



FISCAL CRISIS & MANAGEMENT  
ASSISTANCE TEAM

CSIS California School Information Services

# Vallejo City Unified School District

## Human Resources Department Review

January 28, 2019



**Michael H. Fine**  
Chief Executive Officer







January 28, 2019

Adam Clark, Ed.D., Superintendent  
Vallejo City Unified School District  
665 Walnut Avenue  
Vallejo, CA 94592

Dear Superintendent Clark:

In November 2018, the Vallejo City Unified School District and the Fiscal Crisis and Management Assistance Team (FCMAT) entered into an agreement to provide a review of the district's human resources departmental staffing and services. Specifically, the agreement stated that FCMAT would perform the following:

1. Conduct an organizational and staffing review of the human resources division and make recommendations for staffing improvements or reductions, if any.
2. Evaluate the current workflow and distribution of functions within the human resources division and make recommendations for improved efficiency, if any.
3. Review the operational processes and procedures of the human resources division and make recommendations for improved efficiency, if any.
4. The attached draft report contains the study team's findings and recommendations. Please review the draft report and provide any suggested changes or revisions by February 15, 2019.

This final report contains the study team's findings and recommendations in the above areas of review. FCMAT appreciates the opportunity to serve the Vallejo City Unified School District, and extends thanks to all the staff for their assistance during fieldwork.

Sincerely,

Michael H. Fine  
Chief Executive Officer

**FCMAT**

Michael H. Fine, Chief Executive Officer

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# Table of Contents

Foreword .....	iii
Introduction .....	I
<i>Background .....</i>	<i>I</i>
<i>Study and Report Guidelines.....</i>	<i>I</i>
<i>Study Team .....</i>	<i>2</i>
Executive Summary .....	3
Findings and Recommendations .....	5
<i>Organizational Structure and Staffing .....</i>	<i>5</i>
<i>Board Policies and Administrative Regulations.....</i>	<i>11</i>
<i>Attendance and Leave.....</i>	<i>15</i>
<i>Staff Turnover and Training.....</i>	<i>17</i>
<i>Communication and Customer Service .....</i>	<i>19</i>
<i>HR Leadership and Negotiations.....</i>	<i>25</i>
<i>Fingerprinting District Volunteers.....</i>	<i>29</i>
Appendices .....	31



# About FCMAT

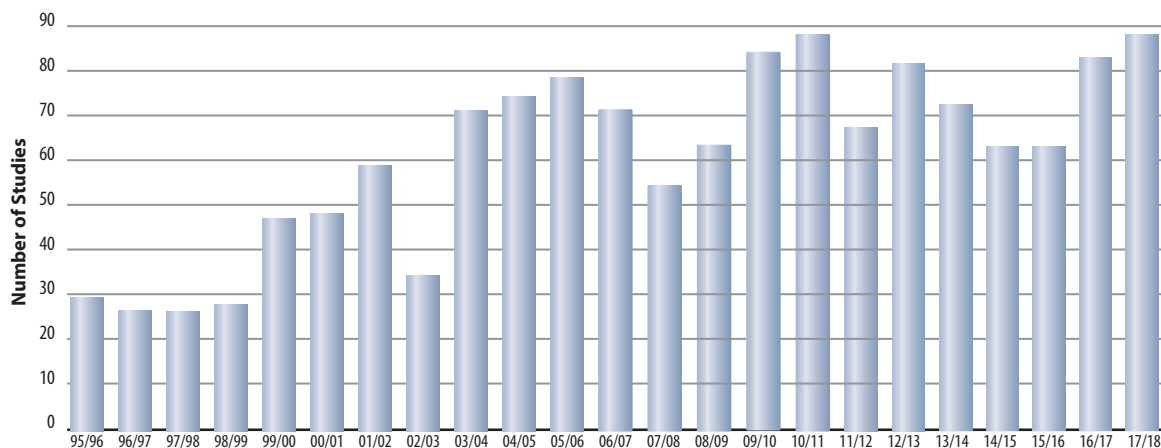
FCMAT's primary mission is to assist California's local K-14 educational agencies to identify, prevent, and resolve financial, human resources and data management challenges. FCMAT provides fiscal and data management assistance, professional development training, product development and other related school business and data services. FCMAT's fiscal and management assistance services are used not just to help avert fiscal crisis, but to promote sound financial practices, support the training and development of chief business officials and help to create efficient organizational operations. FCMAT's data management services are used to help local educational agencies (LEAs) meet state reporting responsibilities, improve data quality, and inform instructional program decisions.

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

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

FCMAT has continued to make adjustments in the types of support provided based on the changing dynamics of K-14 LEAs and the implementation of major educational reforms.

**Studies by Fiscal Year**



FCMAT also develops and provides numerous publications, software tools, workshops and professional development opportunities to help LEAs operate more effectively and fulfill their fiscal oversight and data management responsibilities. The California School Information Services (CSIS) division of FCMAT assists the California Department of Education with the implementation of the California Longitudinal Pupil Achievement Data System (CALPADS). CSIS also hosts and maintains the Ed-Data website ([www.ed-data.org](http://www.ed-data.org)) and provides technical expertise to the Ed-Data partnership: the California Department of Education, EdSource and FCMAT.

FCMAT was created by Assembly Bill (AB) 1200 in 1992 to assist LEAs to meet and sustain their financial obligations. AB 107 in 1997 charged FCMAT with responsibility for CSIS and its state-wide data management work. AB 1115 in 1999 codified CSIS' mission.

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

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

On September 17, 2018 AB 1840 was signed into law. This legislation changed the how fiscally insolvent districts are administered once an emergency appropriation has been made, shifting the former state-centric system to be more consistent with the principles of local control, and providing new responsibilities to FCMAT associated with the process.

Since 1992, FCMAT has been engaged to perform more than 1,000 reviews for LEAs, including school districts, county offices of education, charter schools and community colleges. The Kern County Superintendent of Schools is the administrative agent for FCMAT. The team is led by Michael H. Fine, Chief Executive Officer, with funding derived through appropriations in the state budget and a modest fee schedule for charges to requesting agencies.



# Introduction

## Background

Located in Solano County, the Vallejo City Unified School District has a five-member governing board and serves approximately 14,000 students at 13 elementary schools, three K-8 schools (including one K-8 dependent charter school), three middle schools serving grades 6-8, two comprehensive high schools, a continuation school, a community day school, an independent study/home study school, a child development and preschool program, and an adult school.

In November 2018 the Vallejo City Unified school district requested that FCMAT assist the district by reviewing the district's Human Resources departmental staffing and services.

## Study and Report Guidelines

FCMAT visited the district on November 26 through 29, 2018 to conduct interviews, collect data and review documents. This report is the result of those activities and is divided into the following sections:

- Executive Summary
- Organizational Structure and Staffing
- Board Policies and Administrative Regulations
- Attendance and Leave
- Staff Turnover and Training
- Communications and Customer Service
- HR Leadership and Negotiations
- Fingerprinting District Volunteers
- Appendices

FCMAT's reports focus on systems and processes that may need improvement. Those that may be functioning well are generally not commented on in FCMAT's reports. In writing its reports, FCMAT uses the Associated Press Stylebook, a comprehensive guide to usage and accepted style that emphasizes conciseness and clarity. In addition, this guide emphasizes plain language, discourages the use of jargon and capitalizes relatively few terms.

## Study Team

The study team was composed of the following members:

Michelle Giacomini  
FCMAT Deputy Executive Officer  
Petaluma, CA

Tami Ethier  
FCMAT Intervention Specialist  
Davis, CA

Linda Grundhoffer  
FCMAT Consultant  
Danville, CA

Marcus Wirowek\*  
Senior Director of Human Resources  
Riverbank Unified School District  
Modesto, CA

Laura Haywood  
FCMAT Technical Writer  
Bakersfield, CA

\*As a member of this study team, this consultant was not representing his employer but was working solely as an independent contractor for FCMAT.

Each team member reviewed the draft report to confirm accuracy and achieve consensus on the final recommendations.

## Executive Summary

The district should be staffed according to the basic theories of organizational structure and the standards used in other school agencies of similar size and type. A review of comparison districts indicate that the Human Resources (HR) department is overstaffed based on the size of the district, even after being downsized and reorganized the previous fiscal year. The district should consider reducing the HR staff by 2.0 full-time equivalents (FTEs) and changing the job description and functions of existing positions to ensure completion of required duties and better balance the way duties are assigned. This is feasible if recommendations from the report are implemented to increase the efficiency, productivity and accuracy of the department.

