

PUSD

Pasadena Unified School District

Management Audit Report

March 15, 2007

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Management Audit Report

for the
Pasadena Unified School District
March 15, 2007

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EXECUTIVE SUMMARY

This is a final report on a Management Audit of the Pasadena Unified School District (Pasadena USD). This study was commissioned by the Management Audit Advisory Council, and was conducted from September 2006 through February 2007 by Gibson Consulting Group, Inc. of Austin, Texas.

The objectives of this study were to:

- Evaluate the Central Office organization structure at the director-level and higher to ensure that it effectively supports decision-making throughout the district.
- Evaluate Board of Education (Board) and district-level decision-making from both policy and process perspectives. The analysis includes sub-systems of decision-making, including management information systems, communications, stakeholder input, as well as procedures and controls.
- Evaluate the effectiveness of procedures provided by the Pasadena USD Classified Human Resources Department staff and the Personnel Commission in the recruitment and hiring of classified employees.

The objectives of the project did not include the performance audit of any departments or schools, or the identification of savings. Instead, the focus was on how the district and the Board make decisions and what improvements can be made in this regard.

There are several major findings of the report:

- At the director-level and up, the Central Office is not overstaffed. There may be opportunities for savings at lower levels of the Central Office, but there are necessary investments as well. The organization structure should be realigned to support improved accountability and control over operations, and functions should be added for the Central Office to meet school and community needs. While many of the realignments can be done without additional cost, the estimated investment required for new positions is approximately \$500,000 per year.
- There have been examples of good decisions made by Pasadena USD, the most notable being the implementation of the standards-based curriculum and benchmark testing system. The Board and district focused on academic needs, analyzed data, developed options to improve, and dedicated resources to begin a successful implementation. Teachers and principals now have access to student performance results throughout the year to help improve scores on standardized tests taken annually in the spring. While many challenges still exist, this initiative represents Pasadena USD decision-making at its best.
- The teacher's contract should be renegotiated to remove language on site-based decision-making. This provision currently allows schools to be "site-based" contingent on an election by teachers. The provision is not being applied at any of the schools, and it is inconsistent with Board policy requiring a single system of decision-making. Further, there are other decision-making structures at the schools that include teachers and are effective in supporting school decisions.
- The district's technology infrastructure is highly unstable and outdated, and is not effectively or efficiently supporting the decision-making process. Reporting tools

were purchased before the infrastructure could support their use, duplicative data systems exist, software applications have become increasingly fragmented, and significant manual procedures and duplicate systems continue to be used in the day-to-day operations. The district has identified and estimated costs for many of these needs (\$4.5 million one-time and \$4.0 million annually), but funding has not been allocated to meet them.

- Other aspects of the decision-making process need attention, including communication systems, stakeholder input and communication, and planning and management of major initiatives. The lack of current job descriptions, documented procedures, and annual performance evaluations are also limiting accountability for decisions and performance at Pasadena USD.
- For several reasons, the Pasadena USD Human Resources Department does not work effectively with the Personnel Commission. The HR Department should take primary responsibility for improving the coordination and communication between the two entities in order to increase their collective effectiveness. Pasadena USD management does not believe that the current process is yielding the highest quality candidates, and efforts are sometimes made to circumvent the process. Pasadena USD and the Personnel Commission should adopt a governance philosophy applied by other California school districts that provides better coordination between the two entities and accountability to the Pasadena USD Board of Trustees.

While this report, like other consultant reports provided to Pasadena USD, should be useful to the Board and district management, its value will be limited until the Pasadena USD determines how to reallocate its resources to fund the recommended changes without jeopardizing student achievement.

Below are brief descriptions of the specific recommendations made in this report, organized by section.

CENTRAL OFFICE ORGANIZATION STRUCTURE

Recommendation 1-1: Restructure Central Office functions to support improved communications, accountability, and decision-making.

Pasadena USD should keep its Chief Academic Officer Model for its organization structure but realign functions to improve accountability and equity. The human resources and technology functions should report directly to the superintendent, and all academic programs and school operations should be under the responsibility of the chief academic officer. The transportation function should also be moved to Business and Support Services where the other auxiliary operations reside.

BOARD LEVEL DECISION-MAKING***Recommendation 2-1: Improve the format and content of information provided to the Board, starting with the budget.***

The most frequently stated concern by Board members regarding management information was the annual budget. The Board receives information and correspondence throughout the year relating to the budget, but the most important is the formal budget document. The district's annual budget provides an excellent example of too much data and not enough meaningful management information. The district should implement performance-based budgeting to increase the usefulness of budget information. The board should also define information specifications for other routine and non-recurring information requests to ensure that the content and format meets or exceeds board member expectations.

Recommendation 2-2: Increase Board technical training.

While there is considerable room for improvement in the provision of information to the Board, there is also a need for additional Board technical training. Currently, Board orientation is held for all Board candidates prior to elections. However, post-election training is not being held for all new Board members at Pasadena USD. The board should establish its own standards and minimum hour requirements for board member professional development.

Recommendation 2-3: Reconstitute Board committees.

The effectiveness of Board committees has been limited for some of the same reasons relating to management information provided to the Board directly. Based on observations of Board meetings, many of the same issues discussed in the committee meeting are re-hashed in the Board meeting. The Board should reconstitute its committees by establishing more specific decision-making expectations for each. The Board should make it clear to each committee when it wants information versus a recommendation on a decision.

Recommendation 2-4: Adopt a Code of Conduct for School Board meetings.

The Board should develop a Code of Conduct for all participants in a Board meeting, including community members, staff and Board members themselves. This Code of Conduct should prohibit inappropriate conduct including the accusations against specific members of the Board or employees of the district. Comments made against any individual that the Board wishes to entertain should be treated in the same manner as a personnel matter in Executive Session. This recommendation should be reviewed by the district's legal counsel before implementation.

Recommendation 2-5: Conduct Board-Superintendent teambuilding sessions at least annually.

To improve its ability to work together, the entire Board should participate with the superintendent in an annual teambuilding session facilitated by a registered provider. The purpose of the teambuilding session would be to enhance the effectiveness of the Board-Superintendent team and to assess the continuing education needs of the Board-Superintendent team. The Board-Superintendent team should attend

additional teambuilding workshops when there is turnover of the Board or the superintendent.

Recommendation 2-6: The Pasadena USD Board should adopt the California School Boards Association (CSBA) Professional Governance Standards for School Boards.

The CSBA has standards designed as a proactive way to engage School Board members and the public in discussions about the importance of School Board accountability. They are meant to enhance the public's understanding about "responsibilities of local Boards and to support Boards in their efforts to govern effectively." Pasadena USD should formally adopt these standards and subscribe to their principles.

DISTRICT LEVEL DECISION-MAKING

Recommendation 2-7: Pasadena USD and the teachers' union should negotiate to remove site-based provisions from the teacher contract.

The scope of decision-making in the teacher contract is not specific enough to avoid confusion over who has the authority to make what decisions. Pasadena USD and the teachers' union should negotiate to remove site-based decision-making from the employment agreement, and both should be involved in the implementation of a single decision-making framework to be applied district-wide.

Recommendation 2-8: Adopt a policy that documents a single decision-making framework for all schools.

Some decisions need to be made centrally in order to provide consistent application and efficient operations at the schools and Central Office. Other decisions can and should be made at the school-level. Documentation of a single decision-making framework will help ensure that all principals and Central Office administrators understand the ground rules for decision-making. Adopting it as policy will ensure its consistent use regardless of who is superintendent. Reference should be made in this framework to existing site-based decision-making structures, including School Site Councils and campus leadership teams.

Recommendation 2-9: Create a technology steering committee.

The committee should have ten to 12 members and include teachers, principals, various administrative and instructional department staff, Board members, parents, and community members. ITS management and staff should also be part of the committee but they should serve mostly in an advisory role. The committee should meet on a monthly basis in order to provide the necessary guidance and oversight.

Recommendation 2-10: Upgrade Technology Infrastructure.

Pasadena USD should dedicate resources to address needs identified on the ITS list to upgrade the district's network infrastructure and server environment, and phone system. The current infrastructure is highly vulnerable, experiences excessive downtime, and is not effectively or efficiently supporting decision-making.

Recommendation 2-11: Implement a network operating system and role-based security structure.

The lack of a network operating system is limiting the ability to allow users efficient access to data needed to support decision. Security is currently designated at the workstation level, as opposed to a position/user or role level. This impairs the ability of ITS to effectively manage access to reports and software applications needed to support decisions.

Recommendation 2-12: Refine long-term plan for application software and reporting.

Application software used to support student information, business operations, and human resource needs has become more fragmented over the past five years, with new systems developed or purchased to address deficiencies of other software. Reporting software was purchased before the infrastructure was ready for it, prompting the purchase of additional reporting software. Transaction processing throughout the district is paper-intensive, duplicative, and requires extensive reconciliation to ensure data accuracy. Certain software is dictated by the Los Angeles County, but the district must take a fundamentally different approach to application software to effectively support operations and decision-making.

Recommendation 2-13: Require all teachers to use district email.

The vast majority of Central Office staff and school leaders (76 and 90 percent, respectively) use email as the primary means of communication. However, only 51 percent of teachers use email as the primary means of communication. There are several reasons for this, including insufficient hardware, lack of user identifications and passwords, and the inclination of some teachers to use personal email instead of district email. To ensure effective communications, all teachers and administrative personnel should be required to use and periodically check their email.

Recommendation 2-14: Upgrade the district's phone system to Voice-Over Internet Protocol.

Voice Over Internet Protocol (VOIP) uses the district current network infrastructure (as opposed to telephone lines) to carry voice communications. This allows the district to consolidate and better manage its investments in communications and technology. Since VOIP is digital, the quality of communications is also better. Pasadena USD uses an outdated analog system that is limiting the effectiveness and efficiency of district communications.

Recommendation 2-15: Reconstitute all recurring staff meetings and establish standard for ad-hoc meetings.

Meetings represent another means of communicating information. However, in many instances meetings are conducted only to share information that could be transmitted via email or other means. According to employee responses to a survey question regarding time spent in meetings, more employees believe that too much time is spent on meetings. District management should carefully evaluate each meeting to determine if it is necessary to achieve objectives.

Recommendation 2-16: Identify and include decision stakeholders in the decision-making process and the communication loop upon implementation.

For each decision identified in the decision-making framework, internal and external stakeholder types should be identified and listed for each decision in a documented procedure. When decisions are being made at any level in the organization, this procedure can be used as a checklist to ensure that all stakeholder groups are appropriately included in the decision-making process and in communications throughout implementation.

Recommendation 2-17: Adopt formal project management techniques and train project managers.

Project management training is available through sources outside public education. For certain types of decisions or initiatives, such as technology, there are certification programs for project management. The district has initiated several attempts to train on project management, but the discipline has not been consistently reflected in the implementation of several major district initiatives.

Recommendation 2-18: Update and document all operating procedures and job descriptions.

Many job descriptions are out-of-date and/or incomplete, limiting management's ability to hold individuals accountable. Job descriptions should reflect the current duties and responsibilities assigned to the position, and should contain specific, measurable performance objectives to support an evaluation of performance. Procedures should be documented initially through process maps to better understand and communicate the processes that run across the organization. The development of job descriptions, process maps, and procedures should be done in concert with each other to ensure internal consistency.

Recommendation 2-19: Prepare performance evaluations annually for all personnel.

Some employees, even higher level administrators, have not been evaluated in five to six years. Performance evaluations need to be conducted at the same frequency as district goals are established. Performance evaluations should meet all minimum legal and contractual requirements, and also be used to support accountability for performance on an annual basis.

CLASSIFIED EMPLOYEES – PASADENA USD HUMAN RESOURCES DEPARTMENT AND THE PERSONNEL COMMISSION

Recommendation 3-1: District management should establish and give continuing support for cooperation between the Personnel Commission and Classified Human Resources Department staff.

The Classified HR Department and Personnel Commission currently function as two disconnected entities, instead of an integrated human resources function and there is no regularly scheduled, meaningful communication between the Classified Department staff and the Personnel Commission staff. A contributor to the lack of communication between the Personnel Commission and the Classified HR Department is the physical proximity of the staff; they are located in separate offices, although they did recently move to the same floor. It is more difficult to coordinate activities and cultivate communication channels under these circumstances.

Recommendation 3-2: Increase the frequency and value of communication regarding classified personnel policies and procedures.

The Classified Personnel Handbook can be a good introduction for new hires. However, district employees need supplementary targeted documentation to better understand any related regulations, policies, or procedures that affect them when applying for transfers, promotions, or reclassifications.

Recommendation 3-3: Create and execute a plan to conform to and maintain established administrative requirements related to classified job descriptions and their classifications.

The Personnel Commission director is responsible for maintaining and keeping job descriptions current. However, it is critical that the district provide new information to the Personnel Commission director as soon as it is received in order to keep job descriptions up-to-date.

Recommendation 3-4: Investigate ways to increase the quality and number of candidates for classified positions.

Some classified employees participating in focus groups felt that flyers for open positions do not consistently reach all employees who may wish to apply. The Classified HR Department and Personnel Commissions should develop a plan to work collectively to determine the best approach to reach the largest number of classified employees and candidates.

Recommendation 3-5: The Personnel Commission should investigate methods to compress the time that it takes to complete the hiring process.

The Personnel Commission staff should examine common recruitment patterns within the district and begin instituting proactive staffing activities during those times. Additionally, it is essential that the recruiting process for frequently hired positions be initiated prior to the expiration of the related eligibility list.

Recommendation 3-6: Increase the Personnel Commission's accountability to the district and to the Board.

The Personnel Commissioners, Personnel Commission director, and the Board should meet to determine appropriate information to include in this monthly report. In addition to providing the Board with needed information, this report may also be used by the Personnel Commission director and the Personnel Commission to proactively identify potential issues and make modifications to procedures and processes.

Attached to this report are templates for job descriptions, process maps, and procedures to help guide the district in its implementation efforts. Sample performance measures to support Performance-Based Budgeting are also included.

* * * * *

Acknowledgements

Gibson Consulting Group, Inc. would like to thank the Pasadena USD School Board, district and school leadership, teachers, and all other staff who contributed to this study. Particular thanks go to:

- *Kathleen Duba, who served as the district liaison for our work and took primary responsibility for gathering requested data and scheduling district and campus-level meetings.*
- *Michi Oba and Diane Orona, who were both vital in managing the communications between the district and Gibson Consulting Group, Inc. throughout the project.*
- *To the 488 administrators, teachers and employees who took the time out of their day to respond to our online survey.*

CHAPTER 1:

ANALYSIS OF CENTRAL OFFICE ORGANIZATION STRUCTURE

BACKGROUND

Analysis Approach

The organizational analysis focuses on the functional effectiveness of the district's Central Office management structure, with particular attention given to the top four administrative levels in the organization—superintendent, deputy superintendent, assistant superintendent, and director. A limited number of subordinate positions that have assumed director-level responsibilities are also included. Department-level organization structures and staffing-levels were not included in the scope of this project.

Several documents were reviewed for this analysis, including:

- District and department-level organizational charts;
- Organizational assessments completed by groups external to the district;
- District policies and administrative regulations;
- Department operational procedures;
- Job descriptions of all Central Office senior and mid-level management positions and school leadership positions;
- Board of Education (Board) meeting minutes, agendas, and Board packets;
- Budget information provided to the Board;
- Various information relating to the site-based decision-making process and school site councils;
- District Strategic Plan;
- District planning documents;
- Sample copies of the campus-prepared *Single Plan for Student Achievement*; and
- School surveys conducted by outside consultants.

Site work was conducted over a two-week period — November 13-17 and November 27-30, 2006. During this time, the review team conducted interviews with all Central Office senior and mid-management administrators, and visited 13 of the district's 27 campuses. Interviews and/or focus groups were conducted with principals, teachers, other school staff, and community members. For schools or areas not visited, principals, other staff, and community members were offered the opportunity to participate in one or more focus groups.

While on site, the review team requested and received additional information concerning district operations. The review of the documents provided in the initial data request identified other materials important to the review team's work. In some cases, the review team became aware of other documents, reports, surveys, and communications during scheduled interviews or in informal conversations with district employees or members of the greater Pasadena community. A sample of these supplemental informative materials includes:

- The Final Report and Recommendations of the City of Pasadena Charter Reform Task Force on School District Governance (Office of the City Clerk, City of Pasadena, June 20, 2000);
- A Curriculum Management Audit of the Pasadena Unified School District (April 2001);
- Pasadena USD Responses to the 48 Recommendations (January 28, 2002);
- The Final Report of the Reconvened City of Pasadena Charter Reform Task Force on School District Governance (April 24, 2002);
- District Interim Assessment Tool (Stupski Foundation, various dates);
- Pasadena Unified School District Organizational Assessment (Stupski Foundation, Spring 2006);
- Focus on One Year of Progress: May 2005 - May 2006 (Stupski Foundation, May 2006);
- Pasadena USD Operating Team Reports 2005-06 (Office of the Deputy Superintendent, undated)
- Customer Service Surveys (Pasadena USD Assessment and Program Evaluation Department, 2004-2006)
- One Pasadena: Tapping the Community's Resources to Strengthen the Public Schools (Richard D. Kahlenberg, 2006).

The review team examined two elements in assessing the effectiveness of district's Central Office organizational structure - the logical alignment of functions and span of control.

The logical grouping or alignment of functions refers to how effective the organization is in grouping functions or tasks of a similar nature in order to keep supervisory responsibilities within manageable limits. Span of control refers to the number of direct reports a supervisory position has.

Responsibility for Organization Structure

As the governing Board of the Pasadena USD, the role of the Board of Education is provided in the *Bylaws of the Board, BB Policy 9000(a) Role of the Board* which states, "The Board shall work with the superintendent to fulfill its roles, which include...Establishing and maintaining a basic organization structure for the District..." This language appears to imply that the Board should be involved in development of the district's organization structure. All other policies, however, suggest it is the superintendent's responsibility. *Administration BP 2100 Administrative Staff Organization* states that:

- *The superintendent shall organize the administrative staff in a manner that best enables the District to provide an effective program of instruction; and*
- *The superintendent or designee may adjust staff responsibilities temporarily or permanently to accommodate the workload and/or individual capabilities.*

Separate provisions in *BP 2110* discuss organizational charts and lines of authority:

- *The superintendent shall maintain a current District organization chart. The organization chart shall clearly designate lines of primary responsibility and the relationships between all District positions; and*
- *The superintendent or designee shall ensure that all personnel understand to whom they are responsible and for what functions. Lines of responsibility should in no way prevent staff members at all levels from cooperating to develop the best possible school programs and services.*

The policy language clearly places the bulk of the responsibility for establishing the organization structure with the superintendent. Since the Board must approve new or terminated positions, they are also involved. In practice, the superintendent seeks Board approval of all major organizational changes.

Overview of Organization Structure

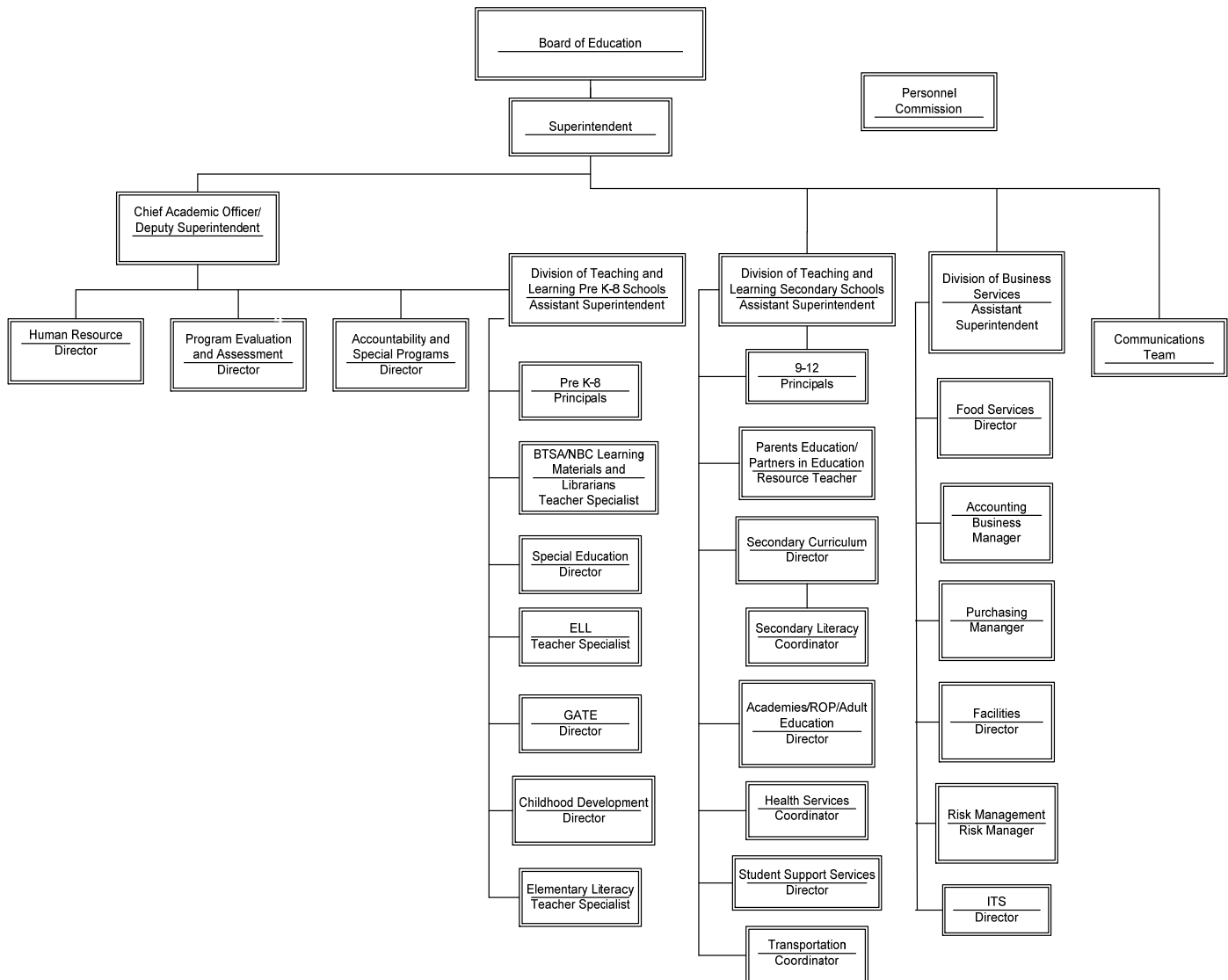
There are several organizational models used in public education systems. These models can generally be grouped into four categories:

- ❖ **Assistant / Associate Superintendent Model** – This model has numerous assistant superintendents, associate superintendents and/or executive directors reporting directly to the superintendent. These are generally flatter organizations, and the superintendent is involved in the day-to-day operations of the district. This model is generally found in smaller school systems.
- ❖ **Deputy Model** – As districts grow, the ability of the superintendent to be involved in day-to-day operations declines and more responsibility is delegated to deputy superintendents who run the day-to-day operations. The organizations are not as flat as the Assistant / Associate Superintendent Model, but allow the superintendent to focus more on Board and public responsibilities. In the strict application of the Deputy Model, two deputies (one for instruction and one for operations) report to the superintendent. However, in practice some districts also include assistant superintendents as direct reports.
- ❖ **Chief of Staff Model** – This model is used in a few very large school systems around the country. Under this model, the chief of staff reports to the superintendent, and many assistant superintendents, associate superintendents, executive directors and possibly director positions report directly to the chief of staff. This model essentially assigns all day-to-day district operations responsibilities from the superintendent to the chief of staff.
- ❖ **Chief Academic Officer Model** – this model is similar to the deputy model, but places the chief academic officer slightly higher in the organization than a traditional deputy. The chief academic officer is responsible for all activities and programs relating to the education of students. In this model, the positions responsible for managing the district's finances, technology, and operations are part of a different arm of the organization, and have slightly less power and influence than a traditional deputy. The recent trend to hire "non-traditional" superintendents, who come from backgrounds other than education, has contributed to the growth of this type of organizational structure in large school districts. This model is applied by Pasadena USD, and represents an emerging best practice in public education.

A school district's organizational structure should reflect the mission of the school district and consider the desired role of the superintendent. If the superintendent's role requires him or her to be more involved in supporting the Board and meeting external demands, the position should have fewer direct reports. If the superintendent is to be closer to the day-to-day operations, the organization should generally be flatter, with more direct reports to the superintendent.

Under Pasadena USD's current organization structure, the superintendent has four (4) direct reports: chief academic officer, deputy superintendent; assistant superintendent, Teaching and Learning Secondary Schools; assistant superintendent, Business Services; and the Communications Team. **Exhibit 1-1** on the following page presents the district's current organization chart.

Exhibit 1-1
Pasadena USD District Organization Chart
2006-07



The chief academic officer, deputy superintendent has four (4) direct reports: assistant superintendent, Teaching and Learning Pre K-8 Schools; director of Human Resources; director of Program Evaluation and Assessment; and director of Accountability and Special Programs.

The assistant superintendent, Teaching and Learning Secondary Schools has ten direct reports: principals, Grades 9-12 (4); Resource teacher, Parent Education/Partners in Education; director, Secondary Curriculum; director, Academies/Regional Occupational Programs (ROP)/Adult Education; coordinator, Health Services; director, Student Support Services; and coordinator, Transportation.

The assistant superintendent, Business Services has six (6) direct reports: director, Food Services; business manager, Accounting; director, Purchasing; director, Facilities; risk manager, Risk Management; and director, ITS.

The assistant superintendent, Teaching and Learning Pre K-8 Schools has 27 reports: principals, Grades Pre K-8 (22); teacher assistant, BTSA/NBC/Learning Materials and Librarians; director, Special Education; teacher specialist, English Language Learners; director, Childhood Development; and teacher specialist, Elementary Literacy. This position has administrative responsibility for Gifted and Talented Education (GATE), but program oversight is assigned to a high school principal who reports to another position.

Recent Departmental Organizational Changes

A number of changes were made during the past 18 months to the district's organization structure. Based on the organization charts provided by the district, the following changes occurred between August 2005 and September 2006:

- Principals, Grades 9-12: Reassigned from the superintendent to the Teaching and Learning Secondary Schools (formerly Operations);
- Parent Education/Partners in Education: Reassigned from Accountability and Special Programs (formerly, Teaching and Learning Government Funding and Accountability) to Teaching and Learning Secondary Schools;
- Secondary Curriculum, Secondary Literacy, and Academies/ROP/Adult Education: Reassigned as above;
- BTSA/NBC Learning Materials and Librarians: Reassigned from Accountability and Special Programs to Teaching and Learning Pre K-8 Schools;
- Food Services: Reassigned from Operations to Business Services;
- Assistant superintendent for Planning, Research, and Evaluation: Position eliminated;
- School Police: Office eliminated;
- Safety Compliance Officer: Position eliminated; and
- Communications Department: Department eliminated.

FINDINGS AND RECOMMENDATIONS

Sections 41101-41407 of the *California Education Code* limit the ratio of teachers to district and campus-level administrators in school districts. A financial penalty is imposed on districts that employ more administrators than allowed, unless waived by the State Board of Education. For unified districts, the ratio of teachers to administrators cannot be less than 8.0, or one administrator for every eight teachers. A higher ratio reflects lower administrator staffing levels relative to the number of teachers. In 2005-06, the number of teachers per each administrator in Pasadena USD, Los Angeles County, and the state was 13.2, 10.7, and 11.4, respectively. Pasadena USD currently employees 81 district and campus-level administrators, 52 fewer than the maximum allowed by law.

Exhibit 1-2 presents district-level administrator ratios for Pasadena USD and unified school districts of similar size. Like the teacher to administrator ratio, lower ratios indicate higher staffing levels; higher ratios reflect lower staff levels. When compared with the 20 unified districts that have comparable enrollment sizes to Pasadena USD, the students to district-level administrators ratio for Pasadena USD is the seventh lowest and is approximately 18 percent lower than the average for the comparison districts. This suggests that Pasadena USD has a higher number of Central Office administrators than the average peer district. The ratio of teachers to district-level administrators is the eighth lowest among the 20 peer districts and approximately 9 percent lower than the average for the districts.

Exhibit 1-2
2005-06 Ratios of Students and Teachers
to District-Level Administrators
Pasadena USD and Unified Districts of Comparable Size

Unified District	Enrollment	Students Per District-Level Administrator	Teachers Per District-Level Administrator
Fairfield-Suisun	23,377	417.4	19.3
Pajaro Valley	19,324	623.5	30.1
Hayward	22,236	712.2	35.0
Newport-Mesa	22,122	737.4	36.2
Alvord	19,869	764.1	34.5
Norwalk-La Mirada	23,230	967.9	42.2
Pasadena	21,321	1,066.0	53.4
Hemet	22,368	1,177.3	54.0
Murrieta	20,164	1,186.1	52.7
Conejo Valley	22,456	1,247.5	57.6
Tustin	20,195	1,262.1	55.8
Peer District Average	21,458	1,293.4	58.9
Hacienda la Puente	23,241	1,367.1	68.9
Antioch	21,188	1,412.5	61.8
Redlands	21,326	1,424.1	63.6
Oceanside	21,367	1,424.4	71.5
Hesperia	20,267	1,447.6	63.5
Jurupa	21,043	1,618.3	74.6
Downey	22,584	1,737.2	77.8
Baldwin Park	19,684	1,789.4	75.3
Simi Valley	21,454	2,145.4	95.6
ABC	21,660	2,406.6	108.2

Source: Gibson Consulting Group, Inc. from Ed-Data @ www.ed-data.k-12.ca.us/

Because of the wide-range of efficiency, several district organization charts available online were reviewed to understand the differences. For districts at both ends of the range, the organizations are much more similar than the above data suggests. The disparity appears to be due to variances in position titles rather than functional differences. Varying interpretations on state data standards may also be contributing to the wide variances among school systems.

While the scope of this work did not include campus administrators, it is important to analyze these ratios in conjunction with district-level administrators. Some districts apply different organizational strategies and may shift some administrative functions to the schools. At Pasadena USD, some Central Office functions have in fact been transferred to school principals.

Exhibit 1-3 presents ratios of students and teachers to campus-level administrators for Pasadena USD and peer districts. The results are only slightly different from ratios for district-level administrators. The number of students per campus-level administrator in Pasadena USD is the fourth lowest among the 20 peer districts; the number of teachers per campus-based administrator is the sixth lowest. The number of students per campus-level administrator in Pasadena USD is approximately 19 percent lower than the average for the comparison districts. Similarly, the number of teachers per campus-level administrator is approximately 12 percent lower than the peer district average. These lower ratios suggest that Pasadena USD has a higher number of campus administrators than most of the peer districts. Many factors could be contributing to this, including the average school size. Pasadena USD has several low-enrollment campuses, and the district closed schools at the beginning of the 2006-07 school year. While enrollment has declined in recent years, the closure of schools should result in slightly higher staffing ratios for 2006-07.

Exhibit 1-3
2005-06 Ratios of Students and Teachers
to Campus-Level Administrators
Pasadena USD and Unified Districts of Comparable Size

Unified District	Enrollment	Students Per Campus-Level Administrator	Teachers Per Campus-Level Administrator
Pajaro Valley	19,324	292.8	14.1
ABC	21,660	338.4	15.2
Hemet	22,368	338.9	15.5
Pasadena	21,321	349.5	17.5
Newport-Mesa	22,122	351.1	17.2
Hesperia	20,267	361.9	15.8
Alvord	19,869	389.5	17.6
Hacienda la Puente	23,241	400.7	20.2
Tustin	20,195	403.9	17.8
Fairfield-Suisun	23,377	417.4	19.3
Murrieta	20,164	429.0	19.0
Simi Valley	21,454	429.0	19.1
Peer District Average	21,458	432.3	19.9
Conejo Valley	22,456	440.3	20.3
Hayward	22,236	463.2	22.6
Jurupa	21,043	467.6	21.5
Baldwin Park	19,684	492.1	20.7
Norwalk-La Mirada	23,230	494.2	21.5
Antioch	21,188	516.7	24.4
Oceanside	21,367	534.1	26.8
Downey	22,584	537.7	24.0
Redlands	21,326	546.8	24.4

Source: Gibson Consulting Group, Inc. from Ed-Data @ www.ed-data.k-12.ca.us/

Because of differing state laws and regulations, comparisons to districts outside California is limited in some respects. Comparison to other states is also limited because “central administration” is defined differently. The State of Texas uses a similar definition as defined in its Public Education Information Management System. In 2005-06, Texas’s ratio of students to central administrators was 762 to 1. This benchmark comparison suggests that Pasadena USD has 40 percent fewer Central Office administrators than the average Texas school district. Pasadena USD students to campus-level administrator ratio of 349.5 to 1 is 30 percent higher than the Texas state average of 269 to 1 indicating that Pasadena USD has 30 percent fewer campus administrators relative to the number of students than does Texas.

