse to the document you intend to upload.' and a 'Browse...' button. To the right of this section, there's a 'Name:' field with a 'Browse...' button. Below the 'Name:' field, there's a section for 'Upload Multiple Files...' with a checkbox labeled 'Add as a new version to existing files'. Below this section, there's a 'Version Comments:' field with a text area. At the bottom right, there are 'OK' and 'Cancel' buttons.

Figure 8

1. Click the **Browse...** button then navigate to and double-click on the file that you wish to upload to SharePoint.
2. Click the **OK** button.
3. Click the **Check In** button.

## Uploading Multiple Files to SharePoint

The steps outlined below describe the process of uploading multiple documents to SharePoint.

1. Click on the folder that you wish to upload multiple documents to.
2. Click the down-pointing arrow to the right of the Upload button (see Figure 7 on the previous page).
3. Select the **Upload Multiple Documents** link in the drop-down menu (see Figure 9 below).

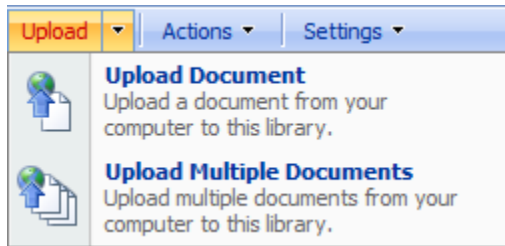


Figure 9

SharePoint will respond by displaying a screen similar to the one presented in Figure 10 below.