The division of labor among HR staff members is not equitable, and some duties need to be reallocated in the positions that are retained. In addition, some management positions in the department perform duties that should be done by nonexempt staff. The recent department downsizing seems to have further unbalanced the distribution of duties. A significant amount of internal strife is caused by workload inequity and inappropriate placement of assigned duties. To improve efficiency, staff should be more collaborative and easily adaptive to changing workloads.

Training should be provided as duties are transferred from one employee to another, as well as staff receiving and continuing to receive training for their assigned areas of responsibility. Cross-training should occur for all key job functions, and now that desk manuals have been developed, the manuals should be relied upon and continue to include up-to-date step-by-step procedures. Board policies and administrative regulations must also be reviewed and updated as needed to be kept current.

A perceived lack of customer service to those outside the department must be remedied. As part of a reorganization of the department and redistribution of duties, the district should create a front counter position to greet internal, external and public customers rather than using a retired substitute part-time. The current practice of utilizing existing staff to fill the role when the substitute is not available is inefficient and disruptive to their normal work responsibilities. This change in how the front counter is staffed would assist in improving office efficiency and morale.

There is a lack of collaboration, teamwork and effective communication among several human resource support management and staff members. The department has a division among staff members: those responsible for certificated staff versus those responsible for classified staff. Even the chief human resources officer appears to focus on certificated staffing. Management and staff need to work together for the benefit of all district employees to create an effective team.

The district lacks automated processes, including payroll time sheets, absence tracking, and employee change forms (Form 6). Implementing such processes would reduce the time needed for employees to complete tasks. While many discussions and planning are occurring about automation, the Human Resources department needs to take a leadership role. The HR department should take the lead in updating many processes, but its management and staff appear to be participants and bystanders rather than leaders.

The lack of communication and cooperation between the district's HR and Business Services departments raises concerns. Deficiencies include incorrect employee change forms, lack of appropriate position control measures, and a failure to track and deduct pay when an employee exceeds his or her sick leave balance.

Many staff members interviewed by FCMAT cited concerns with the Human Resources department's lack of timeliness, accuracy, consistency, and customer service. All of these elements are

important for a successful district office. Human resources processes and procedures should be reviewed with key constituents, including site administrators, classified and certificated representatives, and district personnel, then revised as needed to ensure they fulfill the district's needs. Applicable staff should receive training, and department management should monitor processes and procedures to ensure consistent and accurate implementation.

# Findings and Recommendations

## Organizational Structure and Staffing

A school district's organizational structure should establish the framework for leadership and the delegation of specific duties and responsibilities for all staff members. This structure should be managed to maximize resources and reach identified goals, and it should adapt as the district's enrollment increases or declines. A district should be staffed according to generally accepted theories of organizational structure and the standards used in other school agencies of similar size and type. The most common theories of organizational structure are span of control, chain of command, and line and staff authority.

### Span of Control

Span of control refers to the number of subordinates reporting directly to a supervisor. Although there is no agreed-upon ideal number of subordinates for span of control, it is generally agreed that the span can be larger at lower levels of an organization than at higher levels because subordinates at lower levels typically perform more routine duties and therefore can be more effectively supervised, according to *Principles of School Business Management* by Craig R. Wood, David C. Thompson and Lawrence O. Picus.

### Chain of Command

Chain of command refers to the flow of authority in an organization and is characterized by two significant principles. Unity of command suggests that a subordinate is only accountable to one supervisor, thus eliminating the potential for an employee to receive conflicting direction and instruction from a variety of supervisors; and the scalar principle suggests that authority and responsibility should flow in a direct vertical line from top management to the lowest level so subordinates at every level in the organization follow the chain of command and only communicate through their immediate supervisor. The result is a hierarchical division of labor as described in *Principles of School Business Management*.

### Line and Staff Authority

Line authority is the relationship between supervisors and subordinates and refers to the direct line in the chain of command. For example, the normal structure FCMAT finds in school districts, including Vallejo City USD, is that the superintendent has direct-line authority over the chief human resources officer (CHRO), and the CHRO has direct-line authority over the various managers in the Human Resources department. Conversely, staff authority is advisory in nature. Staff personnel do not have the authority to make and implement decisions; rather, they act in support roles to line personnel (managers). The organizational structure of local educational agencies contains both line and staff authority.

As indicated above, the purpose of any organizational structure is to establish the framework for leadership and the delegation of specific duties and responsibilities for all staff members. In addition, the structure should help guide district managers as they make key decisions to facilitate student learning while balancing financial resources. As a district's enrollment increases or declines, the organizational structure should adapt as needed. It should outline the management process and its specific links to the formal system of communication, authority and responsibility needed to achieve the district's goals and objectives. Authority in a public school district

originates with the elected governing board, which hires a superintendent to oversee the district. Through the superintendent, authority and responsibility are delegated to the district's administrators and staff. Management positions are typically responsible for supervising employees and overseeing the work of their department. They ensure that staff members understand all district policies and procedures and perform their duties in a timely and accurate manner. Managers also serve as a liaison between their department and others to identify and resolve problems and to design and modify processes and procedures as necessary.

Prior to the interviews of the HR department, FCMAT requested a series of relevant documents, including an organizational chart, approved job descriptions and duties of each position.

FCMAT became aware during interviews that management positions are performing duties that a support staff position should perform. For example, the manager positions are assigned to fingerprint new staff. This results in managers being underutilized for their roles and fulfilling duties that do not allow them to administer the department. Management positions should not typically be responsible for a department's routine daily functions; these should be assigned to department support staff.

FCMAT reviewed the HR organizational structure for 2018-19, 2017-18 and 2016-17. The current department staffing has decreased by two positions compared to 2017-18, when two staff secretary positions were eliminated. One management position also was eliminated, although a new non-management position was added, so the net FTE decrease was 2.0 (from 10 FTE to 8 FTE).

The following table summarizes which job descriptions need to be updated so that the supervisor is listed correctly. For this summary, FCMAT assumed and verified through interviews that the current organizational chart is correct.

Position	Supervisor per Job Description*	Confirmed as Supervisor
Administrative Services Manager	Director of Human Resources	Chief Human Resources Officer
Administrative Assistant (Confidential)	Assistant Superintendent	Chief Human Resources Officer
Credentials Technician	Director of Human Resources, Certificated	Administrative Services Manager
Human Resources Technician	Director of Human Resources or Designee	Assistant Chief Human Resources Officer

\*All the positions listed as the assigned supervisor in the job descriptions have been eliminated.

In addition, several management job descriptions do not reflect current responsibilities. For example, the assistant CHRO is responsible for all classified matters, but the job description does not specify that. The administrative services manager handles certificated matters, yet the job description states the position is responsible for classified personnel.

FCMAT is recommending changes in the organizational structure and position responsibilities, so other issues found with the current job descriptions will not be detailed. Of concern is that the HR department, which is ultimately responsible for ensuring job descriptions are up to date and employees are appropriately classed, has out-of-date descriptions for its own employees. As the oversight department in this area, Human Resources needs to ensure that all district job descriptions are kept up to date so that employees fulfill responsibilities that are appropriate to their position.

## Delegation of HR Duties and Staffing Assignments

There is a clear delineation of staff in the HR department between those who are assigned certificated staff and those who are assigned classified staff. Cross training staff would provide them with the opportunity to become well versed in both certificated and classified processes. This

FCMAT recommends the following organizational chart for the HR department:

This structure has two fewer positions than the current organization.

Although comparative information is useful, it should not be considered the only measure of appropriate staffing levels. School districts are complex and vary widely in demographics and resources. Careful evaluation is recommended because generalizations can be misleading if unique circumstances are not considered. FCMAT considered district type, student enrollment, and general fund revenues per student in choosing the comparison districts. Data for the comparison was taken from the California Department of Education's DataQuest and Education Data Partnership (Ed-Data) websites, and department staffing information was obtained directly from the comparison districts.

The Vallejo City USD HR department has 10.0 FTE. Since the district is still in declining enrollment, FCMAT's opinion is that it is overstaffed by approximately 2.0 FTE, even with the reductions that occurred last year.

VALLEJO CITY UNIFIED SCHOOL DISTRICT

The current use of a retired substitute part-time employee to fill the front counter position is not reflected on the department's current organizational chart or in the staffing list above.

Reorganizing the HR department and reassigning job duties would better allocate responsibilities between manager and staff level positions, reduce the separation between certificated and classified personnel duties, and increase overall efficiency.

