

January 13, 2016

Linda Wagner, Ed.D., Superintendent
Anaheim City School District
1001 S. East Street
Anaheim, CA 92805

Dear Superintendent Wagner:

The purpose of this letter is to provide the Anaheim City School District with an update regarding progress made in addressing the recommendations identified by the Fiscal Crisis and Management Assistance Team (FCMAT) in its final report dated February 12, 2014.

In August 2013, the district entered into an agreement with the Fiscal Crisis and Management Assistance Team (FCMAT) for a study to perform the following:

Conduct an organizational, staffing and efficiency review of the district's facilities and maintenance operations, including grounds and custodial operations.

- a. Provide comparative staffing data for districts of similar size and type and make recommendations to improve operational efficiencies that may reduce district costs. The comparison will include at least three comparable school districts and may include those utilized in collective bargaining by the district.
- b. Review job descriptions for all facilities and Maintenance Department positions, evaluate capacity, scheduling, efficiency and functions, and make recommendations for staffing and operational improvements. Include estimated calculated values for any proposed position reductions or enhancements to the organizational structure.
- c. Evaluate the operational work flow of each departmental function for the facilities and maintenance areas and make recommendations for improved efficiency and standard industry practices, if any.
- d. Review and make recommendations for the proposed position of energy manager, which is to assist in the development and monitoring of energy efficient projects. The position is proposed to be funded from Proposition 39 funds approved by the voters in November 2012. Proposition 39 provides funding for energy efficient projects and to create clean energy jobs.

The report issued in February 2014 provided a number of recommendations for the operational areas identified in the scope of work.

FCMAT

Joel D. Montero, Chief Executive Officer

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FCMAT revisited the district on November 19 and 20, 2015 to collect data, conduct interviews and review supporting documentation to evaluate the district's progress on implementing recommendations contained in the February 2014 report. The following comments summarize the district's progress.

Maintenance

Recommendation

1. Reorganize the Maintenance Department with traditional classifications of general maintenance work and skilled maintenance workers.

Status: In Progress

The district has partially implemented the recommendation. The plumber position is now supervised by the supervisor of maintenance and operations who supervises all maintenance trades workers. However, the five general maintenance workers are still supervised by the other supervisor of maintenance and operations, who has responsibility for custodians and grounds.

Recommendation

2. Designate supervisors as either maintenance or operations/grounds, but not both.

Status: Not Implemented

The district has no plans to implement this recommendation; the district feels that it is important to promote the cross training of supervisors for coverage. The district wishes to retain flexibility to direct maintenance, operations and grounds staff using either supervisor.

Recommendation

3. Ensure that concerns are addressed through the supervisory structure and not directly to upper levels of governance.

Status: In Progress

The maintenance and operations director has had discussions with the entire maintenance and operations crew regarding span of control and chain of command. The district plans to provide more training regarding the basics of organizational theory. A change in the composition of maintenance and operations staff and the district's governing board has also resulted in fewer concerns not being channeled through the chain of command.

Recommendation

4. Train staff so that the evaluation process is consistent and meaningful. The evaluation form should be revamped to include a greater rating span.

Status: In Progress

Both supervisors of maintenance and operations plan to work with the Human Resources Department and the Classified School Employees Association (CSEA) to consider revamping the evaluation form. This will require a significant commitment of time from the assistant superintendent of human resources.

Recommendation

5. Continue morning meetings and work order accountability procedures, and add a brief afternoon meeting to verify all staff are accounted for and safe.

Status: In Progress

The recommendation is partially implemented. The district will continue morning meetings but does not currently see a need for afternoon briefing. The district is, however, considering providing training to maintenance and operations staff during afternoons. The district will continually assess the need for an afternoon meeting.

Recommendation

6. Continue conducting weekly safety meetings and assigning staff to present safety topics. More hands-on safety training and equipment safety training should be added.

Status: Implemented

The district continues to hold weekly safety meeting and has worked with the Alliance of Schools for Cooperative Insurance Programs (ASCIP) – its property and liability insurance provider – to provide quarterly safety meetings. The Maintenance and Operations Department has also provided weekly safety trainings to its staff. The department has access to and uses an extensive catalog of safety videos; however, more hands-on training should be provided to maintenance, operations and grounds personnel.

Recommendation

7. Consider requiring and supplying steel-toed boots for maintenance and grounds personnel.

Status: In Progress

The maintenance and operations safety committee held two meetings to discuss this topic before asking for an independent assessment of the need for steel-toed boots for maintenance, operations and grounds personnel. An independent evaluation provided by Pom & Associates stopped short of recommending steel-toed boots; however, it did recommend that the positions of gardener, mechanic, maintenance worker, electrician, painter, warehouse operator, and HVAC & refrigeration mechanic may require personal protective equipment, including foot protection, to protect them from crushing from falling objects or rolling cylinders, puncture from sharp objects, burns from molten metal or hot surfaces, skin contact or burns from chemicals, and slips and falls on wet or slippery surfaces. The district should evaluate each job classification in the maintenance, operations and grounds department, using the criteria established in Title 8, Section 3385 of the California Code of Regulations, to identify which positions should be provided with the appropriate foot protection.

Recommendation

8. Find alternative means for storage of long-term, bulk items such as carpet. The district should investigate using the storage in its warehouse system or work with supplying vendor to store stock in the vendor warehouse.

Status: Implemented

The district orders carpet and other long-term bulk items on a just-in-time basis. Occasionally, carpet will be left over from a modernization project and will be stored until such time that the maintenance and operations department needs it for a minor project.

Recommendation

9. Hire a low-voltage technician to address new energy management systems issues as well as alarm and other low-voltage systems in the district.

Status: Implemented

The district has hired a low-voltage technician.

Recommendation

10. Consider hiring one additional HVAC technician.

Status: Implemented

The district has hired an additional HVAC technician.

Recommendation

11. Ensure that management is the primary contact when working with work order requestors to determine the feasibility and costs of projects as well as communicating whether the work order can be completed.

Status: Implemented

School sites have access to the Order Processing and Requisition Accelerator (OPRA) automated work order system. However, only system administrators can authorize the processing of work orders through the system. The district previously had 12 employees who had administrator privileges on the OPRA system. The maintenance and operations director has reduced this to four. This has greatly streamlined the flow of communication between the work order initiator and the maintenance department and the effectiveness of the work order system.

Recommendation

12. Develop a more efficient work order feedback system, exploring staff use of digital devices for entering work order data.

Status: In Progress

The maintenance and operations department has purchased and furnished twenty Chromebooks for staff to enter work order data, including the cost of labor and materials for each work order assigned, and for the assignees to provide updates on the status of each work order. Timely submission of data by the assignee enables the maintenance and operations director to review whether a work order has been completed.

Recommendation

13. Clarify in writing the protocol for purchasing supplies and the limits for notification versus the limits for requiring competitive quotes.