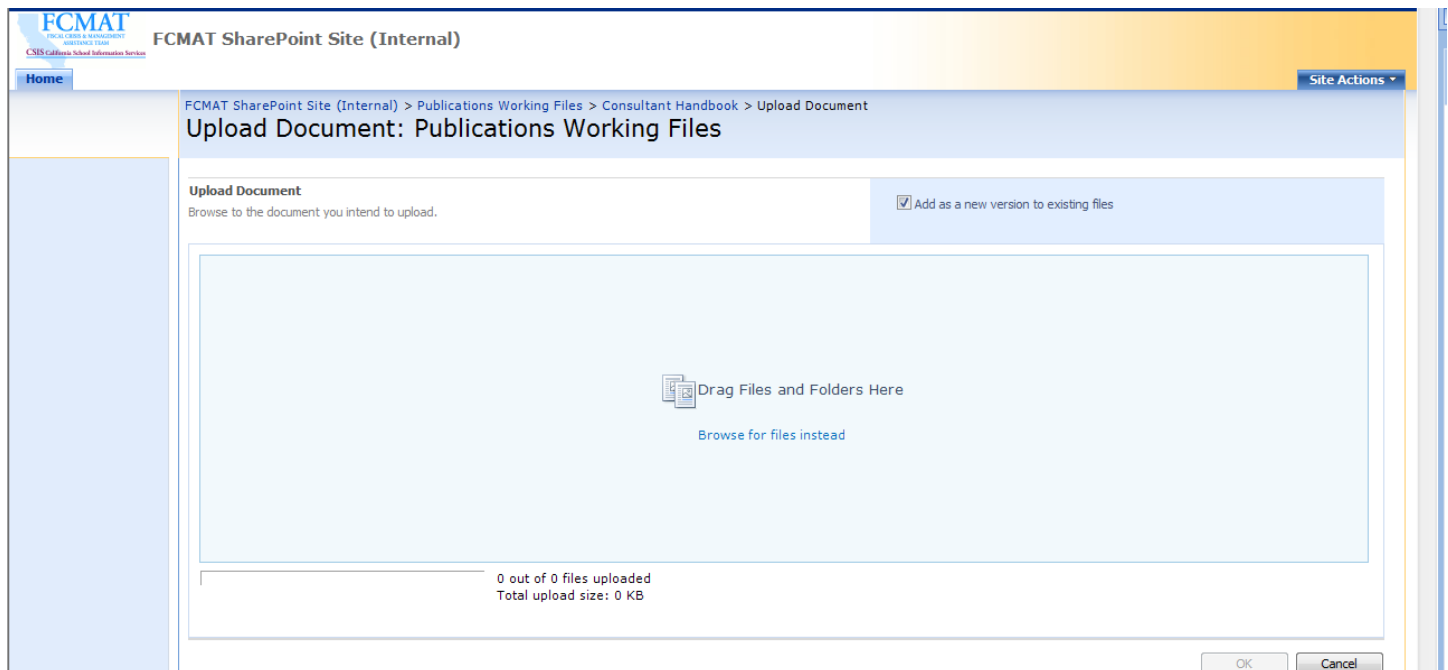


Figure 10

4. You have two options for uploading:
  - Drag and drop files into the **Drag Files and Folders Here** box, or;
5. Click the **Browse for files instead** link. SharePoint will display a screen allowing you to navigate to the files that you want to upload. Click **Open** after selecting the files to be uploaded.
6. Click the **OK** button to start the upload process. Click **Done** after the files have been uploaded. The last thing to do is “check the documents in”.
7. Click the down-pointing arrow to the right of one of the documents you just uploaded.
8. Click the **Check In** option then click **OK**. Repeat steps 7 and 8 for each of the documents that you uploaded.

## ***Naming Conventions for Files That You Upload***

The established SharePoint folder structure is a FCMAT filing system – *not* an individual filing system. To be successful, certain rules must be consistently enforced and adhered to by everyone who uses the system.

### **File Naming Convention**

Generally, consultants will need to upload the following types of files:

- Fieldwork notes
- Documents obtained from the client
- External documents obtained from a non-client source (e.g. the client is a school district however you obtain a revenue limit calculation report from the county office of education)
- Draft reports

Naming conventions for each of these types of documents is provided below.

<u>If the document type is...</u>	<u>then the filename convention is:</u>
Client-supplied Documents	No naming convention
External Documents	No naming convention
Fieldwork Notes	<LEA Name> Fieldwork Notes <Date> <ul style="list-style-type: none"><li>• <b>Escondido Union SD Fieldwork Notes 8-16-10</b></li><li>• <b>Alameda USD Fieldwork Notes 7-24-10</b></li><li>• <b>Peralta CCD Fieldwork Notes 2-15-10</b></li></ul>
Draft Report	<LEA Name> Draft Report <Date> <ul style="list-style-type: none"><li>• <b>Escondido Union SD Draft Report 8-16-10</b></li><li>• <b>Alameda USD Draft Report 7-24-10</b></li><li>• <b>Peralta CCD Draft Report 2-15-10</b></li></ul>

## ***Downloading a File from SharePoint***

The steps outlined below describe the process of downloading a document from SharePoint.

1. Click on the folder within SharePoint that you wish to download a document from.
2. Click on the down pointing triangle to the right of the document that you wish to download. SharePoint will display a drop down menu similar to the one presented in Figure 11 below.

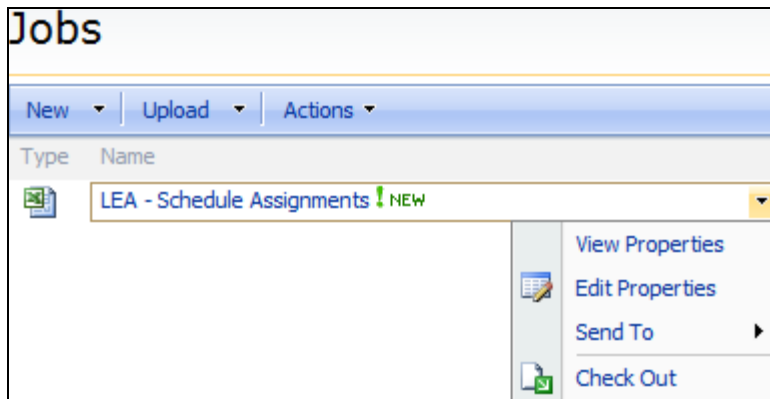


Figure 11

3. Click the **Check Out** option. This will prevent anyone else from editing it while it is checked out to you.
4. Click on the name of the file. SharePoint will open the requested file on your computer and make it available for editing.
5. Close the file when you are finished making your edits.
6. Return to the folder within SharePoint that contains the file that is checked out to you.
7. Click on the down pointing triangle to the right of the checked out document. SharePoint will display a drop-down menu similar to the one presented in Figure 12 below.