FCMAT did not provide recommendations to change specific job duties for the existing positions of administrative assistant and credential technician, since those titles remain in the recommended organization chart. If duties are reassigned as suggested, assigned tasks in these two positions will need to be reallocated as specific duties will be moved to other positions. Once the department is fully reorganized and restructured, all job descriptions will need to be updated and/or adopted. For the newly titled job descriptions, associate superintendent (or similar title), coordinator, technician and clerk/receptionist, it is essential that these positions work with both classified and certificated personnel. Examples of representative duties for these positions are included in the appendix.

To get a better understanding of the amount of time required for the tasks assigned to each position, the district should consider assigning the staff members in the department to complete a one-month time analysis of daily job duties. This often is referred to as a desk audit and can be completed in a few minutes at the end of each day during which staff members write down the tasks worked on that day and the time spent on each major responsibility. This provides a method for analyzing workloads, efficiency of tasks, and prioritization as necessary. Since the employees were recently asked to develop desk manuals, the desk audits should be a normal extension of that task.

Much of the work done in a public K-12 HR department is cyclical. The department has developed a Human Resources Annual Calendar, which lists important dates and activities or tasks throughout the year specific to the HR department; it does not list who will be responsible for each specific task. Ideally, that calendar should have accompanying lists of ongoing personnel activities and workload. Both the calendar and the ongoing activities should be reviewed by staff at planning meetings. For example, recruitment and staff contracts will take more staff time during the summer months in preparation for the school year. However, during the remainder of the school year, this workload should be lighter. Staff assignments and specific tasks should be developed and refined around the workload calendar, as well as the Annual Calendar.

Including who is responsible for the listed activities and ongoing tasks on the calendar will also be useful in the event of staff turnover in the department.

## Recommendations

*The district should:*

1. Ensure management positions do not perform routine, daily duties that a support staff classification should perform.
2. Update job descriptions so that the appropriate supervisor is listed.
3. Review and update job descriptions so that actual responsibilities and description of the position are included.



4. Ensure staff are assigned both classified and certificated related work. Provide cross training so that staff are well versed in both areas.
5. Develop clear, written expectations of all employees.
6. Develop checklists for processes and track the completion time for tasks.
7. Consider adjusting HR department staffing utilizing the comparison study as a guide.
8. Reorganize the HR department and specific job duties to better allocate responsibilities and workload.
9. Provide training as needed for duties that are transferred from one employee to another.
10. Update the Annual Calendar to list who is responsible for the specific tasks and update it as necessary.
11. Review the HR calendar during each staff meeting to ensure that all staff members understand their role in ensuring these major activities are accomplished along with their ongoing workload tasks.



## Board Policies and Administrative Regulations

Boards create and adopt written board policies (BP) that communicate the guidelines and limits under which the superintendent and staff may act. Administrative regulations (AR) provide detailed instructions as to how staff will implement the policy. Board policies and administrative regulations are based on laws contained in numerous codes including the Education Code, Government Code, and Public Contract Code, as well as federal regulations, case law and individual district practice. Board policies and the accompanying administrative regulations assist the district in providing direction, complying with and implementing laws and regulations, creating stability and continuity, defining responsibilities and ensuring accountability, informing the community, parents, employees and students and protecting the district in case of a legal challenge.

To be effective, policies must include all requirements imposed by law or regulation, should not contain any provision outside of the district's legal authority, and should include language the district is fully capable of implementing. As the district's own BP 9310 states, "The Governing Board shall adopt written policies to convey its expectations for actions that will be taken in the district, clarify roles and responsibilities of the Board and Superintendent, and communicate Board philosophy and positions to the students, staff, parents/guardians and the community. Board policies are binding on the district to the extent that they do not conflict with federal or state law and are consistent with the district's collective bargaining agreements."

Best practice is to revise policies and administrative regulations quarterly as updates are received from the California School Boards Association (CSBA) policy service.

The district subscribes to CSBA's Gamut policy manual and online policy maintenance services, allowing the district to update its policy manual as laws affecting schools change. This also allows public access to the district's policy manual. Based on what is reflected on the district's website, the 4000 series board policies and administrative regulations related to personnel were first updated to CSBA's template in December 2011. CSBA provides policy updates to its client districts at least quarterly. Although several of the policies and administrative regulations in the 4000 series have been updated in recent years, many of them have not, and could be inconsistent with current law. Because the subjects are related to hiring, evaluation, discipline, leaves, and other personnel matters, this is of concern. Some of the BPs and ARs that have been updated since December 2011 by CSBA and yet have not been updated by the district (as listed on the district's website) are as follows:

BP or AR Number		Name of Board Policy/Administrative Regulation	CSBA Updated Date	VUSD Updated Date
4032	AR	Reasonable Accommodation	2015-Dec	2011-Dec
4040	BP	Employee Use of Technology	2015-Jul	2011-Dec
4112	AR	Appointment and Conditions of Employment	2016-May	2011-Dec
4112.22	AR	Staff Teaching English Learners	2017-Mar	2011-Dec
4112.4	AR	Health Examinations	2014-Dec	2011-Dec
4112.5	AR	Criminal Record Check	2014-Dec	2011-Dec
4112.61	AR	Employment References	2017-Jul	2011-Dec
4113	BP	Assignment	2016-Jul	2011-Dec
4115	AR	Evaluation/Supervision	2016-Jul	2011-Dec
4117.13	BP	Early Retirement Option	2016-May	2011-Dec

BP or AR Number		Name of Board Policy/Administrative Regulation	CSBA Updated Date	VUSD Updated Date
4118	BP	Dismissal/Suspension/Disciplinary Action	2014-Dec	2011-Dec
4118	AR	Dismissal/Suspension/Disciplinary Action	2014-Dec	2011-Dec
4127	BP	Temporary Athletic Team Coaches	2017-May	2011-Dec
4127	AR	Temporary Athletic Team Coaches	2017-May	2011-Dec
4157.2	AR	Ergonomics	2018-Jul	2011-Dec
4158	BP	Employee Security	2018-May	2011-Dec
4158	AR	Employee Security	2018-May	2011-Dec
4161.3	BP	Professional Leaves	2018-Jul	2011-Dec
4200	AR	Classified Personnel	2018-Dec	2011-Dec
4212.5	AR	Criminal Record Check	2014-Dec	2011-Dec
4212.6	AR	Personnel Files	2016-Mar	2011-Dec
4212.6I	AR	Employment References	2017-Jul	2011-Dec
4222	AR	Teacher Aides/Paraprofessionals	2016-Jul	2011-Dec
4227	BP	Temporary Athletic Team Coaches	2017-May	2011-Dec
4227	AR	Temporary Athletic Team Coaches	2017-May	2011-Dec
4257.2	AR	Ergonomics	2018-Jul	2011-Dec
4258	BP	Employee Security	2018-May	2011-Dec
4258	AR	Employee Security	2018-May	2011-Dec
4312.5	AR	Criminal Record Check	2014-Dec	2011-Dec
4312.6	AR	Personnel Files	2016-Mar	2011-Dec
4312.6I	AR	Employment References	2017-Jul	2011-Dec
4317.13	BP	Early Retirement Option	2016-May	2011-Dec
4327	BP	Temporary Athletic Team Coaches	2017-May	2011-Dec
4327	AR	Temporary Athletic Team Coaches	2017-May	2011-Dec
4357.2	AR	Ergonomics	2018-Jul	2011-Dec
4358	BP	Employee Security	2018-May	2011-Dec
4358	AR	Employee Security	2018-May	2011-Dec
4361.I	AR	Personal Illness/Injury Leave	2018-Mar	2011-Dec
4361.II	AR	Industrial Accident/Illness Leave	2015-Oct	2011-Dec
4361.2	AR	Personal Leaves	2016-Mar	2011-Dec
4361.8	AR	Family Care and Medical Leave	2018-Mar	2011-Dec

BP 9310 also states, “The Board recognizes the importance of maintaining a policy manual that is up to date and reflects the mandates of law. Policies shall be regularly reviewed at a time allocated for this purpose on the agenda of public Board meetings.” The CHRO’s job description, dated June 2015, lists one of the position’s representative duties as being, “Assume overall responsibility to the Superintendent for approval by the Governing Board all personnel policies.”

The CHRO should immediately conduct a CSBA policy review of all policies and administrative regulations in the 4000 series and present a plan to the governing board for reading/adoption at future meetings.