Status: Implemented

The director of maintenance and operations provided FCMAT with the maintenance and operations administrative rule based on Board Policy 3300 dated July 1, 2014. This administrative rule indicates that maintenance and operations department personnel are directed to secure approval from their supervisor or the director for all expenses of \$500 or more before committing funds or purchasing materials and services. Department personnel are required to provide a minimum of three quotes before incurring cost to the district.

Recommendation

14. Ensure department directors have a cooperative relationship and are unified when working with and within their departments.

Status: Implemented

The assistant superintendent holds monthly joint directors' meetings with Facilities and M&O directors to facilitate improved collaboration. This has greatly increased collaboration and fostered a sense of teamwork between the Maintenance and Operations and Facilities departments.

Recommendation

15. Ensure maintenance leadership is included in facilities planning, construction, and completion, and does not supplant the proper completion tasks of contractors.

Status: Implemented

The Maintenance and Operations Department management are regularly invited by the facilities planning and construction staff to review plans and specifications prior to projects being bid for construction.

Recommendation

16. Develop and adhere to district furniture and equipment standards. Deviations should be the result of discussions between Facilities Department and Maintenance Department leadership.

Status: Implemented

Improved communication and collaboration between the Facilities and Maintenance and Operations departments ensures that deviation from district furniture and equipment standards does not occur in the future.

Custodial (Operations)

Custodial Supervision

Recommendation

1. Continue to ensure clear roles of supervision are communicated to lead custodian and custodian positions.

Status: In Progress

The newly hired supervisor of maintenance and operations is meeting with the custodial staff of each school site to provide support and to improve the flow of communication, establish expectations, and hold them accountable for work performed.

Recommendation

2. Continue to promote communication between the maintenance and operations supervisor and the site administration to support consistent oversight and reasonable expectations.

Status: In Progress

The district has hired a lead operations custodian who has responsibility for all night custodians who work from 1 p.m. to 10 p.m. This has vastly increased communication between the day and night custodians and has provided much needed accountability between the two groups.

Custodial Job Descriptions

Recommendation

1. Regularly review and update custodial job descriptions to ensure they are current and relevant.

Status: In Progress

A review of custodial job descriptions shows that the descriptions for these positions have not been updated since 2000. Both supervisors of maintenance and operations plan to work with the Human Resources Department and the Classified School Employees Association (CSEA) to update them. This will require a significant investment of time from the assistant superintendent of human resources.

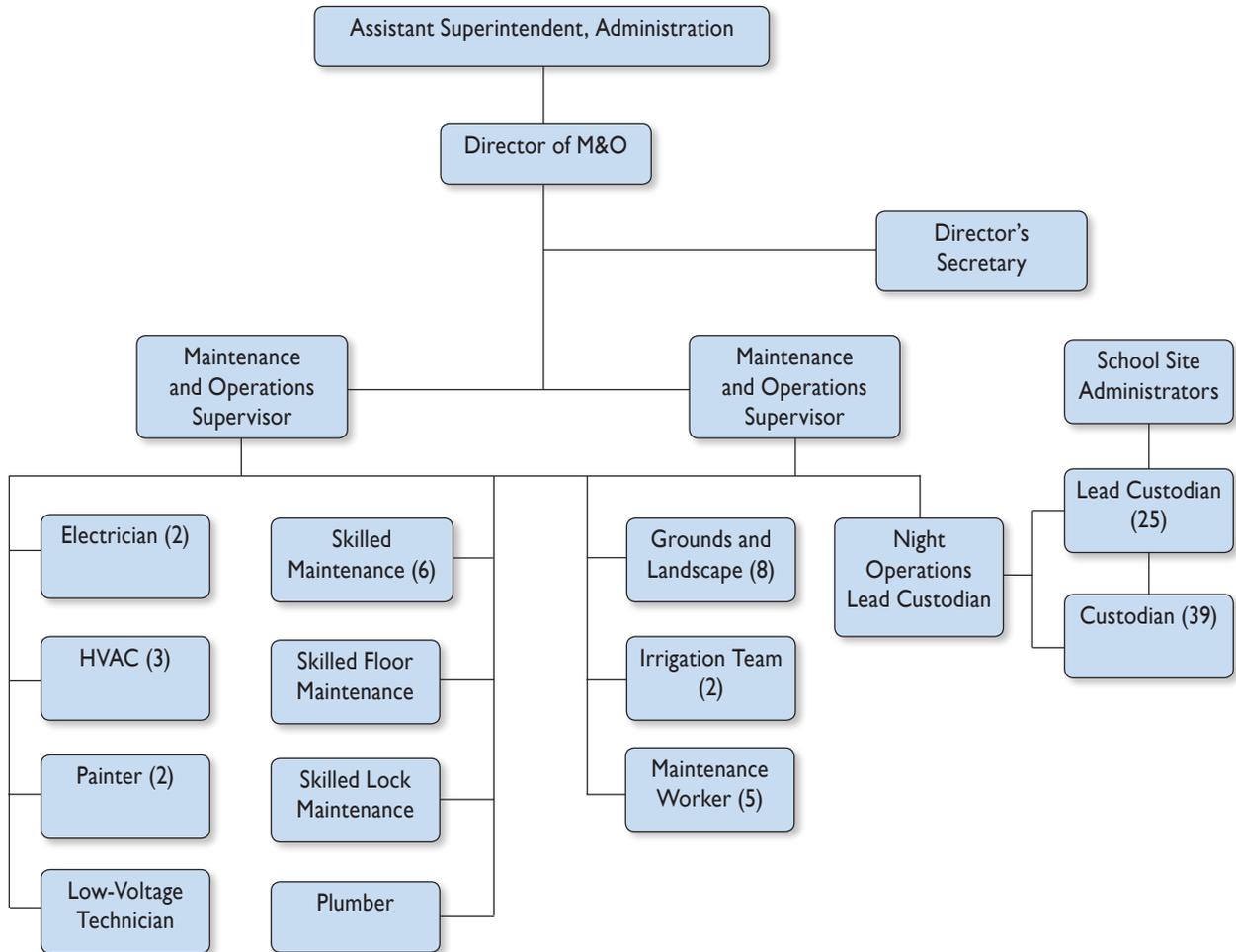
Recommendation

2. Regularly review and update the maintenance and operations organizational chart to reflect current chain of authority.

Status: Implemented

The Maintenance and Operations Department has updated its organizational chart to reflect the current span of control of each supervisor, the chain of command between supervisors and subordinates and the relationship between line and staff authority. The updated organizational chart should be posted to the department's page on the district's website:

**Maintenance & Operations Department
2015-16**



Custodial Procedures

Recommendation

1. Implement one of the following:
 - Develop and maintain comprehensive custodial procedures as part of the maintenance and operations manual.
 - Review, update, and date the Custodial Handbook so that it indicates the most recent review or revision.