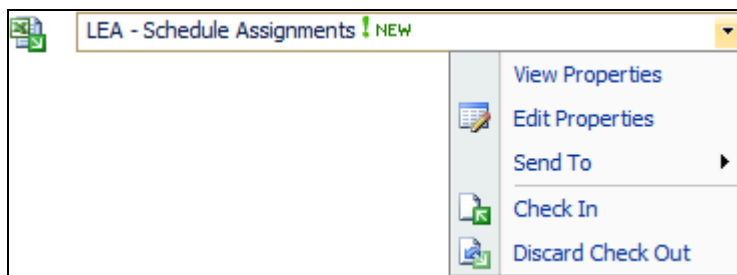

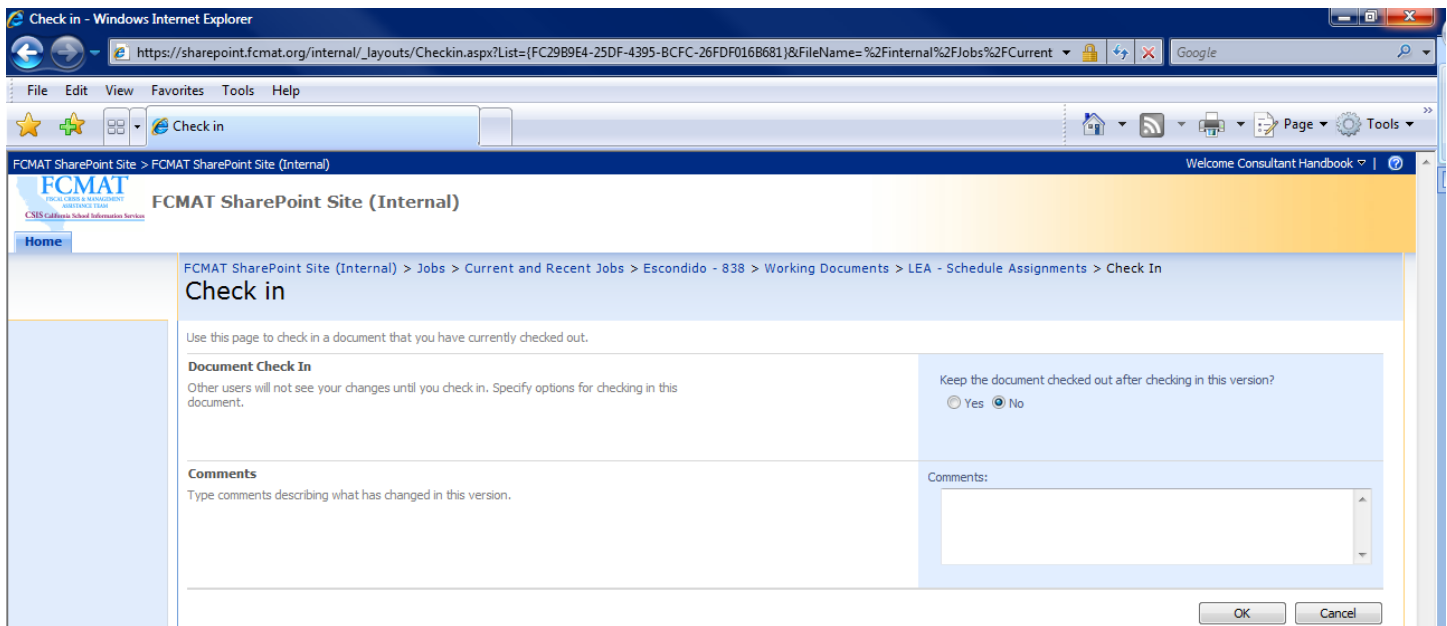


Figure 12



8. Click the  **Check In** option. SharePoint will respond by displaying the Check in screen (see Figure 13 below).



Check in - Windows Internet Explorer

https://sharepoint.fcmat.org/internal/\_layouts/Checkin.aspx?List={FC29B9E4-25DF-4395-BCFC-26FDF016B681}&FileName=%2Finternal%2FJobs%2FCurrent

File Edit View Favorites Tools Help

Check in

FCMAT SharePoint Site > FCMAT SharePoint Site (Internal) Welcome Consultant Handbook

FCMAT  
LOCAL CHIEF & MANAGEMENT  
SUPPORTING TEAM  
CNS California School Information System

Home

FCMAT SharePoint Site (Internal) > Jobs > Current and Recent Jobs > Escondido - 838 > Working Documents > LEA - Schedule Assignments > Check In

## Check in

Use this page to check in a document that you have currently checked out.