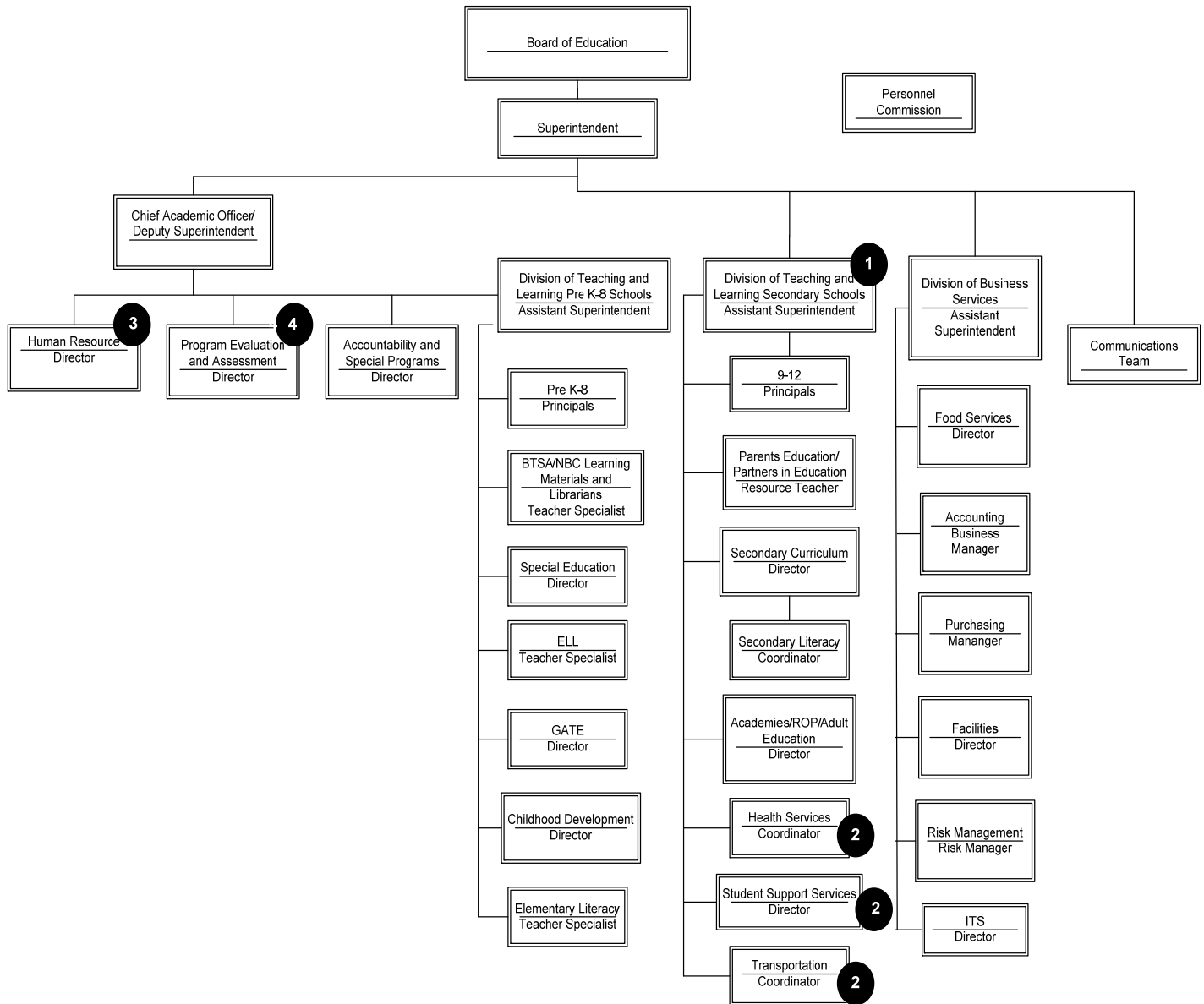
Based solely on the number of Central Office administrators, Pasadena USD does not appear to be overstaffed at the director-level position and up. However, there are several instances of misaligned functions and inappropriate span of control. These are discussed further below.

Alignment of Functions

Several functions in the Central Office organization are not logically aligned, or clustered, to support effective accountability. **Exhibit 1-4** references specific alignment problems with the Pasadena USD organization structure. Each of these are discussed below. Misalignment can occur when there is an attempt to match the backgrounds or personalities of individuals

with the tasks or task clusters. In addition, the necessity to reassign responsibilities for one or more major functions, due to reductions in staff, can contribute to a misalignment of functions.

Exhibit 1-4
Pasadena USD Organizational Misalignments



- 1. Not all academic functions are aligned under the chief academic officer (CAO).** The assistant superintendent for Teaching and Learning - Secondary Schools is responsible for overseeing secondary schools, Student Support Services and a host of other programs. This position reports directly to the superintendent. The job responsibilities for the CAO include all academic programs and student performance. Under the current organization structure, the CAO position is being held accountable for functions that are not under the direct control of the position. This mismatch of

responsibility and authority is the direct result of the current organizational alignment.

2. **The position of the assistant superintendent for Teaching and Learning - Secondary Schools includes responsibilities for Health Services, Student Support Services, and Transportation.** These functions, particularly transportation, are not normally associated with the other curriculum and instruction-related tasks assigned to that position. Transportation is an auxiliary service, and is more commonly grouped with facilities, maintenance, custodial and food service functions. Student Support Services and Health Services are usually found under - and logically to – an assistant superintendent of Business Services position, but they are grouped together to consolidate the responsibility of all non-academic student services.
3. **Human Resources, a district-wide function not solely related to curriculum and instruction, currently reports to the chief academic officer (CAO).** The current CAO has Human Resources experience that prompted the current alignment. The practice of building an organization chart around the people you have is a common practice in public education. In many cases there is no harm done. However, in the long-term, a logically aligned organization will help the school district place the best people in the best roles in support of long-term objectives. In states with organized labor, as well as others, many districts elevate the Human Resources function to a direct report to the superintendent. The fact that greater than 80 percent of district expenditures relate to salaries and benefits also justifies higher visibility of a Human Resource function in the organization. This does not necessarily mean the position must be upgraded, just that the alignment should be changed.
4. **The Office of Program Evaluation and Assessment reports to the chief academic officer.** In order to ensure independent program evaluations, this function should not report to (and have their performance evaluation completed by) the position making decisions on program design and implementation. Evaluation functions are commonly found under academic programs in school district organization structures, but this does not represent a best practice.

Pasadena USD currently aligns schools and other functions under two assistant superintendent positions. The alignment of individual schools is complicated by the unique grade structure of Pasadena USD schools.

Span of Control

The optimum span of control depends on the nature and diversity of functions and the level of responsibility and authority. Spans of control generally range from four to nine positions at the top levels of an organization. Acceptable spans of control increase if the direct report positions are similar or homogeneous. Within Pasadena USD, as with most school systems, the only similar positions that report to an assistant superintendent position or higher are the school principals. At lower levels in the organization it is not uncommon to see 50 or more positions, such as bus drivers or custodians, reporting to the same supervisor.

Within Pasadena USD, the span of control for Central Office administrators ranges from four to seven direct reports, excluding school principals. Four positions report directly to the superintendent, who reports to seven Board members. As shown in **Exhibit 1-5**, this span of control is consistent with other California unified districts of a similar size, although

several of the other districts have fewer Board members. These districts were also selected based on the availability of a current organization chart on their website.

Exhibit 1-5
Number of Positions to Superintendent
Pasadena USD and Other California Districts

District	2004-05 Enrollment	Direct Reports	Board Members
Pasadena Unified	22,336	3	7
Rialto Unified	30,887	5	5
ABC Unified	21,944	4	7
Pomona Unified	34,657	5	5
New Port Mesa Unified	22,487	5	7
San Ramon Valley Unified	22,857	5	5

Source: School district organization charts and websites.

Three of the five peer districts above have a Human Resource function reporting directly to the superintendent. One district has Human Resources under administrative services, and one – other than Pasadena – has the function aligned under instruction.

In addition to having direct staff reports, the superintendent also works on a daily basis with the seven members of the Board of Education. While the Board does not report to him, the superintendent spends a considerable amount of time with Board members. Excluding members of the Board, the superintendent's span of control is lower than all other peer district superintendents, but by only one or two positions.

The span of control for the superintendent reflects, implicitly or explicitly, the organizational strategy of the school system. Superintendent positions with fewer direct reports rely more on other members of the management team to run day-to-day operations, and devote more time to Board and community demands. Superintendents with more direct reports are closer to the day-to-day operations, and generally dedicate a lower percentage of time to Board and community demands. Pasadena USD's current organizational structure, like the selected peer districts listed above, apply the former approach.

With one exception, other spans of control in the Pasadena USD organization structure are in an acceptable range.

- Chief academic officer/deputy superintendent (4). This position has four direct reports, within, but at the lower end of the acceptable range for span of control.
- Assistant superintendent, Secondary Schools (10). This position has ten direct reports; however, four of the direct reports are school principals; seven are separate programs or services.
- Assistant superintendent, Business Services (6). This position has six direct reports within the acceptable range for span of control.
- Assistant superintendent, Pre K through Grade 8 (27). This position has 27 direct reports, 21 of which are school principals. Given the nature of the other programs and services reporting to this position, it is overloaded relative to other high level positions in the organization.

Overall, the span of control is not significantly out of line at the high levels of the Pasadena USD organization structure. There is room for increased span of control for the superintendent and chief academic officer positions, and organizational equity could be improved if some functions were reallocated from the assistant superintendent for Pre K through Grade 8. Span of control will be addressed in the context of other organizational recommendations later in this report.

Missing Functions

Several functions are missing from the Central Office organization chart. In some cases, responsibility has been pushed down to lower levels of the organization. In other instances responsibilities were pushed to the schools. Below are brief descriptions of these functions.

- ***Community Relations/Involvement.*** Pasadena USD previously had an Office of Communications that was eliminated due to budget reductions. Currently, there is no position or office with responsibilities relating to managing all public and internal information activities, developing and maintaining media relations, and coordinating marketing and community outreach efforts. There is no Pasadena USD office serving as a liaison with the Pasadena Education Foundation, an organization that assists the district with grant proposals and in securing over \$8 million in awards for Pasadena USD schools or programs. Prior studies have recommended an ombudsman position to serve as the point person for these functions as well as a mediator for staff to go to for problem resolution. However, budget constraints have kept Pasadena USD from acting on this recommendation. The district's Communication Team has invited a Pasadena Education Foundation representative to its monthly meetings and has noted that her attendance has helped information sharing and also pointed out the need for a liaison.
- ***Professional Development.*** There is no office with the responsibility for coordinating all aspects of the district's professional development efforts. Research on effective districts emphasizes the importance of embedded staff development that is focused, intensive, and ongoing. One reason given by teachers in a 2000 retention study for wanting to come to Pasadena was its Professional Growth Center. With its closure, due to budget constraints, the role of planning and conducting staff development for professional staff has been appropriately assumed by the Curriculum Department. However, currently there is no office that manages the process for all district employees, including all tracking and record-keeping functions.
- ***Internal audit.*** Pasadena USD no longer has a separate internal audit function reporting to the Board. This position was cut in May 2001 when the district made major cuts of \$6 million. Internal audit functions are rarely found in school districts with less than 10,000 students, are more common in districts with 10,000 to 25,000 students, and are usually found in larger school systems. For a district the size of Pasadena USD, the existence of an internal audit function would represent a best practice, particularly in light of the data and process issues raised later in this report.
- ***Other.*** A number of important functions have been pushed down to other district positions or have been outsourced. Responsibilities for coordination of the at-risk program, elementary writing, gifted and talented, and mathematics programs are assigned to school principals. Coordination of the fine arts program is the responsibility of part-time staff provided through a grant from the Los Angeles Arts Commission. The time principals must dedicate to providing campus-level

instructional leadership precludes their ability to address district-level program responsibilities effectively.

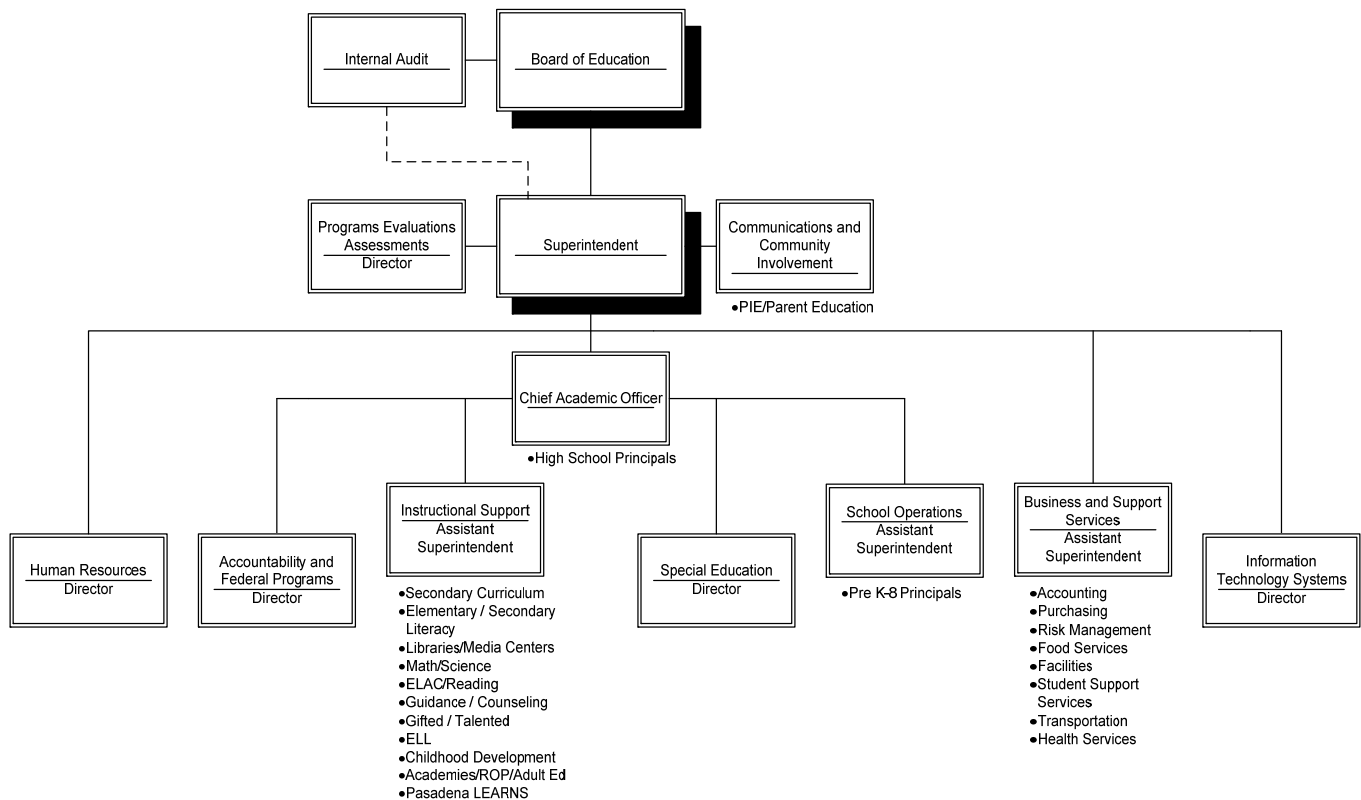
Recommendation 1-1: Restructure Central Office functions to support improved communications, accountability, and decision-making.

In developing recommendations regarding the modification of the organization structure, the review team considered the following:

- Align all functions more logically;
- Improve the span of control;
- Place the superintendent closer to district operations/decisions;
- Improve communications and coordination of related functions in making decisions;
- Establish a clear chain of command; and
- Improve accountability.

Pasadena USD should keep its Chief Academic Officer Model for its organization structure but realign functions to improve accountability. **Exhibit 1-6** presents the proposed organization structure for Pasadena USD. Following this chart are brief descriptions and justifications for the proposed changes.

**Exhibit 1-6
Proposed Pasadena USD Organization Structure**



Assign All Academic Functions to the chief academic officer. Assign all functions related to developing, coordinating, implementing, and monitoring instructional programs to the chief academic officer in order to focus resources most effectively on improving the academic achievement of students. A new position reporting to the chief academic officer, assistant superintendent for Instructional Support, should be created to coordinate all instructional support functions (see below).

Redefine existing assistant superintendent positions over schools. The two current assistant superintendents over schools should be converted to one position over all Pre K – 8 schools, and the other position – an assistant superintendent for Instructional Support - over academic programs and support services. High school principals should report directly to the CAO. Special Education, because it is a larger program, should also be a direct report to the CAO. This will more equitably distribute schools, programs and support services, and provide reasonable spans of control for the assistant superintendents and the CAO.

An assistant superintendent for Instructional Support should oversee all other instructional programs and instructional support services (at-risk, after-school and early childhood, English language learners, fine arts, guidance and counseling, gifted and talented, learning material/libraries, literacy, mathematics, science, and social studies programs). An assistant superintendent for School Operations should oversee all Pre K–8 school principals and be responsible for completing their annual performance evaluations.

Reassign Human Resources to the superintendent. Reassign Human Resources, a district-wide function, as a direct report to the superintendent rather than the chief academic officer. A new coordinator's position reporting to the director of Human Resources should be established to coordinate all professional development programs and initiatives. Coordination of BTSA/NBC should be reassigned to Human Resources. Consideration should be given to re-establishing the Professional Growth Center in the future.

Reassign Program Evaluation and Assessment to the superintendent. Reassign Program Evaluation and Assessment as a direct report to the superintendent rather than the chief academic officer. The major responsibilities of the position—directing all district-wide testing activities and preparation and review of all federal and state program evaluations related to student performance outcomes—are district-wide functions. Those with the responsibility for the evaluation of programs should not report to those with oversight responsibilities for the design and implementation of the programs.

The Office for Accountability and Special Programs has responsibilities for administration and supervision of state and federally funded projects including development of all project applications and maintenance of effort related to the Consolidated Funding Program. This office should continue as a direct report to the chief academic officer since there is no conflict of interest. The unit should be re-named Accountability and Federal Programs to clearly distinguish its function from Special Education.

Reassign Information Technology Systems to the superintendent. Technology is not misaligned currently, but its position under the Division of Business Services does not represent a best practice in public education. Because of technology's increasing importance to student performance and administrative efficiency across the entire organization, more school districts are elevating technology to a direct report to the superintendent. This does not immediately require a position upgrade, but over time this position should be upgraded to reflect the increased importance of technology to the school system.

Add a community involvement function that reports directly to superintendent.

This report, as prior consultant reports, recommends the addition of a community involvement position. This position should report directly to the superintendent and serve as the district ombudsman, as well as fill other responsibilities relating to public information and associations with external entities and partnerships such as Partners in Education.

Reassign Student Support Services and Transportation to the assistant superintendent, Business Services. Reassign Student Support Services, Transportation, and Health Services, non-instructional district-wide functions, to the assistant superintendent, Business Services. Currently, these offices are assigned to the assistant superintendent, Teaching and Learning Secondary Schools. The title of assistant Superintendent, Business Services should be expanded and renamed the assistant superintendent for Business and Support Services.

Add internal audit function that reports directly to the Board. An internal audit position should be added and report directly to the Board. The internal auditor should develop a district risk assessment and develop an audit program that conducts audits of areas based on risk levels. Due to its budget constraints, Pasadena USD may consider proposing to the other members of the 5-Star Coalition that the internal audit position in the short term be shared through a shared services arrangement. This position could serve as the internal auditor, or part of a larger internal audit function, for all five school districts members of the coalition – Pasadena USD, South Pasadena USD, Glendale USD, Burbank USD and La Canada USD. This coalition works in partnership with elected officials and business and community leaders to endorse and improve educational programs for the students that they serve.

Provide interim support positions to fill other missing functions at the Central Office. Teacher specialists, individuals with program/content expertise, should be used to provide assistance for program development and coordination for fine arts, guidance and counseling, and gifted and talented. The positions should be established as two or three-year, 11-month teacher contracts (plus stipend), renewable based on performance and program status.

Implementation Strategies

The intent of the proposed organization structure is to provide a target for the district to work towards. The district's new superintendent, as provided by Board policy, should make his own refinements and suggestions based on his personal management style.

New positions for community involvement, internal audit, professional development and instructional support will obviously require funding and may take time to implement. Each of the other elements of the recommendation could be implemented at the beginning of the 2007-08 school year, if not sooner.

The estimated fiscal impact of the new positions is approximately \$500,000 per year.

CHAPTER 2: DECISION-MAKING PROCESS

BACKGROUND

Analysis Approach

As part of this study, an online survey was conducted to obtain perceptions of Pasadena USD employees regarding decision-making. Survey response statistics are provided in **Appendix A** of this report. The following charts present survey responses by four categories of employees: (1) principals and assistant principals; (2) teachers; (3) other campus employees; and (4) Central Office employees. Most of the survey questions regarding decision-making were positive statements that the respondent could agree or disagree with to varying degrees. The response options for these survey questions are listed below:

- Strongly Agree
- Agree
- Neutral
- Disagree
- Strongly Disagree
- No opinion

Context of Decision-Making at Pasadena Unified School District

There are several examples of Pasadena Unified School District (Pasadena USD) district-level decisions that provide representative case studies. The purpose of these case studies is not to second-guess the decision, but rather to place the analysis of decision-making in the context of actual decisions. Later sections in this chapter analyze specific components of decision-making at the Board and district-levels.

Standards-Based Curriculum

The implementation of standards-based curriculum and benchmark testing represents Pasadena USD decision-making at its best. Student performance data was collected and analyzed, options were evaluated, stakeholders were involved in the planning, Central Office leadership over the initiative was established, the program was implemented, and desired results were achieved. This decision continues to be implemented, and significant challenges still need to be addressed, but this decision shows what Pasadena USD is capable of when focused on a specific objective.

Movement of Police Department Function

The City of Pasadena came forward with an option to provide police services to the district. The district's decision to quickly act on this provided immediate financial savings. The district also worked effectively with the City of Pasadena in the transition – and most input received from the schools was favorable regarding the decision and the results.

Closing of Facilities

The closing of schools is perhaps one of the most difficult decisions faced by school systems. In periods of declining enrollment, these decisions are necessary to maintain financial stability and space utilization. District management collected capacity data for each school, incorporated enrollment projections, and made recommendations to close specific schools. A committee that included parents and other stakeholders reviewed the information and made recommendations to the Board that were not consistent with the data, but considered more politically expedient. The more significant problems, however, occurred after it was announced that schools were to be closed. When school started, some students were enrolled in two schools; others were not enrolled at all. The school choice process was also affected by the school closings without sufficient and timely communication to parents. Further, it was the understanding of many school staff that the supplies and equipment would follow the students to their new schools. This was perceived as an unorganized, uncontrolled, and inequitable process. The closing of facilities was an example of a good decision – schools needed to be closed – that was poorly planned and executed.

Instructional Decisions in the Classroom

Decision-making in public schools systems occurs at the Board, central office, principal, and teacher-levels. Teachers perhaps face the most important decisions as they address student needs on a day-to-day basis. Teacher decisions have been recently affected by the implementation of a standards-based curriculum and benchmark testing. While most Pasadena USD teachers commented favorably on the value of new benchmark testing reports, the decision of what to do about the information created difficult and stressful situations for teachers and students. If students were found to be behind based on the reports, a teacher had a decision to make – repeat the instruction or keep moving for the benefit of others. Teachers felt pressure to meet target dates established for meeting learning objectives, but needed to address those students who were unable to keep up with the pace of the class. In this instance, teachers had the relevant information to make a decision, the options were clear, but both options had unacceptable and conflicting results in their mind. This is one of the most important decisions made by teachers on a day-to-day basis.

The remainder of this chapter provides assessments and recommendations of decision-making at the Board and district-levels.

BOARD DECISION-MAKING

Board decision-making is analyzed separately from district-level decision-making in this report. The decision-making dynamics are fundamentally different for the Board, as a majority vote is required to implement decisions. At the district-level, the superintendent, department heads, and school leaders can make decisions without a vote, although input from stakeholders may occur.

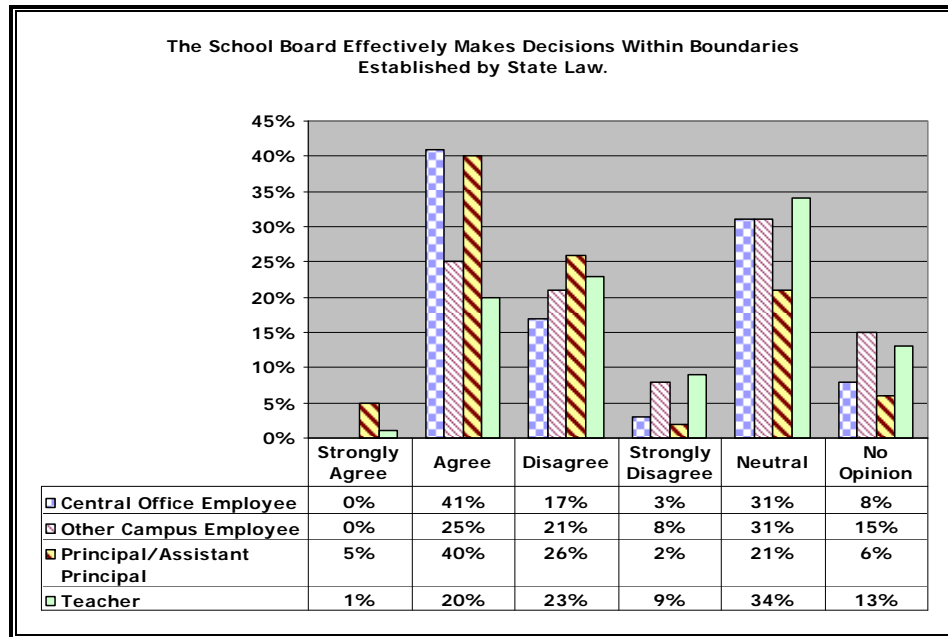
An appointed superintendent and a seven-member School Board comprise the governance team for the Pasadena USD. The seven Board members are elected to their seats city-wide, not by geographic location. Each member is elected to a four-year term with elections held every other March. These eight individuals are responsible for guiding the district's budgeting, planning, and policymaking.

Board members make decisions based on information provided to them by district staff, consideration of public input, and deliberations among themselves – all within a set of ground rules established by California laws and regulations.

The approach to evaluate decision-making at the Board-level included interviews with Board members, review of Board and committee meeting minutes, review of Board meeting video tapes, attendance at a November 2006 Board meeting, and review of applicable laws and policies affecting Board decision-making. Interviews with district management also provided input as to how information is prepared for dissemination to the Board.

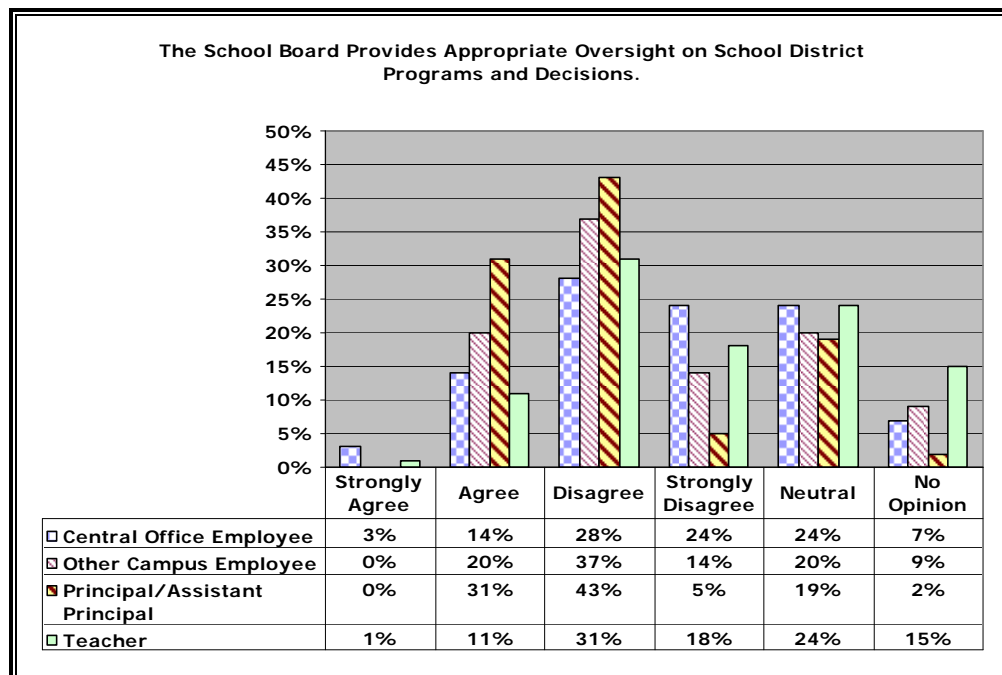
Pasadena USD employees were asked about their perceptions of Board decision-making. **Exhibit 2-1** reflects employee opinions about Board decision-making within the boundaries established by state law. Approximately 40 percent of all employee groups were neutral or had no opinion. Of the remaining responses, Central Office, principals and assistance principals' responses were more favorable than unfavorable. However, responses from other campus employees and teachers were more unfavorable than favorable.

Exhibit 2-1
Pasadena USD Employee Survey Response
Board Compliance



The survey also asked about whether the Board provided appropriate oversight of school district programs and decisions. As shown in **Exhibit 2-2**, more respondents disagreed or strongly disagreed with the statement that the Board provides appropriate oversight.

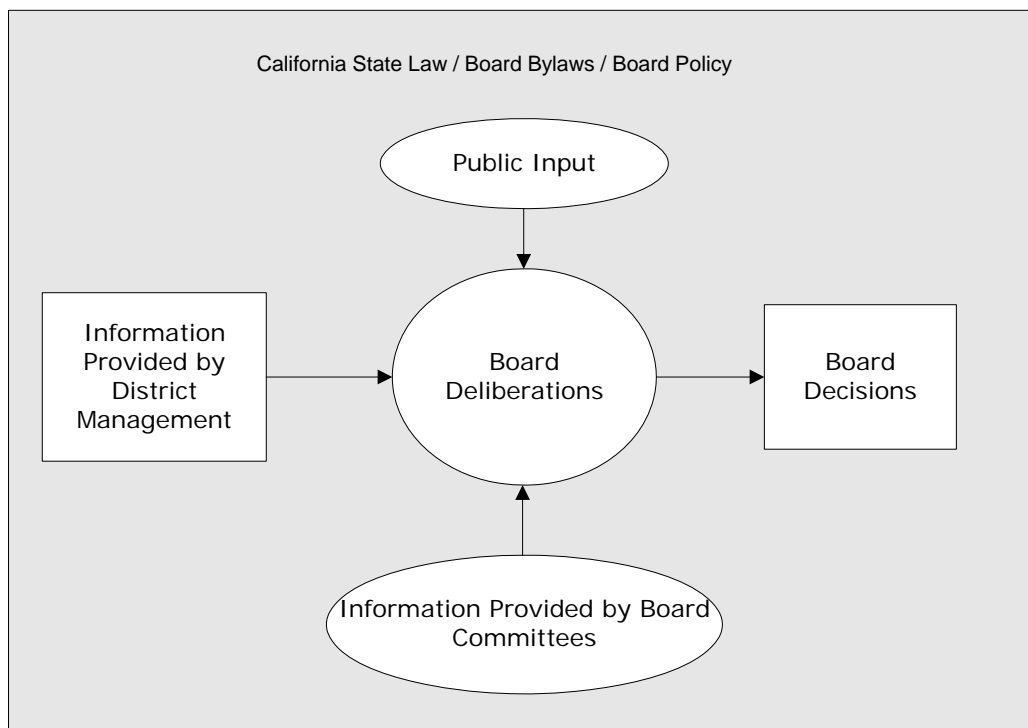
Exhibit 2-2
Pasadena USD Employee Survey Response
Board Oversight



The survey question did not indicate whether the oversight was too much or too little, only whether it was appropriate or not. There were some concerns expressed by Board members and Pasadena USD management that the Board was too involved in the detailed operations of the school system. Other Board members stated that digging deeper into decisions was required because of incomplete information or lack of trust in the process that generated the information.

Exhibit 2-3 provides an overview of the decision-making process at the Board-level. Information comes to the Board from district management in Board packets that are distributed before each Board meeting. Other information may be sent to Board members based on special requests. Board committees may also provide information and/or verbal reports to the Board on selected topics. During Board meetings the public is provided the opportunity to provide input into the decision-making process. Board members assimilate this information, may deliberate among themselves, ask questions of district management, and then vote on action items to execute a decision. For certain situations allowed by law, the Board may convene privately in an executive session for deliberations; however, no decisions can be made in executive session. All of these steps are to be conducted within the parameters of California state law, Board bylaws, and Board policy.

Exhibit 2-3
Board-Level Decision-Making Framework



In addition to two regular meetings a month (except for July and August), the Board may conduct special meetings and study sessions (also considered special meetings) for specific Board discussions or actions. On February 6, 2007, for example, the Board conducted a study session that included discussion of the district's 2007-08 Annual Budget.

FINDINGS AND RECOMMENDATIONS

Information provided to Board

The Board is provided a vast amount of information throughout the year. Information relating to student performance, attendance, discipline, the annual budget, staff counts, facilities, departmental and school information, and a host of other information related to approximately 13 different functional areas of school operations. This information can be overwhelming, even to the experienced Board member.