Status: In Progress

The district's newly hired supervisor of maintenance and operations is in the process of creating an entirely new custodial handbook. The handbook is in draft form. When completed, the custodial handbook will serve as a guide to custodians, principals, and teachers as to the duties and responsibilities of

the district's custodians. In doing so, the handbook will set a new standard in which the performance of custodians may be measured.

Custodial Scheduling

Recommendation

1. Continue to ensure detailed custodial schedules are developed for each site and for each custodial position.

Status: Implemented

FCMAT has reviewed the custodial scheduling for most district sites. The schedules were developed uniquely for each site, but are consistent in content and structure. They include start and end times, lunch and break times, and are specific to within 5- to 10-minute increments in listing the duties to be performed from opening to closing school grounds each day. The schedules list the areas that should be cleaned each day and reference campus maps indicating areas that are cleaned rotationally every week. The schedules also include other duties such as Monday morning checks for weekend vandalism and monthly checks of fire extinguishers and roofs. Some schedules include deep and periodic cleaning work that is to be performed if time allows.

The schedules reviewed all contained common items such as security, safety, and priority/daily cleaning tasks, but were adjusted to the specific needs of each site. Sites' opening and closing procedures intensity; number of restrooms, classrooms, etc.; and sites' age, layout, and construction all contributed to differences in site custodial needs and influenced schedules.

Recommendation

2. Regularly review and update the schedules to meet changing needs of the site.

Status: In Progress

The district's newly hired supervisor of maintenance and operations is reviewing each custodial schedule and making changes as necessary.

Recommendation

3. Develop a master custodial template for use throughout the district to help sites develop, edit, and archive their schedules.

Status: In Progress

The district's newly hired supervisor of maintenance and operations is creating a master custodial template.

Custodial Standards

Recommendation

1. Develop and adopt acceptable standards and expectations of cleaning.

Status: In Progress

The draft custodial handbook establishes an exhaustive number of cleaning standards for custodial staff. The standards identify both the areas of school campuses to be cleaned and the frequency that cleaning

should occur. The handbook also identifies the cleaning techniques to be used in different areas, including classrooms, halls, stairways and landings, elevators, bathrooms, offices, entryways, (serving) kitchens, cafeterias and multipurpose rooms/auditoriums.

Recommendation

2. Communicate the acceptable standards and expectations to the staff.

Status: In Progress

The draft custodial handbook is a vehicle for communicating cleaning expectations to staff. In its final form, the custodial handbook will serve as a reference document for custodians, principals, teachers and managers as to whether district custodians are performing to district custodial standards.

Custodial Staffing

Recommendation

1. Establish districtwide standards and expectations for custodial functions considering available funding and the desired level of cleaning.

Status: In Progress

The draft custodial handbook establishes an exhaustive number of cleaning standards for custodial staff. The standards identify both the areas of school campuses to be cleaned and the frequency that cleaning should occur. The handbook also identifies the cleaning techniques to be used in different areas, including classrooms, halls, stairways and landings, elevators, bathrooms, offices, entryways, (serving) kitchens, cafeterias and multipurpose rooms/auditoriums.

Recommendation

2. Staff custodial to meet level 3 cleaning expectations.

Status: Implemented

The district staffs at or above level 3 cleaning standards.

Recommendation

3. Routinely re-evaluate the standards and expectations, and staff accordingly.

Status: In Progress

The district's draft custodial handbook indicates that the handbook is a work in progress. As improvements in custodial techniques and methods become apparent, certain aspects of the handbook will be revised.

Custodial Cooperation

Recommendation

1. Encourage cooperation and teamwork between work classes.

Status: In Progress

The new supervisor of maintenance and operations is attempting to foster teamwork between the general and skilled maintenance workers by ensuring that general maintenance workers have the opportunity to

increase their skills by working on a limited basis in skilled maintenance worker positions. For example, the newly instituted “out of class program” enables general maintenance workers assigned to the grounds crew to work with the skilled maintenance crew as painters on a voluntary basis and receive out of class pay for a limited duration. In return, gardeners may backfill for the general maintenance workers during this period of time and also receive training in general maintenance and earn out of class pay. In this respect, both groups have the opportunity to learn something new and receive out of class pay. The out of class program has also saved the district money by eliminating the need to contract out for certain painting projects.

Recommendation

2. Promote communication between employee groups concerning levels of service satisfaction and expectations.

Status: In Progress

The new supervisor of maintenance has started to work on increasing collaboration among the maintenance, operations and grounds employees by fostering understanding of each other’s jobs. He has also started to rotate assignments among staff within each department.

Recommendation

3. Support the most efficient use of district resources through cooperative efforts to provide an environment that is clean, safe, and conducive to learning.

Status: In Progress

Although great strides have been made in collaboration between the maintenance, operations and grounds departments, there is still a long way to go. The FCMAT review cited specific examples of cooperation between members of the district’s maintenance and operations staff, and instructional staff can greatly increase the efficiency of custodial efforts.

One example is for teaching staff to leave their classrooms in order by straightening furniture, collecting large pieces of rubbish, and avoiding the placement of fluids in trash receptacles. Because this does not always occur, custodians were observed spending twice the amount of time preparing to clean classrooms as they did on the actual cleaning. Another example is having maintenance and grounds personnel eliminate or minimize the clutter left from performing a repair job. This can be easily accomplished by placing a tarp to catch trimming debris or avoid blowing grass onto the sidewalk, greatly reducing the work of the custodian.

Grounds

Recommendation

1. Consider adopting the Florida Department of Education grounds maintenance staffing formula or other models as a general guideline for adding or reducing grounds maintenance personnel.

Status: Not Implemented

The newly hired supervisor of maintenance and operations had been in his position less than a month at the time of FCMAT's follow-up review. He has spent much of his first month observing the custodial and grounds staff and focusing on improving custodial operations. He indicated that he will spend the next month or so concentrating on staffing, scheduling and other improvements in the Grounds Department.

Recommendation

2. Reassign the plumber to the Maintenance Department to align the maintenance function of plumbing with the department's organizational structure.

Status: Implemented

Recommendation

3. Either reassign the four maintenance workers from grounds to maintenance and have them perform maintenance duties, or reclassify them as grounds keepers with duties related to grounds.

Status: Not Implemented

Recommendation

4. Establish a schedule for the grounds crew to rotate among school sites and adhere to it until all schools are completed.

Status: Not Implemented

The newly hired supervisor of maintenance and operations had been in his position less than a month at the time of FCMAT's follow-up review. He has spent much of his first month observing the custodial and grounds staff and focusing on improving custodial operations. He has indicated that he will spend the next month or so concentrating on staffing, scheduling and others improvements in the Grounds Department.