**Document Check In**  
Other users will not see your changes until you check in. Specify options for checking in this document.

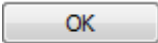
Keep the document checked out after checking in this version?  
☐ Yes ☒ No

**Comments**  
Type comments describing what has changed in this version.

Comments:

OK Cancel

Figure 13

9. Type any comments you wish to describe the editing changes that you made then click the  button to release the file so that others can work on the document and view your changes.

## ***Logging out of SharePoint***

It's always a good idea to logout of SharePoint when you are finished working. Logging out prevents unauthorized users from gaining access to the system. The steps outlined below describe the process of logging out of SharePoint.

1. Click the down pointing triangle to the right of your name in the upper right-hand corner of the screen (see Figure 14 below).

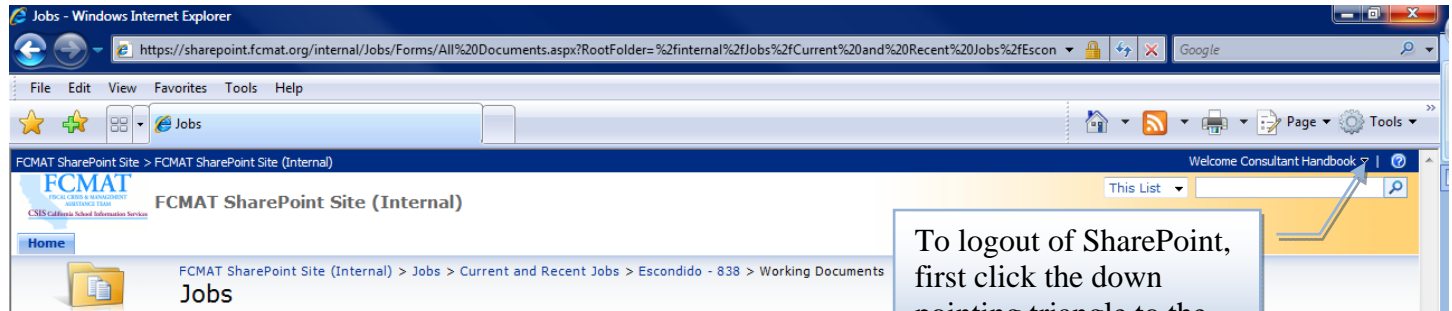


Figure 14

2. Click on the **Sign Out** option.

## **Job Management System (JMS) Invoicing Procedures**

## Job Management System

The Job Management System (JMS) provides consultants with information regarding the job(s)/review(s) they are assigned to. The JMS provides general information such as scope points and fieldwork dates. In addition, the JMS allows consultants to submit their expense claims, out-of-pocket expenses, and invoices to FCMAT.

The JMS login screen (see Figure 15 below) can be found online at:

<https://admin.fcmat.org>



Figure 15

The JMS works best with Internet Explorer. If you have pop-up blocking software installed on your system, you will need to allow pop-ups for the following domain: [admin.fcmat.org](https://admin.fcmat.org)



To log in, you will need your e-mail address (the e-mail FCMAT has on file) and your six digit vendor number. Please contact the Bakersfield FCMAT office at (661) 636-4611 if you have any problems logging into the JMS.

Once you've logged in successfully, the JMS will present the **Search for Job** screen (see Figure 16 below).