Interviews with Board members surfaced several concerns with respect to the information they receive:

- **Information too complex.** Some information was described as “incomprehensible” in its form. The most frequent example of this was the annual budget. The Pasadena USD budget packet is a very lengthy document that meets state reporting requirements, but does not meet Board member information requirements. Prior consultant studies have recommended performance-based budgeting, a process that demonstrates the connection between district goals and the budget process. This process has not been implemented.
- **Incomplete or skewed information.** Some information was described as being incomplete or skewed to highlight only the favorable results. An example of this was student performance information. Some Board members expressed concerns that increases in standardized test scores failed to account for all factors that could have contributed to the improvement, such as low performing students moving out of the district.
- **Lack of confidence in decision-making process.** In some instances, Board members did not have confidence that the district applied the right process in recommending a decision, and accordingly made deeper inquiries. The decision to close schools last year was an example of this decision. Some Board members felt that the process relied too little on actual facilities capacity data and bended to community pressures. Other Board members expressed concerns that the community was not involved enough in the decision process from the beginning.

All of these factors have contributed to perceptions that the Board is micromanaging, or extending their realm of responsibility down to district operations – responsibilities normally assigned to the superintendent or the management team. District management perceives a lack of trust by the Board; the Board is frustrated by being told they just do not understand. This “disconnect” between district management and the Board is adversely affecting the decision-making process at the Board-level.

During this study, documents provided to the Board were analyzed. Questions were also asked of Board members regarding training, and Board members’ training records were requested. Based on analyses of this information, several recommendations are being made to improve the quality of information provided to the Board and to improve Board member’s ability to understand it.

Recommendation 2-1: Improve the format and content of information provided to the Board, starting with the budget.

The most frequently stated concern by Board members regarding management information was the annual budget. Adopting the budget is one of the Board's most important decisions it makes each year. The Board receives information and correspondence throughout the year relating to the budget, but the most important is the formal budget document. Pasadena USD's 2006-07 Annual Budget is a one-inch thick document. The first four pages of the budget describe:

- Text summaries of the Unrestricted and Restricted General Fund budgets
- A listing of revenue assumptions, such as the Cost of Living Adjustment (COLA) percentage.
- A listing of expenditure assumptions, such as the average percent compensation increase.
- A list of outstanding items, such as a pending actuarial report for workers' compensation.

The remainder of the budget provides very detailed schedules of historical expenditures and budget amounts for 2006-07, checklists for state compliance and certification, and detailed worksheets supporting budget assumptions and calculations.

The district's annual budget provides an excellent example of too much data and not enough meaningful management information. Below is an assessment of the 2006-07 Annual Budget.

- The budget includes a three-year history of actual financial information, plus a projection of actual data for the current year. Including the 2006-07 budgeted amounts, the budget contains a five-year trend for review. This is a best practice, as most school systems provide only a three-year trend.
- There are no graphical representations of revenue or expenditure trends, or of the distribution of revenues and expenditures by function, program, or other attribute.
- There is no historical or budgeted information on number of staff shown by department, school or district-level.
- There are no per-student expenditure measures or trends, or any other measures that might demonstrate improved or deteriorating efficiency at the district, department, or school-level, such as utilities cost per square foot, ratios of students to school clerical staff by school, or percentage of total expenditures devoted to direct instruction. These measures can be analyzed over time for trends, and in some cases industry standards exist for comparison. (See **Appendix B** for a list of sample performance measures.)
- There are no definitions of terms used in the budget document.
- There are no descriptions of major changes over prior year amounts or descriptions of expenditures relating to district goals and priorities.

The annual budget must contain legally required documents and supporting schedules, but the district should not be limited to this format in providing the Board information it needs to render judgment on the adequacy of the budget. The Association of School Business Officials' (ASBO) Meritorious Budget Award and the Government Finance Officers Association's (GFOA) Distinguished Budget Presentation Award are award programs for schools that meet the programs' established best practices criteria. These programs are designed to encourage and recognize excellence in school system budgeting. These programs help school systems build a solid foundation in the skills of developing, analyzing, and presenting a budget. The associations have websites that link the user to award winning schools' budgets. Reviewing these schools' budgets can provide Pasadena USD Board members and staff with good examples of best practices for the budget manual format and the types of exhibits and graphs that are most informative. The following are the associations' website addresses:

- **ASBO Meritorious Budget Awards Criteria Link:**
<http://asbointl.org/ASBO/files/ccPageContentdocfilename000370705546criteria.pdf>
- **ASBO School Links:** <http://asbointl.org/Recognition/index.asp?bid=10290>
- **GFOA Distinguished Budget Presentation Award Program Criteria Link:**
http://www.gfoa.org/forms/documents/BudgetCriteriaLocation_001.pdf
- **GFOA School Links:**
http://www.gfoa.org/services/documents/Budget_Winners_2005_002.doc

There are other documents and correspondence sent to the Board regarding the budget throughout the year, but no document was found that provided a comprehensive view of the budget that had the characteristics listed above.

For other major pieces of information provided to the Board, the Board and district management should agree in advance on the content and format of the information. Data should not be given to the Board without explanation of what it means, and summaries and graphs should be used whenever possible. In several instances, the district does a better job in getting information to the Board in a useful format.

Recommendation 2-2: Increase Board technical training.

While there is considerable room for improvement in the provision of information to the Board, there is also a need for additional Board technical training. Currently, Board orientation is held for all Board candidates prior to elections. However, post-election training is not being held for all new Board members at Pasadena USD. *BB 9230* of the Pasadena Unified School District's *Bylaws of the Board* states that, "The Board and the superintendent or designee shall help each new member-elect to understand district operations and the Board's functions, policies, and procedures as soon after election as possible."

The district tracks participation in pre-election Board orientation, but there is no district tracking of Board participation in additional training for continuing education purposes.

Many states legally require a minimum number of hours of training for Board members, generally with higher requirements in the first year. California state law does not require Board member training, but suggests that it be done and funds be allocated for this purpose. Several Pasadena USD Board members interviewed were disappointed with early training sessions and did not actively pursue additional training. More recently Board members have been more active in taking courses, but acknowledged that more is needed.

The California Association of School Boards provides a wide-range of training programs for Board members on all aspects of school system governance. The Board should establish its own annual requirements for new and experienced Board members. First year members should be required to take no less than 20 hours of training. After the first year, no less than ten hours should be required. The Board should collectively develop a training plan so that not all Board members take the same courses. Certain core courses should be taken by each member; other courses should be distributed among the members, perhaps based on committee assignments or areas determined by the Board to be more complex.

Board Committees

Recommendation 2-3: Reconstitute Board committees.

Pasadena USD has three active Board committees for facilities and capital, budget and finance, and student safety and conduct. Each of these committees is a standing committee, meaning that it continues until terminated by the Board. In prior years, the Board had a program assessment and accountability committee, but this was disbanded after all Board members expressed an interest in reviewing the curriculum. Each Board committee consists of three board members, and staff members supporting the committee efforts are appointed by the superintendent. Like Board meetings, agendas for the committee meetings are posted, minutes are maintained, and the public is invited to attend and make comments.

As established in the June 22, 2003 board meeting, each committee has a designated purpose and scope:

Budget and Finance

- Review fiscal matters, as well as other related matters which the committee chair or Board determine are within the scope of the committee's review.
- Develop long-range financial plans as well as yearly operating and capital budgets.
- Ensure a smooth and effective process for creating the annual budget and making the budget understandable to the general public.

Facilities and Capital Projects

- Develop and maintain facilities master plan and monitor all expenses associated with the upkeep and maintenance of all school facilities.
- Assess current and future needs in terms of student capacity and enrollment for the purpose of maximizing the efficient use of school facilities in ways that promote district goals, including recommendations for the sale or purchase of real property.
- Provide oversight of all construction projects.

Student Safety and Conduct Committee

- Provide oversight responsibilities for the safety of students and school facilities, including all programs both on and off campus.
- Ensure that there are effective processes in place for ensuring optimum student conduct, including a process for individual student expulsions.

The effectiveness of Board committees has been limited for some of the same reasons discussed above relating to management information provided to the Board directly. Committees at times make recommendations to the Board; on other occasions a verbal or written report is made without a recommendation. Based on observations of Board meetings, many of the same issues discussed in the committee meeting are re-hashed in the Board meeting. For example, in one Board meeting last year, a recommendation by the Budget and Finance Committee was made to accept the 2005-06 unaudited financial report on the consent agenda of the regular Board meeting. The item was pulled from the consent agenda, and many of the same topics discussed in the committee meeting were repeated in the Board meeting. In another example, the Facilities Committee discussed but did not recommend action by the Board on a lease of facilities for a charter school. Much of the same discussion was repeated at the Board meeting during an information item, including the same public input. These examples convey some degree of duplication of effort during committee meetings and Board meetings.

On other occasions there was miscommunication as to what the Board committee was to provide to the Board. The Facilities and Capital Committee made a recommendation to the Board regarding the re-designation of developer fees to technology projects. At the Board meeting, the Board requested that this topic be presented as an information item. The Board decided that it wanted to discuss this issue as a group after the committee had invested time analyzing it.

External ad-hoc committees or task forces have been better used by the Board to support decision-making. For example, the City of Pasadena Charter Reform Task Force was formed eight years ago to evaluate school district governance. Last year the Management Audit Advisory Council, which included city representatives from Pasadena, Altadena and Sierra Madre, as well as Pasadena USD Board members, was formed to initiate and follow through on this management audit. The Board seems to be more comfortable in acting on recommendations from committees that are more independent of school district operations.

The Board should reconstitute its committees by more specifically defining their purpose and establishing clear decision-making charges for each. The Board should make it clear to each committee when it wants information versus a recommendation on a decision. Pasadena USD Board committees will not be effective, however, until the Board begins to more consistently accept the recommendations and work of the committees without re-hashing the issue. One of the objectives of Board committees is to reduce the amount of Board meeting time spent on topics that can be better handled in committee meetings.

Public Input

Recommendation 2-4: Adopt a Code of Conduct for School Board meetings.

California state law requires school districts to allow public input to the Board decision-making process. This is common in all states, but California is unique in that it specifically allows for public input for each action item to be voted on by the Board.

Based on attendance at one Board meeting and review of other meeting videotapes, the public input at Pasadena USD is at times disruptive to the decision-making process. In most states, members of the community are offered one opportunity to address the Board for a limited period of time. In California, the same individual may address the Board multiple times throughout the Board meeting. Further, there were instances observed where visitors made inappropriate verbal comments about specific individuals employed by the district. Many states allow School Boards to establish Codes of Conduct for public participation.

However, in California, the courts have upheld twice that restricting criticism of district employees is a violation of First Amendment rights. Government Code 54957 specifically states that the Board may not prohibit criticism of district employees. However, it also states that whenever a member of the public initiates specific complaints or charges against an employee, the Board president shall inform the individual that such discussions are reserved for closed sessions to protect the rights of the employee.

It appears that the intent of California law was to ensure public access to decision-making. The law does that, and most individuals that come to the podium understand and respect this privilege.

The Board should develop a Code of Conduct for all participants attending Board meetings, including community members, staff and Board members themselves. This Code of Conduct should prohibit inappropriate conduct including the accusations against specific members of the Board or district employees. Comments made against any individual that the Board wishes to entertain should be treated in the same manner as a personnel matter in Executive Session.

By subjecting everyone to the same set of ground rules, Board meetings will be more constructive and efficient, and the decision-making process will work better. The Board should seek the advice of legal counsel before implementing this recommendation to ensure that it is not in violation of state or federal law.

Board Deliberations

Recommendation 2-5: Conduct Board-Superintendent teambuilding sessions at least annually.

Several of the Board members acknowledged that they do not work very well as a group. The dynamics of group decision-making are often more complicated than the decision itself. Effective Boards have to learn how to work together, and this can best be achieved by learning more about their colleagues.

The entire Board, including all Board members, should participate with the superintendent in an annual teambuilding session facilitated by a registered provider. The Los Angeles County Office of Education (LCOE) and the California School Boards Association (CSBA) hosts teambuilding workshops throughout the year. The purpose of the teambuilding session would be to enhance the effectiveness of the Board-Superintendent team and to assess the continuing education needs of the Board-Superintendent team. The assessment of needs should be based on the framework for governance leadership and shall be used to plan continuing education activities for the team for the upcoming year. The Board-Superintendent team should attend additional teambuilding workshops when there is turnover of the Board or the superintendent.

The CSBA has a Masters in Governance course for individual Board members, and one of Pasadena USD's Board members has graduated from this course. However, the CSBA does not have a certification program for the Board as a whole. The State of Florida has one of the best Board certification programs in the country. In addition to individual Board member certification, the Florida School Boards Association has an optional designation called the Master Board Program. Through this program, Board members and the superintendent are required to conduct 40 hours of teambuilding and training as a group within the first 12 to 18 months of application. The objectives of this structured program are:

- To focus on the School Board and the superintendent as a collective unit and develop their ability to work effectively as a governance team.
- To learn and build skills for effective team functioning.
- To identify areas for leadership development through self-evaluation of the leadership team.

If one member of the Board or the superintendent leaves, additional group teambuilding and training must be done to reinstate the designation as a Master Board. It is important to note that Board members in Florida are compensated at higher levels than most states, including California.

The School Board of Hillsborough County, Florida is a Master Board, and the effects of this program are visible in its highly efficient and effective Board meetings. The Pasadena USD Board should consider the level of teambuilding that makes sense, and should draw on principles applied successfully in Florida.

Recommendation 2-6: The Pasadena USD Board should adopt the California School Boards Association Professional Governance Standards for School Boards.

The Pasadena USD Board does not have a formal standard of governance in order to provide consistent and equitable School Board management. The Professional Governance Standards, included as **Appendix C**, establish three components the CSBA deems vital to effective School Board management.

- The attributes of an effective individual trustee
- The attributes of an effective governing Board
- The specific jobs the Board performs in its governance role

These standards were designed as a proactive way to engage School Board members and the public in discussions about the importance of School Board accountability. They are meant to enhance the public's understanding about "responsibilities of local Boards and to support Boards in their efforts to govern effectively" (*CSBA Professional Governance Standards*).

Approximately 39 percent of the 1,054 school districts in the state of California have adopted these standards.

DISTRICT DECISION-MAKING

The previous section discussed decision-making at the Board-level. In this section, the school district decision-making process is analyzed from several perspectives. These include policies and procedures that govern the decision-making process and the specific components of the decision-making process – from the collection and analysis of data to the implementation and monitoring of the decision. This section also presents employee perceptions of the district decision-making process at Pasadena USD.

While several findings and recommendations are made in this chapter regarding decision-making, it is important to note that Pasadena USD has made, and implemented, some good decisions. In other instances parts of the decision-making process broke down, but without adverse consequences. The purpose of this section is not to second guess decisions that have been made, but to provide suggestions to improve both process and policy so that

decisions can follow a more consistent and defensible path in order to improve student achievement and management efficiency and effectiveness.

FINDINGS AND RECOMMENDATIONS

Policies and Procedures Governing District Decision-Making

Pasadena USD Administration Board policy provides the superintendent with broad authority to make district-level decisions and influence the decision-making process throughout the school system. Board policy 2000 states that:

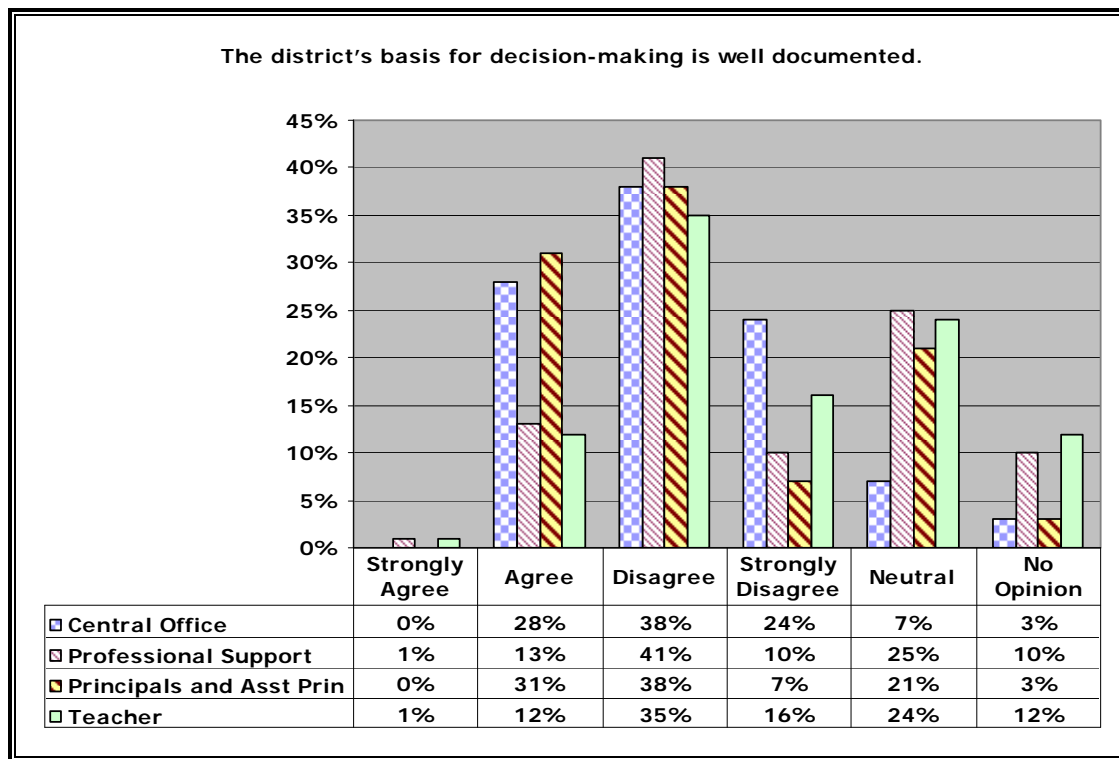
The Superintendent or designee shall develop decision-making processes which are responsive to the school community and to the specific needs of individual students. He/she shall provide means by which staff, students and parents/guardians at each school may participate in decisions related to school improvement and matters which the Board identifies as appropriately managed at the school site level.

Other Board policies address decision-making and school-level decisions, requiring a single administrative system that supports decision-making at various levels. Administrative Board Policy 2000 Concepts and Roles states that:

All schools and departments shall form a single administrative system organized so that appropriate decision-making may take place at various levels in accordance with Board policy.

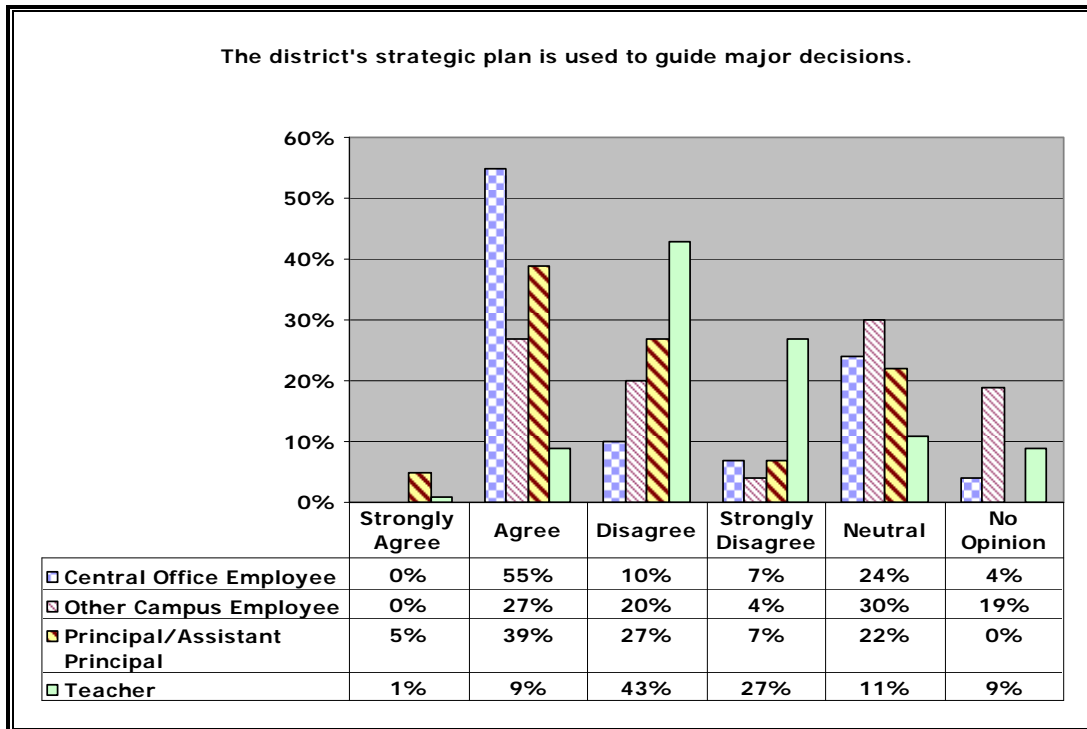
Most Pasadena USD employees believe that the district's decision-making process is not well documented. **Exhibit 2-4** shows responses by employee categories. Principals and assistant principals had the highest positive response rate of 31 percent and the lowest negative response rate of 45 percent.

Exhibit 2-4
Pasadena USD Employee Survey Response
Documentation of Decision-Making



Pasadena USD employees differ on their perceptions of how the district strategic plan influences decision-making. **Exhibit 2-5** shows that 55 percent of Central Office employees believe that it does guide decisions, while 10 percent of teachers shared the same opinion.

Exhibit 2-5
Pasadena USD Employee Survey Response
Impact of Strategic Plan



There are several sources that address site-based decision-making. Site-based decision-making is a decision-making framework that determines what decisions can be made at a school site versus the Central Office, and who should be involved in the decision-making process. There are several components of site-based decision-making at Pasadena USD.

In California, schools are required by law (Education Code 47605) to have School Site Councils. These councils are established for the purpose of developing, recommending, monitoring, and evaluating the Single Plan for Student Achievement at the school, as well as decisions regarding categorical funds received through the Consolidated Application. These categorical funds, such as Title I funding, are generally designated for specific educational purposes, and their use is restricted by the funding source. School site councils consist of the principal, teachers, other school staff, parents, and other community members, elected generally for two-year terms. With the exception of the principal, school council members are elected by their peers. Based on visits to campuses conducted during this study, the councils appear to meet the legal requirements.

Pasadena USD schools have internal management or leadership teams that work closely with School Site Councils. These teams are chosen by the principal, and the composition of the leadership teams vary by school type and within school type based on the discretion of the principal. While Board policy does not specifically address leadership teams, they represent a common and effective means for decision-making at schools.

A third element of site-based decision-making relates to provisions in the teachers' contract. Article XIX of the current teacher contract provides for the designation of a "Site-Based Decision-Making School." Teachers at each school, with a two-thirds majority, may elect to initiate or terminate such a designation. The contract provides for a Site-Based Decision-

Making Team consisting of teachers, administrators, parents, community members, and students – with a charge of developing a site-based decision-making plan. There is no reference in the contract regarding how this decision-making structure is to interface with other decision-making structures at the schools.

Article XIX, section 19.3.5 of the teacher contract provides general guidance on the scope of decision-making for these teams.

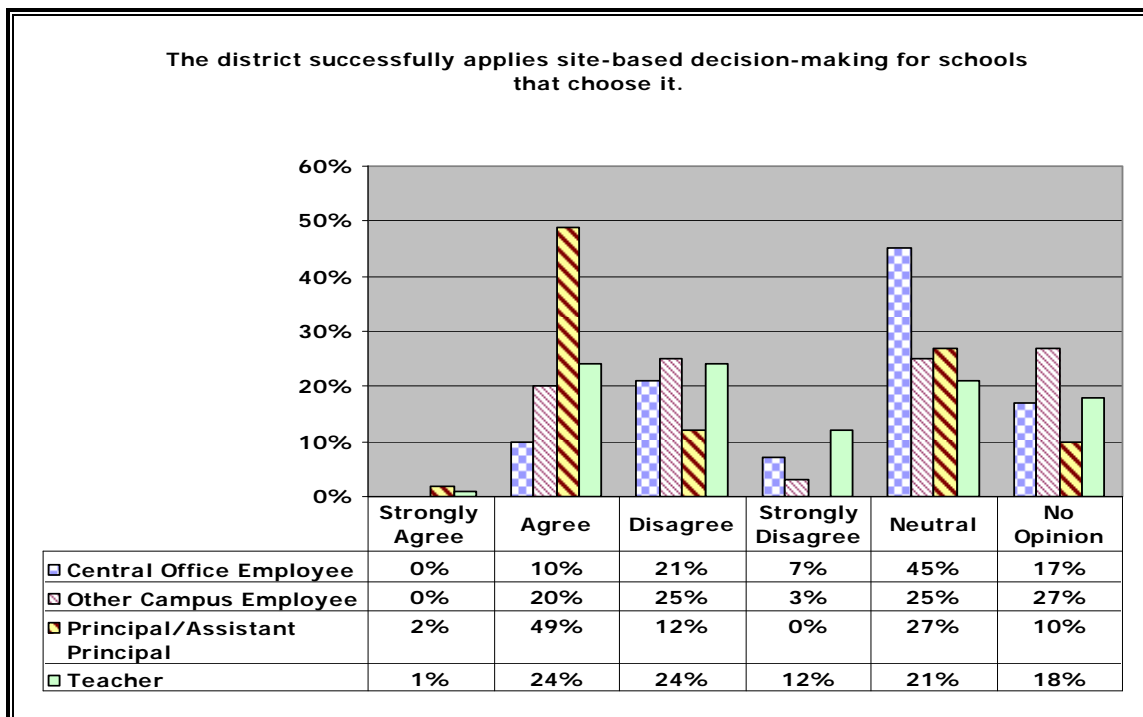
Suggested examples of topics that the School Site-Based Decision-Making Team may wish to consider include but are not limited to: student discipline policy, staff development opportunities, school site schedules, instructional programs, support programs, community programs, communication networks, and creative and innovative site programs.

Areas outside the scope of School Site-Based Decision-Making Teams decisions include topics such as: employment personnel decisions, employee discipline, district leave policies, etc.

Pasadena USD provided a list of 15 schools reported as “site-based” under these provisions. However, only one school visited had a “site-based” decision team as set forth in the contract. Some schools acknowledged being site-based but teachers did not see the need for a separate team. One other school had formed site-based team in recent years, but disbanded it within a year because of its ineffectiveness. In two schools, there were differing perceptions by teachers and school administrators as to whether or not the school was site-based.

In the survey, Pasadena USD employees were asked about site-based decision-making. **Exhibit 2-6** presents responses by employee group.

**Exhibit 2-6
Pasadena USD Employee Survey Response
Site-Based Decision-Making**



There are several interesting attributes of this response. Fifty-one percent of principals and assistant principals believe that the elective site-based decision-making is successfully applied, while 25 percent of teachers shared the same opinion. Sixty-two percent of Central Office employees were neutral or had no opinion, as well as 52 percent of other campus employees. Based on information obtained from campus site visits, principals viewed site-based decision-making, generically, as an integral part of the campus decision-making framework, but used other decision-making structures to apply it.

Recommendation 2-7: Pasadena USD and the teachers' union should negotiate to remove site-based provisions from the teacher contract.

There are several factors supporting this recommendation:

- The concept of a site-based election for each school is inconsistent with the Board policy that requires a single administrative system supporting decision-making.
- Having multiple decision-making options at schools – that can change annually based on an election – creates the potential for a dual and unstable decision-making environment. All schools should operate under the same decision-making framework.
- Teachers and other school staff have the opportunity to serve on School Site Councils or school leadership teams – and be involved in decision-making.
- Article XIX, Section 19.3.4 of the teacher contract specifies that 90 percent of the Site-Based Decision-Making Team must agree to recommend an action. Further, the School Board can override the action with a majority vote.

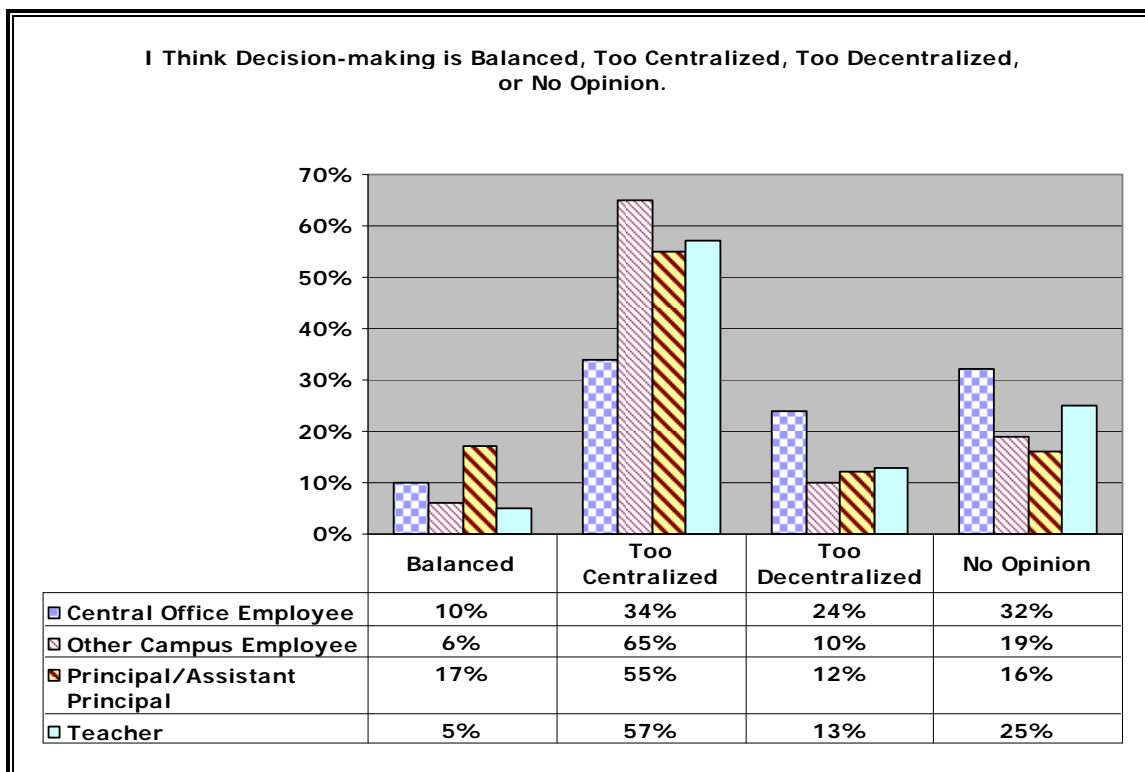
- The scope of decision-making in the teacher contract is not specific enough to avoid confusion over who has the authority to make what decisions.
- The practice is not being applied now at Pasadena USD, and there were no significant complaints about its absence.

There is no discernible difference in how Central Office oversees or supports the currently designated site-based versus non-site-based schools – nor should there be. Pasadena USD and the teachers' union should negotiate to remove site-based decision-making from the employment agreement, and both should be involved in the implementation of the following recommendation.

Recommendation 2-8: Adopt a policy that documents a single decision-making framework for all schools.

There are fairly wide opinions about how Pasadena USD makes decisions. Employees were asked whether they viewed decision-making as balanced, too centralized, or too decentralized. **Exhibit 2-7** presents the results by employee group.

Exhibit 2-7
Pasadena USD Employee Survey Response
Site-Based Decision-Making



During campus visits, a checklist of representative decisions was reviewed with each principal to identify to what degree the Central Office or the schools have the authority to make what decisions. This same list was also reviewed with Central Office leaders. The checklist addressed the following decisions:

- Curriculum / curriculum guides
- Course offerings (secondary)
- School calendar
- School bell schedule
- Class size
- Bus routes
- Cafeteria schedule
- Authority over custodians and how they spend their time
- Authority over food service workers and how they spend their time
- Work schedules for any categories of staff
- Number of work days per year for any categories of staff
- Block scheduling (secondary)
- Computers / servers
- Instructional software purchases
- Hiring school staff
- Establishing staffing needs
- Establishing non-staff budget needs
- Ability to re-allocate instructional and/or non-instructional staff to meet needs identified by school
- Benchmark testing (if applicable)
- School facility renovations
- Student discipline – code of conduct
- Student activity funds – software / processes
- Class rank determination / computation
- Identification of professional development needs
- Purchasing decisions as they relate to teachers' or principals' authority to select vendors, versus using the Central Office purchasing department or only pre-approved vendors

There were some variations from school to school, but overall the perceptions of school leaders were fairly consistent with that of the Central Office. There were also variances based on the tenure of the principal in the district. Newer principals are less familiar with the authority they have than more experienced principals.

The perceptions of how decisions are actually made in the district were similar between Central Office and school staff; however, the opinions about whether the decision-making framework was too centralized or decentralized varied significantly. This is common in public education as school systems have struggled to implement an appropriate balance.

Some decisions need to be made centrally in order to provide consistent application and efficient operations at the schools and Central Office. Other decisions can and should be made at the school-level. Documentation of a single decision-making framework will help ensure that all principals and Central Office administrators understand the ground rules for decision-making. Adopting this framework as policy will ensure its consistent use regardless of who is superintendent. At a minimum, decisions should be identified in the following four categories:

- **Site-based decisions not requiring Central Office approval.** Decisions that can be made or approved independently by principals or their designees without intervention or approval required of the Central Office. These decisions might include teaching strategies used, certain disciplinary actions, and assignments of special projects to staff.