Recommendation

5. Limit the frequency that grounds keepers are taken from their assigned duties to perform other functions.

Status: Not Implemented

Recommendation

6. Enable the irrigation specialist to review landscape architect plans to ensure that the grounds crew has the financial resources and technical expertise to maintain irrigation systems and vegetation proposed in the plans.

Status: Implemented

This appears to be occurring as a result of the increased cooperation between the Maintenance and Operations and Facilities departments. The supervisor of maintenance and operations may want to expand this review to include gardeners to review the types of turf, plants and trees specified in landscape architecture plans.

Recommendation

7. Standardize irrigation components, such as sprinklers and controllers, so that the grounds crew is not required to stock and maintain several different systems.

Status: In Progress

The implementation of this recommendation will take time as older irrigation components become obsolete and newer ones are used for replacement or are specified in new projects. The supervisor of maintenance and operations is aware of the recommendation and will seek opportunities to standardize irrigation components wherever possible.

Recommendation

8. Establish a grounds equipment replacement budget based on the life cycle of grounds equipment, especially the large riding mowers.

Status: In Progress

The supervisor of maintenance and operations is taking inventory and evaluating the condition of the department's equipment and vehicles. The supervisor is aware that two of the district's riding mowers are at the end of their life expectancy and he is exploring the option of leasing a riding mower rather than having the district incur a large capital expense for the purchase of a new mower.

Recommendation

9. Stagger the purchases of grounds equipment so that the district can budget for equipment replacement over several years and the various pieces of grounds equipment do not reach the end of their life cycles at the same time.

Status: In Progress

The supervisor of maintenance and operations is taking inventory and evaluating the condition of the department's equipment and vehicles. This is the first step in establishing a life-cycle equipment replacement budget.

Facilities

Since the February 12, 2014 FCMAT report, the Facilities Planning and Construction Department has undergone significant personnel change. Fully 100% of management staff have retired, resigned or otherwise left the district since 2013. Only the two facilities technician line staff positions have not changed, and at the time of the FCMAT follow-up visit in November 2015, one of the facilities technicians was transferring to another department. This leaves only one employee who has remained in the department over the past 2 to 2.5 years. Besides the director, who has been in place since September 2014, and the construction manager (independent contractor) since January 2015, the assistant director and supervisor of construction projects have been in the district only since September/October 2015.

Because of this significant staff turnover, several of the original FCMAT recommendations have not yet been implemented. Staff and management report that it is a work in progress and they intend to continue with the implementation of the recommendations and overall department operations improvements.

Staffing

Recommendation

1. Change the maintenance and operations supervisor - supervisor of construction title to supervisor of construction, transferring the position from the Maintenance Department to the Facilities Department to reflect actual operations.

Status: Implemented

Upon the retirement of the previous maintenance and operations supervisor - supervisor-construction, this position's title was changed to supervisor of construction projects and the position was moved from Maintenance to the Facilities Department. The new organizational chart and interviews show this position reporting directly to the contracted construction manager. The job description states that the position reports to the director of facilities. The district should ensure that the employee and department understand that the supervisor of construction projects reports to the director of facilities and is evaluated by the director, but that he works to assist and as a team with the contracted construction manager. Communication between the director and the construction manager is vital to smooth operations without confusion on direction to the employee.

Recommendation

2. Review IRS guidelines regarding employees versus independent contractors to ensure that it is not exposed to federal employment taxes if the IRS deemed that the project managers are employees.

Status: Implemented and May Need Periodic Review

The district reports that IRS guidelines were reviewed by the previous assistant superintendent and Fiscal Services in 2014, and they are satisfied that the construction manager position is appropriately deemed a contracted position. If desired, the district's new assistant superintendent may wish to confirm this periodically under current IRS guidelines to limit the district's exposure to additional taxes, fines and penalties.

Recommendation

3. Transfer all accounting/payment processing duties, including those associated with the Colbi Account-Ability system as well as other accounting processing duties, to the facilities technician under the supervisor of construction.

Status: Not Implemented

The district reports that to provide cross-training and ensure coverage during vacations, both facilities technicians continue to be responsible for Colbi accounting system input: one for construction and one for planning and similar expenditures. Staff reported that this division of duties has enabled the director to review the input activities and effectively monitor and correct data input errors.

Staff reported that eventually the facilities technician in the construction area will take the lead on the Colbi system. There were two Colbi training workshops, one in the spring and one in the fall. Both facilities technicians as well as the director and an employee from Fiscal Services have attended some Colbi training workshops, but it was reported that one workshop was not attended because of a high departmental workload. Both facilities technicians, as well as Fiscal Services personnel, should attend both the fall and the spring Colbi workshops and leave adequate time in the calendar for consistent attendance. Staff reported that the workshops were valuable for the departments to learn the system, get questions answered, and discuss any customizing of the system so the district gets the best value for the fees it pays for the system.

The facilities technician with planning vendor responsibility was transferring to another department in late 2015. The district should ensure that the job description is reviewed and updated. The updated job description should include the requirement to either be familiar with or become trained and proficient on the Colbi system within a set period of time. It should include knowledge and comfort working with, or required training for, automated databases and the district's accounting system. This should include familiarity with the online manual and text message helpdesk to save costs that are incurred when the district calls Colbi for assistance.

Recommendation

4. Change the duties of the facilities technician under the director of facilities so that they focus on providing the director with administrative assistance.

Status: Not Implemented

The department's organizational chart shows three facilities technicians and does not include an administrative assistant (AA). With the transfer of one of the facilities technicians, staff reports that a temporary district substitute is to be hired until a new facilities technician can be hired, with the possibility of utilizing the substitute as a de facto AA to evaluate whether a part-time or full-time AA is needed.

Previously, the facilities technicians were not empowered or trained adequately to do technical work. Management and staff reported that they are now more involved in the projects, including bid openings, public outreach meetings, and due diligence of invoices. This higher level of technical training and responsibilities should continue.

Recommendation

5. Train the facilities technician under the director of facilities in the areas of facilities through CASH and CASBO workshops.

Status: Partially Implemented

Both staff and management report that the facilities technicians have received more training since the original FCMAT report. The trainings include some county office of education seminars, a few regional or local CASH workshops, and some training with vendors or company representatives providing information on facilities and maintenance products and systems.

However, it was reported that the CASH annual conference was not attended, nor were CASBO workshops or conferences. In addition, it appeared that some trainings were planned but not attended because of workload and deadlines. With the recent additions of the assistant director and a possible administrative assistant, the trainings and workshops should be more consistently planned for and attended. Staff should also provide follow-up debriefing reports from workshops and conferences and should share any paper and electronic handouts and materials with the entire department at departmental meetings.

Recommendation

6. Transfer the duties of providing clerical/administrative assistance to the citizens' oversight committee from the secretary of the chief business officer to the facilities technician under the director of facilities.