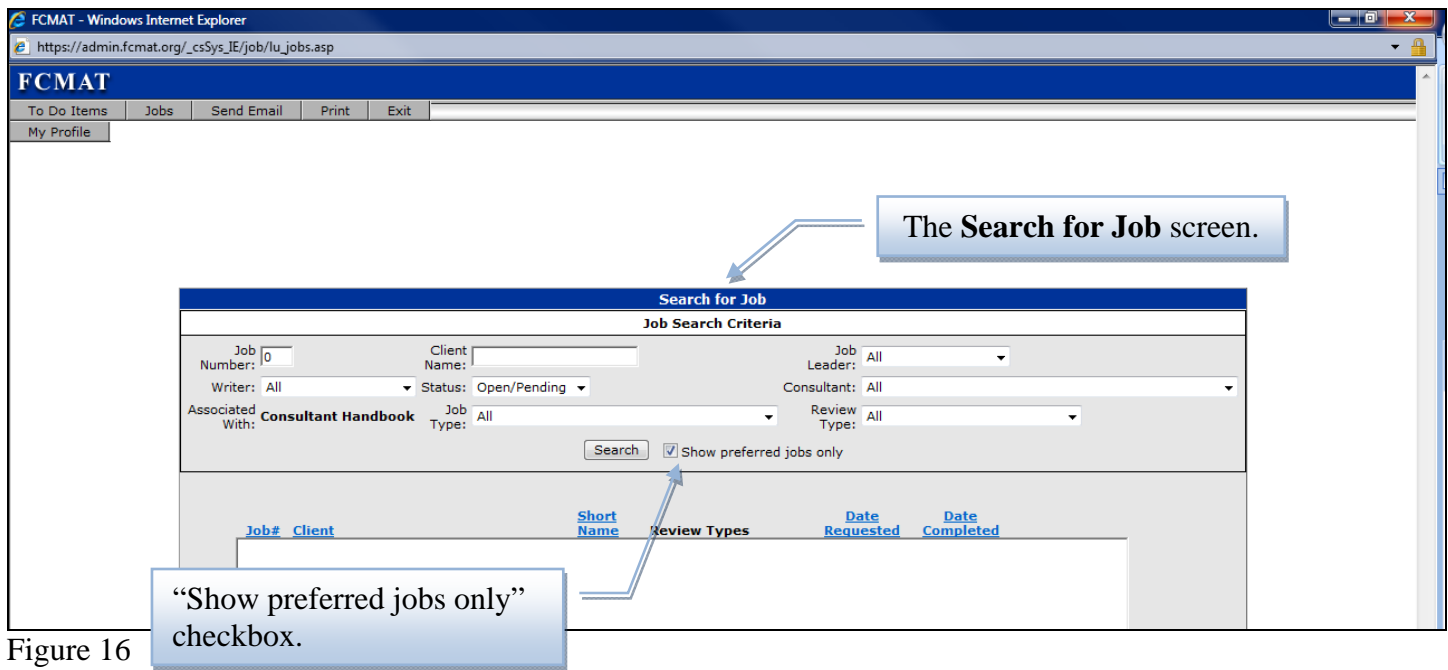


Figure 16

If you've not been assigned to any jobs yet then your Search for Job screen will be empty as it is in Figure 16 above. Alternatively, you may be assigned to one or more jobs but they are not being displayed because of the **“Show preferred jobs only”** checkbox (refer to Figure 16 above).

Over time, the list of jobs displayed in your Search for Job screen may become extensive. When this happens, the “Show preferred jobs only” checkbox can be useful by filtering the jobs being displayed down to only those you selectively indicate as “preferred”. Follow the steps outlined below to turn off the checkbox.

1. Click the checkbox at the left side of ☒ **Show preferred jobs only** to uncheck the box.
2. Click the **Search** button. In our example, the JMS responded by displaying one job in the Search for Job screen (see Figure 17 below).