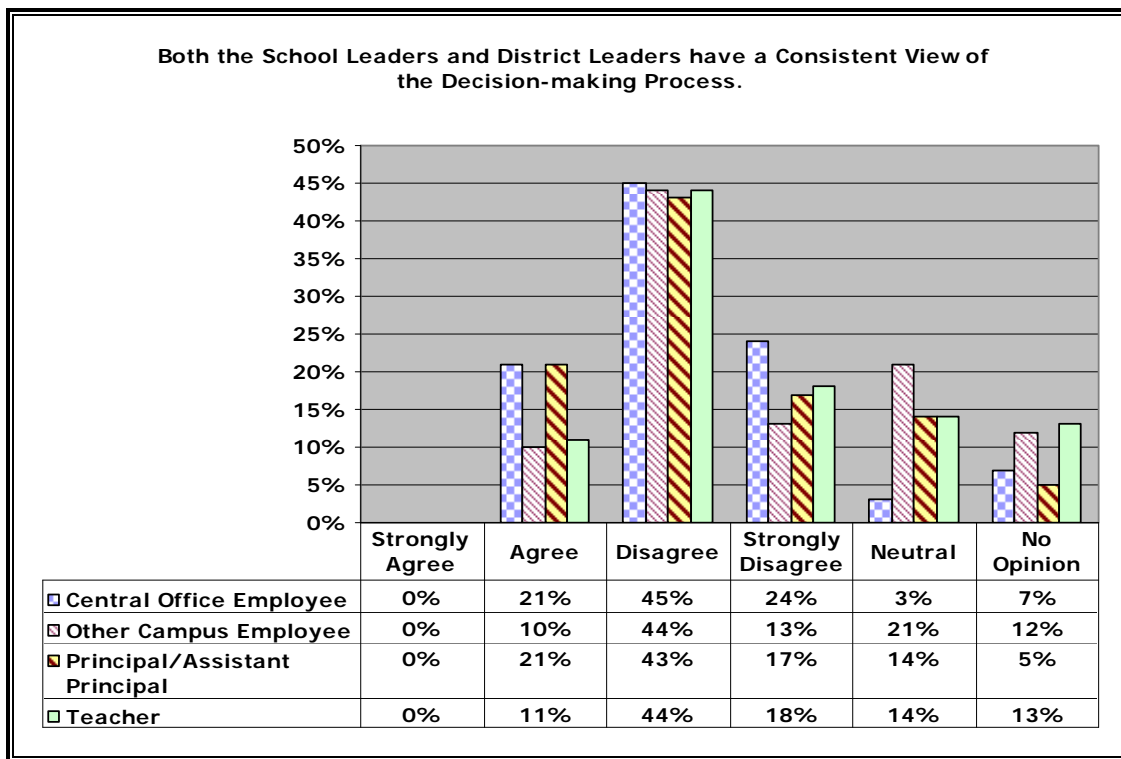
- **Site-based selection from a list of district provided options.** Examples of this might include computer and instructional software purchases. Schools can be given choices of computer brands and software as long as they meet minimum specifications established by the Central Office technology function. Buying outside the list could result in the inability of the technology function to effectively support hardware or software. Selecting from a list provides decision-making flexibility within a framework that helps ensure district-wide efficiency and effectiveness.
- **Site-based decisions requiring Central Office approval.** Certain decisions, such as hiring or terminating school staff, should require the approval of the Central Office, as the Human Resources Department should be involved in these decisions to ensure compliance with state and federal laws and district policy.
- **Central Office decisions.** There are certain decisions that should be made by the Central Office and enforced at all the schools. A single standardized curriculum and the school bell schedule are examples of decisions that should be established, or standardized, by the Central Office. In making these decisions, however, the Central Office should solicit the input from schools to ensure that they make sense for the schools as well as the district. Obtaining stakeholder input in the decision-making process is discussed later in this section.

ANALYSIS OF THE DISTRICT DECISION-MAKING PROCESS

Different from the preceding analysis of policy, a “process” analysis of decision-making supports a more mechanical view of the various steps involved. This section provides findings and recommendations regarding process improvements for district-level decision-making.

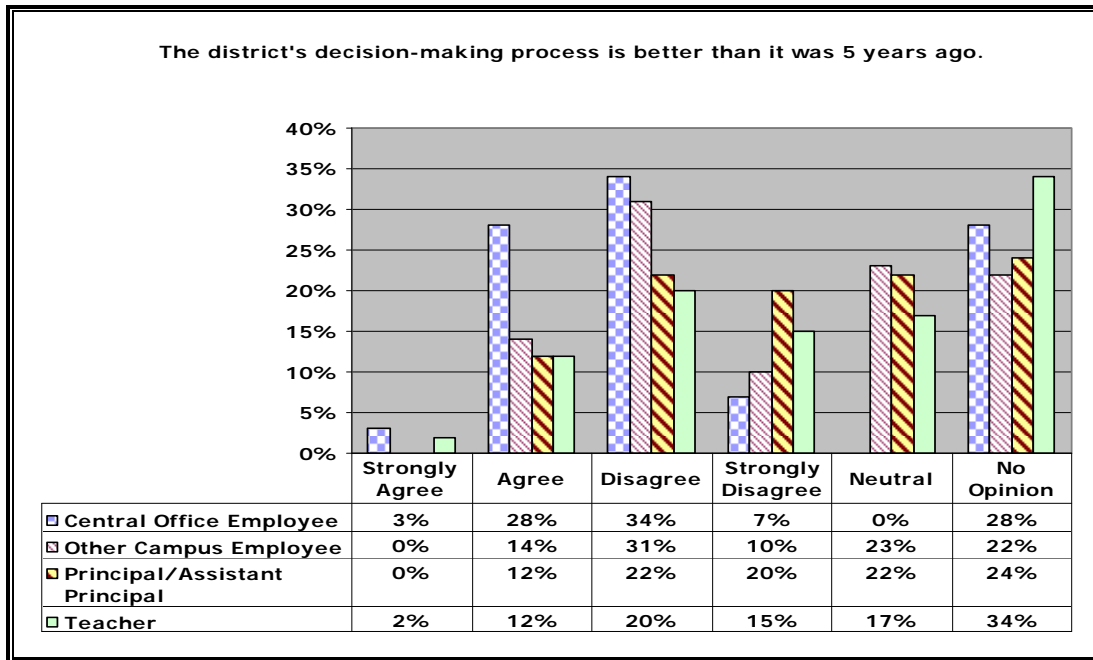
Pasadena USD employees’ view of the district decision-making process was largely negative. **Exhibit 2-8** shows that district and school leaders differ significantly on how they view the process, suggesting that the process is not well understood.

**Exhibit 2-8
Pasadena USD Employee Survey Response
View of Decision-Making Process**



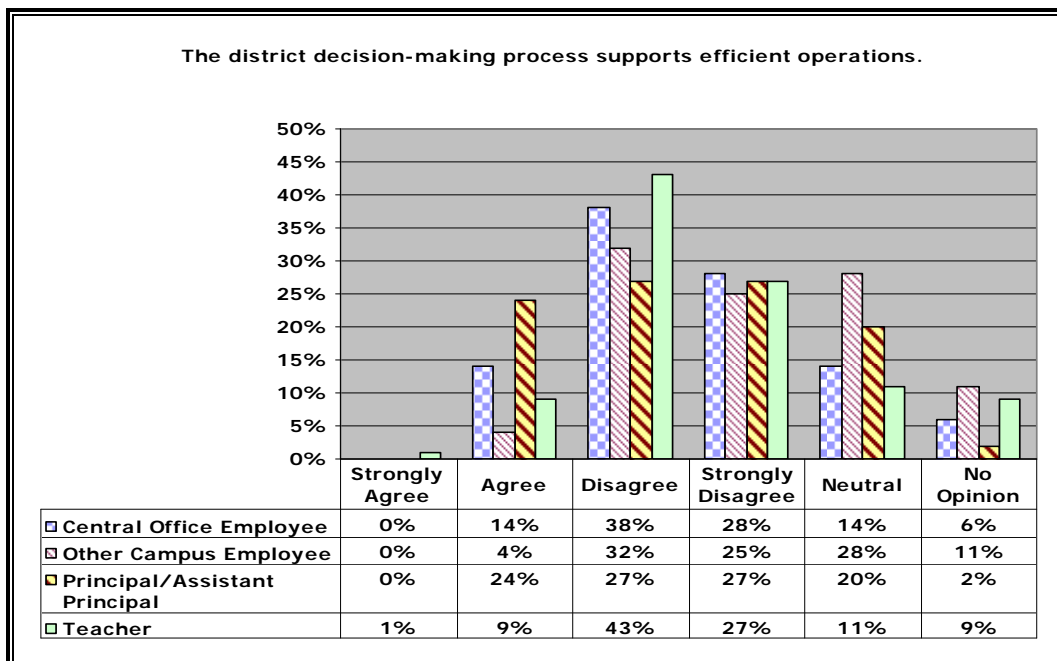
More employees also believe that the decision-making process does not work as well as it did five years ago. **Exhibit 2-9** shows that more Pasadena USD employees – in all categories - disagreed or strongly disagreed with the statement that the decision-making process was better than it was five years ago. A large percentage of the respondents, particularly teachers, were neutral or had no opinion.

Exhibit 2-9
Pasadena USD Employee Survey Response
Decision-Making Process Trends



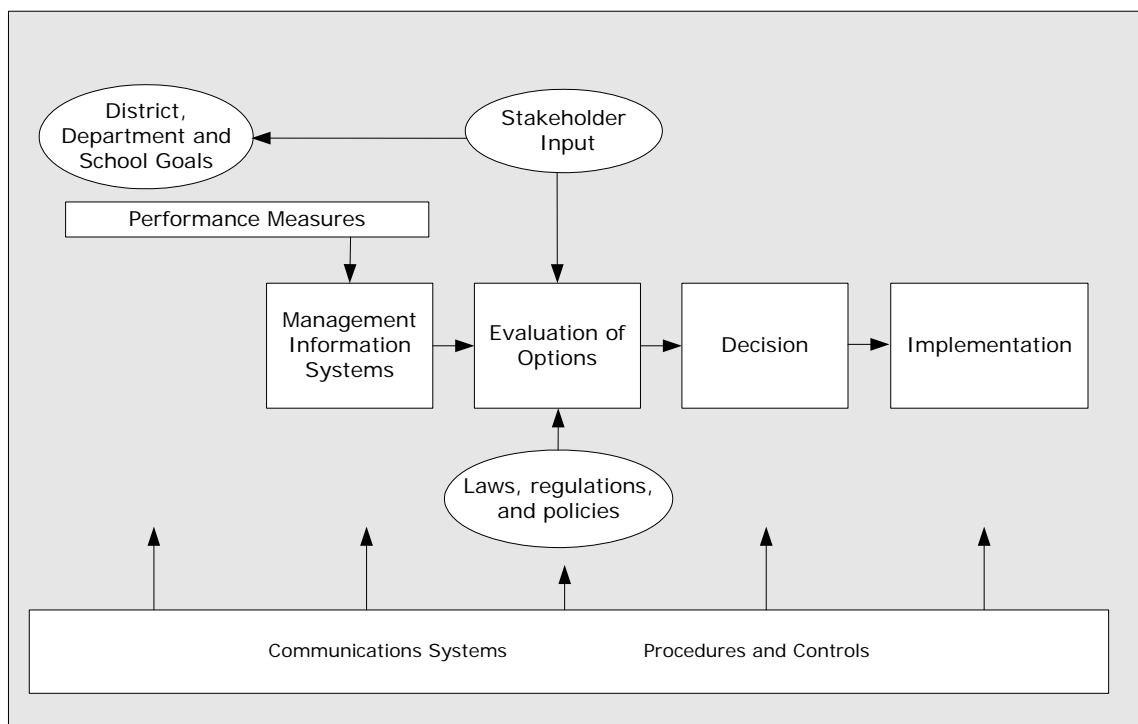
Most employees – regardless of the employee group - do not believe that the district decision-making process supports efficient operations. **Exhibit 2-10** shows the response rates by employee grouping.

Exhibit 2-10
Pasadena USD Employee Survey Response
Decision-Making Process Supporting Efficient Operations



While each decision may follow a different “process” of being made and implemented, the approach used to analyze the Pasadena USD decision-making process was to map observations against a “best practice” approach. **Exhibit 2-11** depicts high-level diagram of a best practice decision-making process. This diagram will be used throughout this section to reference specific observations.

Exhibit 2-11
High Level View of a Best Practice Decision Process



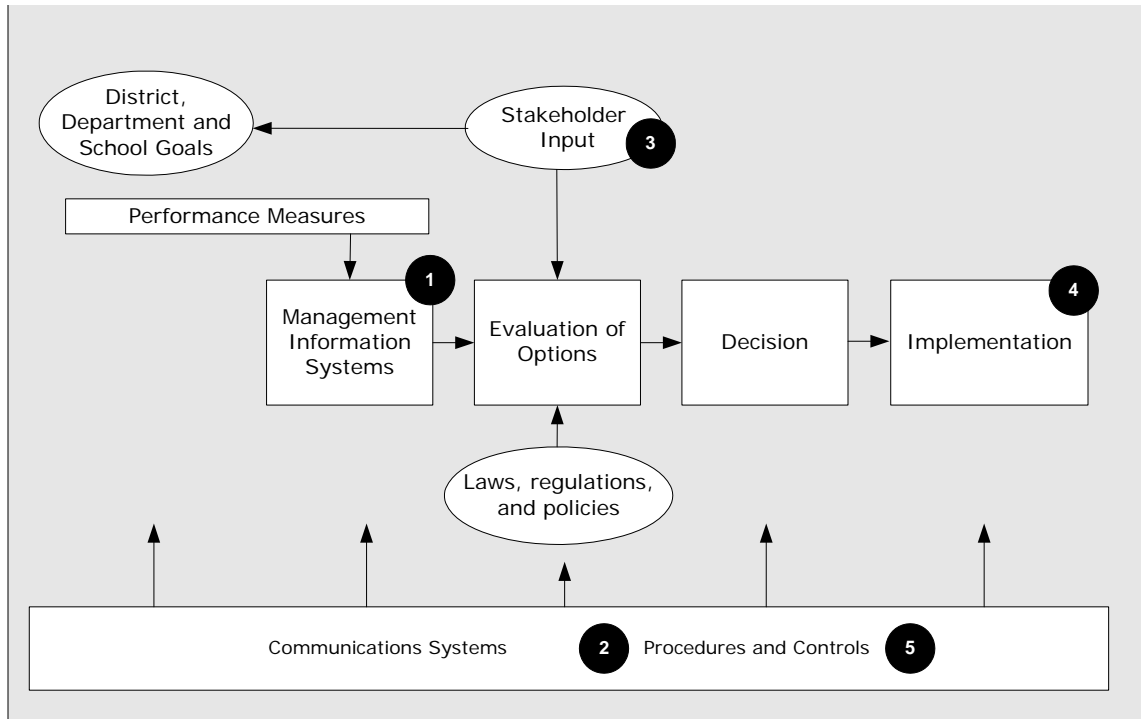
An effective decision-making process begins with the district goals. These goals drive specific, tangible measures of performance, and ultimately drive requirements for the district's management information systems. Management information includes the collection of applicable data and the conversion of the data into meaningful and relevant information to measure progress against a goal. Analysis of other management information may surface additional observations or findings unrelated to goals that might need to be acted on. The result of the analysis is the identification of a problem and its sources, and the subsequent development of alternatives to address the problem. Research is conducted, key stakeholders affected by the decision get involved, and a set of options is evaluated within the legal and regulatory framework. A decision is recommended, and made at a level of the organization that is consistent with district policy. Once made, a decision is implemented based on careful planning, communication with stakeholders affected by the decision, and effective project management.

The entire decision-making process is directly affected by two major support systems - communications systems and procedures and controls.

While the effectiveness of the Pasadena USD decision-making process varies based on the particular decision being made, there are several deficiencies in the process and underlying support systems that inhibit decision-making. These are referenced in **Exhibit 2-12** and

listed below. The remainder of this section explains each of these deficiencies by functional area and provides recommendations to address them.

Exhibit 2-12
Observations Regarding Pasadena USD's Decision-Making Process



1. Management Information Systems:

- a. Management information systems are more advanced for instructional information than non-instructional.
- b. For several reasons, the technology infrastructure is highly unstable and subject to frequent crashes.
- c. The lack of a network operating system is limiting the ability to allow users efficient access to data needed to support decisions.
- d. District-wide reporting tools are underutilized or unused because of lack of training and/or lack of access.
- e. Core software applications used by Pasadena USD are less integrated and less functional than they were five years ago.
- f. Insufficient data is collected and analyzed to support certain decisions.
- g. Some analysis is perceived to be incomplete or skewed to represent more favorable results.

2. Communications Systems:

- a. The district phone system is outdated and does not effectively support efficient communications.
- b. The district's email communication system is not fully implemented and is not meeting the functional requirements of the district.

3. Stakeholder Input: Key stakeholders are omitted from either the decision-making process or the communications loop.**4. Implementation:** Some decisions are not adequately planned or managed resulting in implementation missteps.**5. Procedures and Controls:**

- a. Data integrity is at risk because of multiple data systems used to support the same transactions.
- b. Job descriptions and procedures are incomplete and outdated.
- c. Performance evaluations are not conducted frequently enough to support accountability.

Management Information Systems

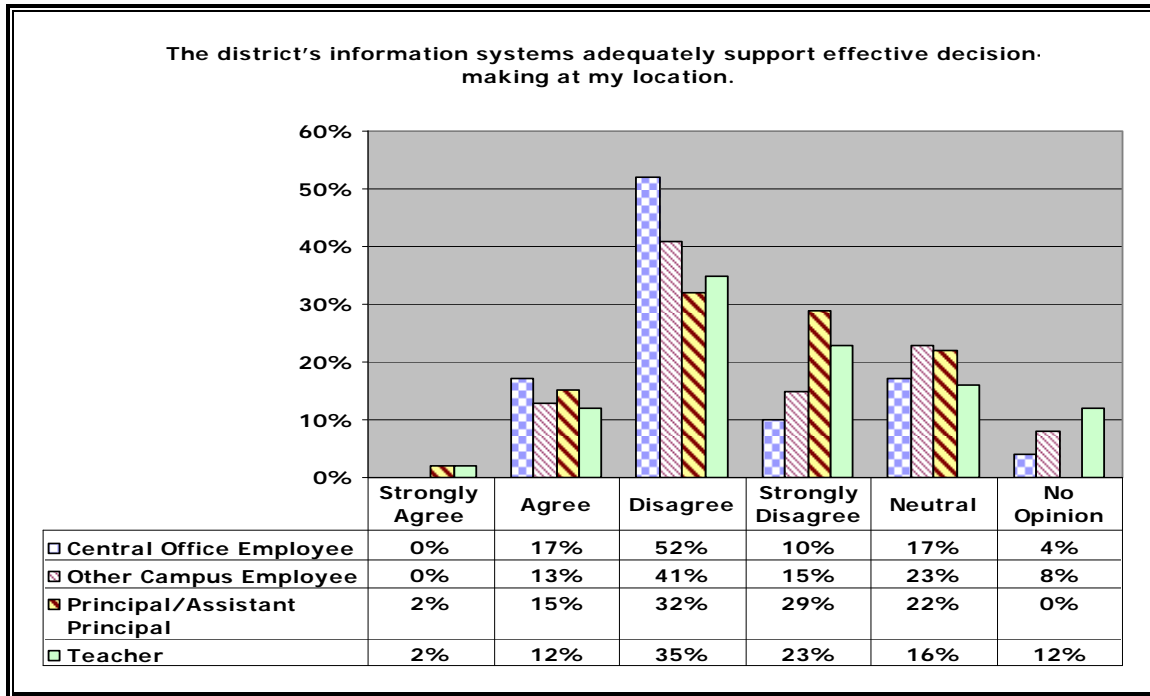
Management information systems extend beyond the district technology function, although technology is perhaps the most significant component. Collection of the right data and data integrity are also key aspects of supporting the decision-making process.

An example of a good management information system in place at Pasadena USD is the benchmark testing system implemented in conjunction with the standards-based curriculum. This system serves as an early warning system for low scores on state standardized tests by providing interim tests on specific state learning objectives throughout the year. Currently, only principals and Central Office administrators have direct access to this system because of network capacity and other technology limitations discussed later in this section. This notwithstanding, the information is being used to make adjustments in teaching techniques. While teachers expressed some frustration in knowing what to do with the information, there was positive feedback regarding the value and usefulness of the data. To optimize this system, each teacher should be able to access information and reports online directly from their classroom computer.

Non-instructional management information systems and deficiencies with the network infrastructure itself are adversely affecting the decision-making process more than any other functional area in the decision-making process. Virtually all issues identified during this study have been identified and prioritized as needs by the Information Technology Services (ITS) Department. However, due to budget limitations, these needs have not been addressed.

The impact of these deficiencies on participants in the decision-making process was apparent in the survey responses. As shown in **Exhibit 2-13**, less than 18 percent of employees in any staff category, including teachers, believe that the district's information systems effectively support decision-making. This suggests that the district has work left to do in the implementation of its benchmark testing system.

Exhibit 2-13
Pasadena USD Employee Survey Response
Information Systems Support



Recommendation 2-9: Create a technology steering committee.

The district does not have an effective method for involving district stakeholders in the technology decision-making process. Further, there are insufficient technology standards that affect Information Technology Services and its stakeholders.

Many school districts address these issues by establishing technology steering committees that have representatives from all stakeholders of the district. To be effective, the committee must not be too large, yet it must include representatives of the various constituencies of the district. The committee should have ten to 12 members and include teachers, principals, various administrative and instructional department staff, Board members, parents, and community members. ITS management and staff should also be part of the committee but should serve mostly in an advisory role. The committee should meet on a monthly basis in order to provide the necessary guidance and oversight.

To ensure continuity and an annual infusion of new ideas and perspectives, members should be appointed to staggered three-year terms (when established, one-third of the members should have one-year terms, one-third should have two-year terms, and the final third should have three-year terms).

Some of the main functions that this committee should perform include:

- Review and update the Technology Plan annually
- Establish recommended lists of instructional software
- Monitor the level of technology support available to schools and devise strategies for improving it as necessary

- Assist in the establishment of technology budgets
- Provide advice on and help set priorities for administrative technology projects
- Devise a policy governing the acceptance of donated equipment
- Develop hardware, software, and network standards
- Monitor the progress of all technology projects
- Monitor the equity of technology in schools
- Recommend revisions in policies and procedures that affect technology use

Most technology steering committees also address more specific areas through subcommittees. For example, Pasadena USD may develop a technology subcommittee to choose and recommend lists of instructional software. The subcommittee could then present its recommendations to the full committee for acceptance. Pasadena USD may also develop a separate subcommittee for developing technology standards. Benefits of having established technology standards include:

- Support and assistance can be provided much more effectively and economically
- Ability to use district's own technology staff instead of costly outside consultants on various technology initiatives
- Assurance on compatibility with districts existing technology
- Minimize training costs
- Possible savings based on economies of scale
- Increased integration and communication among district technologies

In order to achieve maximum benefits from having technology standards, the district should have technology standards beyond just workstation standards. Establishing software and, network standards will enhance the benefits of standardization for the district.

Recommendation 2-10: Upgrade Technology Infrastructure.

During Central Office and campus site visits, there were several instances of the network systems or subsystems crashing, affecting not only the decision-making process, but transaction processing and email communications as well. When the network was functional, some secondary schools experienced slower response times due to the limited capacity of the network's bandwidth.

The network infrastructure can be divided into two main categories: pipes that carry the information, and the hardware, such as routers, switches and hubs that help deliver and manage the information delivery. Excessive downtime and slow network speed are indicators that the network infrastructure is at risk. Pasadena USD has identified needs relating to both components of its network, although the equipment needs are perceived to be a higher priority.

In addition to network infrastructure, the district's servers also need attention. During the review team's site visit, the Central Office server room was toured. A professional data center/computer room typically has racked-style servers, multiple air-conditioning units with multiple back-up power supplies, waterless fire suppressant systems, and sensitive heat and motion detectors. The Pasadena USD computer room has old equipment with insufficient

capacity, no racks, one air-conditioning unit, no waterless fire suppressant systems, and no heat or motion sensors.

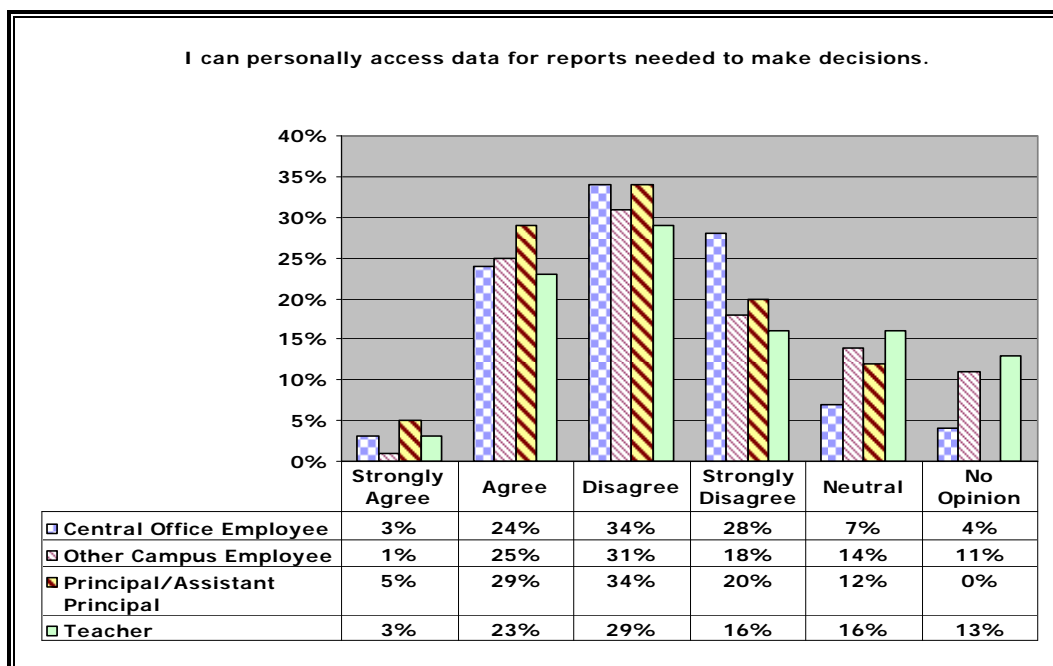
In addition to running out of physical storage space on its servers, Pasadena USD does not have a storage area network residing on its servers. A storage area network would users to save files to a personal drive located on the server. The files could be backed up daily by the Central Office. Currently, users are responsible for backing up their own files on their local hard drives.

District server needs have been identified as a high priority by ITS, but funds have not been allocated to address them. The issues with district servers, like the network components, contribute to a highly vulnerable and unstable technology infrastructure. While the scope of this study did not include a review of the technology function, it became apparent based on our limited work that the district is well beyond acceptable levels of risk with respect to its technology infrastructure.

Pasadena USD should dedicate resources to address needs identified on the ITS list to upgrade the district's network infrastructure and server environment, and phone system. Cost estimates for these initiatives have been developed by ITS for both short-term and longer term needs.

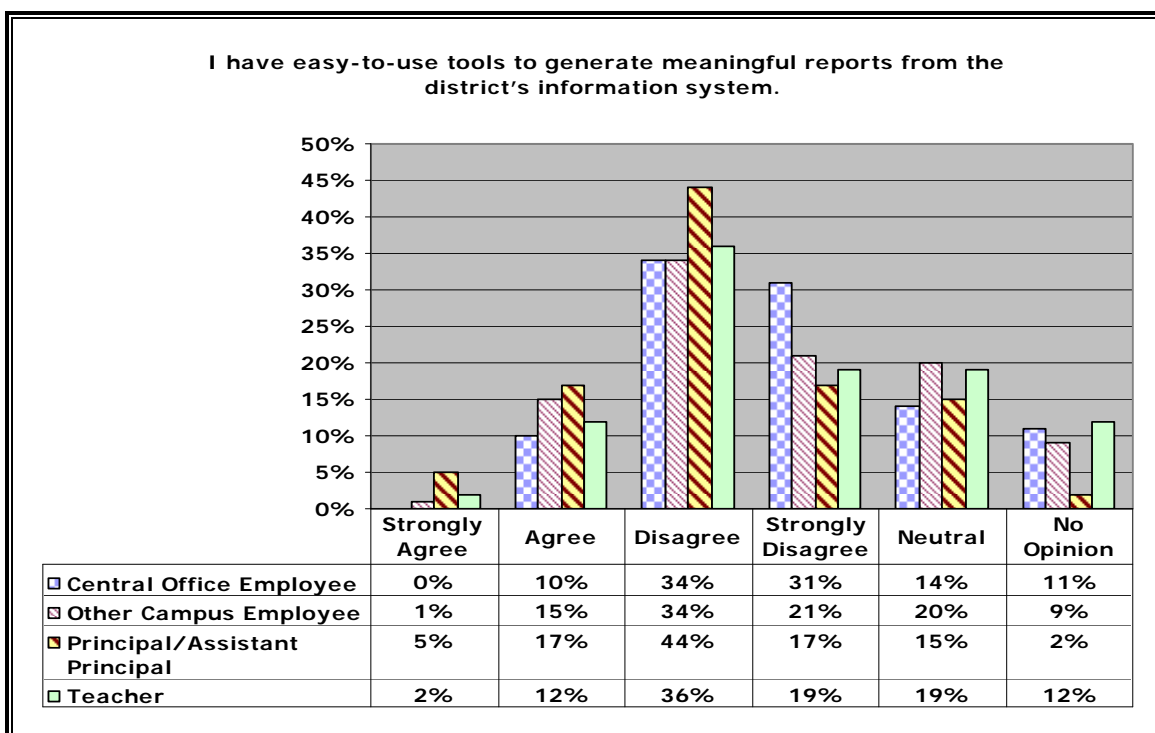
Separate from the technical issues, employees expressed concerns about the access to data needed to support decisions. As shown in **Exhibit 2-14**, approximately one out of four individuals responded that they could access data needed to make decisions. This was consistent among all employee groups. Interestingly, Pasadena USD's Central Office employees showed the highest percentage dissatisfied with data and report access. School principals were slightly more satisfied than other groups. During campus site visits several principals and teachers provided positive feedback on the benchmark testing system reports.

Exhibit 2-14
Pasadena USD Employee Survey Response
Access to Data / Reports



Another survey question asked about tools that were available to access reports. Pasadena USD has two reporting software tools, and employees also use other database and spreadsheet tools. **Exhibit 2-15** shows perceptions of reporting tools by employee group. The large majority of the respondents disagreed or strongly disagreed with the statement that they have easy-to-use tools to generate reports.

Exhibit 2-15
Pasadena USD Employee Survey Response
Access to Data / Reports



Recommendation 2-11: Implement a network operating system and role-based security structure.

Pasadena USD does not have a network operating system or a role-based security structure, which today are basic components of information management. Most school systems with greater than 5,000 students have been using network operating systems for at least the past five years. This is a significant indicator of Pasadena USD being behind the times in information management. The lack of a network operating system is limiting the district's return on investment in other technologies that depend on it.

In 2004, *COGNOS* reporting software was purchased by the district, and the district pays an annual maintenance fee of \$32,000. One of the district's goals with *COGNOS* was to provide teachers, administrators, and parents with the ability to access and analyze class and student performance. This system is significantly underutilized, primarily because of insufficient training and lack of access to the software. The lack of a network operating system inhibits the users' ability to access *COGNOS*, as well as other applications and databases on the system. Users must rely on designated staff that has access to these applications to provide them with needed reports.

For those individuals that do have access to *COGNOS*, it was perceived to be a very sophisticated reporting tool, but difficult to use without proper training. For these reasons Pasadena USD has not achieved a return on its investment in *COGNOS*, and is not fully utilizing it to support data analysis and decision-making.

Because of the limitations of reporting through *COGNOS* (that had little or nothing to do with the software itself), the district purchased *Crystal Reports* software which was perceived to be less sophisticated but easier to use. The use of *Crystal Reports* is more common but because of the security issues described above, it is also underutilized.

In a “best practice” situation, users enter one password for computer/network access, and a single security system assigns rights based on predefined restrictions for that position. Network operating systems provide these benefits by supporting:

- Authentication – allows users to be assigned to groups that have rights to centrally stored systems, reports, and data. Without a network operating system, users have access only to what is stored on their computer, or sent to them by another user.
- Authorization – assigns specific rights and access based on the specifications for that group. This role-based security structure allows information to be stored and managed centrally and more efficiently.

Recommendation 2-12: Refine long-term plan for application software and reporting.

There are several other events that have contributed to the current data integrity and reporting deficiencies. The district purchased SchoolMax, a student information system (SIS) that is accessed through the internet. The advantage of this type of system was that the district would not have to maintain the hardware or database to host the system internally. The application resides in the vendor’s data center, and the district users access the application online. According to district technology staff, Pasadena USD is one of the largest districts to use this application as a hosted application. Because of this, Pasadena USD’s increasing reporting needs were slowing down system access for other customers and costing Pasadena USD additional money beyond the application hosting fees.

In addition, the current SIS cannot run some basic reporting functions provided by the previous SIS. Based on information provided by district and school staff, the district’s previous SIS could print student report cards, sorted by zip code at the district-level, allowing the district to bulk mail the report cards for all secondary schools. The current SIS also prints report cards sorted by zip code however, only at the school-level. As a result, ITS staff must manually sort the report cards after printing them.