Status: Not Implemented

The office of the assistant superintendent of business administration will continue to provide citizens' oversight committee (COC) reports that come from several departments. The Facilities Department will continue to provide reports and information for the COC agenda packets as needed, including budget reports and construction project updates.

Note: Staff reported that some members of the two COCs have served on the committees for longer than the required maximum of three terms of two years each, for a total of six years.

The district should conform with the term limits for COC members to provide transparency and confidence with the community and taxpayers that Proposition 39 requirements are being met.

Recommendation

7. Assign the contracted construction managers with tasks related to developing district design standards, plans and specifications while working with the architects, architect agreement, training and project turnover procedures, and other related programwide facilities.

Status: In Progress

As part of the significant organizational chart and personnel changes that the Facilities Department has undergone since the original FCMAT report, an assistant director position was created in 2014-15 and filled for the first time in October 2015.

The assistant director is responsible for managing, planning and coordinating tasks and activities in the areas of demographics, planning, design, funding and construction, under the supervision of the director.

At the time of the FCMAT follow-up report, the assistant director reports working on the planning and design processes, including due diligence and quality control on plans and specifications; managing the procurement of architect/engineering services; contract negotiation and administration; payment due diligence; and management of the bidding process.

The Facilities Department is collaborating with the Purchasing Department to standardize agreements across the two departments for consistency and to ensure the contracts protect the district's interests.

The assistant director position is establishing new processes and procedures for planning and construction projects, including during planning and design through procurement of professional and construction services. He uses request for proposal and request for qualifications processes as well as public works projects competitive bidding. It is important for these new processes and practices to be memorialized into department operations and procedures manuals so these processes become familiar to other department staff.

One of the early focuses of the assistant director is to organize plans and specifications of past projects, including plan room organization, document filing and electronic digitizing.

The district's design standards that previously resided in three binders on a shelf have now been scanned into PDF electronic documents on the district's network. The district's design standards will be updated as part of the Facilities Master Plan update process with outside planning and architectural firms that were recently hired. The intent is that the standards will be updated through input from several sources, including meetings with maintenance and operations staff and management. The district facility standards have not yet been approved by the governing board. Once they are updated as part of the Master Plan process, they should be approved by the board and incorporated and enforced in the architect/engineer service agreements.

The assistant director reported that the new facilities design standards will be incorporated into all future projects as needed, referenced in the architect/engineering professional services agreements and given to the design team. The plans will be more extensively reviewed at each planning phase and the construction manager/plan holder should be the sign-off on the requests for substitutions after review and recommendation by the design team.

The director, assistant director and maintenance director will be given the construction documents, including addenda, at every planning phase. The maintenance director will provide a set of plans and specifications in the Maintenance Department, and maintenance staff should be provided adequate time to review the plans. Each trade shop in the Maintenance Department may be asked to physically sign off on the plans.

On submittals, both the Facilities and Maintenance departments will be given deadlines to review and provide comments on the submittals to be returned to the construction manager and then to the design team.

Staff reported that new processes to develop the specifications and substitution requests were piloted with the recent Stoddard project. M&O staff input was used to develop the Stoddard specifications, comments were recorded, and the intent is that the documents will reside as Google Docs that will be updated with lessons learned. All of these new processes and procedures need to be recorded into procedures manuals and distributed to staff, with staff trained to use the processes and the processes adhered to on future projects.

Staff reported that the substitution request process (no less than 10 days prior to bid opening is one provision) needs to be approved by the governing board and then incorporated into the standard bid documents.

Recommendation

8. Transfer project management for large bond projects to the contracted construction managers.

Status: Implemented

Large bond project construction management is assigned to the construction manager. Since the original FCMAT report, the district has undergone significant improvements in the organizational chart and staffing in the Facilities Department, including a clarification of responsibilities of construction manager and those of the supervisor of construction projects employee.

Recommendation

9. Transfer the DSA closeout responsibility to the supervisor of construction.

Status: Not Implemented

Because the newly hired supervisor of construction projects is relatively inexperienced in public works projects, the construction manager handles this responsibility. The new DSA project closeout process, using the DSABox online procedures, should assist greatly in closing out current projects.

DSA certification and closeout of older projects should be overseen by the assistant director and performed by the construction manager and assistant director, as workload and schedules allow. The supervisor of construction projects should be trained in this area as well as in the new box procedures for current projects.

Recommendation

10. Transfer supervision of the contracted construction managers to the director of facilities.

Status: Implemented

Per the Facilities Department organizational chart below, the contractor construction manager now works under the director of facilities.

Recommendation

11. Assign smaller, nonbond project management to the supervisor of construction.

Status: Implemented

The previous joint maintenance/facilities construction supervisor position has been changed to the construction manager (now one position/one firm), who oversees the supervisor of construction projects, who handles the smaller and nonbond projects at this time. The employee filling this position is inexperienced with public works projects and should continue to shadow the construction manager position. Because this position is responsible for multimillion-dollar projects, the district should provide additional training to this employee (including CASH workshops), specifically in public school facilities projects laws and regulations, and should require that he report frequently and in detail to the construction manager on all project activities.

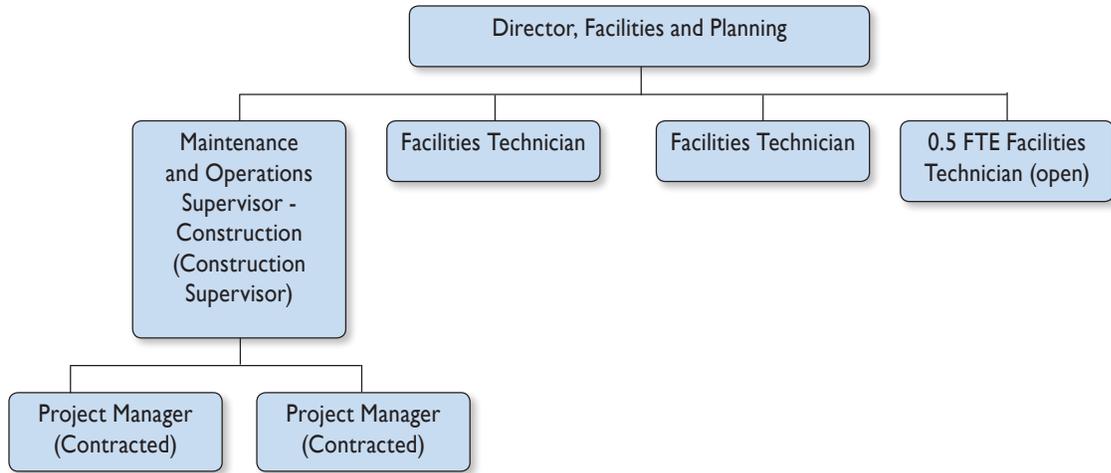
Recommendation

12. Develop written procedures for moving in and out during modernization projects, to be overseen and developed by the supervisor of construction.