## Recommendations

*The district should:*

1. Review and update its board policies and administrative regulations as updates are sent by CSBA.
2. Develop new board policies and administrative regulations as needed.
3. Implement a plan to keep board policies and administrative regulations current.
4. Ensure the HR department adds policy updates to its Annual Calendar quarterly so that CSBA updates are regularly considered.
5. Ensure the CHRO conducts a CSBA policy review and develops a plan to ensure personnel policies and administrative regulations are compliant with current law and district protocol and are brought for reading/adoption at future board meetings.



## Attendance and Leave

The district has implemented Frontline (formerly called Aesop), a time and attendance system for both certificated and classified staff that is designed for school districts and should assist the district in filling vacancies due to short- and long-term absences. This automated system calls the substitutes directly and continues to call available substitutes until the vacancy is filled.

Although FCMAT was routinely told that the system had been fully implemented, it is still new to many sites and departments. For some departments and sites it was rolled out at the beginning of the 2018-19 school year without training or documentation. Further training and resources are needed before it is considered fully implemented.

The belief is that most employees are reporting their absences in Frontline, but there is no certainty. Many managers report not being aware if their employees are actually entering (or calling in) their absences. School sites and departments still generate monthly absence sheets, signed by the school site or department manager and then sent to payroll. Payroll relies on monthly absence sheets for actual absence tracking.

Frontline absences are not automatically uploaded to the payroll system because the Escape system does not have this capability. FCMAT could not find evidence of HR reconciling the absences of employees who report their absences through Frontline to those reported via the absence sheets to ensure employee leave balances are appropriately reduced and/or to ensure the Frontline system is being used as intended. This means that staff could miss days without the deduction of relevant leave banks, which would ultimately result in a misuse of public funds. All staff need to be held accountable for time missed during contracted work hours. In the absence of electronic communication between Frontline and Escape, a process is needed to verify that employee leaves in Frontline match those recorded on the absence sheet, as well as timesheets. If they do not match, employees may be paid for time they did not work. An employee in HR needs to be assigned to reconcile the differences between Frontline and Escape until automation is available.

Some certificated managers were not aware of the new system or did not know their username and password, so they could not access the system. When the HR department implements new programs, all management and staff essential to the program's success should be fully prepared and trained prior to implementation. If the system is not used correctly or implemented appropriately, staff will not be able to report their time correctly and efficiently, nor will administrators be able to manage their staff.

Another concern revealed regarding Frontline is an apparent lack of substitutes or delay in processing substitutes for temporary vacancies, which is highly concerning, as students are often left without a teacher and/or classified positions are left unfilled. Staff report often being overwhelmed covering additional students, or handling other duties that they were not prepared for on any given day.

As mentioned in FCMAT's April 2018 report on Business Services, payroll employees continue to be instructed that for employees who have exhausted their sick leave balance, if a sick leave absence slip is submitted after the monthly cutoff date, that employee's pay is not docked in either the current month or the subsequent month. FCMAT continues to believe this violates the prohibition against gifts of public funds because it is a form of overpayment of wages. This could also constitute an expenditure of funds for a private purpose, which is a separate violation of law. Although the funds are being paid to public employees, the funds do not benefit the public interest because the employees did not earn the overpaid wage; it benefits only the employee as a

private individual for private purposes. The district, specifically Human Resources, must address this issue.

Also mentioned in FCMAT's April 2018 report and still uncorrected, in accordance with the district's collective bargaining agreement (CBA) with the Vallejo Education Association, several of the district's resource specialists receive extra compensation for class sizes or caseloads higher than the maximum set in the CBA. Article 10.1.11.1 of the CBA specifies a maximum caseload of 28 students at both the elementary and secondary school levels. Pursuant to the CBA, the district provides extra compensation at the rate of \$15 per student, per day, or \$3 per period, per day for any overages once the grace period ends and the manager was notified that the overage(s) occurred. FCMAT remains concerned that the district continues not to properly determine caseloads per the CBA, which states that the employee must have primary responsibility for a student's individualized education program for that student to be counted in their caseload. FCMAT also believes the district would significantly reduce costs if it paid the \$3 per period per day permitted in the CBA rather than \$15 per student per day. Although the district's practice of providing extra compensation follows the language of the CBA, 28 students is also the statutory caseload maximum for resource specialists, and exceeding this caseload violates the Education Code and may incur further liability in other areas, including but not limited to adequate provision of a free and appropriate public education.

## Recommendations

*The district should:*

1. Develop Frontline resources and training.
2. Require all employees to call the automated substitute calling system when they will be absent.
3. Use disciplinary policies for employees who bypass the system so that Frontline absence reporting includes all district employees.
4. Eliminate the need for administrators to verify the monthly absence report and adjust it before payroll runs.
5. Until Frontline integrates with Escape, require HR to develop a monthly process to reconcile Frontline records with time sheets approved by a manager to ensure all employees' leave balances are correct.
6. Ensure all staff is trained prior to rolling out new programs.
7. Ensure that pay is always deducted if an employee has exceeded his or her leave balance.
8. Find ways to keep the caseload maximum for resource specialists at 28 so that the Education Code is followed and liability is decreased in other areas.
9. Review the practice of paying \$15 per student per day rather than \$3 per period per day to resource specialists when class sizes or caseloads exceed the maximum set in the CBA.



## Staff Turnover and Training

Except for management positions, FCMAT found that the HR department experiences significant turnover each year.

Throughout the interviews, it was apparent management and staff were either uninformed or have not attended recent training on relevant HR issues. After reviewing the professional development schedule, it appears that staff are trained internally, if at all, so outdated processes continue.

HR staff training needs should be identified yearly, an annual plan should be put in writing, and staff receive the training necessary to better support the district.

Although all non-managers in the department shared their desk manuals with FCMAT, it was found that many of the manuals had been developed for FCMAT's visit. Ideally, each position in HR should have a process and procedural manual already in place. These manuals should be updated consistently and should be easy for other staff members or new employees to access and understand. No lag should occur in the training of new employees if the manuals are used as intended, which was not the situation during FCMAT's visit. HR staff should be able to continue departmental operations when there is an unexpected vacancy. Based on the interviews, this is not the case. Although staff seemed qualified for positions, they were not well trained or knowledgeable of their roles. Updating the manuals will assist during cross training, as newer staff members are added, existing duties are added or changed, as procedures and technology continue to change and as overall improvements are made.

Another potential cause of staff turnover was the lack of clear expectations from management. Ideally, written expectations of staff should be shared and reviewed periodically, and used during the evaluation process. It also would be highly advisable for management to develop a training schedule for new staff. This would allow HR staff to understand their role, provide better customer service in their interactions, and provide correct information in a timely manner. There are highly technical aspects of the HR department such as credentialing, leaves, contract management and workers' compensation. It was evident that staff, including managers, are unaware of relevant laws or utilize their own interpretation of former employees' practices. This is concerning, as human resources laws are constantly changing and a mistake in the HR department could be very costly to the district.

## Recommendations

*The district should:*

1. Examine the turnover rate of the HR department and make a better determination of why employees are departing.
2. Develop and provide clear, written expectations of HR staff.
3. Ensure that staff and management attend training related to relevant HR issues so that processes and procedures are no longer dated or misinterpreted.
4. Redesign the training schedule for HR staff.
5. Create a professional development schedule for all staff, including management.

6. Identify HR staff training needs annually in writing and ensure staff receive the training necessary to better support the district.
7. Evaluate all staff, including management, to ensure they meet expectations.
8. Continue to update desk manuals consistently.
9. Ensure that new staff are provided guidance and training to be successful.

## Communication and Customer Service

The HR department's mission statement on the district's website states, "Our mission is to recruit and retain highly qualified staff. We are committed to leading, empowering and providing efficient and timely communications through excellent customer service."

In particular, the provision of efficient and timely communications through excellent customer service was not confirmed during FCMAT's fieldwork. Excellent customer service should include being friendly, positive, cooperative and helpful and being a first contact solution, which were not confirmed during FCMAT's fieldwork. Many of those interviewed cited concerns with the HR department's lack of timeliness and accuracy. Among the issues mentioned were: staff is not customer friendly, information is not provided timely, information is not correct, and processes and procedures are not consistent. A focus on customer service is important for a successful department.

Communication is key with any department in an organization. Good communication is evidence of an efficiently run organization. It was shared that communication is very sparse from the HR department. Both classified and certificated management reported that they hear of contract changes from their own staff instead of from HR. Even during FCMAT's visit, an off the schedule salary increase was being processed as part of the employees' paychecks, and yet a communication had not come from the district to employees about the increase. The lack of leadership and communication from the department can cause confusion and lead to costly mistakes because a site or department may not know what changes to implement from recent negotiations.