The district became concerned about both the limitations of the new system and the additional reporting cost, and decided to purchase its own database to store the data and run reports. Each night, data is exported from SchoolMax – as well as other application systems – to the database. The district now runs direct queries and reports (through *COGNOS* or *Crystal Reports* in some cases) against this database to meet information needs for decision-making. This sometimes creates data integrity problems, because the in-house database data are one day old and users may run reports off the database and SchoolMax during the day.

The end result is that the district is paying SchoolMax to host the data, and is incurring duplicate costs to download the same data to an internal database for reporting. Other factors described above are further limiting the ability of employees to use these tools.

The district finance and human resources systems are also fragmented. Pasadena USD uses selected PeopleSoft (now a part of Oracle) modules of the Los Angeles County Office of Education's (LACOE) business application. According to staff interviews, Pasadena USD is one of the largest districts that uses this hosted application from LACOE.

The Human Resources is a text-based (green screen) module, indicating that is an outdated version of the software and has not been upgraded by LACOE. The budget, accounting and payroll modules are Windows-based, indicating a more current version in use. Due to district budget limitations and the functional shortcomings of the LACOE applications, ITS has developed its own custom systems for time cards, sick leave and vacation tracking, and purchasing and warehouse. ITS, school staff, and other Central Office staff spend additional time ensuring that all of the modules interface with each other and that data and transactions are accurately recorded. An example relating to payroll changes is provided below:

- School administrative staff completes a manual form on a monthly basis entitled "Classified Monthly Payroll Time Report."
- Data on this form is entered by school staff into a Unisys application (used by Human Resources) as opposed to the PeopleSoft system (used by the Payroll Department).
- The Pasadena USD Payroll Department does not have access to the Unisys system, and developed a separate spreadsheet template to collect the same information from schools for entry into the PeopleSoft system.
- The code options for the Unisys application are not the same codes as the PeopleSoft system. Accordingly, a considerable amount of time must be spent by the Payroll Department staff and the school staff to reconcile the data.

The impact is that the same data is entered four times for one transaction: (1) the original hand entry on the Classified Monthly Payroll Time Report form; (2) the computer entry of the form onto the Unisys system; (3) the entry onto the spreadsheet template; and (4) the entry of the spreadsheet template by the Payroll Department onto the PeopleSoft system. The district is facing serious risks in terms of data integrity, timely data access, and data redundancy because of this type of transaction processing. Data integrity is also discussed later in this section under ***Procedures and Controls***.

All the technology issues described above adversely affect Pasadena USD's decision-making process. Excessive downtime and slow response times of an unstable infrastructure, limited access to data and reporting tools, and an overly fragmented approach to application software impair the quality and timeliness of data, the completeness of the data analysis supporting decisions, and the ability to communicate effectively via email.

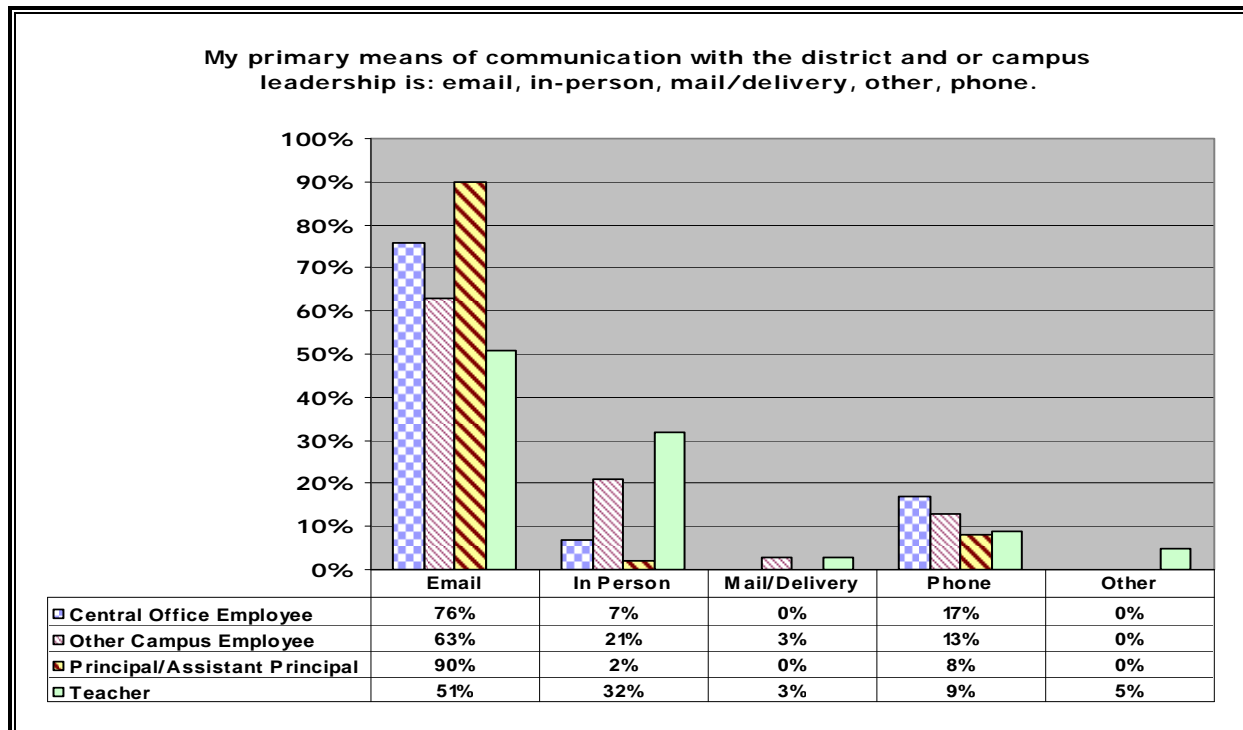
Communications

Technology is closely related to communications at Pasadena USD in that the district's technology infrastructure supports email communications, and to a lesser degree its phone systems. This section addresses the various forms of communications used by Pasadena USD that support decision-making.

Recommendation 2-13: Require all teachers to use district email.

District employees were asked through the online survey their primary means of communication. **Exhibit 2-16** presents the results by employee group. The vast majority of Central Office staff and school leaders (76 and 90 percent, respectively) use email as the primary means of communication. Only 51 percent of teachers, however, reported using email as the primary means of communication.

Exhibit 2-16
Pasadena USD Employee Survey Response
Primary Communication



There appear to be several reasons for the relatively low use of email by teachers, based on interviews with school and ITS staff and review of the technology needs lists:

- Some teachers do not have a functioning computer.
- Some teachers have a functioning computer but with an outdated operating system than cannot run the current email program.
- Some teachers choose not to use email, even though they have access to it.
- Some teachers use only personal email accounts.
- Some teachers have not received a user ID or password to access their email. In some instances the ID's and passwords were not distributed by the school administrative staff.

ITS has a goal of having 75 percent of all teachers connected to the district's email system during 2006-07. The goal for 2005-06 was 50 percent, and that target appears to have been achieved based on the survey results. The impact of inaccessibility to email is that many teachers do not receive communications that are relevant to district and school

decisions. On several occasions teachers expressed concerns about parents finding out about district news through the newspaper before teachers were informed.

Survey questions also addressed Central Office staff effectiveness in communicating with district employees and the community at large. **Exhibits 2-17 and 2-18** show the results by employee group.

Exhibit 2-17
Pasadena USD Employee Survey Response
Internal Communications

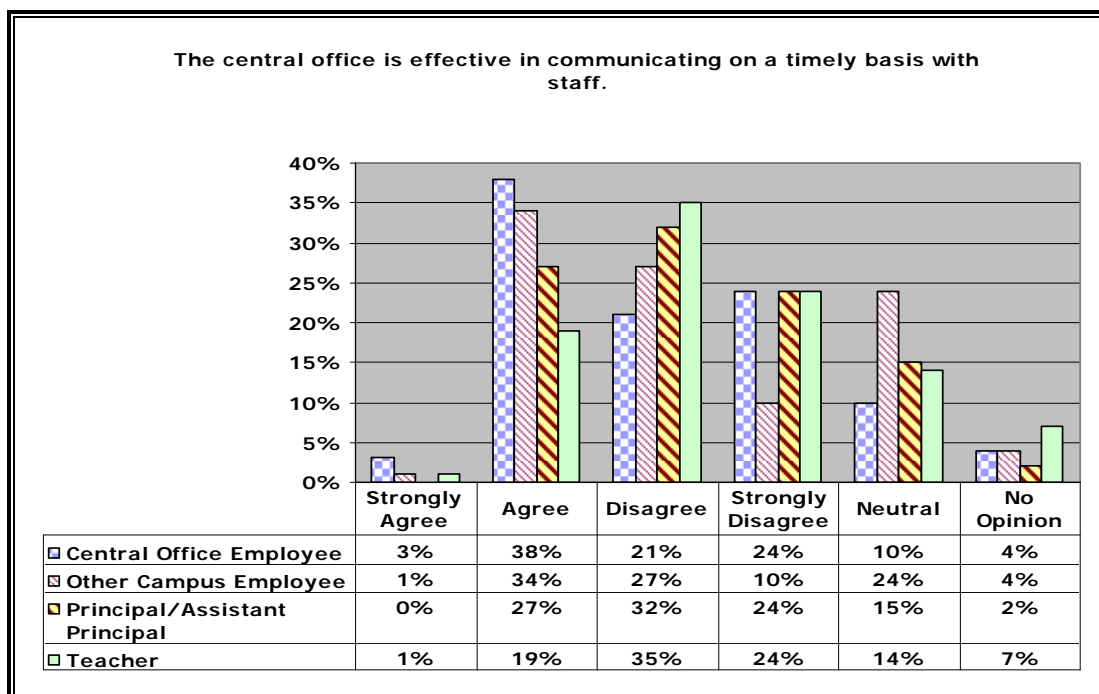
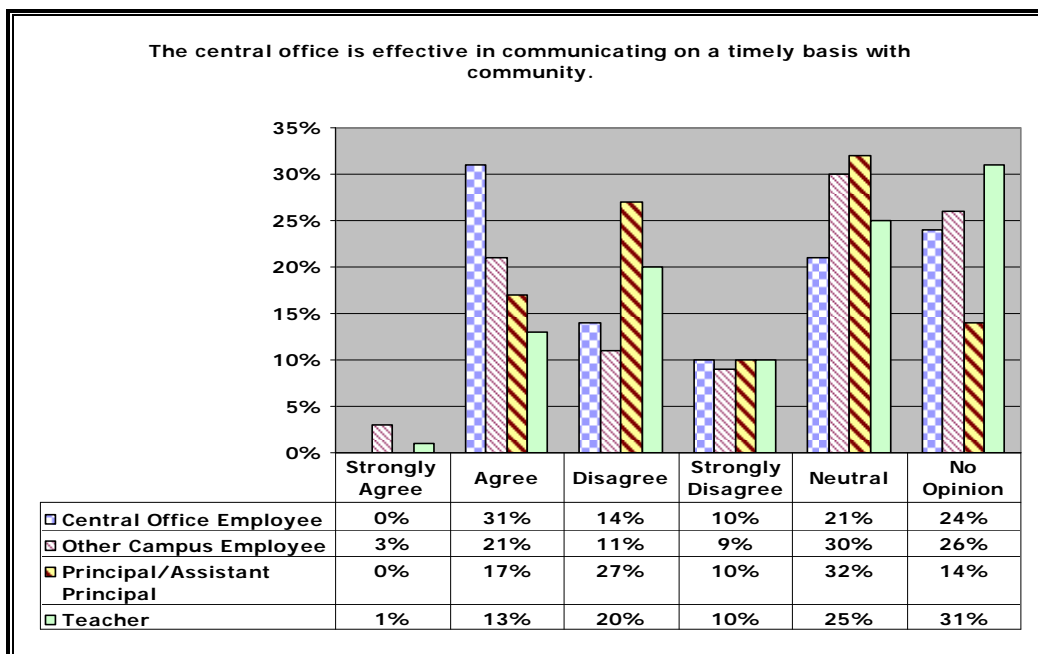


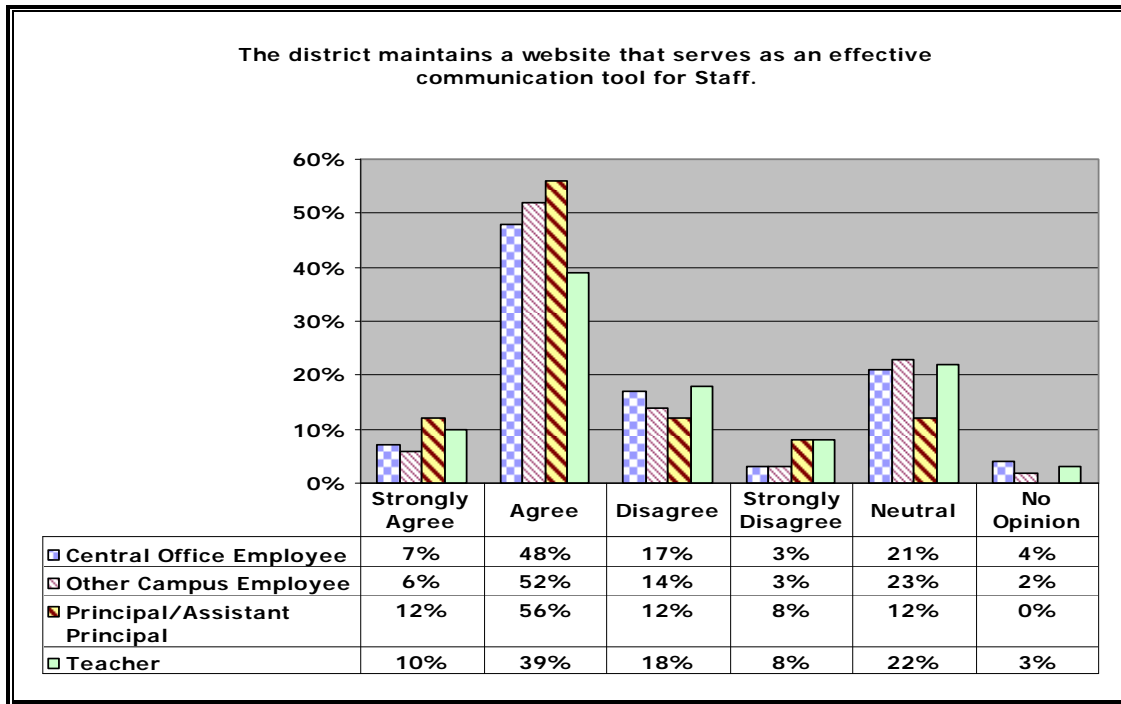
Exhibit 2-18
Pasadena USD Employee Survey Response
External Communications



The responses regarding varied by employee groups on both internal and external communications, although there were more negative than positive responses in most instances. Teacher responses may be explained in part by the email issue described earlier in this section.

Most Pasadena USD employees agreed that the district website is an effective communication tool for the district staff. **Exhibit 2-19** shows that employee responses were fairly consistent across employee groups. A separate question was asked about the effectiveness of the website as a communication tool for the "community" – employee responses were similar although slightly less favorable.

Exhibit 2-19
Pasadena USD Employee Survey Response
District Website



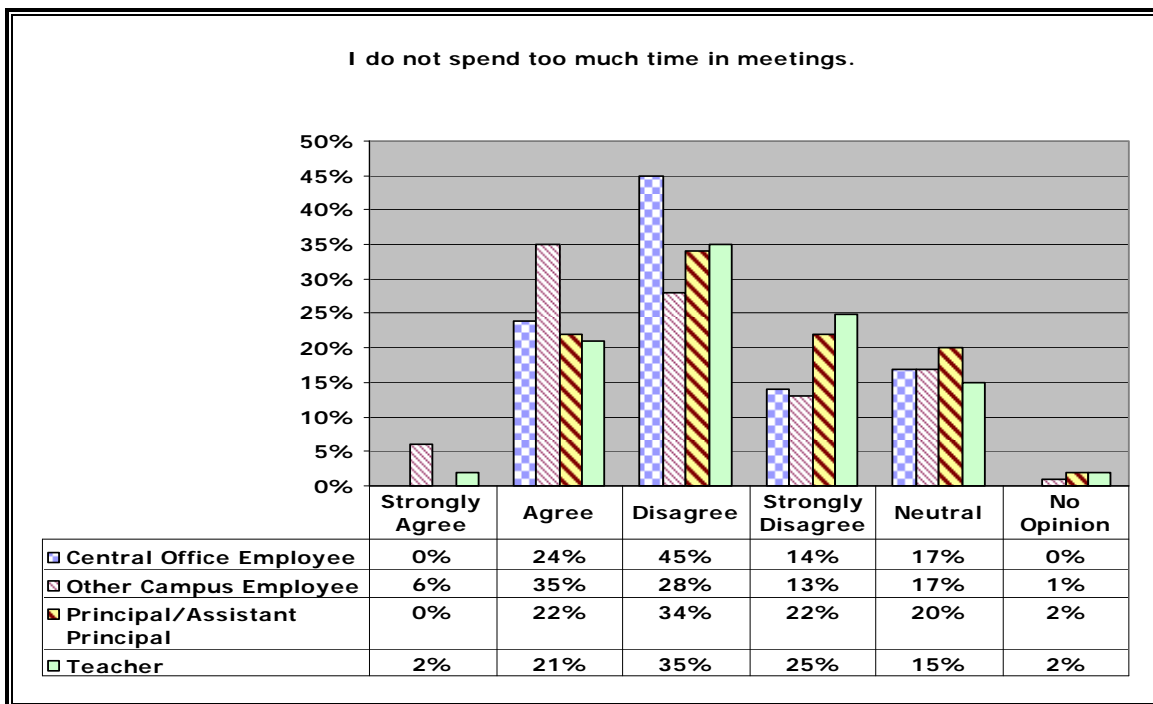
Recommendation 2-14: Upgrade the district's phone system to Voice Over Internet Protocol.

Interviews with district and school staff indicated that the district is having various problems with its phone systems at school sites. Most school districts throughout the country have upgraded their aging telephone systems to Voice Over Internet Protocol (VOIP) technology. VOIP uses the district's current network infrastructure (as opposed to telephone lines) to carry voice communications. This allows the district to consolidate and better manage its investments in communications and technology. Since VOIP is digital, the quality of communications is also better. Pasadena USD uses an outdated analog system that is limiting the effectiveness and efficiency of district communications. An upgrade to VOIP is mentioned in the technology priority project list for 2006-07.

Recommendation 2-15: Reconstitute all recurring staff meetings and establish standard for ad-hoc meetings.

Meetings represent another means of communicating information. However, in many instances meetings are conducted only to share information that could be transmitted via email or other means. **Exhibit 2-20** presents employee responses to a survey question regarding time spent in meetings. More employees believe that too much time is spent on meetings.

**Exhibit 2-20
Pasadena USD Employee Survey Response
Meeting Time**



During campus site visits, several principals expressed concerns about meeting time that pulls them off campus. In addition, many of these meetings are “on-demand” and do not allow time for sufficient planning.

Stakeholder Input

Stakeholder input is important to any decision-making process. Stakeholder representatives should be involved in evaluating viable options for decisions, and once decisions are made, stakeholders should either serve on the implementation team or be communicated with to ensure a smoother implementation.

Pasadena USD has included stakeholders in major decisions regarding facilities, standards-based curriculum, and other initiatives. However, for many lower level decisions at the Central Office and schools, stakeholders are frequently omitted from the decision-making process and the communication loop during implementation.

Examples of stakeholders not being included at the school-level are described below:

- **Changing lunch schedule.** A leadership team at one school decided to change the lunch schedule for the school. The decision resulted in several complications because neither the food service staff nor the custodial staff was consulted about the decision.
- **Planting trees.** A decision as simple as planting a tree can create difficulties for schools if not done right. At one school, a decision was made to plant a tree. The decision was made without consulting stakeholders that could be affected by the decision, including the maintenance and grounds staff and warehousing. As a result, the tree impeded the delivery of goods to the school by limiting the truck's access to the delivery area, and the tree was planted too close to water and sewer lines.

Recommendation 2-16: Identify and include decision stakeholders in the decision-making process and the communication loop upon implementation.

This recommendation can be implemented as a procedural extension of the recommendation to adopt a single decision-making framework made earlier in this report. For each decision identified in the framework, internal and external stakeholder groups should be identified and listed for each decision in a documented procedure. This procedure can be used as a checklist to ensure that all stakeholder groups are appropriately included in the decision-making process and also in communications throughout implementation process. All levels in the organization should follow this procedure for decision-making processes.

Implementation of Decisions

Once decisions are made, the necessary communication, planning, and project management is applied to effectively implement the decision and monitor the results. The cycle repeats itself as subsequent data and measures are analyzed to determine if the decision is having the desired impact. The quality of implementation at Pasadena USD is more dependent on the person rather than a structured process. Some decisions made by the district were well-planned and well-managed and stakeholders were informed throughout the process. Other decisions - in some cases because of the short time between decisions and implementation – did not receive adequate planning or project management time to ensure a successful implementation.

Pasadena USD management provided evidence of several efforts to manage and monitor projects, as well as project management training. However, because of issues described in other sections of this report – namely accountability, technology, and communications – the effectiveness was not realized in many cases.

Recommendation 2-17: Adopt formal project management techniques and train project managers.

Project management training is available through sources outside public education. For certain types of decisions or initiatives, such as technology, there are certification programs for project management.

Procedures and Controls

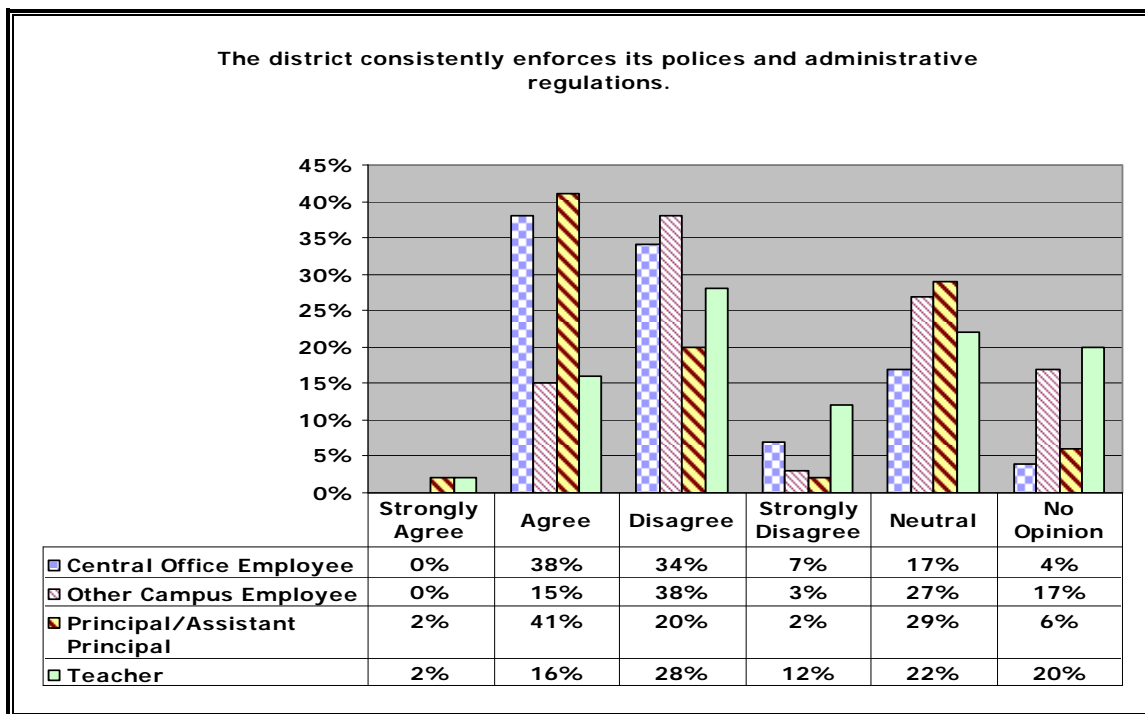
Procedures and controls provide guidance to employees on how they conduct their work in a manner that ensures compliance with applicable laws and regulations and that safeguards district assets. An example of a control is the segregation of duties between employees that

have access to district assets, such as equipment, and employees that have access to the accounting records for tracking equipment.

Each year the district is subject to a financial audit by an accounting firm, and the audit includes a review of the district's internal control environment. The purpose of this study is not to duplicate this work, but rather to look at procedures and controls that affect the decision-making process.

Pasadena USD employees are split in their perceptions of how consistently the district enforces its policies and administrative regulations. **Exhibit 2-21** presents the results by employee group. Teachers and other campus employees showed the lowest positive responses at approximately 15 percent, less than one-half of the positive responses expressed by Central Office staff and school leaders. This may indicate procedural and training issues at the schools and Central Office.

Exhibit 2-21
Pasadena USD Employee Survey Response
Enforcement of Policies



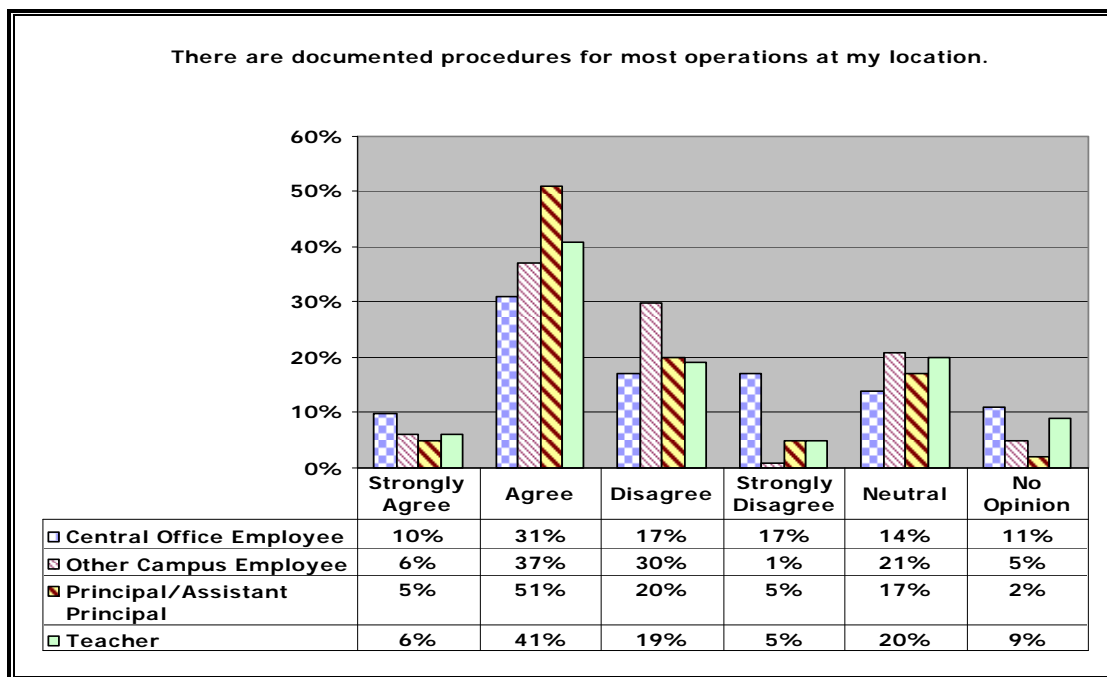
The district does not have a clearly defined quality control process to catch errors or make corrections in district information systems. Below are examples of data integrity concerns:

- **Position Control** – The budget department struggles with keeping accurate staffing numbers due to insufficient data systems. Deficiencies of these information systems are discussed earlier in this chapter.
- **Reports** – Also because of management information system issues, data may be different each time reports are run. Staff spends significant time verifying the data to ensure it is accurate.

- **Enrollment** – Enrollment numbers shown on the Student Information System do not reflect the actual number of students for each school. The Budget Department uses this system to project staffing for the budget. The district has identified two main reasons for the inaccurate data. The first relates to the system counting students twice when they are initially at a choice/alternate school and then return to their school of residence the following year. The system counts them at the choice/alternate school during the year end process and then the student is counted again at the school of residence when they return to this school the new school year. The second reason for inaccurate enrollment numbers occurs when dual enrollment students are entered twice in the system as ADA eligible. These students should be coded as ADA eligible only once for the school they attend full-time. They should be coded as a Non-ADA at the school where they are taking additional classes. Since there is not an immediate solution to fix the Student Information System, the district has implemented procedures to reduce or eliminate these errors.
- **Payroll** – Staff is not being paid timely for summer work and professional development. At the time of the management audit team site work of November 2006, staff stated that they have not been paid for this past summer work and professional development.
- **Payroll** – Staff stated that errors were made regarding longevity payments. It is also possible that there are inconsistencies in calculating longevity payments for part-time employees.

Most Pasadena USD employees stated that there were documented procedures for the operations at their location, as shown is **Exhibit 2-22**. Based on information obtained by the review team, many of the documented procedures are outdated or incomplete. Each department is responsible for maintaining its own documented procedures.

Exhibit 2-22
Pasadena USD Employee Survey Response
Documented Procedures



Job descriptions were found to be outdated and incomplete. Job descriptions for some senior management positions do not exist at all. Many other job descriptions at all levels of the organization are outdated and incomplete. For example, Pasadena USD has a job description for a PBX operator. This position description title and related functions are obsolete. For classified employees, the burden of getting a job description updated is sometimes left with the employee, who will do so to get the position appropriately upgraded and compensated. Some classified employees do not want to initiate the process because of the time and effort involved, and continue to perform duties that are not reflected in the job description except through "other duties as defined." Classified hiring practices and the Personnel Commission are discussed in a separate chapter of this report.

The lack of current and complete job descriptions impairs the ability to hold individuals accountable for decision-making and performance.

Another weakness in procedures and controls involves performance evaluations. Performance evaluations are not conducted for all staff, and others are done very infrequently or late. For some positions, the employment contract requires evaluations every two or three years. Examples of deficiencies in performance evaluations are presented below:

- One principal indicated that the previous year's principal had conducted only one evaluation of staff in the prior year.
- One director position at the Central Office stated that she has not been evaluated in six years.
- One teacher specialist stated that she was evaluated last in 1999-2000 at the campus and has not been evaluated since.

This frequency of performance evaluation is insufficient to hold individuals accountable for performance against annual goals and objectives. Individuals interviewed during this study – at schools and the Central Office - also perceived that poor performing or incapable employees are not terminated. This is also symptomatic of an inadequate performance evaluation process.

Other examples of procedure weaknesses or lapses in control include:

- Employees not following the chain of command, and in some cases going directly to Board members on matters that should be dealt with by their supervisor or the next position up on the organization chart.
- Employee concerns regarding missing computers and equipment at closed schools. There is concern that some of the equipment was stolen. The Closing School Procedures instructed the staff from the closing schools to back up their computers and leave them at the schools. The ITS Department was responsible for taking inventory of the computers and forwarding them to the other schools on an as needed basis. However, staff took the computers with them to their new location. ITS did not take the computers back since they were already installed and being used in the new classrooms or offices. Therefore, schools that had been promised computers did not receive any or received less than promised due to this circumstance.
- Some schools have not received student records of transferred students. If any of these students have special requirements documented in these files, particularly medical requirements, there is no assurance that the current school has the information it needs make decisions or provide services to the student. According to the Closing School Procedures provided by Central Office, the schools receiving the students from the closed schools were responsible for requesting these student's records from Student Support Services. A memorandum was sent to the schools explaining the procedures on how to access the students' files. Student Support Services staff also researched all of the student files that were not claimed to identify and forward records to the school that showed to have the student enrolled at their location.

The Fiscal & Crisis Management Assistance Team conducted a Business Services Review of Pasadena USD in late 2005 and made many recommendations that appear to still be relevant today. These include:

- Provide adequate and appropriate training
- Review and update all job descriptions
- Consider designation of an internal auditor
- Review position control system
- Hold department managers accountable
- Develop procedures manuals

Recommendation 2-18: Update and document all operating procedures and job descriptions.

Job descriptions should reflect the current duties and responsibilities assigned to the position, and should contain specific, measurable performance objectives to support an evaluation of performance. Procedures should be documented initially through process maps to better understand and communicate the processes that run across the organization. The development of job descriptions, process maps, and procedures should be done in concert with each other to ensure internal consistency. These documents can be used to support improved internal training, as well as to identify process deficiencies and opportunities for streamlining and automation. (Appendix D includes a job description template and examples of process maps and procedures to consider when developing or revising the district's documents.)

Recommendation 2-19: Prepare performance evaluations annually for all personnel.

Performance evaluations need to be conducted at the same frequency as district goals are established. Currently this is done annually. Performance evaluations should meet all minimum legal and contractual requirements, and also be used to support accountability for performance.

CHAPTER 3:

PERSONNEL COMMISSION AND CLASSIFIED STAFF RECRUITMENT

BACKGROUND

The Personnel Commission is a separate legal entity that provides services on behalf of the district in connection with the recruitment and hiring processes of classified employees. The objective of this review was to evaluate the processes applied by the district and the Personnel Commission employees and identify possible areas for improvement. An overview of findings and recommendations is provided below.