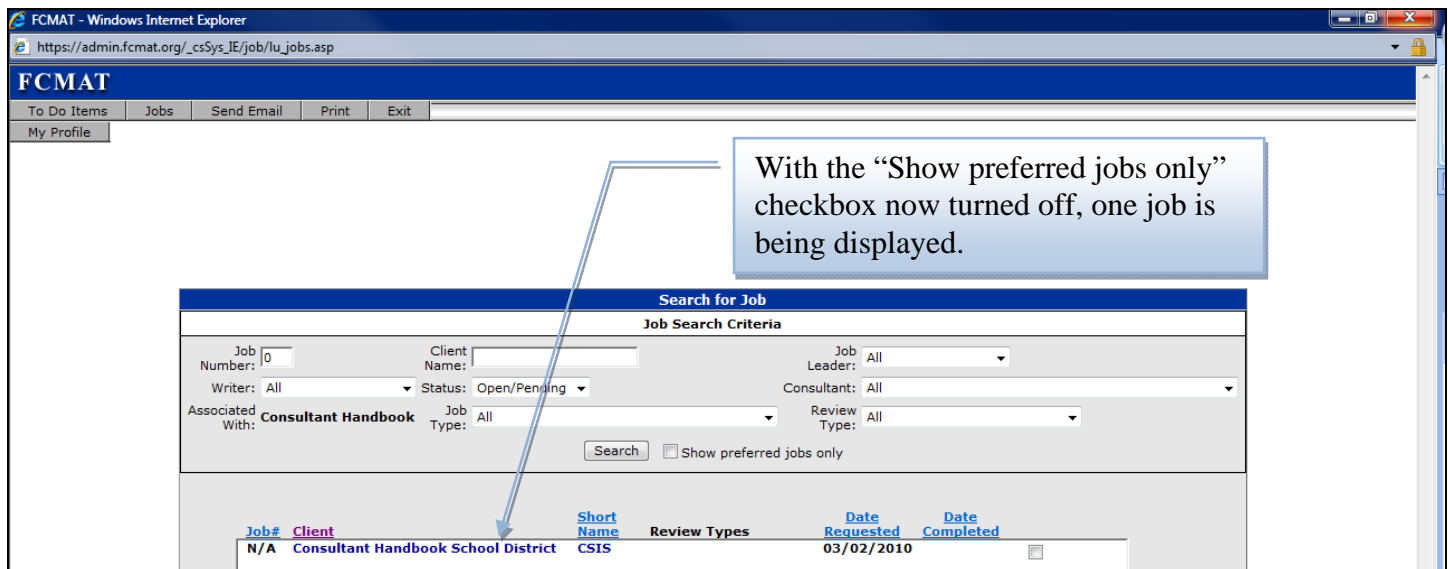


Figure 17

The result shown in Figure 17 tells us that we have been assigned to a job where the **Client** name is “**Consultant Handbook School District**”. Your screen will look different depending upon the number of jobs you are assigned to and other factors that will be explained later.

3. Click on the name of a job (if available). The JMS will respond by displaying the **Job Info** screen (see Figure 18 below).

Figure 18

Seven buttons are displayed across the top of the Job Info screen. These buttons allow the consultant to access a variety of information, submit invoices, and review the scope points associated with this particular job. The table below briefly describes each button and its associated function.

<b>Job Info</b>	Displays a variety of information regarding the client and critical milestone dates.
<b>Contacts</b>	Displays contact information of key <i>client-side</i> individuals associated with the job.
<b>Consultants</b>	Displays contact information of FCMAT team members (including consultants) associated with the job.
<b>To Do's</b>	Displays action items assigned to FCMAT staff and team members at various stages of the review.
<b>Documents</b>	Displays where documents were stored prior to adoption of SharePoint. <u>All documents</u> are now hosted on SharePoint.
<b>Consultant Invoices</b>	Displays options that allow consultants to enter expense information and submit invoices to FCMAT. This is the screen that consultants make the most frequent use of.
<b>Scope Points</b>	Displays the scope points associated with the job.

You've already seen the **Job Info** screen. The following pages will provide a closer look at the other screens.

Use of the **Contacts** (see Figure 19 below) is optional. The screen can be used to collect and display contact information for staff members of the client and their respective county office of education.

Figure 19



Please note that consultants are not to contact the client directly. All contact should be directed through the Job Leader assigned to the review. If you are contacted by the client, please refer to caller to the assigned job lead.

**Also, do not independently disclose findings and/or recommendations to the client.** Doing so may jeopardize the integrity of the report and could result in your termination from the review team and/or suspension from future FCMAT assignments!

The **Consultants** screen (see Figure 20 below) is used to identify every team member that will participate as a Job Leader, Lead Consultant, Consultant, and/or Writer associated with the job.

Figure 20

The **To Do's** screen (see Figure 21 below) displays action items assigned to FCMAT staff members. *As a consultant you will not need to access this screen.* All tasks assigned to you will be conveyed directly by the Job Leader or Lead Consultant.

Action	Type	Start Date	End Date
Generate Consultant Contracts	GeCo		03/16/10
Prepare Study Agreement	PSA		03/24/10

Figure 21

The **Documents** screen (see Figure 22 below) was formerly used to host documents such as the study agreement, consultant reports, letters, draft reports, and final report. Use of this screen has been discontinued as all of these documents are now hosted on the FCMAT SharePoint server. Please refer to the **Using SharePoint** section of this handbook for further information.