Leadership is needed to facilitate better communication among staff members and management in the HR department. The department management does not conduct regular meetings with HR support staff to help ensure better communication, resolve issues, and promote a sense of teamwork. Department staff members did not appear adequately informed of important issues and activities occurring in the district and the department, nor did they feel they had adequate input on the department's operations. This lack of communication is occurring at a time when the district must reduce costs and further eliminate positions. The lack of formal communications within the HR department is causing significant angst, stress, rumors and conjecture.

The department needs to make formal communications a priority. Especially during this time of uncertainty, staff meetings would be the most appropriate forum. Regular staff meetings should occur, with a written agenda, to discuss current district events, how those events could affect the department, current department priorities, scheduled activities, progress on long-term projects, and to provide training opportunities.

If well-facilitated, these meetings can help to improve both verbal and written communication between personnel, provide a consistent avenue of reliable information, promote openness regarding decisions, and improve communication and relationships throughout the district. The meeting agenda should include input from staff and should be developed to ensure that everyone's concerns are heard.

The district website lacks a menu of services providing information to visitors on who to call with specific questions. While there is a department staff listing with names, titles, emails and telephone extensions, it is not clear who should be called for specific questions or items needed.

Requests for information were reported to have severe lag times. Staff had inquired about basic items, such as the number of current units for salary schedule purposes. It took five months to

complete this particular request. This delay could be due to several things: inadequate training of internal staff, lack of a human resources information system, or poor customer service.

Communication between the Human Resources and Business Services departments remains limited, even though the managers of the departments meet weekly. In addition to managers, line employees also need to meet regularly. Significant work is still needed to improve communication and teamwork and to reduce the number of difficulties and differences of opinion between the departments. Every effort should be made to strengthen this relationship, including monthly meetings.

## Recruitment

A major function of any HR department is the recruitment of staff. This must be done in a timely and efficient manner. Throughout California, K-12 staff are very hard to recruit and retain; that appears especially true in the district.

FCMAT was provided with several documents related to recruitment: 2018-19 Recruitment Plan, Hiring Flowchart, Recruitment Events/Job Fairs, and Certificated Staffing Procedures. Some of these documents had dates reflecting they had been generated for FCMAT's visit. Although they were thorough, FCMAT's concern is that they represent best practice rather than reality, as interviews revealed that HR's recruitment efforts are ineffective.

Vallejo's Recruitment Plan states, "the District has initiated two critical programs for recruitment purposes. The first seeks to recruit the District's own classified employees from within. The second is a partnership with Touro University, a local teacher credentialing program that provides financial assistance to students seeking to earn a teaching credential in high need areas." FCMAT did hear about both programs, but also was told numerous times these efforts are not adequate, and managers recruit on their own so that qualified candidates are found.

The recruitment plan did include actions for 2018-19, including a tentative recruitment fair schedule. The actions are commendable, if they are in fact completed. FCMAT's concern is that the materials represent what should happen rather than what is happening. Some of the items, such as "identify hiring needs early; provide effective and efficient processing of applications, timely feedback to applicants and prompt completion of hiring steps; hire early (by May) to attract and retain the most qualified and sought-after teachers," do not appear to be effective.

The plan does have a statement about increasing marketing for the 2018-19 school year through creating flyers targeted at specific groups, using the district's Facebook and Twitter accounts to post job announcements, posting on craigslist.com, posting on the district's homepage, and creating a company page on LinkedIn. These are all good goals and should be implemented immediately.

FCMAT could not find any recruitment marketing materials on the district website.

A thorough review of the district's HR recruitment process should occur. The entire process needs to be re-examined and aligned with industry best practices.

## Position Control

It is critical to maintain an effective position control system to manage the cost of salaries and benefits and to properly reflect those expenditures in the district's budget. To be effective, the position control system must be integrated with other financial modules such as budget and payroll. Position control functions also must be separated to ensure proper internal control. The controls must ensure that only board-authorized positions are entered in the system, human resources hires

only for authorized positions, and payroll only pays employees hired for authorized positions. The proper separation of duties is a key factor in creating strong internal control and a reliable position control system. A fully functioning position control system helps districts maintain accurate budget projections, employee demographic data, and salary and benefit information.

All recruited positions should possess a unique position number that is board approved and budgeted. When an employee is hired and assigned the unique position number, the specific number of workdays and hours needs to be defined so the employee demographic information can be appropriately entered into the system. Maintaining accurate data is essential for budget development, collective bargaining, and providing effective services. Additionally, the ability to easily download data from the position control system is important for operational efficiency and accuracy.

The district uses the Escape financial system's position control module. Management of this system is shared between the Business Services and Human Resources departments. HR staff is responsible for entering approved positions in the position control system and making changes to existing positions. HR staff also establishes salary placements and work calendars, assigns new hires to the correct position, and closes positions that are no longer needed. This is all done via a manual employee change form, called the Form 6. When a site or department manager makes a request to hire an employee, he or she completes a Form 6 that is manually routed to HR, where it is checked for accuracy and necessary approvals. To fill an existing position, HR staff audits the required information to verify it is correct, including the number of hours, days, and proper job title. The request then routes to the Business Services department for budget approval. HR staff ensures that necessary approvals have been obtained from HR and Business Services and notifies the requesting site or department if the position was approved or disapproved.

If the position is approved, HR staff recruits for the position and inputs it in the position control system. When the position is filled, HR attaches the new employee to the approved position in position control and inputs the employee's demographic data, salary information, hire date and other personnel-related information.

The HR department should only fill positions that have been budgeted. It was reported that the HR department often hires employees without a budget allocation. From a fiscal standpoint, this practice is very concerning and could cause an unexpected increase to the district's budget and violates good internal controls.

## **Onboarding (New and Existing Staff)**

In most public sector organizations, several requirements must be completed prior to any employee starting. Efficient HR organizations are able to decrease this natural delay. In addition, the onboarding process is a multidepartment effort. Not only is HR involved, but also benefits, payroll, information technology, etc. This is an area where the district needs improvement.

There were inconsistent reports from external customers regarding the time it took to hire new employees. In addition, other departments reported an alarming error rate from the HR department that leads to staff not being paid timely, correctly, consistently, or paid at all.

As stated earlier, the district uses an employee change form that includes all aspects of position authorization and changes to existing positions. This Form 6 is completed before action is taken on a position.

A review of the HR department process for a new position revealed several duplications of effort and numerous costly mistakes. For the certificated staff, the process involves six individual HR

staff members, two of which are management positions. Even with this practice, many errors regarding paperwork were reported. Therefore, information would need to be re-entered and/or returned to HR, which is inefficient.

Payroll employees stated that often the same form must be returned to HR more than once, which slows the processing time significantly. Employees also reported that time is lost repeating work when there are errors in processing Form 6 because the Escape financial system will not save the information unless the process is complete and accurate, so all information entered into the system at that point is lost. When the HR department generates a Form 6 it must be free of all entry errors prior to processing.

At the time of FCMAT's fieldwork, the HR department was in the middle of implementing a new electronic version of Form 6. The plan is that the electronic process will decrease the time required to hire an employee. However, the accuracy of the work is still a concern. With the implementation of any new system, it is essential that all applicable staff are fully trained on its use. Communication, comprehensive training and support regarding the new form and proper processing are essential to ensure that the information produced is reliable and accurate. HR staff didn't seem knowledgeable about the progress of the conversion to an electronic version even though the department is leading the initiative. Earlier in this report FCMAT reported that the Frontline conversion was also not led well by the HR department. Initiative and better communication is needed from HR management if these projects are to be successfully implemented.

Employees who were transferring to another position or site also reported a lag in processing internal transfers. A staff member reported being transferred to another site, but it took over a month to get the appropriate access to the attendance and other online systems at the new site.

Most of the external management reported that fingerprinting was used as the excuse for the main cause of all delays, and there seemed to be no solution to streamlining the process. Based on industry standard and the length of time it takes for other districts to process fingerprints, it appears that internal processes are the main cause of the delays, not the Department of Justice's processing time.

When the district is able to transition to more electronic systems and has a lower error rate, the reasoning behind reducing staff is even more supportable as less staff time should be needed to process transactions.

## Recommendations

*The district should:*

1. Ensure that staff understand that they are to focus on providing efficient and timely communications along with excellent customer service for both applicants and employees.
2. Require the CHRO to provide quarterly progress reports to the superintendent on meeting the department's customer service mission.
3. Communicate with all staff regarding any changes to HR staff, procedures or policies.
4. Review processes and procedures with key constituents including site administrators, classified and certificated representatives, and district personnel.