- The Pasadena USD Classified Human Resources (HR) Department and the Personnel Commission do not work together effectively. The Classified HR Department should take primary responsibility for improving the coordination and communication between the two entities in order to increase their collective effectiveness. Communication with current and prospective employees also needs to be improved and better coordinated.
- Pasadena USD management does not believe that the current process is yielding the highest quality candidates, and efforts are sometimes made to circumvent the process. The two most significant factors influencing quality are outdated job descriptions and a highly paper-intensive and lengthy recruitment process. Both Pasadena USD and the Personnel Commission share responsibility to streamline the process and improve its results.
- Pasadena USD and the Personnel Commission should adopt a governance philosophy that provides better coordination between the two entities and accountability to the Pasadena USD Board of Trustees.

The Pasadena Unified School District (Pasadena USD) is a merit system district under Article 6 of the California Education Code. The merit system was adopted at Pasadena USD in January 1979 by a 70.1 percent affirmative vote of the eligible non-certificated employees of the district. The designation as a merit system is the basis for the establishment of a Personnel Commission. This system is unique in the United States for public schools.

The Personnel Commission is an independent body within the school district and is responsible for the following functions for positions which are “classified” according to the Education Code:

- Administration – rules, employee assistance concerning rights, etc.
- Recruitment and selection
- Classification of positions
- Hearings and appeals

The district is responsible for all other functions, including employee training, establishment of pay rates based on position classification, and performance evaluations.

The California Education Code Section defines the employees and positions which are considered to be part of the classified service. Section 45103(a) states that all positions not requiring certification are included in the classified service. Section 45103(b) specifies the exceptions as:

- Substitute and short-term employees, employed and paid for less than 75 percent of a school year.
- Apprentices and professional experts employed on a temporary basis for a specific project, regardless of length of employment.
- Full-time students employed part-time, and part-time students employed part-time in any college work-study program, or in a work experience education program conducted by a community college district pursuant to Article 7 of Chapter 5 of Part 28 and that is financed by state or federal funds.
- Part-time playground positions.

The code further defines a "substitute employee" as someone employed to replace any classified employee who is temporarily absent from duty. A "short-term employee" is defined as one who is employed to perform a service for the district, upon completion of which, the service required or similar services will not be extended or needed on a continuing basis.

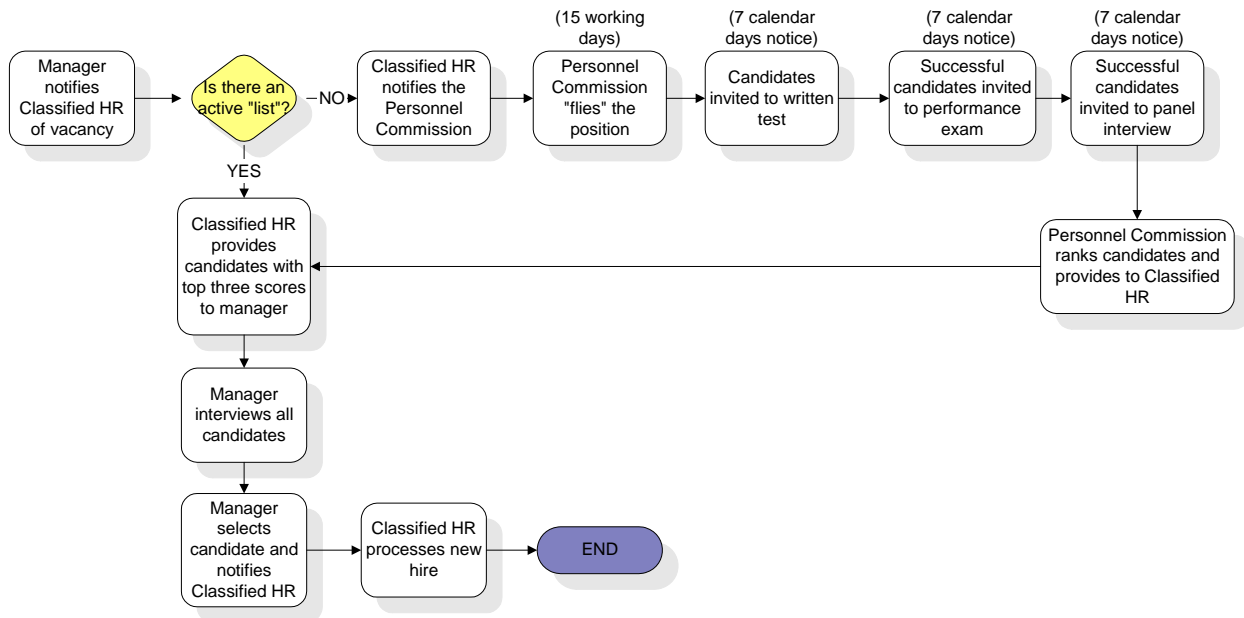
One further exception in Section 45103(c)(1) states that if the district is engaged in a procedure to hire a permanent employee to fill a vacancy in any classified position, the governing Board may fill the vacancy through employment (for not more than 60 days) of one or more substitute employees.

According to the California Education Code, Section 45319: A merit (civil service) system within a school district – and in essence the Personnel Commission - may be terminated by one of the following methods:

- If the governing Board of a school district, or a county Board of education, receives a written petition of qualified electors not less in number than 10 percent of the number voting in the last election for a member of the Board calling for the termination of the merit (civil service) system, the Board shall order the county superintendent of schools to place the question of termination of the system on the ballot at the next regular governing Board member election, or county Board of education member election, or the next primary or general election in a general election year, whichever is the earlier after receipt by the county superintendent of schools.
- If the governing Board of a school district, or the county Board of education, receives a written petition from 40 percent of the classified employees entitled to vote calling for the termination of the merit (civil service) system and the system has been in operation for not less than five years or has been imposed pursuant to the terms of Section 45119 or 45120. The governing Board shall conduct an election by secret ballot of its classified personnel to determine whether or not they desire to have the merit system terminated within the district.

Each candidate for a classified position goes through a process that involves both Pasadena USD Classified HR Department and Personnel Commission staff. **Exhibit 3-1** presents an overview of a typical recruitment process for classified staff.

Exhibit 3-1 Classified Staff Recruitment Process



The Classified HR Department is notified by district managers of any positions to be filled. The Personnel Commission director is notified only if there is not an active eligibility list of applicants for the particular class of positions corresponding to the open position. Otherwise, the Classified HR Department provides the hiring manager with the names and contact information of the top three candidates with the highest scores from the eligibility list. The hiring manager is required to interview all provided candidates and make a selection.

If there is not an active list of applicants, the Personnel Commission director is notified and begins recruiting at that time. The position opening is posted, or flown, for 15 working days, and applications are accepted until the closing date. At that time, qualified applicants are scheduled for a written test, which requires an invitation to be mailed at least seven calendar days prior to the test date. After the written test is scored, successful applicants may be invited to a performance examination. Once that is scored, successful applicants may be invited to an oral interview with a panel of non-district employees. Once all applicants associated with the particular position have been through all tests and interviews, each one is scored and they are ranked from highest score to lowest to create the eligibility list of candidates with the top three scores.

FINDINGS AND RECOMMENDATIONS

Organization and Administration

Recommendation 3-1: District management should establish and give continuing support for cooperation between the Personnel Commission and Classified Human Resources Department staff.

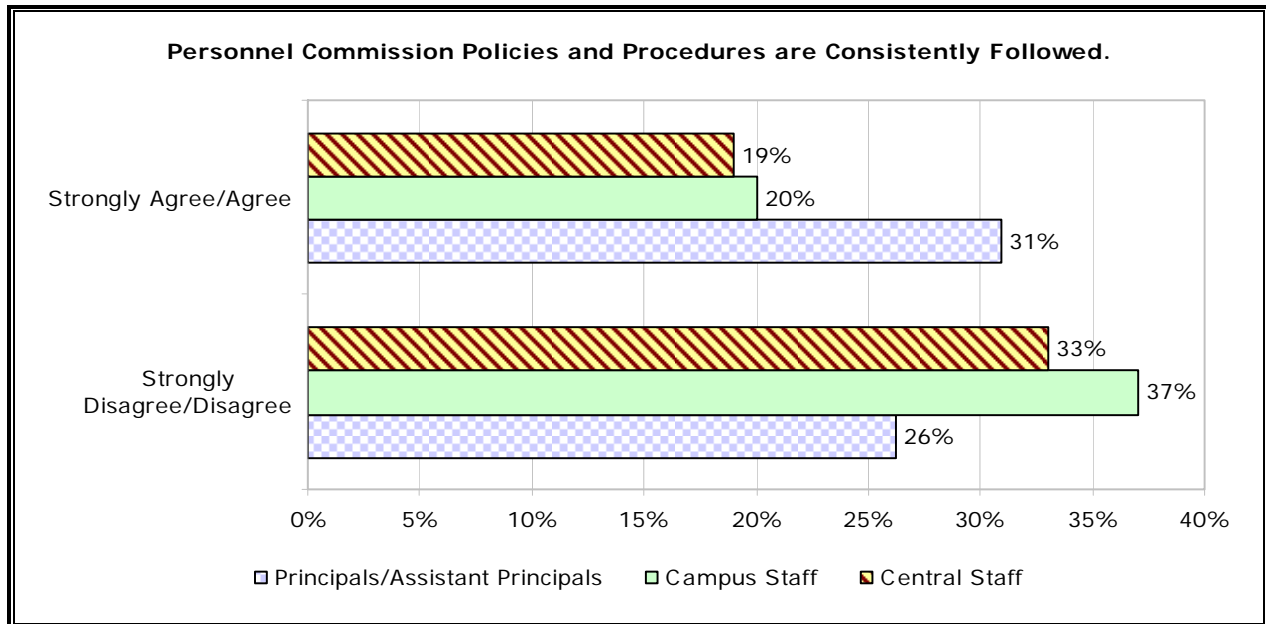
The Classified HR Department and Personnel Commission currently function as two disconnected entities, instead of an integrated human resources function. During several of the classified staff focus groups, participants were unaware as to which unit the staff they encountered during hiring or employment processes were affiliated.

There is no regularly scheduled, meaningful communication between the Classified Department staff and the Personnel Commission staff, and therefore, there is no continuity with respect to decisions made in each area. According to focus groups, some employees perceive the differences in decision-making as discriminatory or arbitrary.

A contributor to the lack of communication between the Personnel Commission and the Classified HR Department is the physical proximity of the staff; they are located in separate offices, although they did recently move to the same floor. It is more difficult to coordinate activities and cultivate communication channels under these circumstances.

Exhibit 3-2 shows Pasadena USD employee survey results to a question about the consistent application of Personnel Commission policies and procedures. Although 31 percent of principals and assistant principals responding to the survey agree that Personnel Commission policies and procedures are consistently followed, 37 percent of other campus staff (excluding teachers) and 33 percent of Central Office staff disagree. Additionally, in the classified staff focus groups, it was found that there is a perception by classified employees that managers can circumvent both the Human Resources and Personnel Commission rules because many exceptions are made.

Exhibit 3-2
Pasadena USD Employee Survey Response
Consistency of Policies and Procedures



Since the survey included employees other than classified employees, many respondents were neutral or expressed no opinion.

Some specific suggestions to increase cooperation between the departments are:

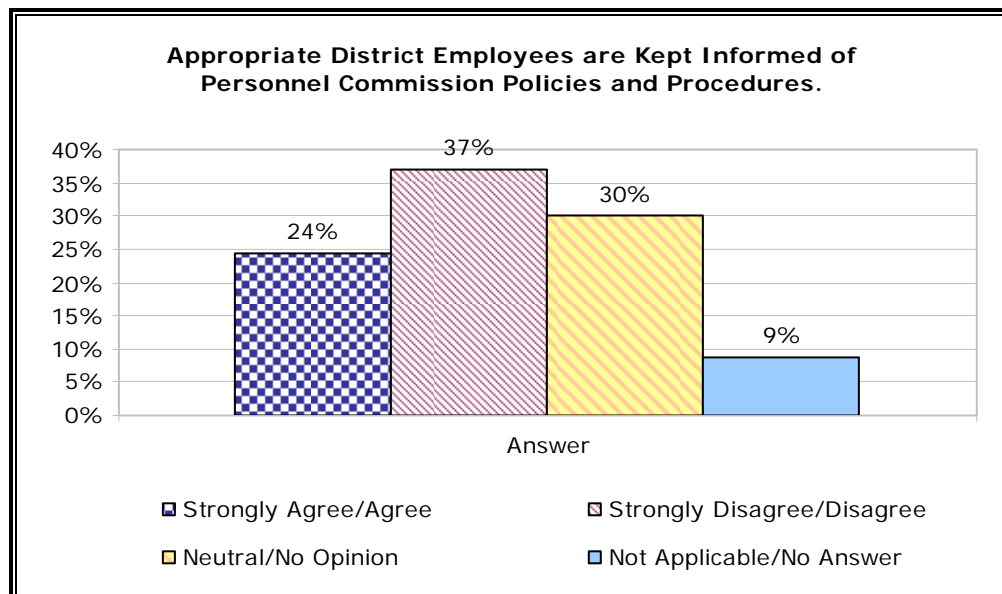
- Combine the two departments into one larger office space.
- Train one employee and a backup to fulfill the receptionist duties for both the Personnel Commission staff and the Classified HR Department staff to present the district's HR function as a coordinated effort to both employees and applicants.
- Re-engineer and integrate Classified HR Department and Personnel Commission operations to achieve needed efficiencies in the classified employee staffing processes.
- Develop procedures for all Classified HR Department processes – These should be prepared jointly by the Personnel Commission and the Classified HR Department.
- Conduct regular meetings between the Personnel Commission staff and the Classified HR Department staff to discuss issues that arise in the course of business.

In order for district employees and applicants to feel they are treated in an equitable manner, these two departments must work together to ensure that decisions made and actions taken are consistent with laws, rules, and departmental procedures and processes.

Recommendation 3-2: Increase the frequency and value of communication regarding classified personnel policies and procedures.

Some Pasadena USD employees do not feel sufficiently informed of Personnel Commission policies and procedures. **Exhibit 3-3** presents the employee survey results. Approximately 37 percent of those responding felt that appropriate district employees are not kept informed of Personnel Commission policies, and procedures, while only 24 percent felt they were.

Exhibit 3-3
Pasadena USD Employee Survey Response
Informed of Policies and Procedures



Upon hire, classified employees are provided a "Classified Handbook", which is issued by the Office of the Personnel Commission. This document contains general information about the district, as well as district policy information. This booklet also contains sections describing the merit system, the Personnel Commission, the Classified Personnel Services Department and some high-level explanations of employment processes. Although Pasadena USD's "Job Seeker" web page provides a link to some general information about the Personnel Commission, there is no avenue by which current employees receive information on Personnel Commission policies and procedures.

All human resources processes are affected by district policy, Personnel Commission rules or a related union contract. In classified focus groups, some district classified staff expressed that they are not aware of how employment actions are governed by the various regulations, policies, and procedures.

The Classified Personnel Handbook can be a good introduction for new hires. However, district employees need supplementary targeted documentation to better understand any related regulations, policies, or procedures that affect them when applying for transfers, promotions, or reclassifications.

In order to provide clear and timely information to employees, the following should be accomplished:

- The Personnel Commission office should establish regular communications to employees regarding changes in policies and procedures. Some possible avenues are:
 - ❖ New employee orientation sessions.
 - ❖ District website – Post comprehensive, organized, easy to access information on the district's website.
 - ❖ Bulletin board – Post changes to policies and procedures on the Personnel Commission bulletin board.
 - ❖ Periodic newsletter – Create a newsletter to be electronically distributed and mailed to classified personnel and their supervisors informing them of items of interest as well as changes to policies and procedures.
- The Personnel Commission staff and the Classified HR Department staff should cooperatively create quick references, or cheat sheets, which describe each human resources process and explain why the existing procedures are followed.
- Quick reference sheets should be provided to employees or applicants as they begin a human resources process.

The quick reference sheets mentioned in the last bullet will provide information to better inform employees and applicants of the source(s) for each policy and its related procedural steps. As employees are more informed, they will understand which entity they should contact to address concerns that arise in their employment.

Another issue that was voiced in several of the classified focus groups was the position reclassification process. The review team was informed that many employees did not understand the process required to have a position reclassified, and did not understand the basis for granting a position reclassification.

The *Personnel Commission Rules, Section 3112*, states that “a District employee shall have the right to submit a request for study of his/her position”. The rules also describe the procedures to be followed and the general basis for reclassification.

Because the classification of a position can directly affect an employee's pay, reclassification information should be periodically communicated to all classified employees in a Personnel Commission newsletter.

This issue may be intensified because of the current state of job descriptions in the district. Reclassification requests will lessen as all district job descriptions are updated and reviewed for proper classification on a regular basis. In the interim, the district and Personnel Commission should communicate to all employees the process by which reclassifications can be requested, as well as the basis for granting reclassification.

Recommendation 3-3: Create and execute a plan to conform to and maintain established administrative requirements related to classified job descriptions and their classifications.

According to employees interviewed, many district job descriptions are out-of-date. The Personnel Commission director is responsible for maintaining and keeping job descriptions current. However, it is critical that the district provide new information to the Personnel Commission director as soon as it is received in order to keep job descriptions up-to-date.

The Personnel Commission director is updating the district's job descriptions. The director should be mindful to align the job descriptions with the district's organizational needs, including minimum experience and cross-training requirements. It is important that the Board and district management require supervisors and managers to cooperate and provide information to the Personnel Commission director in order to accurately and efficiently update the job descriptions.

Additionally, *Section 3130* of the Pasadena USD Personnel Commission rules requires the Personnel Commission director to periodically (no later than every two years) review the duties and responsibilities of all district positions in order to determine their proper classification. At present, this has not been done.

In order to meet these requirements, the Personnel Commission director should:

- Create a timetable to inform district leadership when each district job description will be reviewed for accuracy and alignment with organizational needs.
- Coordinate the review of job descriptions with managers and supervisors.
- Review all district positions for proper classification.
- Institute a plan to review all district positions for proper classification every two years.

Classified employee focus group members expressed frustration that position reclassification requests at Pasadena USD take a long time to complete. For example, a high school registrar indicated that the reclassification of the registrar position took one calendar year. Several classified focus group attendees expressed that the time it takes to complete the process discourages them from initiating it.

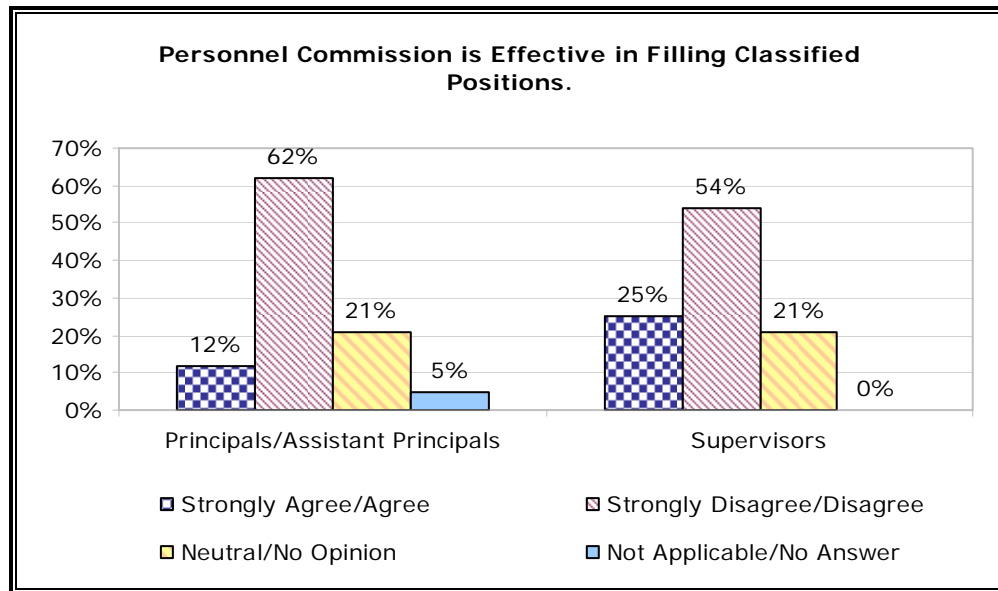
The district and the Personnel Commission should work together to establish reasonable time limits for decisions on reclassifications of positions. Two to four months is a reasonable time limit for the completion of the reclassification questionnaire and the review and approval processes.

Recruiting and Staffing

Recommendation 3-4: Investigate ways to increase the quality and number of candidates for classified positions.

The majority of Pasadena USD principals, assistant principals, and supervisors are dissatisfied with the Personnel Commission's effectiveness in finding quality candidates. As shown in **Exhibit 3-4**, 62 percent of principals and assistant principals and 54 percent of directors, managers, supervisors and coordinators responding to our survey feel that the Personnel Commission is ineffective in filling open classified positions.

Exhibit 3-4
Pasadena USD Employee Survey Response
Personnel Commission is Effective in Filling Classified Positions

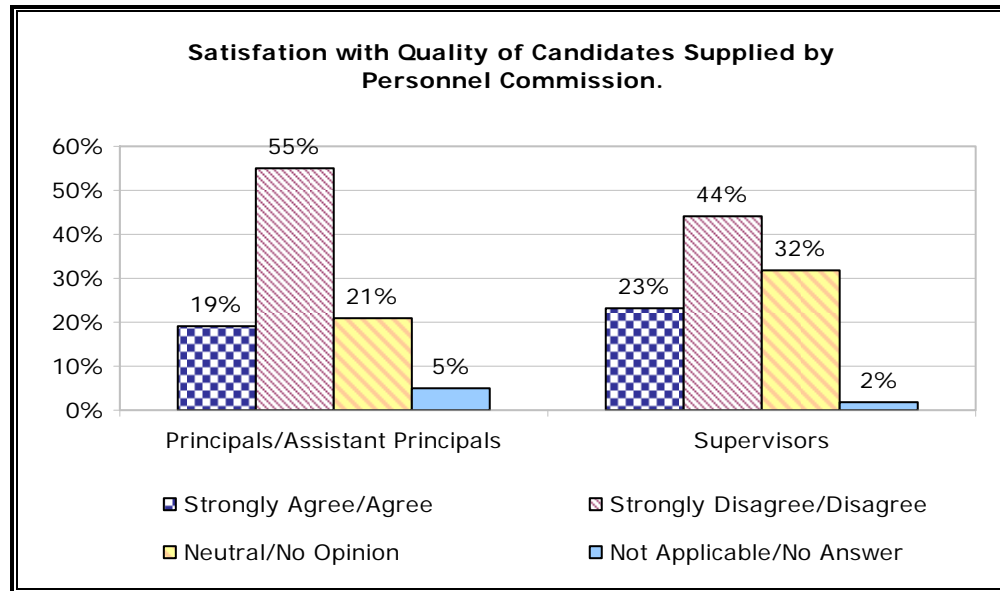


Some classified employees participating in focus groups felt that flyers for open positions do not consistently reach all employees who may wish to apply. It seems that the consistency primarily depends on where the classified employee works. Some employees, who do not have an office or “home base” to which they go to daily, may not see a flyer during the 15 days for which it is flown. Flyers are emailed to some departments and may or may not be printed and posted for those employees without computers.

One resolution to this problem is to reinforce the directive to the departments to print the emailed job flyers. Flyers should continue to be posted on the Personnel Commission bulletin board and the district website. The Classified HR Department and Personnel Commissions should develop a plan to work collectively to determine the best approach to reach the largest number of classified employees and candidates.

As shown in **Exhibit 3-5**, 55 percent of principals and assistant principals responding to the survey are dissatisfied with the quality of classified candidates supplied by the Personnel Commission. Only 19 percent of principals and assistant principals responding are satisfied. Forty-four percent of directors, managers, supervisors and coordinators in the Central Office and at the campuses are dissatisfied with the quality of classified candidates.

Exhibit 3-5
Pasadena USD Employee Survey Response
Quality of Candidates Supplied



There are some contributing factors to these findings:

- Screening evaluations (e.g. food service tests) are out of line with current position requirements. During the food service focus group, employees gave an example of a question on the test which required the applicant to know how to make a particular dish, which now comes pre-prepared.
- Overall, the recruitment and screening process is very lengthy, resulting in top candidates accepting other employment before Pasadena USD makes a job offer.
- While experience is used to determine whether the candidate meets the minimum qualifications to be admitted to the examinations, it is not used in ranking eligibility lists (Education Code 45272).

As a result of their dissatisfaction with the eligibility lists, managers hire “unclassified”, hourly positions to circumvent the Personnel Commission rules and obtain an employee of their choosing with the desired experience and qualifications. The hiring of employees into these positions has been approved by the Classified HR Department. The Personnel Commission director states that he is aware of 40 to 50 “unclassified” positions. Because these “unclassified” positions do not conform to the exceptions set forth in *Section 45103* of the *California Education Code* (detailed in the background section of this chapter), these actions may place the district at risk of litigation by an applicant or employee who would have filled the position through the Personnel Commission process.

As noted previously, the screening examinations administered by the Personnel Commission are not aligned with the actual duties performed by the incumbents in the positions. Both classified staff and supervisors that attended the review team’s focus groups believe that potentially viable candidates are screened out because of this. According to Pasadena USD *Personnel Commission Rules, Section 5121*, supervisors of positions may evaluate the scope and content of screening examinations for their positions. The Personnel Commission director should communicate with managers and supervisors their responsibility to ensure

that screening tests to fill their open positions are aligned with the actual duties of the position being filled. The Personnel Commission should create and provide detailed documentation on how to complete this process in the Personnel Commission newsletter and on the Personnel Commission bulletin board. The Personnel Commission director should also facilitate the alignment of screening tests with the job descriptions.

As referenced above, managers and supervisors in the focus groups stated that many times, when applicants are offered a position within Pasadena USD, they have already accepted an offer from another employer. These managers and supervisors believe that the reason is the long recruitment and hiring process, but no information is currently collected from these applicants to support this notion. The district should begin asking applicants for the reasons that they did not accept employment with Pasadena USD. In addition to improving the recruiting and hiring processes, this information may provide useful information that could be used to increase the district's appeal to prospective employees.

Recommendation 3-5: The Personnel Commission should investigate methods to compress the time that it takes to complete the hiring process.

The current Personnel Commission's applicant tracking process is paper-intensive. Applicants are tracked by manual entry into Microsoft Excel by Personnel Commission staff. This can greatly affect the applicant processing time and thus the quality of new hires that Pasadena USD obtains.

Both the Bassett and Hacienda La Puente USDs implemented online applicant tracking systems in 2005-06, which they credit for enhancing the productivity of examination processing. Because Pasadena USD has an online applicant tracking system, which is used for teaching positions, the district and the Personnel Commission should jointly explore the feasibility of integrating the Personnel Commission applicant tracking functions into the Pasadena USD applicant tracking system, versus purchasing a separate system for the Personnel Commission.

Most classified campus and Central Office staff responding to the survey express that it is easy to apply for open classified positions. This is supported by many comments during classified staff focus groups. In these groups, it was stated that while it is not difficult to apply for an open classified position, the process after applying can be very difficult and drawn out.

The recruiting process is very lengthy, for several reasons cited in the *California Education Code Section 45278(a)*:

- a written notice concerning a vacancy must be posted, or "flown", for a minimum of 15 working days;
- oral examination Boards should be solicited from outside of the district;
- seven day testing notification must be mailed to the candidate.

Based on interviews with district staff, it appears that the Personnel Commission does not proactively plan for peak period staffing. The Personnel Commission begins the process for creating a new eligibility list only if the prior staffing list expires.

The Personnel Commission staff should examine common recruitment patterns within the district and begin instituting proactive staffing activities during those times. Additionally, it

is essential that the recruiting process for frequently hired positions be initiated prior to the expiration of the related eligibility list.

Applicants are not invited to subsequent tests until they have passed the prior test(s), adding to the length of the sub-process.

The following are recommendations to consider are:

- For high-turnover positions that are “flown” frequently, authorize continuous examination procedures in order to compress the timeline.
- Consider using more district employees as raters for oral interviews.
- Compress the testing process by scheduling the applicant’s tests during the same week. Applicants should be informed that if one test was failed, they will not proceed to the remaining scheduled tests.
- Implement the use of automated testing and grading software in order to reduce the timeline for testing.

Accountability of the Personnel Commission

Although the Personnel Commission director has been included on the District Leadership Team for several years, the Pasadena USD Personnel Commission is not accountable to the School Board from a governance or customer standpoint, and does not collaborate with the district in this manner. Pasadena USD Board members expressed frustration with their statutory inability to hold the Personnel Commission accountable.

The logical start to establishing accountability to and collaboration with the district is to provide timely information to the Board in order to open a dialog.

Recommendation 3-6: Increase the Personnel Commission’s accountability to the district and to the Board.

Personnel Commissions are charged with “ensuring that the personnel policies and practices affecting the classified service are based upon merit, fitness and equal opportunity, and are in compliance with the provisions and procedures contained in the Education Code.” Furthermore, the Commission represents the district’s interest in hiring and retaining the best qualified employees. Because of this, it is important that the governing Board and administrators work in partnership with the Personnel Commission to improve the personnel functions of the district.

Currently, the Personnel Commission provides an annual report to the Board. In order to provide more timely information, increased frequency of reporting by the Personnel Commission should be initiated. The additional reports to the Board should occur monthly and could include information such as the following:

- Number of classified employees per Personnel Commission staff FTE
- Number of postings flown
- Number of applications received
- Number of applicants tested
- Number of applicants interviewed

- Number of eligibility lists created
- Number of new classified employees hired
- Average time-to-hire (from notification of vacancy to new employee start date)
- Number of classified promotions
- Number of classified transfers
- Number of positions examined for reclassification (employee initiated)
- Number of positions examined for proper classification (Personnel Commission initiated)
- Number of positions reclassified

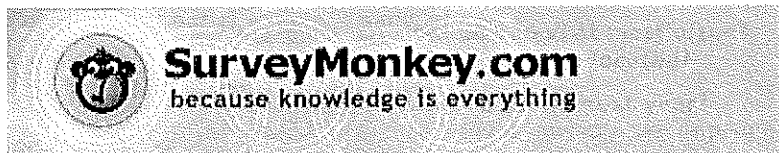
The Personnel Commissioners, Personnel Commission director, and the Board should meet to determine appropriate information to include in this monthly report. In addition to providing the Board with needed information, this report may also be used by the Personnel Commission director and the Personnel Commission to proactively identify potential issues and make modifications to procedures and processes.

According to the 2004 Comparison of Merit System School Districts completed by the California School Personnel Commissioners Association (CSPCA), 55 percent, or 38 of 69, of merit system school districts in California place the Personnel Commission director as a member of the superintendent's Cabinet. Pasadena Unified School District was not one of the 38 districts.

Including the Personnel Commission director on the superintendent's Cabinet may foster better communication between the two offices, thus providing for more accountability to the district, the staff, and its stakeholders. The Personnel Commission director should serve as a liaison between the Personnel Commission and the cabinet, superintendent, and Board of Education, assuring that all are well informed of Personnel Commission issues and decisions.

If the district wishes the partnership with the Personnel Commission to succeed in improving the Personnel functions of the district, the Personnel Commission director should also be included in all exchanges of information that involve district administrators.

APPENDIX A


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Friday, February 09, 2007

Results Summary

[Show All Pages and Questions](#)
[Export...](#)
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Filter Results

To analyze a subset of your data, you can create one or more filters.

[Edit Filter...](#)

Total: 488

Visible: 488

Share Results

Your results can be shared with others, without giving access to your account.