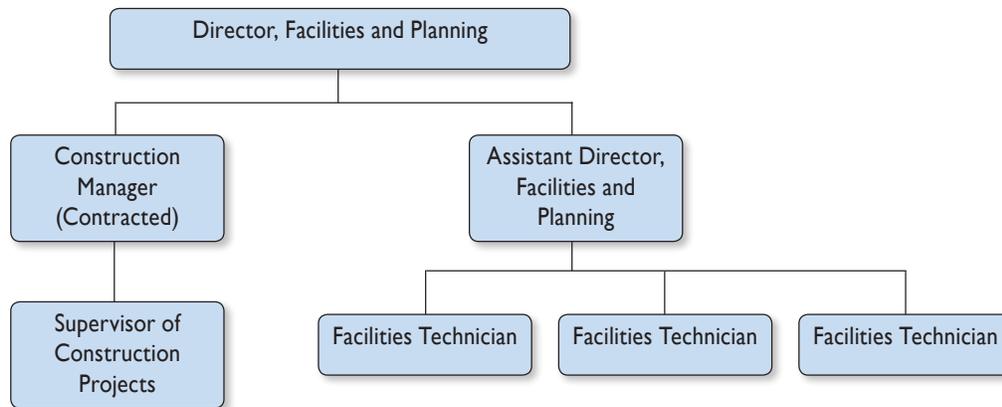
Status: Not Implemented

Projects in the works as of November 2015 do not include large modernization projects that would require complex move-in/move-out procedures, but because of the past miscommunications and problems, these processes should be completed well ahead of any future projects.

**Facilities Planning and Construction Department
Full Previous Organizational Chart**



**Facilities Planning and Construction Department
New Organizational Chart**



Interpersonal Relationships

Recommendation

1. Enforce professional behavior among all levels of management in the Facilities and Maintenance departments with strong disciplinary consequences for noncompliance.

Status: Implemented

Professional behavior norms are communicated and enforced through semi-monthly management meetings with department heads and the assistant superintendent. Facilities and maintenance management also regularly meet, and a positive collaborative climate with professional behavior is being built among all departments.

Facilities management reports that all affected departments are written into construction project schedule milestones, including the energy manager, educational services and maintenance.

Recommendation

2. Train the directors of maintenance and facilities to improve communication and collaboration. This could be facilitation and training in communication and collaborative techniques through a third-party facilitator/trainer.

Status: Implemented

Newly hired staff were brought on with the expectations of high level of communication and collaborative techniques, as enforced by the assistant superintendent. These staff members are instituting regular written and verbal communications. Employee and department handbooks and best practices guidebooks should be written to institutionalize the new communication and collaboration methods.

Recommendation

3. Develop a space use review of facilities/maintenance, and make changes if needed. This should be accomplished through the collaborative efforts of the directors of maintenance and facilities.

Status: Implemented

The problem has been resolved through collaboration between the facilities and maintenance directors, and space is being used more effectively. There is now open meeting space on the first floor, and the upstairs conference room is now shared between the two departments. During the FCMAT interviews, it appeared that additional space is used as plan and document storage; any proposed change in the space utilization should be decided in collaboration between the two departments and not undertaken unilaterally.

Recommendation

4. Through the collaborative efforts of the directors of maintenance and facilities, develop a protocol for the implementation of new project requests, including those that are smaller, site-requested, and rely on volunteers.

Status: In Progress

The Maintenance and Facilities departments are beginning the implementation of the OPRA work order system not just for maintenance projects, but for all projects and facility needs requests from principals and other parties.

The plan is for school site principals to input all facility requests into the OPRA work order system. The director of maintenance would then screen the request and assign it either as a facilities item or a maintenance item, using DSA requirements as one criterion. The maintenance director would then create a list of items that are not maintenance-related or are small capital projects. He would bring the list to the semi-monthly directors' meeting. Either the assistant superintendent or the Cabinet would approve the project. At the directors' meeting, funding, costs, timeline and prioritization would be discussed. Decisions about each project would then be followed up by communicating to the school principal.

This is a new system, and staff reported that no project for the Facilities Department has been approved through this system yet.

Issues and questions remain on the roll-out of this process, including who has access to a master list of projects, how completed items and items in progress are shown, the method for assigning projects to either the Maintenance or Facilities departments, how the district's Technology Department processes requests, and how to manage expectations from school site principals about whether simply inputting a request into the system means that it will be done eventually or how it will be prioritized. Also, there are questions on how to assign a number and how staff will know whether the project is completed or not. Additional training and practice on the new system are needed to maximize effectiveness. Overall, staff believe it is a positive change and needed improvement and will serve to demonstrate to the school sites that their facilities needs are being heard and entered into a system.

It is important to know whether proposed projects are subject to Division of the State Architect requirements or not, including smaller and volunteer projects. Staff reported that currently, the maintenance director vets the projects and makes this decision. However, decisions on whether a project is under the DSA or not should be discussed by facilities and design team professionals along with the Maintenance Department. These decisions should be made as a team including Maintenance, Facilities and design team professionals (when needed) to limit liability exposure to the district.

The new system and any improvements in the procedure should be discussed in staff meetings and in directors' meetings, and any procedure changes written and communicated with school principals.

Recommendation

5. Through the collaborative efforts of the directors of maintenance and of facilities, help the contracted construction manager develop turnover and training procedures for new and modernization projects.

Status: In Progress

The assistant director is developing protocols for construction projects, as well as a master schedule template. The turnover and warranty work process transitioning from the contractor to the Maintenance and Facilities departments for new construction and modernization projects should be included in an employee handbook and Facilities and Maintenance department best practices guidebook.

The construction manager states that current practice is to formally request a meeting with the maintenance director and appropriate staff for training on the facility.

The maintenance director has requested improvements in the turnover and training process, and these should be implemented. The informal meeting with the construction manager and maintenance needs to be scheduled to verify availability of all trades involved, with sufficient lead time for maintenance staff to shift workload and be available for the meeting. The scheduled training meeting(s) should be video recorded for future use by those who could not attend, those who wish to review and for newly hired staff. The meeting should include sign-in sheets.

Work Flow and Operational Efficiencies

Recommendation

1. Train the facilities technician in construction to use the Colbi Technologies system, as needed.

Status: In Progress

The new director, assistant director, fiscal services employee and the two facilities consultants have attended at least one of the two annual Colbi workshops. In light of the district's decision to have both facilities technicians work with Colbi, both facilities technicians should attend both Colbi workshops each year to keep up with the system, get questions answered, work on system customization for the district, and network with colleagues. With one of the positions becoming vacant, it should be filled with a person who is either already proficient or is willing to learn the system within a time limit. This should be a requirement of the position.