5. Revise procedures and practices to ensure consistency, customer service, accuracy, and efficacy.
6. Ensure that the department staff listing includes a menu of services in addition to the phone number and contact information for staff (e.g., leave approvals, substitutes, recruitment, contract management, credentials).
7. Ensure that the HR section of the district's website is updated anytime functions are reorganized or reallocated or when staff members change.
8. Update the district office contact list as needed to reflect changes made to job duties, and provide it to school sites and departments.
9. Conduct regular departmental and staff meetings, as well as meetings with other departments to improve communication channels.
10. Ensure that the HR department recruits staff in a timely and efficient manner.
11. Ensure that increased recruitment marketing occurs utilizing flyers targeted at specific groups. Post job announcements on the district's Facebook and Twitter accounts, on craigslist.com and on the district's homepage, and create a company page on LinkedIn.
12. Ensure that recruitment team members go through an annual training session.
13. Thoroughly review the district's HR recruitment process and align with industry best practices.
14. Ensure that the HR department only fills approved positions that have been budgeted.
15. Determine how to streamline the new position process so there is less duplication of effort and fewer mistakes.
16. Continue implementing a new electronic version of Form 6, with a focus on overall accuracy. Ensure that staff are trained on the implementation of any new system.
17. Fully communicate the proper processing of electronic Form 6 so that the information produced is reliable and accurate.





## HR Leadership and Negotiations

As previously stated, several management job descriptions do not reflect current responsibilities or description of the position. Because FCMAT is recommending a different organizational structure and position responsibilities, other issues found with the current job descriptions have not been detailed. FCMAT's overall concern for the department is that stronger leadership is needed within the HR department so that certificated and classified functions are given equal priority by the CHRO. The superintendent needs to address this issue immediately. Both certificated and classified staff are required to serve the students of Vallejo City USD and the department should not be so divided.

The job description for the chief human resources officer (CHRO) states the incumbent will be "responsible for all matters related to the administration of personnel functions and employer-employee relations and the operations of the Human Resources Department; works closely with other management personnel to ensure there is adherence to personnel policies/procedures and collective bargaining agreements and serves as an assist and advisor to the Superintendent." The assistant chief's job description also states the incumbent will be "responsible for assisting with all matters related to the administration of personnel functions and employer-employee relations and the operations of the Human Resources Department; works closely with other management personnel to ensure there is adherence to personnel policies/procedures and collective bargaining agreements and serves as an assist and advisor to the Superintendent." The only difference between the two descriptions is the words "assisting with." The representative duties on both job descriptions are also very similar.

The reality is that the CHRO oversees the certificated staffing and negotiations, and the assistant chief oversees the classified staffing and negotiations. This has caused a very divided department, with a department administrator who lacks knowledge of classified rules and regulations, putting the district at a distinct disadvantage. The administrator should be responsible for and supervise human resources for all classified and certificated employees, and have knowledge of such. In addition, as discussed throughout the report, the leadership needs to take more initiative in upgrading and streamlining internal and external communications and systems.

The CHRO's job description, dated June 2015, lists one of the position's representative duties as "Assume overall responsibility for the collective bargaining process with the VEA and CSEA bargaining units, administration of the collective bargaining agreements, and all aspects of employer-employee relations." The reality is that the CHRO delegates responsibility for the classified employees and the CSEA bargaining units and collective bargaining agreements to the assistant chief.

The CHRO indicated that the number of grievances in the district is minimal and that good progress has been made toward providing human resources services even with staffing changes in the prior year, that she has good relationships with the unions, and overall things are going well in the department now that it is fully staffed. However, during FCMAT's fieldwork, interviewees expressed concerns that the contract provisions are not always negotiated or interpreted in the best interest of the district. Interviewees indicated that the CHRO defers all classified union issues, employment problems, concerns about human resources practices, and requests for information to the assistant chief. For certificated issues, interviewees expressed reluctance to come to the CHRO with questions and concerns as they would be treated poorly and possibly retaliated against.

Employees are unsure if requests are delegated to others who do not follow through or if issues are simply forgotten. A performance appraisal tool, such as a 360-degree feedback survey, would allow district employees, including administrators, teachers, and classified staff, to provide feedback regarding the HR department and its work.

Staff reported management would likely agree or give in to the demands of the certificated union. Over time, the collective bargaining agreement has incorporated non-student-focused provisions during negotiations, such as class overage provisions previously discussed in this report. The board and management must be willing to work toward a contract that benefits the students they serve.

Much preparatory work must be done prior to contract negotiations, including a thorough review of the contract. During this contract review, experienced negotiators must determine what in the contract prevents or aids the district in completing its mission, objectives and Local Control and Accountability Program (LCAP) goals. Key questions to ask include:

- What are costs associated with different parts of the agreements?
- Are there areas of/with different interpretations?

A survey of management responsible for enforcing the contract should be conducted to determine if the language is preventing them from completing their respective mission, objective or goals. An executive meeting should be held using the information gathered above to decipher which language changes are required or needed. A bargaining strategy should be developed and adhered to during the negotiations process.

Once the potential language is identified, a budget meeting needs to be conducted and more questions asked:

- What type of increase should be given?
- What can the district afford?
- Should the increase be ongoing, or should it be one-time?
- If there is no benefit cap, what is the increase to benefits?
- How does this impact other programs the district wants to implement?
- What is most consistent with the district's objective, mission or goals?

This information should be shared with the board to determine what the board is comfortable enforcing and what language needs to be changed. This sets the district's parameters when it comes to negotiations. The leadership team, which should include the board, superintendent, and cabinet members, needs to be on the same page when it comes to negotiations. Since personnel makes up the lion's share of a school district's budget, a minor change in pay could have detrimental impact to a budget. Representatives from the business department should be included in the negotiations process. Best practice is to include both the chief of HR and the chief of business services on all district bargaining teams. Currently, business is not represented on either of the teams.

The hiring of personnel is a critical role of any human resources department. One aspect of hiring is ensuring student and staff safety and security by making certain background checks, via fingerprinting, are conducted and reviewed. When fingerprints are taken, a background check is also done in the Department of Justice database.

Interviewees consistently reported about the length of time to complete the fingerprinting process for new staff and volunteers. The understanding of external staff is that clearance from the Department of Justice could take anywhere from one to six months, which leads to a delay in hiring. Depending on the time of year, new employees could be waiting up to six months to start their job. This results in the district consistently losing valuable candidates during the recruitment/hiring process. Many of the district's school sites start the year with a staffing shortage, causing other certificated staff members to take on or absorb the students. Staff reported that some sites are not fully staffed for the entire school year. Fingerprinting is a requirement under California Education Code; however, the length of time it takes the district to receive the results is atypical.

## Recommendations

*The district should:*

1. Strengthen and unify the HR department leadership.
2. Direct the administrator of HR to be responsible for and supervise human resources for all classified and certificated employees, and have knowledge of both.
3. Instruct the HR leadership to take more initiative in upgrading and streamlining internal and external communications and systems.
4. Develop a checklist for contract review and negotiations, including items to consider such as negotiations parameters, language, budget, a survey of management, etc.
5. Review current collective bargaining agreements to determine items that directly conflict with the district's mission, objective and LCAP goals.
6. Ensure that a representative from Business Services is on both district negotiating teams.
7. As a regular practice, expect that HR and Business Services as a team will provide management and the board with information on the effects of bargaining proposals, e.g., fiscal, staffing, management flexibility, and student outcomes.
8. Ensure that the multiyear impact is determined for every proposal before it is presented during bargaining.
9. Track the performance of duties in the recruitment/hiring cycle to determine lag times, and implement or change processes to increase efficiency.
10. Send out an annual survey of the HR department to improve quality of customer service and other relevant issues.
11. Use the survey's results to clearly outline the leader's and staff's work and assignments.

12. Ensure that the leaders of Human Resources and Business Services work together to improve coordination and communication between their departments.

## Fingerprinting District Volunteers

During the LCAP development process, district stakeholders decided to set aside funds to fingerprint volunteers for the district. This potentially increases parent and community engagement, which is a state priority. However, the responsibility of fingerprinting parents and other volunteers fell on the shoulders of the HR department. This clearly increased the workload. Additional funds are needed for the volunteer fingerprinting process, to include additional assistance. A procedure also needs to be established to maintain a central database and inform school sites who is and is not cleared. A policy appeared to be in place, but it did not address all pertinent issues. The HR department will need to develop an effective practice to notify the sites when there are changes to the clearance status of a parent or volunteer. The district could expose itself to liability without appropriate practices in place.