Document Name	Category	Type	Internal
---------------	----------	------	----------

Figure 22

The **Consultant Invoices** screen (see Figure 23 below) is the screen you will use to invoice FCMAT for your services. Please submit your invoices in a timely manner.

Consultant	Invoice Date	Amount	Status	Final
------------	--------------	--------	--------	-------

0.00 (NTE)  
-0.00 (Total)  
0.00 (Remaining)

View Edit Add Print Remove View History Mailing Label

Figure 23



Follow the steps outlined below to create a new invoice.

1. Click the **Add** button at the bottom of the Consultant Invoices screen to create a new invoice. The JMS will respond by displaying the screen depicted in Figure 24 below. This screen permits you to create, edit, submit, and review the history of your invoices.

#0 Consultant Handbook School District

Invoice Status: Incomplete  
Name: Consultant Handbook  
Address:  
City:  
State: CA  
Zip Code:  
Contract #:

Invoice History:

From Date	To Date	Type	Quantity	Hourly Rate	Total	Notes
-----------	---------	------	----------	-------------	-------	-------

Consultant NTE: \$0.00  
This Invoice Total: \$-0.00  
Other Invoices' Total: \$-0  
Remainder: \$0.00

Figure 24

2. Click the **Add Invoice Detail** button. The JMS will respond by displaying the screen depicted in Figure 25 below.

#0 Consultant Handbook School District

From Date:   
To Date:   
Type: ☐ Fieldwork (onsite)  
☐ Lodging (total stay)  
☐ Meals (total meals cannot exceed \$50 per day.)  
☐ Mileage  
☐ Misc (copies, fax, supplies)  
☐ Report Writing/Editing  
☐ Travel Time  
☐ Travel Expenses (car rental, air fare, parking, bridge tolls, taxi)

Quantity:   
Rate:   
Description:

Figure 25

When adding invoice detail items, please organize your receipts/expenses in the order shown below:

- a) Fieldwork time
- b) Travel time
- c) Report writing time
- d) Lodging
- e) Meals
- f) All other receipts/expenses




Please be careful when entering your time for fieldwork, travel, and report writing. Dates and hours-per-day should be accurately entered to ensure that your invoices correct. Examples are provided below.

**Correct:** 4/01/07 to 4/4/07 = 4 days

**Correct:** 4/01/07 to 4/01/07 = 1 day

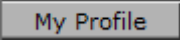
**Incorrect:** 4/01/07 to 4/07/07 = 4 days

**Note:** If you worked a fraction of a day, select the “Hours” option.

Select “Save and Add Another” after entering each item. Click the  button when you have finished entering items.



Before you can submit an invoice to FCMAT, you must first establish a password for your Digital Signature. The steps outlined on the next page will help you establish a digital signature.

1. Click the  button in the upper-left corner of the screen. The JMS will respond by displaying a screen similar to the one presented in Figure 26 below.