[Configure...](#)

Status: Enabled

Reports: Summary and Detail

2. Survey

1. I am a/an:

	Response Percent	Response Total
Central Office Employee	11%	54
Principal/Assistant Principal	8.6%	42
Teacher	59.7%	292
Other Campus Employee	20.7%	101
Total Respondents		489
(skipped this question)		0







2. My job title is:

[View](#)
Total Respondents 488
 (skipped this question) 0







3. I have been with the district for:

	Response Percent	Response Total
Less than 1 year	2.7%	13
1 to 5 years	30.9%	151
More than 5 years	66.5%	325
Total Respondents		489
(skipped this question)		0







4. The district's basis for decision-making is well documented.

	Response Percent	Response Total
Strongly Agree 	1%	5
Agree 	14.9%	73
Neutral 	23.7%	116
Disagree 	35.2%	172
Strongly Disagree 	14.7%	72
No Opinion 	10.4%	51
Total Respondents		489
(skipped this question)		0

5. The school board effectively makes decisions within boundaries established by state law.







	Response Percent	Response Total
Strongly Agree 	1.2%	6
Agree 	23.1%	113
Neutral 	31.9%	156
Disagree 	22.1%	108
Strongly Disagree 	8.6%	42
No Opinion 	13.1%	64
Total Respondents		489
(skipped this question)		0

6. The school board works effectively with senior district leadership.







	Response Percent	Response Total
Strongly Agree 	0.8%	4
Agree 	9.4%	46
Neutral 	27%	132
Disagree 	31.9%	156
Strongly Disagree 	14.3%	70
No Opinion 	16.6%	81
Total Respondents		489
(skipped this question)		0

7. The school board provides appropriate oversight on school district programs and decisions.





Response Response

	Percent	Total
Strongly Agree 	0.8%	4
Agree 	14.5%	71
Neutral 	22.9%	112
Disagree 	32.5%	159
Strongly Disagree 	17.4%	85
No Opinion 	11.9%	58
Total Respondents		489
(skipped this question)		0


8. Both the school leaders and district leaders have a consistent view of the decision-making process.

	Response Percent	Response Total
Strongly Agree 	0.4%	2
Agree 	12.3%	60
Neutral 	15.5%	76
Disagree 	42.3%	207
Strongly Disagree 	17.8%	87
No Opinion 	11.7%	57
Total Respondents		489
(skipped this question)		0

9. I think the decision-making is:







	Response Percent	Response Total
Too Centralized 	54.9%	268
Too Decentralized 	13.5%	66
Balanced 	7%	34
No Opinion 	24.6%	120
Total Respondents		488
(skipped this question)		1

10. The district's decision-making process is better than it was 5 years ago.







	Response Percent	Response Total
Strongly Agree 	1.6%	8
Agree 	12.7%	62
Neutral 	18.4%	90

Disagree		22.7%	111
Strongly Disagree		15.4%	75
No Opinion		29.1%	142
Total Respondents			488
(skipped this question)			1

11. The district successfully applies site-based decision-making for schools that choose it.



		Response Percent	Response Total
Strongly Agree		1.2%	6
Agree		24.2%	118
Neutral		23.6%	115
Disagree		22.2%	108
Strongly Disagree		9.4%	46
No Opinion		19.3%	94
Total Respondents			487
(skipped this question)			2

12. The district decision-making process supports efficient operations.







		Response Percent	Response Total
Strongly Agree		0.6%	3
Agree		9.6%	47
Neutral		15.2%	74
Disagree		38.5%	188
Strongly Disagree		26.8%	131
No Opinion		9.2%	45
Total Respondents			488
(skipped this question)			1

13. The district maintains a strategic plan.







		Response Percent	Response Total
Strongly Agree		4.3%	21
Agree		32%	156
Neutral		22%	107
Disagree		20.3%	99

Strongly Disagree		8.4%	41
No Opinion		12.9%	63
		Total Respondents	487
		(skipped this question)	2






14. The district's strategic plan is used to guide major decisions.

		Response Percent	Response Total
Strongly Agree		1.6%	8
Agree		24.4%	119
Neutral		26.8%	131
Disagree		20.7%	101
Strongly Disagree		8.8%	43
No Opinion		17.6%	86
		Total Respondents	488
		(skipped this question)	1

15. The district's strategic plan contains specific performance measures for instructional achievement.







		Response Percent	Response Total
Strongly Agree		4.3%	21
Agree		43.9%	214
Neutral		21.1%	103
Disagree		11.1%	54
Strongly Disagree		3.7%	18
No Opinion		16%	78
		Total Respondents	488
		(skipped this question)	1

16. The district's strategic plan contains specific performance measures for non-Instructional areas.







		Response Percent	Response Total
Strongly Agree		0.8%	4
Agree		16.8%	82
Neutral		29.9%	146
Disagree		20.5%	100
Strongly Disagree		7.2%	35

No Opinion		24.8%	121
		Total Respondents	488
		(skipped this question)	1







17. The district's information systems adequately support effective decision-making at my location.

		Response Percent	Response Total
Strongly Agree		1.8%	9
Agree		13.1%	64
Neutral		17.7%	86
Disagree		36.1%	176
Strongly Disagree		20.3%	99
No Opinion		10.9%	53
		Total Respondents	487
		(skipped this question)	2

18. I can personally access data for reports needed to make decisions.







		Response Percent	Response Total
Strongly Agree		2.7%	13
Agree		23.8%	116
Neutral		15.4%	75
Disagree		29.5%	144
Strongly Disagree		17.2%	84
No Opinion		11.5%	56
		Total Respondents	488
		(skipped this question)	1

19. I have easy-to-use tools to generate meaningful reports from the district's information system.







		Response Percent	Response Total
Strongly Agree		1.8%	9
Agree		14.1%	69
Neutral		18.4%	90
Disagree		36.3%	177
Strongly Disagree		19.1%	93
No Opinion		10.2%	50

Total Respondents 488
 (skipped this question) 1







20. I am held accountable for performance through specific, documented measures of performance.

	Response Percent	Response Total
Strongly Agree 	13.3%	65
Agree 	52.5%	256
Neutral 	11.7%	57
Disagree 	12.5%	61
Strongly Disagree 	4.1%	20
No Opinion 	5.9%	29
Total Respondents	488	
(skipped this question)	1	

21. I am not held accountable for anything that I do not have control over. In other words, my authority and responsibility are consistent with each other.

	Response Percent	Response Total
Strongly Agree 	5.1%	25
Agree 	31.1%	152
Neutral 	15.6%	76
Disagree 	27.7%	135
Strongly Disagree 	13.7%	67
No Opinion 	6.8%	33
Total Respondents	488	
(skipped this question)	1	

22. My primary means of communication with district and or campus leadership is:







	Response Percent	Response Total
Email 	59.2%	289
Phone 	10.5%	51
Fax 	0.2%	1
Mail/Delivery 	2.5%	12
In Person 	24.8%	121
Other 	2.9%	14
Total Respondents	488	

(skipped this question) 1

23. The central office is effective in communicating on a timely basis with:

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	No Opinion	Response Total
Staff Members	1% (7)	24% (116)	15% (71)	32% (158)	22% (107)	6% (28)	487
Community Members	1% (7)	16% (78)	26% (128)	18% (88)	9% (45)	29% (138)	484
Total Respondents							487
(skipped this question)							1

24. My school is effective in communicating with parents on a timely basis.

	Response Percent	Response Total
Strongly Agree 	18.9%	92
Agree 	40%	195
Neutral 	13.5%	66
Disagree 	10.9%	53
Strongly Disagree 	4.1%	20
No Opinion 	12.7%	62
Total Respondents		488
(skipped this question)		1

25. The district maintains a web site that serves as an effective communication tool for:








	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	No Opinion	Response Total
Staff	10% (48)	44% (214)	21% (101)	16% (76)	7% (33)	3% (16)	488
Students	7% (34)	28% (134)	25% (120)	16% (79)	6% (29)	19% (90)	486
Parents/Community Members	9% (45)	38% (183)	21% (102)	13% (62)	5% (24)	14% (70)	486
Total Respondents							487
(skipped this question)							1

26. I do not spend too much time in meetings.








	Response Percent	Response Total
Strongly Agree 	2.5%	12
Agree 	25.4%	124
Neutral 	16%	78
Disagree 	32.8%	160

Strongly Disagree		20.5%	100
No Opinion		2.9%	14
		Total Respondents	488
		(skipped this question)	1

27. Appropriate district employees are kept informed of Personnel Commission policies and procedures.

		Response Percent	Response Total
Strongly Agree		0.8%	4
Agree		20.1%	98
Neutral		18.2%	89
Disagree		19.5%	95
Strongly Disagree		12.1%	59
No Opinion		19.9%	97
Not Applicable		9.4%	46
		Total Respondents	488
		(skipped this question)	1

28. The Personnel Commission policies and procedures are consistently followed.

		Response Percent	Response Total
Strongly Agree		2%	10
Agree		15.4%	75
Neutral		22.1%	108
Disagree		17%	83
Strongly Disagree		10.2%	50
No Opinion		25.4%	124
Not Applicable		7.8%	38
		Total Respondents	488
		(skipped this question)	1

29. I think the Personnel Commission is effective in filling open classified positions.

		Response Percent	Response Total
Strongly Agree		1.4%	7
Agree		12.5%	61
Neutral		16.2%	79

Disagree		22.1%	108
Strongly Disagree		18%	88
No Opinion		21.9%	107
Not Applicable		7.8%	38
Total Respondents			488
(skipped this question)			1

30. I am satisfied with the quality of classified candidates supplied by the Personnel Commission.

	Response Percent	Response Total
Strongly Agree	1.8%	9
Agree	17.2%	84
Neutral	19.5%	95
Disagree	26.6%	130
Strongly Disagree	11.1%	54
No Opinion	16.2%	79
Not Applicable	7.6%	37
Total Respondents		488
(skipped this question)		1

31. It is easy to apply for open classified positions.







	Response Percent	Response Total
Strongly Agree	1.2%	6
Agree	18.9%	92
Neutral	16.6%	81
Disagree	8%	39
Strongly Disagree	6.4%	31
No Opinion	31.4%	153
Not Applicable	17.6%	86
Total Respondents		488
(skipped this question)		1

32. Board policies are clearly written and understood.







	Response Percent	Response Total
Strongly Agree	1.6%	8

Agree		22.7%	111
Neutral		27.7%	135
Disagree		22.3%	109
Strongly Disagree		7.4%	36
No Opinion		18.2%	89
Total Respondents			488
(skipped this question)			1

33. The district consistently enforces its policies and administrative regulations.

		Response Percent	Response Total
Strongly Agree		1.6%	8
Agree		19.3%	94
Neutral		22.1%	108
Disagree		29.7%	145
Strongly Disagree		8.8%	43
No Opinion		18.4%	90
Total Respondents			488
(skipped this question)			1

34. There are documented procedures for most operations at my location.

		Response Percent	Response Total
Strongly Agree		5.9%	29
Agree		39.5%	193
Neutral		19.1%	93
Disagree		21.1%	103
Strongly Disagree		5.3%	26
No Opinion		9%	44
Total Respondents			488
(skipped this question)			1

35. Please provide any comments that you may have regarding your answers to the questions in this survey. **Be sure to list the question number your comment is referencing.**

View	Total Respondents	135
(skipped this question)		353

36. If needed, additional space is provided below for comments.

View	Total Respondents	63
	(skipped this question)	425

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APPENDIX B

Sample Efficiency Measures for School Districts, by Functional Area

Functional Area	Performance Measure
General School District Management	<ul style="list-style-type: none"> ▪ Ratio of students (enrollment) to Full-Time-Equivalent (FTE) employees ▪ Ratio of students to central administrator and school administrators combined ▪ Central administration and school leadership expenditures per pupil ▪ Comparison of projected budget surplus or deficit to actual surplus or deficit ▪ General fund balance as a percent of general fund budgeted expenditures (TEA target fund balance formula in annual audit report) ▪ Percentage of students economically disadvantaged, mapped against the percentage of total operating expenditures supported by federal funds
Program Management	<ul style="list-style-type: none"> ▪ Pupil-teacher ratio, by grade level ▪ Pupil-aide ratio, by grade level ▪ Average class size, by grade level ▪ Number of schools on block scheduling ▪ Number of teacher planning periods, by school ▪ Number of secondary classes with < 10 students enrolled ▪ Number of secondary classes with < 5 students enrolled ▪ Special education student population as a percent of total enrollment ▪ Special program FTE student per administrator ▪ Special program unduplicated headcount per administrator
Human Resources	<ul style="list-style-type: none"> ▪ Number of students per FTE human resources employee ▪ Annual staff turnover, by function ▪ Average teacher salary, by experience level and education level – compared to nearby competitors ▪ Benefits cost as a percentage of salaries and wages ▪ Number of vacant positions, including duration of vacancy ▪ Overtime cost as a percentage of total pay
Facilities	<ul style="list-style-type: none"> ▪ Maintenance Cost per Gross Square Foot (including portables) ▪ Custodial Cost per Gross Square Foot (including portables) ▪ Gross Square Feet per Full-Time-Equivalent Custodian ▪ Ratio of FTE maintenance staff to Gross Square Feet ▪ Utilities Cost per Square Foot ▪ Facility capacity versus occupancy ▪ Percentage of gross square feet in portables ▪ Number of acres maintained per FTE groundskeeper ▪ Average turnaround time – maintenance work orders
Finance	<ul style="list-style-type: none"> ▪ Number of checks per accounts payable personnel ▪ Number of employees per payroll personnel ▪ Number of days after end of month that books are closed ▪ Average turnaround time – purchase orders ▪ Average interest earnings percentage ▪ Average percentage of funds in non-interest bearing accounts
Technology	<ul style="list-style-type: none"> ▪ Students (enrollment) per instructional computer (in classrooms and labs, plus laptops) ▪ Administrator per administrative computer (in central and school offices, plus laptops) ▪ Computer distribution %– instructional versus administrative ▪ Computer distribution % - by hardware platform ▪ Average age of computers ▪ Number of computers per FTE technical support staff ▪ Number of computers per FTE help desk staff
Technology Continued	<ul style="list-style-type: none"> ▪ Average number of FTE school-based technology liaisons per school ▪ Ratio of total students to technology staff ▪ Ratio of total employees to technology staff ▪ Ratio of total computers to technology staff ▪ Technology expenditures per student ▪ Technology expenditures per computer

Exhibit 16
Sample Efficiency Measures for School Districts, by Functional Area
(continued)

Functional Area	Performance Measure
Food Service	<ul style="list-style-type: none"> ▪ Meals Per Labor Hour (MPLH) ▪ Participation Rates (Breakfast and Lunch): <ul style="list-style-type: none"> Free Reduced Price Paid ▪ Free and Reduced Price Lunch participating versus eligible ▪ Net Profit (Loss) ▪ Indirect costs allocated to food service (amount and type) ▪ Dollar value of commodities ▪ Food cost as a percent of total cost
Transportation	<ul style="list-style-type: none"> ▪ Student riders per mile ▪ Student riders per bus route ▪ Cost per route ▪ Cost per mile ▪ Cost per student rider ▪ Maintenance cost per bus ▪ Maintenance cost per mile ▪ Accidents every 100,000 miles of service ▪ Average percentage bus occupancy ▪ Annual turnover rate of bus drivers

APPENDIX C



CSBA
PROFESSIONAL
GOVERNANCE
STANDARDS

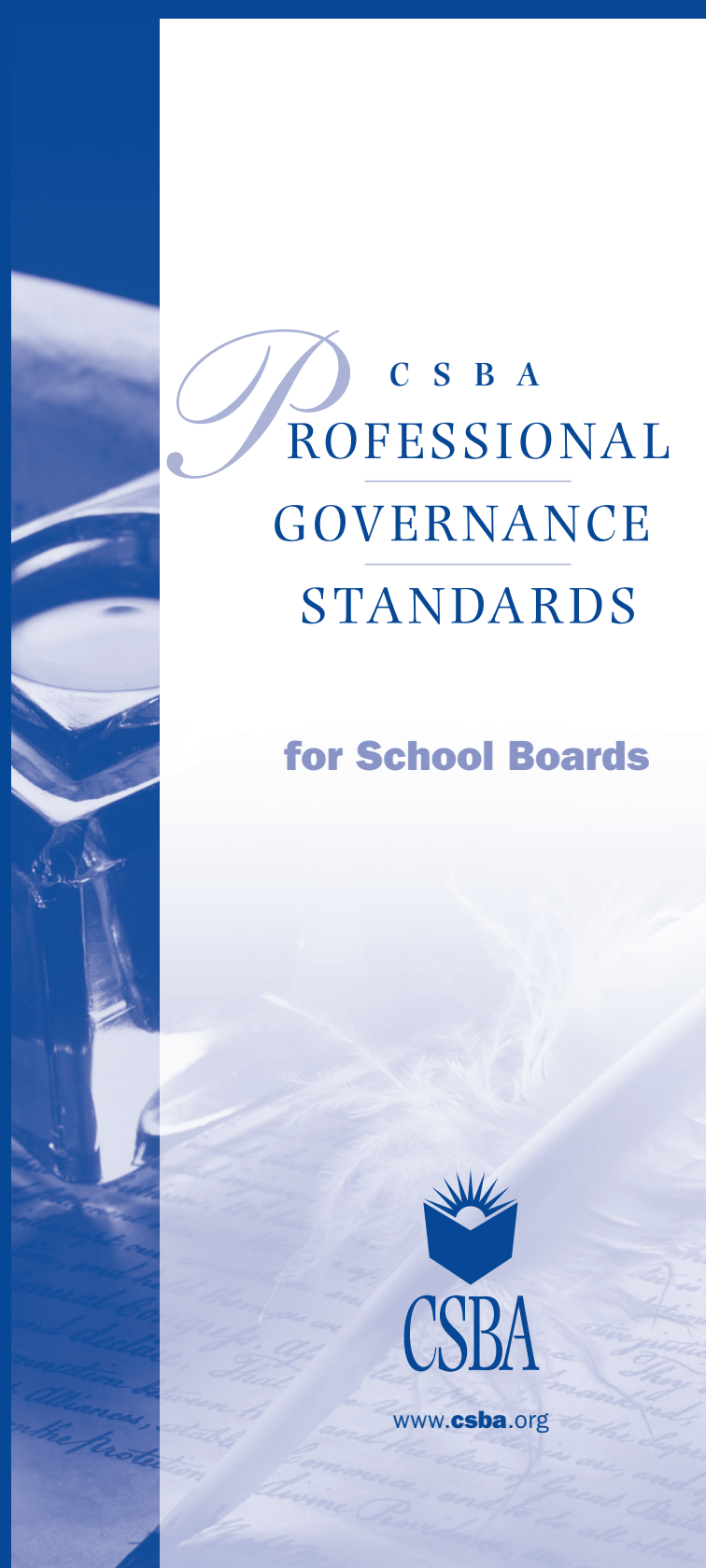
for School Boards



California School Boards Association
3100 Beacon Boulevard
West Sacramento, CA 95691
800.266.3382
Fax 916.371.3407
www.csba.org



www.csba.org



PROFESSIONAL GOVERNANCE STANDARDS for School Boards

Public oversight of local government is the foundation of American democracy. Nowhere is this more evident than in our public schools, where local boards of education are entrusted by their diverse communities to uphold the Constitution, protect the public interest in schools and ensure that a high quality education is provided to each student. To maximize the public’s confidence in local government, our local boards must govern responsibly and effectively.

The California School Boards Association (CSBA), representing nearly 1,000 local school districts and county boards of education, recognizes there are certain fundamental principles involved in governing responsibly and effectively. These principles — or Professional Governance Standards — reflect consensus among hundreds of board members, superintendents and other educational leaders throughout the state.

These Professional Governance Standards describe the three components vital to effective school governance:

- 1) the attributes of an effective individual trustee,
- 2) the attributes of an effective governing board, and
- 3) the specific jobs the board performs in its governance role.

The intent of these standards is to enhance the public’s understanding about the critical responsibilities of local boards and to support boards in their efforts to govern effectively.

The Individual Trustee →

In California’s public education system, a trustee is a person elected or appointed to serve on a school district or county board of education. Individual trustees bring unique skills, values and beliefs to their board. In order to govern effectively, individual trustees must work with each other and the superintendent to ensure that a high quality education is provided to each student.

To be effective, an individual trustee:

- Keeps learning and achievement for all students as the primary focus.
- Values, supports and advocates for public education.
- Recognizes and respects differences of perspective and style on the board and among staff, students, parents and the community.
- Acts with dignity, and understands the implications of demeanor and behavior.
- Keeps confidential matters confidential.
- Participates in professional development and commits the time and energy necessary to be an informed and effective leader.
- Understands the distinctions between board and staff roles, and refrains from performing management functions that are the responsibility of the superintendent and staff.
- Understands that authority rests with the board as a whole and not with individuals.

The Board →

School districts and county offices of education are governed by boards, not by individual trustees. While understanding their separate roles, the board and superintendent work together as a “governance team.” This team assumes collective responsibility for building unity and creating a positive organizational culture in order to govern effectively.

To operate effectively, the board must have a unity of purpose and:

- Keep the district focused on learning and achievement for all students.
- Communicate a common vision.
- Operate openly, with trust and integrity.
- Govern in a dignified and professional manner, treating everyone with civility and respect.
- Govern within board-adopted policies and procedures.
- Take collective responsibility for the board’s performance.
- Periodically evaluate its own effectiveness.
- Ensure opportunities for the diverse range of views in the community to inform board deliberations.

The Board’s Jobs

The primary responsibilities of the board are to set a direction for the district, provide a structure by establishing policies, ensure accountability and provide community leadership on behalf of the district and public education. To fulfill these responsibilities, there are a number of specific jobs that effective boards must carry out.

Effective boards:

- Involve the community, parents, students and staff in developing a common vision for the district focused on learning and achievement and responsive to the needs of all students.
- Adopt, evaluate and update policies consistent with the law and the district’s vision and goals.
- Maintain accountability for student learning by adopting the district curriculum and monitoring student progress.
- Hire and support the superintendent so that the vision, goals and policies of the district can be implemented.
- Conduct regular and timely evaluations of the superintendent based on the vision, goals and performance of the district, and ensure that the superintendent holds district personnel accountable.
- Adopt a fiscally responsible budget based on the district’s vision and goals, and regularly monitor the fiscal health of the district.
- Ensure that a safe and appropriate educational environment is provided to all students.
- Establish a framework for the district’s collective bargaining process and adopt responsible agreements.
- Provide community leadership on educational issues and advocate on behalf of students and public education at the local, state and federal levels.

APPENDIX D

Position Description Template

Date completed _____ Work Location _____

Title _____ Department _____

Exempt Status ___Y ___N Position Status ___FT ___PT ___IC*

Company Conformance Statements

In the performance of their respective tasks and duties all employees are expected to conform to the following:

- Perform quality work within deadlines with or without direct supervision.
- Interact professionally with other employees, customers and suppliers.
- Work effectively as a team contributor on all assignments.
- Work independently while understanding the necessity for communicating and coordinating work efforts with other employees and organizations.

Position purpose

[General statements regarding the overall objective of the position]

Responsibilities/Duties/Functions/Tasks

[List of material responsibilities and essentials duties which must be completed in achieving the objectives of the position]

Qualifications

[Statements regarding minimum educational and experience qualifications, required proficiencies with specialized knowledge, computer proficiencies, military service, required certifications, etc.]

Special Position Requirements

[Optional section: any travel, security, risk, hazard or related special conditions which apply to the position]

Preferences

[Optional section: preferred attributes for the position which are not absolutely required in the minimum qualifications (i.e., multi-lingual, master's degree)]

Work Requirements

[Optional section: work requirements for mental, physical, or other important issues which relate to the job]

Employee acknowledgement/date _____

*IC—Irregular or casual; nonregularly scheduled staff

MANAGEMENT INFORMATION SERVICES

PROCEDURES

Procedure: Disposition of Computer Equipment
Computer Power for Kids

Procedure No: AP-0001

Policy No: N/A

Date Issued: 01/00

Page: 1 of 2

Purpose:

The purpose of this procedure is to provide schools and departments a process for disposing of computer equipment.

General:

It is the policy of the Board that all its capital assets be properly and fully utilized. It is also the policy of the Board that when assets reach the end of their useful life, they be disposed of in the public interest and in the manner prescribed by law.

Criteria:

The first criterion for use of computers which a school or department may no longer need is to use those computers to fulfill other needs which may exist at other schools in the District.

Procedures:

1. A school or department determines that it has computers that it no longer requires for its programs.
 2. The school or department, using its assigned Instructional Technology Specialist (ITS) and its assigned System Support Technician (SST), determines whether the available computers are functional or not. The ITS and SST remove any network cards, other installed hardware, and all software except that authorized to remain on the system.
 3. The school or department notifies the department of Instructional Technology (IT) of the number and type of computers it has available and whether they are functional. Notification is made in writing (email is acceptable).
 4. The IT department queries other schools and determines if there is a District need for any of the available computers.
-

If the IT department determines there is a District need for the available computers, it directs the transfer to the appropriate school(s) and the process ends.

If the IT department determines that there are computers that can be made available to the Computer for Kids program, the process continues as follows.

5. The IT department queries the "F" schools to determine if it has a need for computers to issue under the Program. If so, it determines the distribution (if there is more than one "F" school involved), and directs the transfer of computers to the "F" schools. The losing school prepares the property accountability documents, and the gaining schools issue the computers in accordance with the established priorities.
6. If there are still available computers, the IT department queries the "D" schools to determine if there is a need for computers under the Program. If so, it determines the distribution and directs the transfer. The losing school prepares the property accountability documents, and the gaining schools issue the computers in accordance with the established priorities.
7. If there are still available computers, the IT department repeats Step 6 for the Alternative Schools.
8. If, after satisfying the District needs and Program needs in "F", "D", and Alternative Schools, there are still computers available for the Program, the school will prepare the required property accountability documents and then may transfer the computers to the warehouse for final disposition.

Technology Administrative and Operational Procedures and Standards (TAOPS) Manual

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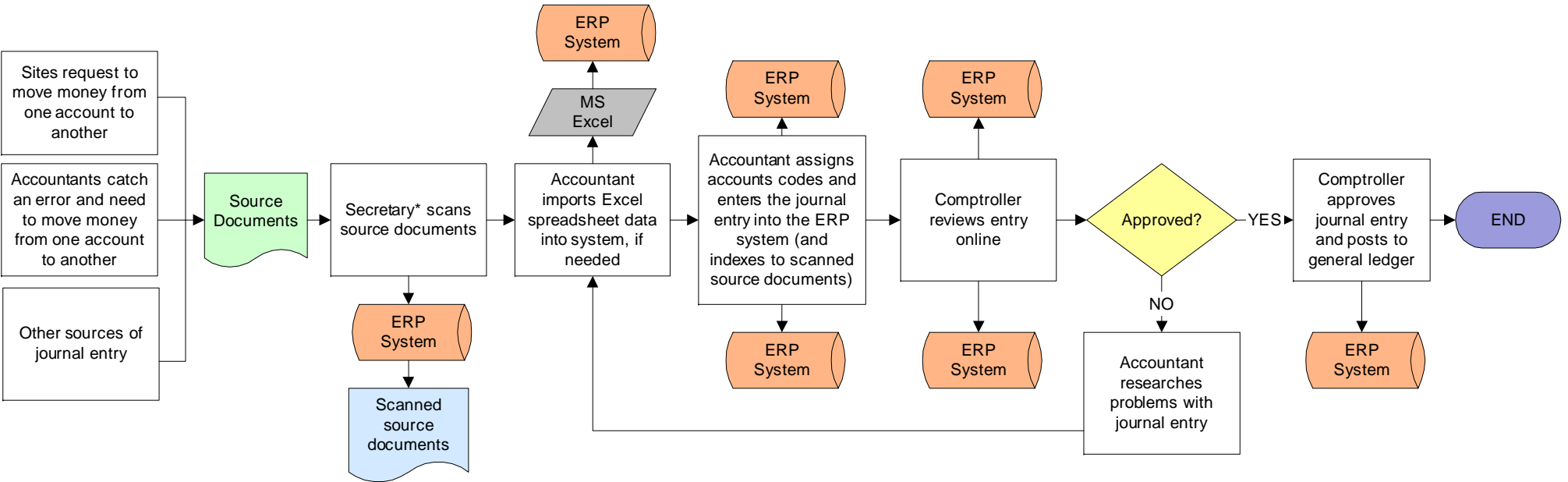
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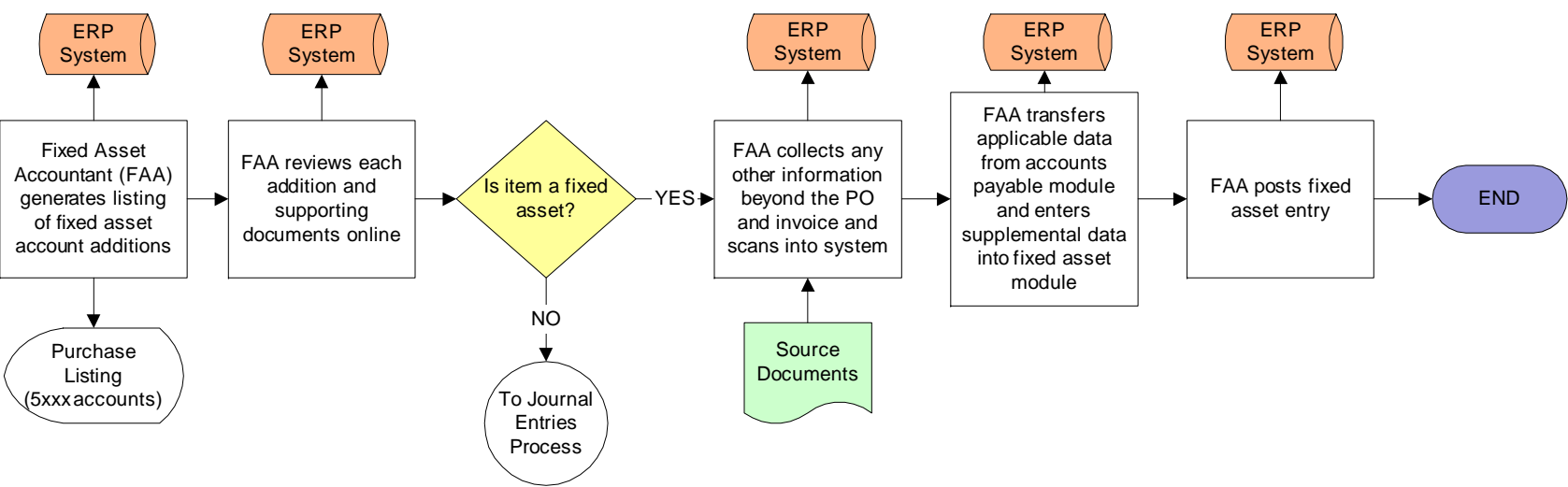
Journal Entries



Department: Accounting
Participants: Beth Callahan
Validated: Beth Callahan, 5/4/05

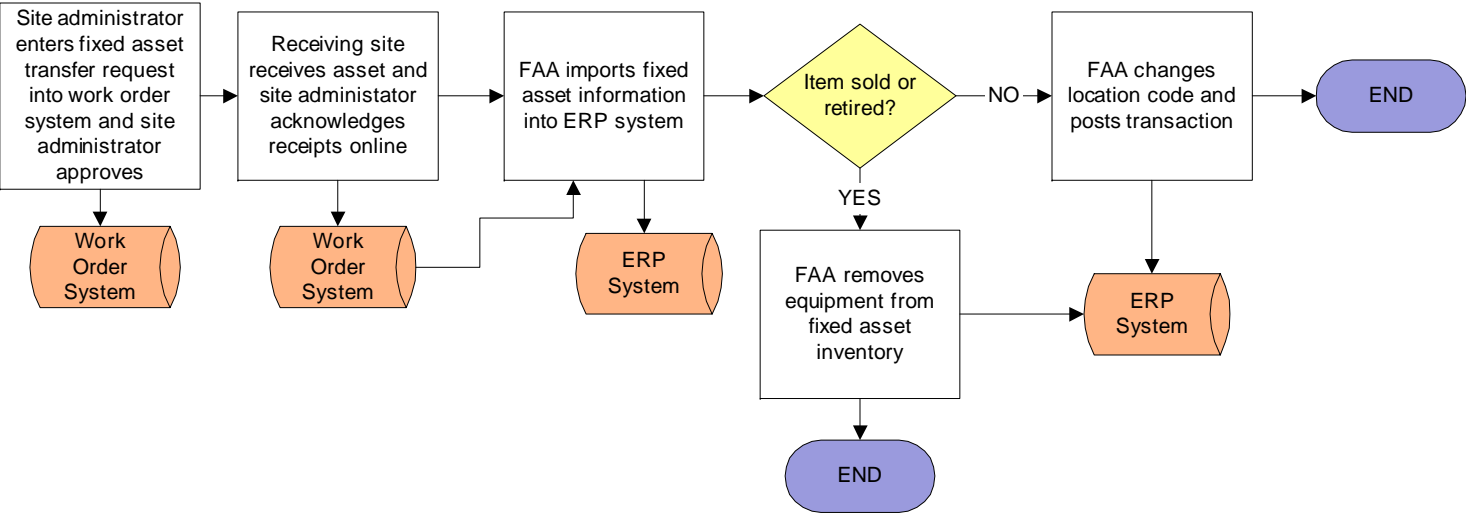
Notes:
* Either the secretary or the accountant may be responsible for indexing the scanned documents and creating the journal entry, depending on the complexity of the journal entry.

Fixed Assets - Additions



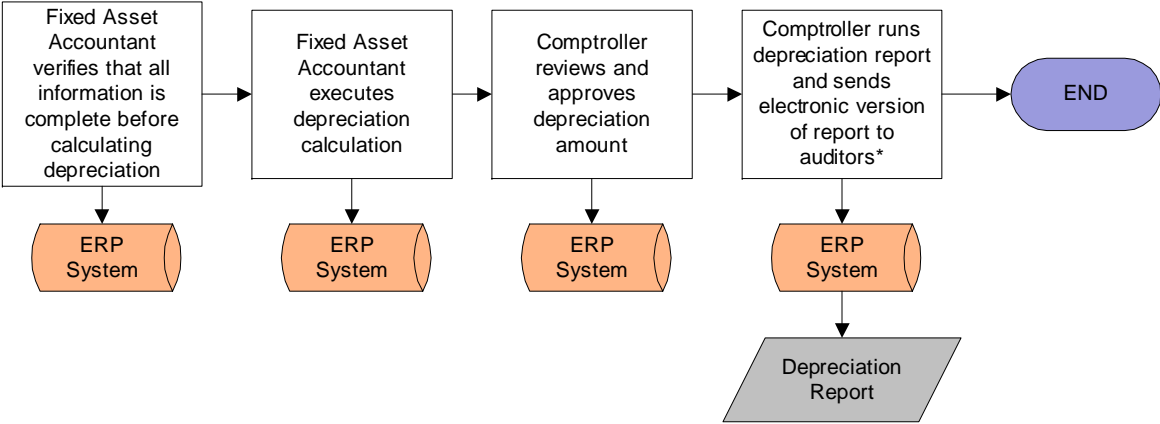
Fixed Assets - Transfers/Deletions

Note: Assumes the use of a work order system



Department: Accounting
Participants: Beth Callahan
Validated: Beth Callahan, 5/4/05

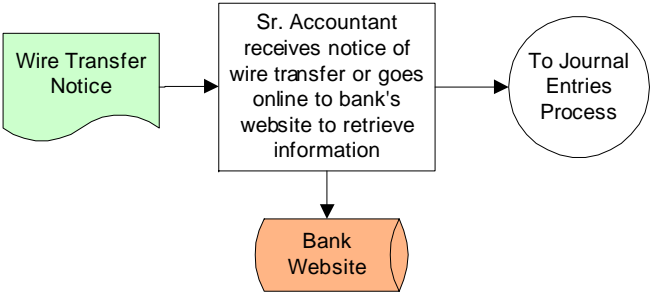
Fixed Assets - Depreciation (Annually)



Department: Accounting
Participants: Beth Callahan
Validated: Beth Callahan, 5/4/05

Notes:
* When the Comptroller runs the depreciation report on the system, she will have the option to export the report data to an excel spreadsheet. She will choose this option and attach the output to an email to the auditors.