## Recommendations

*The district should:*

1. Work with stakeholders on additional funding to fingerprint parents and volunteers.
2. Develop a process to notify site staff of volunteers' clearance status.
3. Implement or change processes to increase efficiency in notifying the sites regarding the clearance status of a parent or volunteer.



# Appendices

## Appendix A

### Study Agreement



# FCMAT

FISCAL CRISIS & MANAGEMENT  
ASSISTANCE TEAM

CSIS California School Information Services

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**FISCAL CRISIS & MANAGEMENT ASSISTANCE TEAM  
DRAFT STUDY AGREEMENT  
July 26, 2018**

The Fiscal Crisis and Management Assistance Team (FCMAT), hereinafter referred to as the team, and the Vallejo City Unified School District, hereinafter referred to as the district, mutually agree as follows:

**1. BASIS OF AGREEMENT**

The team provides a variety of services to local education agencies (LEAs). The district has requested that the team assign professionals to study specific aspects of the district's operations. These professionals may include staff of the team, county offices of education, the California Department of Education, school districts, or private contractors. All work shall be performed in accordance with the terms and conditions of this agreement.

In keeping with the provisions of Assembly Bill 1200, the county superintendent will be notified of this agreement between the district and FCMAT and will receive a copy of the final report. The final report will also be published on the FCMAT website.

**2. SCOPE OF THE WORK**

**A. Scope and Objectives of the Study**

1. Conduct an organizational and staffing review of the human resources division and make recommendations for staffing improvements or reductions, if any.
2. Evaluate the current workflow and distribution of functions within the human resources division and make recommendations for improved efficiency, if any.
3. Review the operational processes and procedures of the human resources division and make recommendations for improved efficiency, if any.



**B. Services and Products to be Provided**

1. Orientation Meeting - The team will conduct an orientation session at the district to brief district management and supervisory personnel on the team's procedures and the purpose and schedule of the study.
2. On-site Review - The team will conduct an on-site review at the district office and at school sites if necessary.
3. Exit Meeting - The team will hold an exit meeting at the conclusion of the on-site review to inform the district of significant findings and recommendations to that point.
4. Exit Letter – Approximately 10 days after the exit meeting, the team will issue an exit letter briefly memorializing the topics discussed in the exit meeting.
5. Draft Report - Electronic copies of a preliminary draft report will be delivered to the district's administration for review and comment.
6. Final Report - Electronic copies of the final report will be delivered to the district's administration and to the county superintendent following completion of the review. Printed copies are available from FCMAT upon request.
7. Follow-Up Support – If requested by the district within six to 12 months after completion of the study, FCMAT will return to the district at no cost to assess the district's progress in implementing the recommendations included in the report. Progress in implementing the recommendations will be documented to the district in a FCMAT management letter. FCMAT will work with the district on a mutually convenient time to return for follow-up support that is no sooner than eight months and no later than 18 months after completion of the study.

**3. PROJECT PERSONNEL**

The FCMAT study team may include:

*A. To be determined*

*FCMAT Staff*

*B. To be determined*

*FCMAT Consultant*

**4. PROJECT COSTS**

The cost for studies requested pursuant to Education Code (EC) 42127.8(d)(1) shall be as follows:

- A. \$800 per day for each staff member while on site, conducting fieldwork at other locations, presenting reports or participating in meetings. The cost of independent FCMAT consultants will be billed at their actual daily rate for all work performed.

- B. All out-of-pocket expenses, including travel, meals and lodging.
- C. The district will be invoiced at actual costs, with 50% of the estimated cost due following the completion of the on-site review and the remaining amount due upon the district's acceptance of the final report.

**Based on the elements noted in section 2A, the total not-to-exceed cost of the study will be \$14,500.**

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

Payments for FCMAT's services are payable to Kern County Superintendent of Schools - Administrative Agent, located at 1300 17<sup>th</sup> Street, City Centre, Bakersfield, CA 93301.

## 5. RESPONSIBILITIES OF THE DISTRICT

- A. The district will provide office and conference room space during on-site reviews.
- B. The district will provide the following if requested:
  - 1. Policies, regulations and prior reports that address the study scope.
  - 2. Current or proposed organizational charts.
  - 3. Current and two prior years' audit reports.
  - 4. Any documents requested on a supplemental list. Documents requested on the supplemental list should be provided to FCMAT only in electronic format; if only hard copies are available, they should be scanned by the district and sent to FCMAT in electronic format.
  - 5. Documents should be provided in advance of fieldwork; any delay in the receipt of the requested documents may affect the start date and/or completion date of the project. Upon approval of the signed study agreement, access will be provided to FCMAT's online SharePoint document repository, where the district will upload all requested documents.
- C. The district's administration will review a preliminary draft copy of the report resulting from the study. Any comments regarding the accuracy of the data presented in the report or the practicability of the recommendations will be reviewed with the team prior to completion of the final report.

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

## 6. PROJECT SCHEDULE

The following schedule outlines the planned completion dates for different phases of the study and will be established upon the receipt of a signed study agreement:

Orientation:	to be determined
Staff Interviews:	to be determined
Exit Meeting:	to be determined
Draft Report Submitted:	to be determined
Final Report Submitted:	to be determined
Board Presentation:	to be determined, if requested
Follow-Up Support:	if requested

## 7. COMMENCEMENT, TERMINATION AND COMPLETION OF WORK

FCMAT will begin work as soon as it has assembled an available and appropriate study team consisting of FCMAT staff and independent consultants, taking into consideration other jobs FCMAT has previously undertaken and assignments from the state. The team will work expeditiously to complete its work and deliver its report, subject to the cooperation of the district and any other parties from which, in the team's judgment, it must obtain information. Once the team has completed its fieldwork, it will proceed to prepare a preliminary draft report and a final report. Prior to completion of fieldwork, the district may terminate its request for service and will be responsible for all costs incurred by FCMAT to the date of termination under Section 4 (Project Costs). If the district does not provide written notice of termination prior to completion of fieldwork, the team will complete its work and deliver its report and the district will be responsible for the full costs. The district understands and agrees that FCMAT is a state agency and all FCMAT reports are published on the FCMAT website and made available to interested parties in state government. In the absence of extraordinary circumstances, FCMAT will not withhold preparation, publication and distribution of a report once fieldwork has been completed, and the district shall not request that it do so.

## 8. INDEPENDENT CONTRACTOR

FCMAT is an independent contractor and is not an employee or engaged in any manner with the district. The manner in which FCMAT's services are rendered shall be within its sole control and discretion. FCMAT representatives are not authorized to speak for, represent, or obligate the district in any manner without prior express written authorization from an officer of the district.

**9. INSURANCE**


During the term of this agreement, FCMAT shall maintain liability insurance of not less than \$1 million unless otherwise agreed upon in writing by the district, automobile liability insurance in the amount required under California state law, and workers compensation as required under California state law. FCMAT shall provide certificates of insurance, with Vallejo City Unified School District named as additional insured, indicating applicable insurance coverages upon request prior to the commencement of on-site work.

**10. HOLD HARMLESS**


FCMAT shall hold the district, its board, officers, agents and employees harmless from all suits, claims and liabilities resulting from negligent acts or omissions of its board, officers, agents and employees undertaken under this agreement. Conversely, the district shall hold FCMAT, its board, officers, agents and employees harmless from all suits, claims and liabilities resulting from negligent acts or omissions of its board, officers, agents and employees undertaken under this agreement.

**11. CONTACT PERSON**

Name: Adam Clark  
Telephone: (707) 556-8921  
E-mail: [aclark@vallejo.k12.ca.us](mailto:aclark@vallejo.k12.ca.us)

  
\_\_\_\_\_  
Adam Clark, Superintendent  
Vallejo City Unified School District

  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Michael H. Fine,  
Chief Executive Officer  
Fiscal Crisis and Management Assistance Team

July 26, 2018  
\_\_\_\_\_  
Date

## Appendix B

### Representative Duties for Recommended Positions

#### ASSOCIATE SUPERINTENDENT, HUMAN RESOURCES

Under the direction of the Superintendent, the Associate Superintendent, Human Resources is responsible for all matters related to the administration of personnel functions and employer-employee relations and the operations of the Human Resources Department; works closely with other management personnel to ensure there is adherence to personnel policies/procedures and collective bargaining agreements; serves on Executive Cabinet; and provides leadership in achieving district goals.