Recommendation

2. Establish and maintain regular communications among Colbi Technologies consultants, the facilities technician and the district's Accounting Department for processing and tracking budget development and account code assignment, budget transfers, and budget/expenditure reporting.

Status: In Progress

Fiscal Services staff are now included in training on the Colbi accounting system.

The Colbi system is still only used for bond projects and not for every project, reportedly because of the cost of the system. Excel spreadsheets continue to be used for nonbond projects. All projects' budgets and expenditures should be tracked using the Colbi system for consistent and detailed reporting by cost category. The director is encouraged to review the Colbi contract, including the fee structure, and to consider renegotiating the contract and fee provisions so smaller projects can be included.

Recommendation

3. Reconcile the Colbi system with the district's accounting system annually, including becoming current with the past two years to produce accurate and up-to-date project budget/expenditure reports.

Status: Implemented

Staff reports that reconciliation has been completed to June 2015. Inclusion of the Fiscal Services staff in Colbi training should continue to strengthen the budget and expenditure reporting and reconciliation processes. Inclusion of the Fiscal Services staff at Citizens' Oversight Committee meetings should also continue.

Recommendation

4. With the help of Colbi Technologies, ensure that a Colbi system user manual is developed, maintained and readily available on the desk of the facilities technician.

Status: Partially Implemented

Both facilities technicians have the physical Colbi manual, but online research was not done by both technicians because of a lack of comfort with the online version and its index. Training should continue and staff should be encouraged to ask questions to become proficient in the Colbi system.

Recommendation

5. Continue to ensure that the administrative flowchart of activities for various contract, budget development and transfer, and payment functions is followed.

Status: Partially Implemented

With new staff coming into the department, many changes in processes and procedures are just now occurring. These need to be communicated and instituted with the staff through adequate training, documentation and monitoring through staff evaluations and meetings. Any administrative flowchart needs to be documented and included in an employee handbook and best practices departmental guidebook.

In addition to Colbi administrative flowcharts, the staff now has a sample handbook, with documents being added to it, including agreements, sample letters, sample memos, purchase orders, requisitions, sample bid documents, Office of Public School Construction reports and general conditions language. This sample handbook resides on the bookshelf and is kept up-to-date by the facilities technicians. Electronic files should be kept up-to-date and in accessible subdirectories on the department and district data network.

Weekly facilities departmental meetings have been instituted, and these meetings should occur consistently. The assistant director facilitates the meetings using a large whiteboard listing tasks, activities and issues that are imminent. These are written as the thoughts are brought up, not in project or other order. They are discussed, assigned to an employee or other person and given a priority number from 1-4 according to the week they are due. As priorities are discussed, they are deleted when completed, reprioritized as needed, and others are added. When reviewed by FCMAT, the whiteboard was filled with 48 items not in project, priority or chronological order. The facilities technician then photographs it and emails it to staff members. Because the list is not organized, this method may not be optimal in helping to plan department and staff workload, and staff may want to consider facilitating the meetings in a more organized way.

Recommendation

6. Review and revise the architect agreement to incorporate stronger terms and provisions to protect the district, especially in requiring the architect to follow district design standards.

Status: In Progress

Staff acknowledged that previous architect/engineering professional services agreements did not adequately protect the district. Staff reported that on previously approved agreements, the architect was allowed to have their own agreement language supersede the district's agreement. Staff are revising the A/E agreement to conform with legal requirements and to adequately protect the district by requiring use of district facility standards. FCMAT did not receive a copy of the current A/E draft agreements.

Recommendation

7. Continue to enforce completion of all DSA and district closeout requirements before making the final payment to the general contractor.

Status: In Progress

The contracted construction manager is spearheading the DSA and district closeout procedures, and this is under way.

Vendor payment due diligence, including for contractors and for professional services, has been improved. Previously, invoice review was sometimes cursory, and facilities technicians were not empowered to deny or question invoices. The assistant director has now provided the facilities technicians with criteria for invoice due diligence.

Payment requests from general contractors are now done with a two-step process using email, with a pre-review of the draft payment application submitted by the contractor without signatures. If errors or questions are found, these are resolved prior to the time-consuming process of gathering the multiple required signatures.

Payment requests by other vendors are now reviewed by the appropriate team members, and they have been encouraged to deny or ask questions of vendors instead of signing off without adequate due diligence. "Not Approved" and date stamps are used, and denied payment requests are returned to the vendors in a timelier manner than previously. Staff determine whether the work or services were actually performed and whether the request is within the purchase order and contract.

Recommendation

8. Enforce completion of all DSA and district closeout requirements before making the final payment to the architect/engineering firm for all projects.

Status: In Progress

Staff acknowledged that this was not consistently enforced on every A/E agreement previously and that both the contracted construction manager and the assistant director now perform due diligence on invoices and send them back for resubmittal when necessary. Staff reported that facilities technicians previously may not have been adequately trained and encouraged to review invoices for all payment criteria, and that this needs to occur in the future.

Recommendation

9. Ensure architect adherence with district design standards and inclusion of those standards into the plans and specifications of all projects, from initial architect agreement through design, construction administration and closeout.

Status: In Progress

As part of the Facilities Master Plan update under way, district facility standards are to be updated with input from Maintenance, Technology and Facilities departments, and from the design and planning teams. The District Standards document should be approved by the governing board to be enforceable and included into the A/E agreement. Staff stated that with the update of the Facilities Master Plan and the revision of the A/E agreement template, as well as stronger due diligence processes by the construction manager, facilities technicians and assistant director, this recommendation will be on its way to being implemented.

Recommendation

10. Ensure project inspectors are knowledgeable about the new DSA procedures and have the necessary software and computer technology before contracting with them.

Status: In Progress

Staff reported that the selection process for project inspectors will include a requirement that the inspector is experienced with the new DSABox closeout procedures for current projects. The box closeout activities should be included in weekly construction meetings and be discussed as needed in facilities staff meetings.

Recommendation

11. The contracted construction managers and not the supervisor of construction should manage the architect.

Status: Implemented (using Assistant Director)

The job description for the new assistant director position includes management of construction activities. The current employee is an architect and thus has extensive experience in the A/E area. The focus is on organization of the plan room, architect selection and contract template development along with Facilities Master Plan update activities. The job description includes a very broad level of facilities planning activities including site approvals and development, compliance with the California Environmental Quality Act, development and maintenance of short- and long-term enrollment projections, developer fee agreements, boundaries, funding, and State School Facilities Program applications, among other responsibilities. This position should provide adequate attention to these other non-architect activities as needed.

Chain of Command

Recommendation

1. Develop and enforce the chain of command for communications by staff.

Status: In Progress

Staff reported to FCMAT that the OPRA work order system is now to be used for all facility requests and maintenance repair requests, including smaller capital projects and volunteer projects, as well as larger capital project proposals. The Facilities Department reports that this new system has not been fully used for any facilities project as of the time of the FCMAT follow-up report, so it is unknown whether this will be adequately implemented.