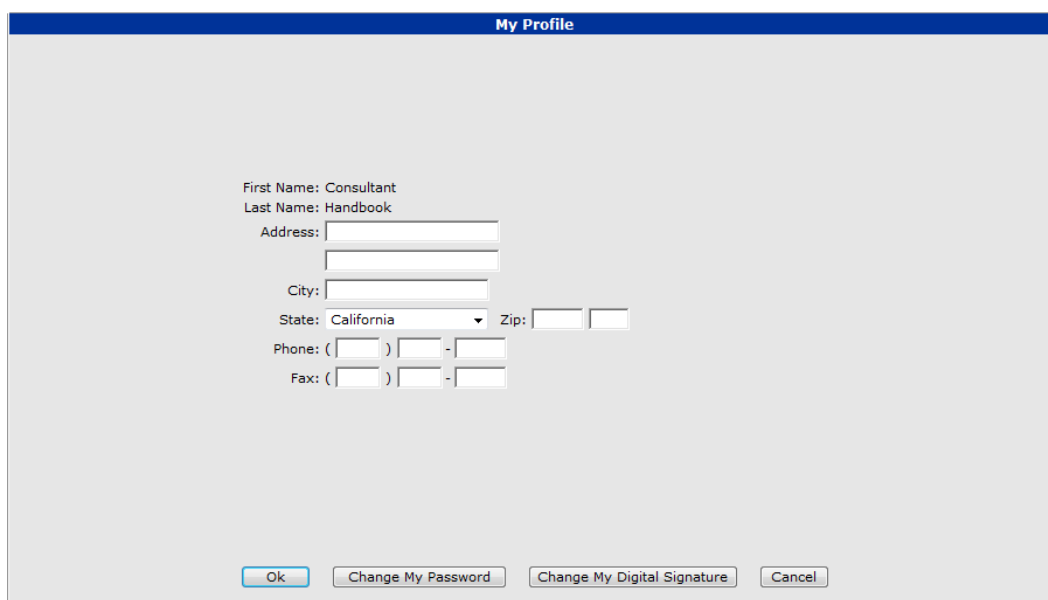


Figure 26

- Click the **Change My Digital Signature** button. The JMS will respond by displaying the screen depicted in Figure 27 below.

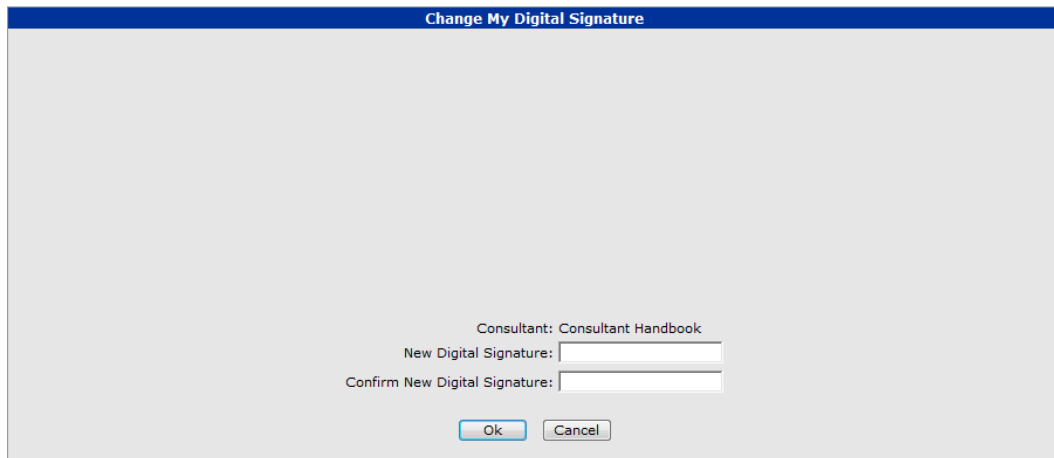


Figure 27

- Create a private digital password by entering it into the “**New Digital Signature**” input field.
- Confirm your new digital password by reentering it into the “**Confirm New Digital Signature**” input field.
- Click the **Ok** button twice. You will now be able to submit invoices now that you have created your digital signature. Please make a point to remember your digital signature because you will be prompted to enter it whenever you submit an invoice requesting payment from FCMAT.

Finally, the **Scope Points** screen (see Figure 28 below) is used to create and edit the scope points associated with the review.

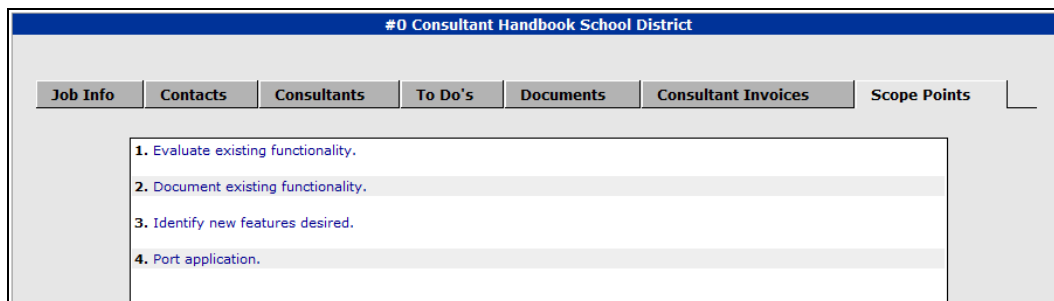


Figure 28