##### **Representative Duties:**

- Plan, organize, control and direct Human Resources operations and activities including recruitment, selection, compensation, employee record keeping, health and welfare benefits, workers' compensation, collective bargaining negotiations, policy development, contract administration, credentialing, employee evaluation and labor relations functions; establish and maintain department time lines and priorities; assure related activities comply with established standards, requirements, laws, codes, regulations, policies and procedures.
- Coordinate and direct communications, information and personnel to assure smooth and efficient department activities and meet the Human Resources needs of the district; collaborate with appropriate staff in the conceptual development of personnel programs; coordinate department operations with other administrative divisions and departments; direct the development and implementation of Human Resources plans, programs, projects, services, systems, strategies, goals and objectives; initiate and develop all district job descriptions; assure proper and timely resolution of personnel issues, conflicts and discrepancies.
- Supervise and evaluate the performance of assigned personnel; interview and select employees and recommend transfers, reassignment, termination and disciplinary actions; coordinate subordinate work assignments and review work to assure compliance with established standards, requirements and procedures; assure employee understanding of established requirements; direct and monitor the evaluation program for certificated personnel.
- Coordinate and direct labor relations and related collective bargaining activities for classified and certificated bargaining units; serve as the board's representative for negotiations with employee bargaining units; oversee the maintenance and updating of collective bargaining agreements; administer and oversee the implementation of negotiated agreements; maintain confidentiality of sensitive and privileged information.
- Plan, organize, oversee and direct the recruitment, selection and placement of district personnel with the appropriate focus on credentialed personnel; monitor recruitment and direct hiring activities to assure compliance with diversity and fairness standards and requirements; direct the screening of employee applications to assure candidates

meet minimum qualifications; direct and participate in the interviewing, analysis and accepting or rejecting of job applicants.

- Provide technical information and assistance to the Superintendent regarding Human Resources activities, needs and issues; advise the Superintendent regarding personnel laws, board policies, employee contracts and other district personnel rules and regulations; participate in the formulation and development of policies, procedures and programs; establish annual goals for the department that support the mission and vision of the district.
- Monitor and analyze Human Resources operations and activities for financial and educational effectiveness and operational efficiency; direct the planning, development and implementation of policies, procedures, practices, rules, regulations and programs to enhance the financial and educational effectiveness and operational efficiency of Human Resources operations and activities; provide appropriate annual planning for the Human Resources department.
- Direct and participate in the preparation and maintenance of a variety of manual and automated personnel records, reports and files related to employees, applicants, collective bargaining, policies, plans, diversity, evaluations, contracts and assigned activities.
- Provide consultation and technical expertise to administrators, staff, schools and others concerning human resources functions; respond to inquiries and provide detailed and technical information concerning labor relations, employment agreements, recruitment, payroll, benefits, contracts, evaluations, credentialing, staff management and related standards, requirements, practices, techniques, guidelines, laws, codes, regulations, policies and procedures.
- Plan, organize, oversee and direct strategic planning functions for the Human Resources department; monitor, evaluate and determine staffing needs; initiate recruitment and related advertising activities for job vacancies; provide leadership and maintain responsibility for all substitute services programs.
- Investigate, resolve and provide technical recommendations concerning employee disciplinary matters, complaints, grievances and other staff relations issues and conflicts; research, compile and assemble related technical information.
- Develop and prepare the annual preliminary budget for Human Resources operations and activities; analyze and review budgetary and financial data; control and authorize expenditures in accordance with established limitations.
- Direct the development and implementation of classifications and salary studies; analyze related information and statistical data; develop and maintain classification and staff allocation standards; assure proper salary placement of district employees.
- Maintain current knowledge of laws, codes, regulations and pending legislation related to Human Resources activities; maintain current knowledge of all matters related to “tenure” and teacher dismissal in the state; direct the modification of programs, functions and procedures to assure compliance with local, state and federal requirements as appropriate.
- Communicate with administrators, personnel, outside organizations and the public to exchange information, coordinate activities and programs and resolve issues or concerns.

- Attend and conduct a variety of meetings as assigned; prepare and deliver oral presentations concerning Human Resources operations, activities, needs and issues.
- Perform related duties as assigned.

## COORDINATOR, HUMAN RESOURCES

Under the direction of the Associate Superintendent, Human Resources, assist with all matters related to the administration of personnel functions; manage the day-to-day operations of the Human Resources department; supervise and evaluate the performance of assigned personnel; and ensure district compliance with all laws and regulations regarding personnel.

### Representative Duties:

- Manage internal operations of the human resources department including communication, technology, records, workflow, and other areas to assure smooth, fast and efficient delivery of services that comply with laws, policies and regulations regarding personnel.
- May participate in labor contract negotiations and serves as a designee for interpreting classified and certificated contract language.
- Assign, compose and prepare certificated and classified personnel recommendation reports for top administration and governing board. Initiate the follow-up work after official action.
- Create, review and evaluate positions, salaries and classifications and maintain position control.
- Maintain statistical files and charts on salaries and other information for use in preparation of federal and state reporting.
- May issue offers of employment as designee and as directed by the Associate Superintendent.
- Oversee the performance of a variety of technical clerical functions, including employee recruitment and selection, personnel employment processing, and other related functions and activities.
- Supervise and evaluate staff to ensure correct application of regulations, laws, guidelines and collective bargaining agreements.
- Monitor compliance, gather information, and prepare reports as required to comply with legal provisions.
- Prepare job descriptions and direct job analyses of positions.
- Participate in the research, collection and compilation of data for financial and statistical reports, projections, estimates, and studies and prepare written reports on findings.
- Interpret laws, rules, regulations and apply relevant provisions to situations that arise in employment.
- Direct, supervise, and evaluate the activities of the support staff assigned to perform a broad range of human resource functions related to employees.
- Work to improve the efficiency and effectiveness of operations, programs and services of the department.
- Assist with staff development, professional growth, orientation and training programs.
- Perform related duties and responsibilities as required.



## TECHNICIAN, HUMAN RESOURCES

Under the direction of the Coordinator, Human Resources, perform a variety of human resources activities in support of assigned classified and certificated personnel functions and transactions; serve as an informational resource to employees, applicants and the public regarding assigned personnel functions; establish and maintain personnel records and files.

- Serve as an informational resource to employees, applicants and the public regarding personnel functions; respond to inquiries and provide information concerning related standards, time lines, position vacancies, requirements, practices, processes, rules, regulations, policies and procedures.
- Establish and maintain a variety of personnel files and records according to established policies and procedures; process and update records and files with new hires, employee information, changes, assignments, transfers, promotions, salary increases, absences, evaluations, credentials and other information as assigned; prepare and distribute personnel, applicant and other reports as required.
- Prepare, maintain, distribute and process a variety of personnel-related forms, applications and paperwork; assist employees and applicants in completing required forms, applications and paperwork; review information for accuracy and completeness.
- Receive, screen and evaluate applications and transcripts for minimum qualifications; verify applicant eligibility, employment, work experience, reference and background information; schedule, arrange and notify applicants of tests, interviews and processing appointments.
- Conduct orientations and processing of newly-hired employees.
- Maintain seniority lists.
- Calculate and update salary increases and work schedules in coordination with the payroll department.
- Notify administrative staff of due dates for performance evaluations; monitor receipt and follow up on late evaluations.
- Ensure new employees complete all hiring requirements, including fingerprinting and clearance reports.
- Prepare recommendations for employment. Determine salary and insurance eligibility and issue notice of employment.
- Maintain and process all leave of absence requests for all assigned employees to minimize overuse and excess leave.
- Communicate with district departments, site personnel, outside agencies and the public to obtain and provide information, resolve discrepancies and correct errors.
- Serve as backup to the HR Clerk/Receptionist.
- Perform other duties as assigned.

**HR CLERK/RECEPTIONIST**

Under the direction of the Coordinator, Human Resources, performs complex clerical duties in support of the Human Resources department.

**Functions:**

- Answer and redirect incoming telephone calls to the HR department; greet visitors and control access; provide general information.
- Coordinate the volunteer application process including fingerprinting; prepare information packets.
- Process application for hourly employment; screen for required documentation; maintain files of all hourly employees.
- Process substitute applications; provide information about prerequisites; create substitute packets; and answer questions related to the application process.
- Enter a variety of data into the HR system.
- Distribute incoming mail and other materials for the HR department; prepare outbound mail.
- Maintain the confidentiality of employee data.
- Operate a computer to input, retrieve or verify a variety of data.
- Perform other duties as assigned.