Recommendation

2. Ensure that the chain of command is followed and responsibilities for construction projects are channeled through the project team.

Status: In Progress

The OPRA work order system has been in place just since summer 2015. Staff was aware of the intent of the new system in some respects. It will be important for everyone on the project team to be adequately trained and encouraged to ask questions if there are problems and as the system issues are worked out.

The new Henry Playground project should be used as a pilot project for the new processes and procedures including how to handle change requests from both the project team and those outside the project team, including board members and community members. The construction manager should be adequately trained to communicate processes to the project team and should be empowered to communicate issues in a timely manner to the assistant director and director.

Recommendation

3. Plan and design construction projects collaboratively with input from various sources, including Maintenance Department staff, site users, facilities staff, and technology staff. A process should be used for decision-making and follow-through on explanations of why decisions have been made on scope, budget, and other areas so that staff and those affected are a part of the process throughout.

Status: Implemented

Regular planning and design meetings, including input from various sources, are occurring on currently planned projects. These processes should be documented in employee handbooks and the facilities best practices guide.

Recommendation

4. Develop and enforce a chain of command through the contracted construction managers and project team for any requested changes in the scope or design of the projects once construction has begun.

Status: In Progress

At the time of the FCMAT follow-up report, staff reported that the next large project will be the Henry Playground. This should serve as a pilot project for the new processes and procedures for change requests.

Recommendation

5. Continue to educate the governing board on the importance of using the chain of command so that bond funds and other capital outlay funds can be utilized efficiently.

Status: Not Implemented

It was not reported that governing board members or community members have been educated on either the OPRA work order system or how board members' requests will now be processed. Board members should be made aware of the importance of their role and the need for them to follow the system for successful facilities program operations. Regular presentations keep the board informed about projects and the program, and a joint presentation from Maintenance, Facilities, Technology and Fiscal Services would be beneficial.

Potential Energy Manager Position

Recommendation

1. Consider adding a full-time energy manager position to the Facilities/Construction Department. This position should have the technical/mechanical skills required to develop and implement the Proposition 39 energy program and, if the energy man-

ager does not have the skills, to oversee an outside contracted energy consultant to ensure compliance with all Proposition 39 requirements. This position could be combined with that of a low-voltage technician to offer economy of labor, and the savings used to fund the position.

Status: Implemented

A senior energy resource manager (SERM) position was created, and was filled in August 2015. This employee was hired with reported energy management experience and knowledge of the Proposition 39 energy program and how to implement it. The job description describes a broad level of responsibility for improving energy efficiency and conservation through policies, strategies, programs, standards and measures. The employee is focused on developing current facility baseline energy usages and is very involved in introducing the school site users (including students, teaching and non-teaching staff, administrators, and custodians) to his position and the existence and creation of a district energy program.

Recommendation

2. Require the energy manager to have the skill and be responsible for maintaining the energy-efficient, cost-effective and operational functioning of the EMS, BMS and other district energy systems.

Status: Implemented

The SERM job description includes the operation of the computerized Energy Management Systems in the existing facilities, establishing effective standards and procedures for the operation of HVAC systems, and evaluation and monitoring programs.

Recommendation

3. Assign the energy manager position to assist the facilities director in developing, updating and implementing an overall energy plan in the district using the current energy savings plan summary dated August 23, 2013.

Status: In Progress

The SERM reports directly to the assistant superintendent for business but works out of the Facilities and Maintenance Department location. The SERM is working on assessing existing conditions at facilities, reviewing utilities bills and costs, getting to know the district and site staff, reviewing what energy measures and renovations have already taken place, communicating with the utility providers, and hearing ideas for energy conservation from site custodians, teachers and site staff. He is focused on energy conservation and on reviewing the operations of HVAC equipment and the Energy Management Systems already in place.

The SERM has submitted draft reports and plans for the assistant superintendent to review, with goals, timelines and criteria for success for each category. He provides verbal reports at the semi-weekly departmental meetings.

Recommendation

4. Exercise caution if adding the energy manager position as an employee because of the lack of guaranteed funding for the entire five years of the Proposition 39 program.

Status: Not Implemented

There was no evidence that this position is for a limited time only because of the five-year funding timeline. There was no requirement of guaranteed energy savings to fund the position and program in the job description.

The governing board and district administration will need to stay committed to the program to keep it funded past the Proposition 39 five-year duration (or if it is defunded earlier than five years). Typically, during any future tight budget years, energy savings will need to be shown to justify the position, unless there are other incentives or penalties from regulatory agencies or the state to school districts.

Recommendation

5. Assign the director of facilities/construction to meet application deadlines, submitting applications and ensuring compliance with all the monitoring, reporting and auditing requirements of the Proposition 39 program.

Status: In Progress

Implementation of the Proposition 39 energy program is the responsibility of the SERM, under the direction of the assistant superintendent. He is reviewing the energy audits done previously by outside firms for the district in 2014. He is comparing the current conditions with the 2014 energy audit to update it for any energy measures already taken.

He is reviewing past energy plans and recommendations with department chairs and plans to get input from the Facilities, Maintenance and Business departments and update the Proposition 39 recommendations. He anticipates that he will change some of the recommendations of the 2014 energy audit, and plans to work on the Proposition 39 Energy Expenditure Plan within the first 12 months of being hired.

The assistant director of facilities should include the SERM in the Facilities Master Plan update early in the process. Energy efficiency may be included as a separate section in the plan, as well as being included in the District Facilities Standards document included in the Master Plan. The SERM should work with the Facilities Department to standardize the construction standards and fixtures. He has not yet been able to start on this task, but will need to review the district's existing standards and work with the Facilities Department on energy standards for new schools, including lighting, natural lighting and site configuration, toilet fixtures and other areas where energy efficiency is involved.

Staffing Comparisons

Recommendation

1. Identify and budget an amount needed annually to adequately maintain the district's grounds and facilities.

Status: In Progress

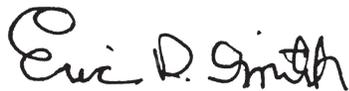
The supervisor of maintenance and operations is taking inventory and evaluating the condition of the department's equipment and vehicles. This is the first step in establishing a budget for maintaining the district's grounds and facilities.

Summary

The board, superintendent and district staff have taken immediate action and have been diligent in responding to the findings and recommendations contained in the FCMAT report dated February 2014. The district will need to continue to fully implement many of the recommendations already in progress.

On behalf of FCMAT, we appreciate the opportunity to serve you and extend our thanks to all the staff of the Anaheim City School District.

Sincerely,



Eric D. Smith
Fiscal Intervention Specialist

C: David A. Rivera, Assistant Superintendent