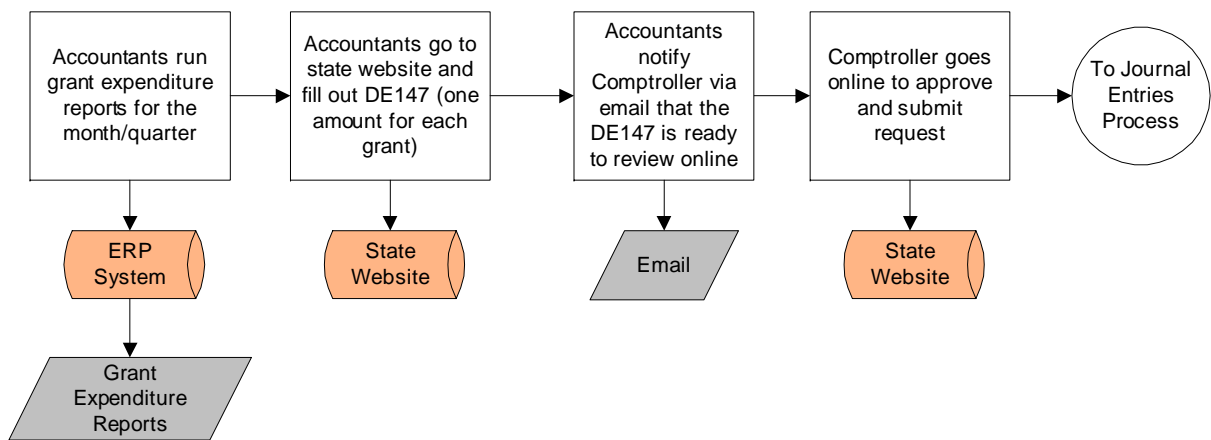
Wire Transfers - Receipts



Department: Accounting
Participants: Beth Callahan
Validated: Beth Callahan, 5/4/05

Notes:
Other wire transfers (disbursements or transfers between district accounts) are addressed in the Investments process map.

Grant Drawdowns

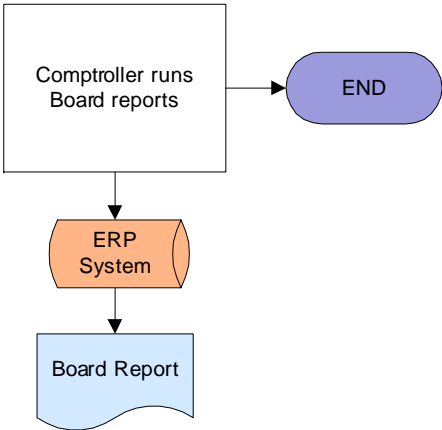


Department: Accounting
Participants: Beth Callahan
Validated: Beth Callahan, 5/4/05

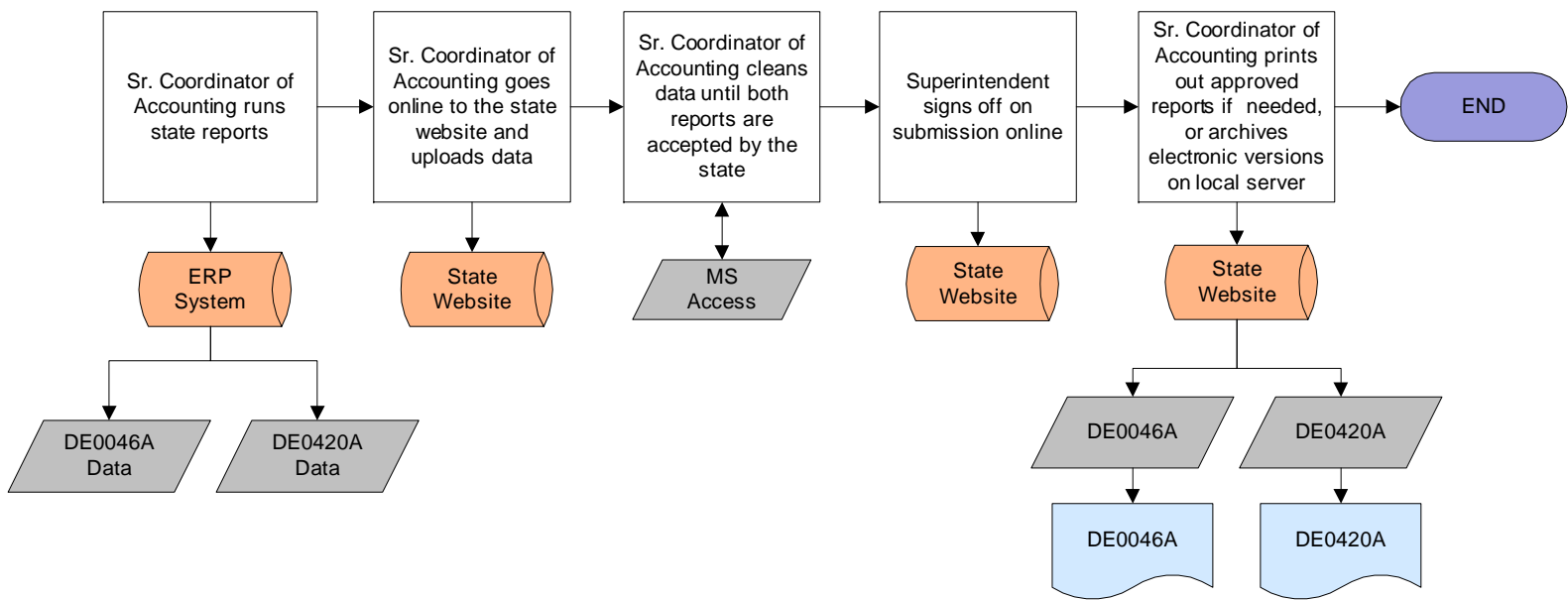
Notes:
There is a requirement to have upload capability. but the volume of data entry for this process is minimal.

Virtually all grants are expended during one fiscal year.

Financial Reporting to Board



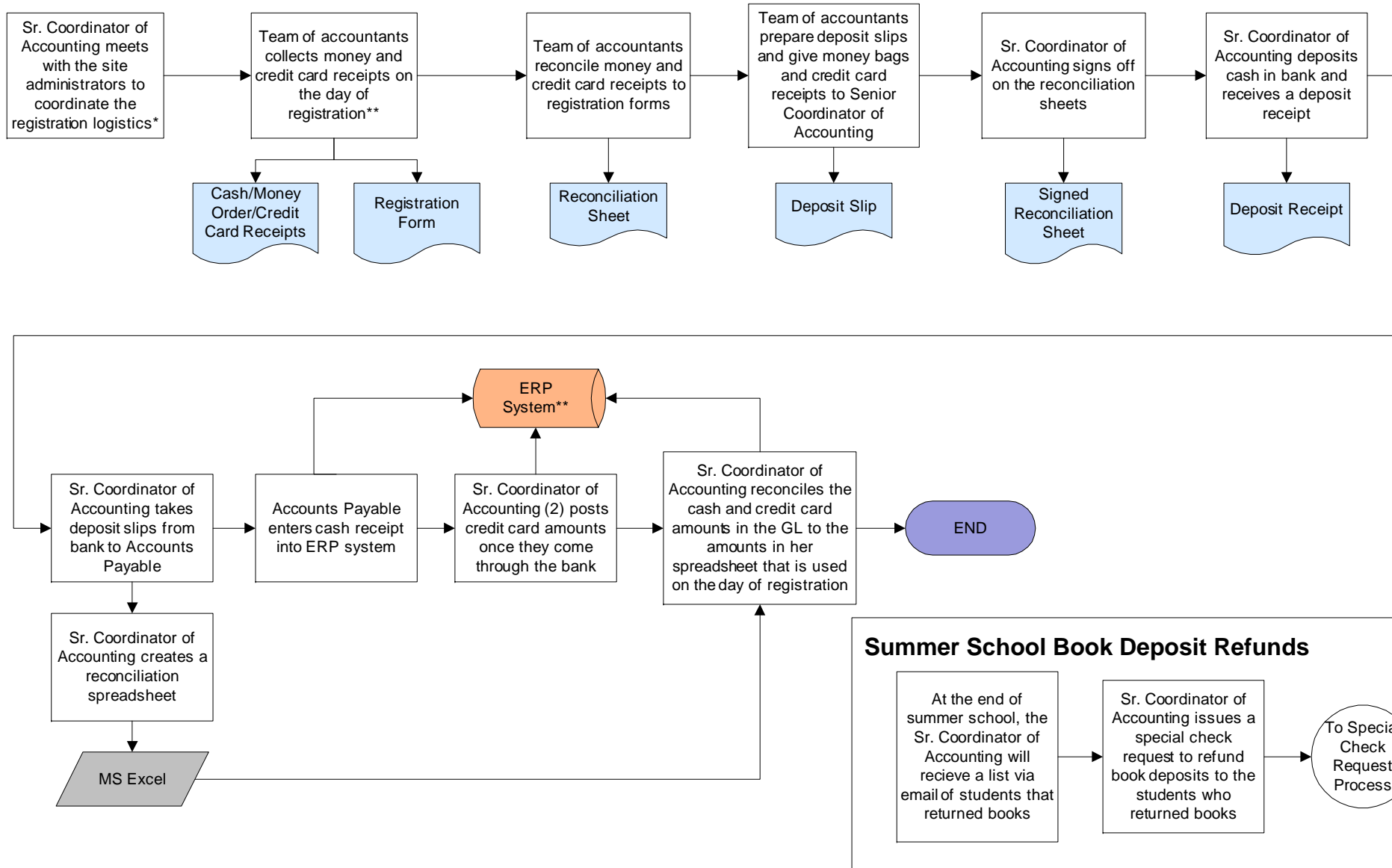
Financial Reporting to State (DE0046A, 0420A)



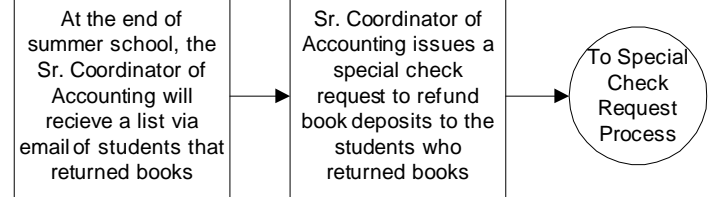
Department: Accounting
Participants: Beth Callahan, Tara Daniel
Validated: Beth Callahan, 5/4/05

Notes:
Account code conversion will be handled by the ERP system.

Summer School Receipts



Summer School Book Deposit Refunds



Notes:

* There might be an opportunity for online registration through SASIxp, whereby parents could register and pay any fees online.

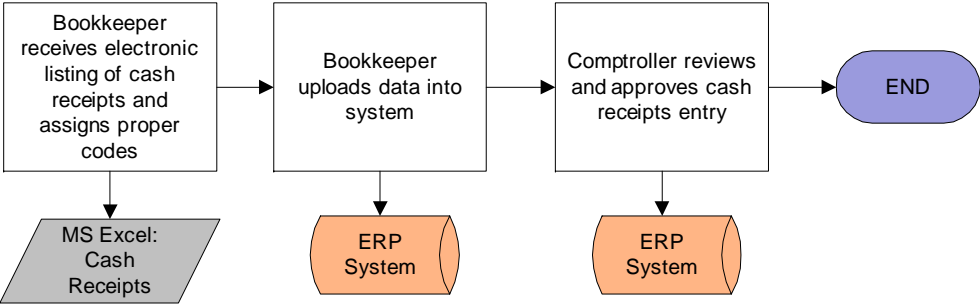
** The only change from the "as is" maps is that AFIN is replaced with ERP system. This process only occurs 4 days out of the year, so streamlining opportunities are not justified.

*** Out-of-county students

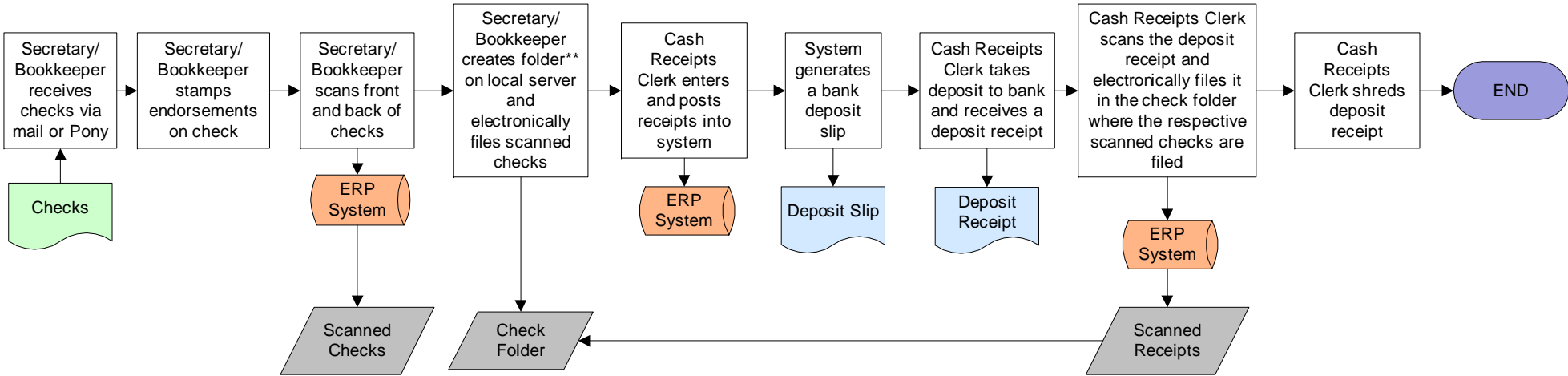
Department: Accounting
Participants: Beth Callahan, Tara Daniel
Validated: Beth Callahan, 5/4/05

Cash Receipts

Option I: Cash receipts handled via Lockbox*



Option II: Cash receipts handled by Accounts Payable Department



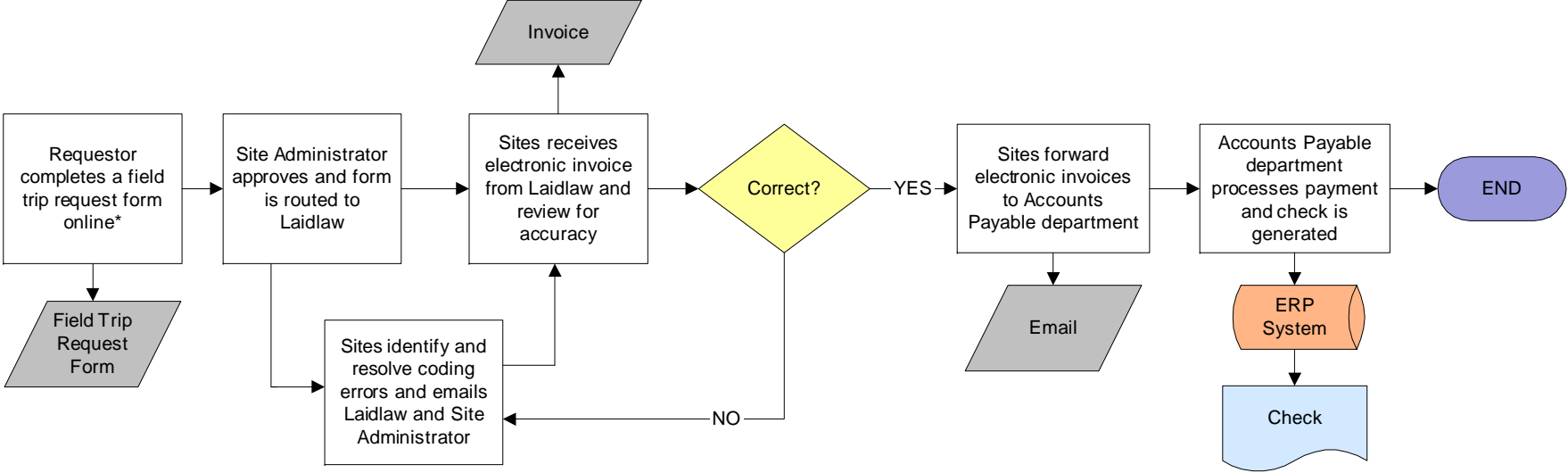
Notes:

* The benefits of this process may not outweigh the costs considering that checks are received from multiple sources for multiple reasons. It is anticipated that checks will continue to come in to the central office regardless.

** Folder structure will be Year/Month/Day. The year (named "2005") will be the main folder, the month will be the subfolder of the year folder (named "03/2005"), and the date of the deposit will be the subfolder of the month (named "03/15/2005").

Department: Accounting
Participants: Beth Callahan
Validated: Beth Callahan, 5/4/05

Transportation - Field Trip Billing

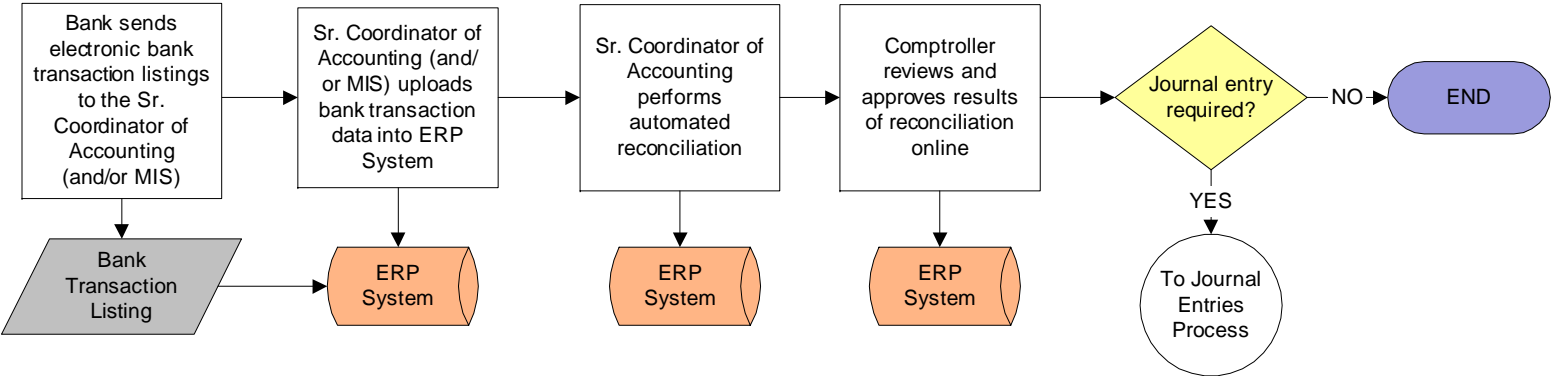


Department: Accounting
Participants: Beth Callahan
Validated: Beth Callahan, 5/4/05

Notes:
* Central approval of field trip request may not be practical prior to submission to Laidlaw because of time demands.

** Need to discuss options with Laidlaw for streamlining billing and field trip requests.

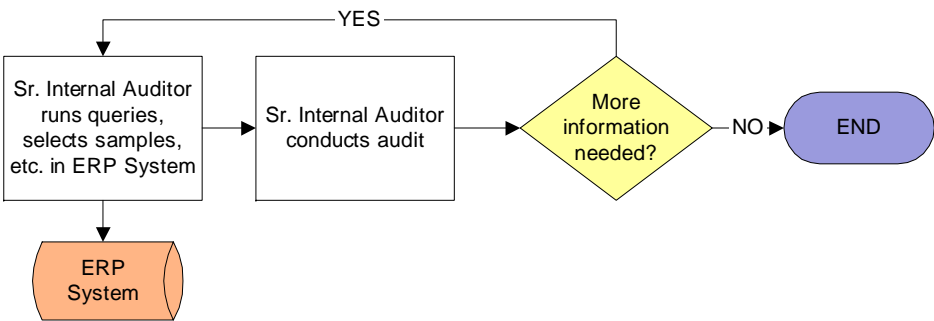
Bank Reconciliations



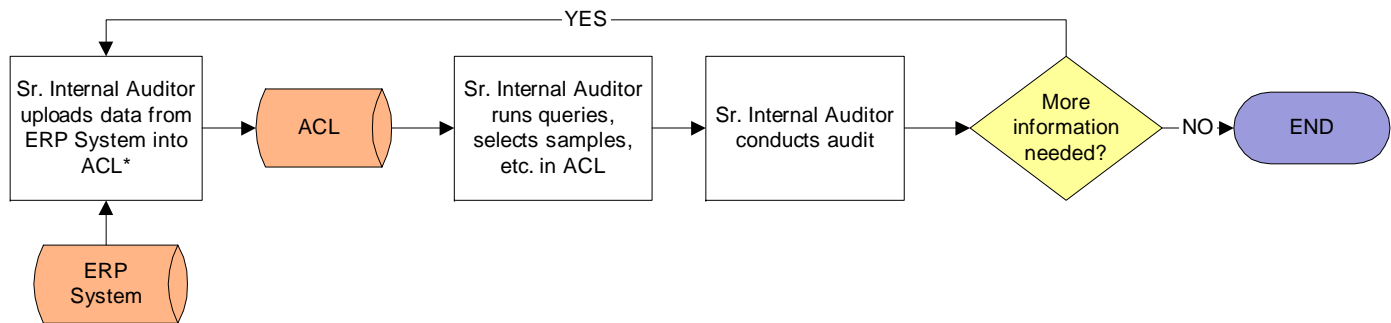
Department: Accounting
Participants: Beth Callahan
Validated: Beth Callahan, 5/4/05

Internal Audit

Option I: Data needed by auditors is stored in ERP system. After fully implemented, the new ERP system would take the place of ACL.



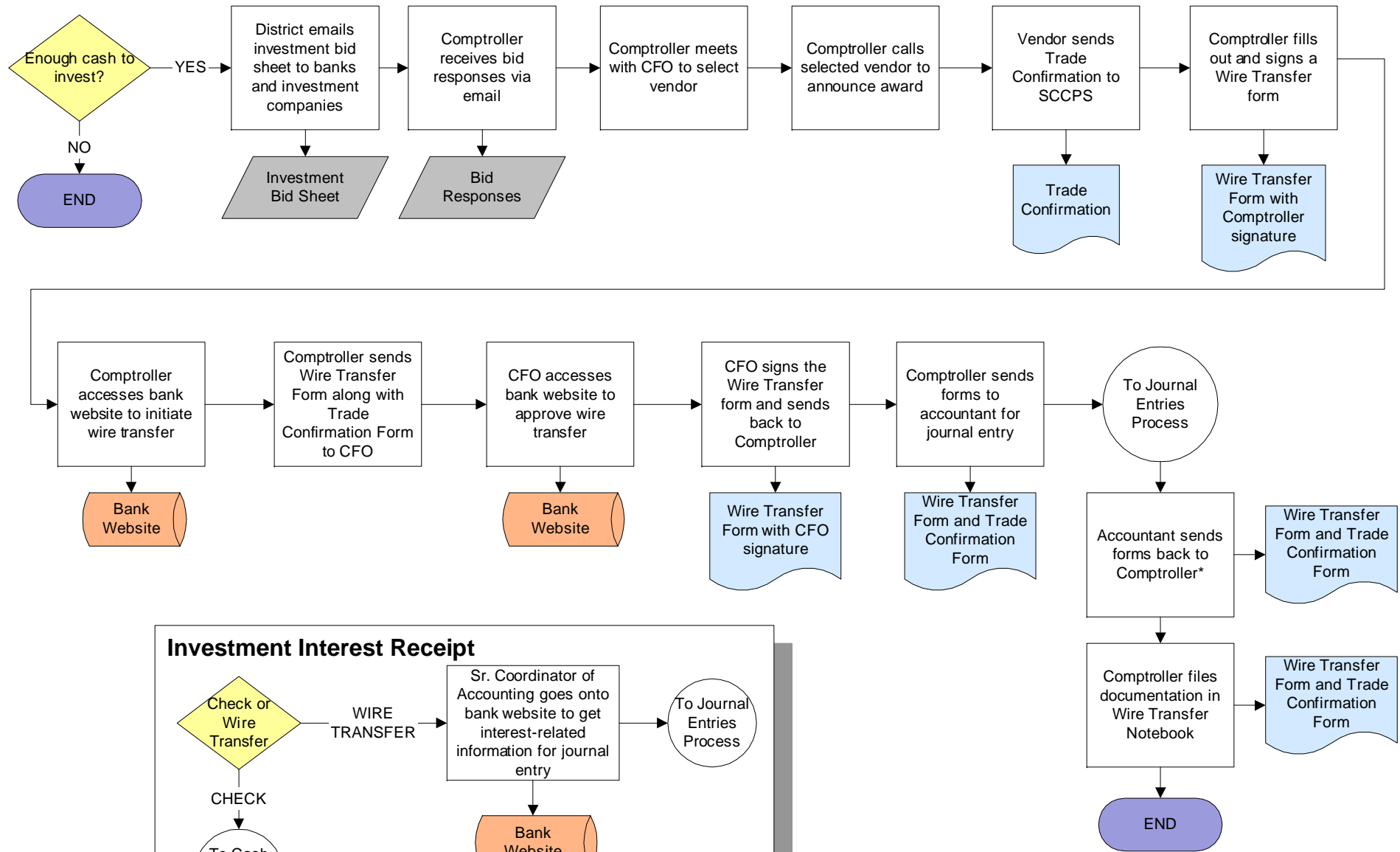
Option II: Interface is built between ACL and new ERP system, making data extraction/upload easier and less prone to error.



Department: Internal Audit
Participants: Gary Lawrence, Melinda Spisso
Validated: Gary Lawrence and Melinda Spisso, 5/4/05

Note:
* ACL is a software tool for audit and financial professionals that provides for data extraction and analysis, fraud detection, and continuous monitoring.

Investments



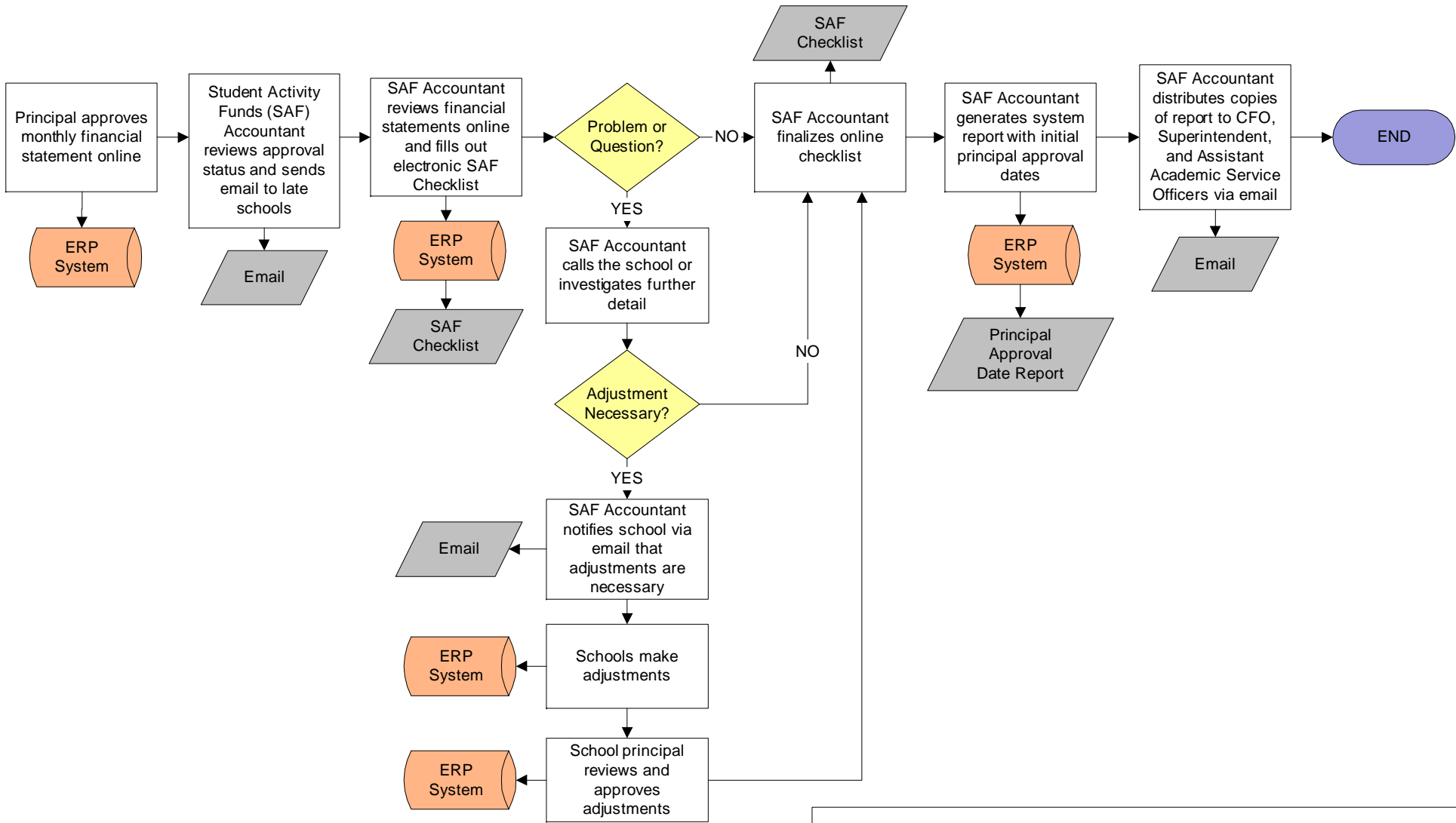
Department: Accounting
Participants: Beth Callahan
Validated: Beth Callahan, 5/4/05

Notes:

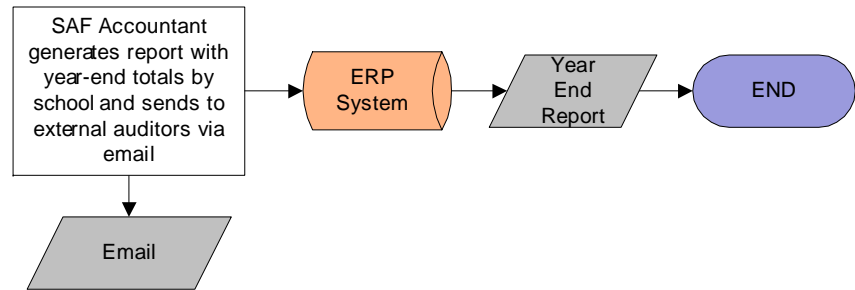
The "to be" process for investments is the same as "as is" with the exception of using email instead of fax to send out bid sheets and receive responses since there is such a low volume of transactions.

* Accountant also keeps a copy of the trade confirmation to file in her Investments notebook.

Student Activity Funds - Central Office (Monthly)



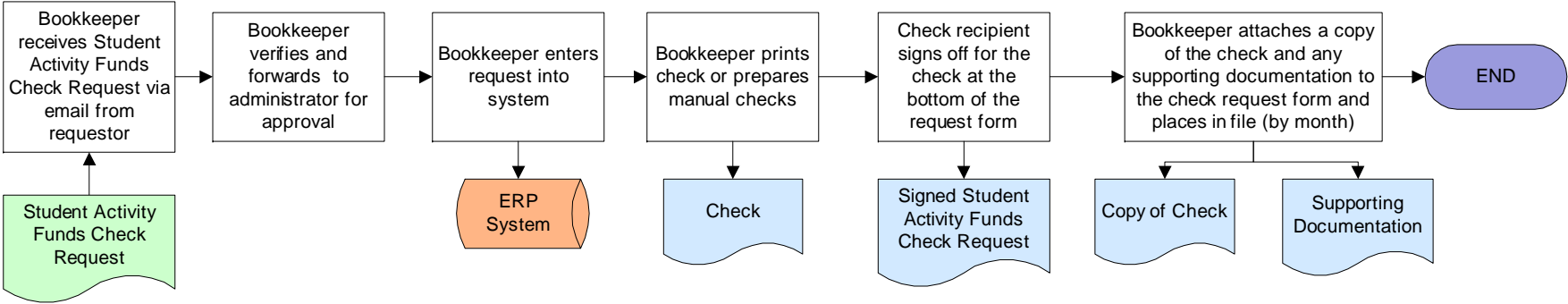
Student Activity Funds - Central Office (Annually)



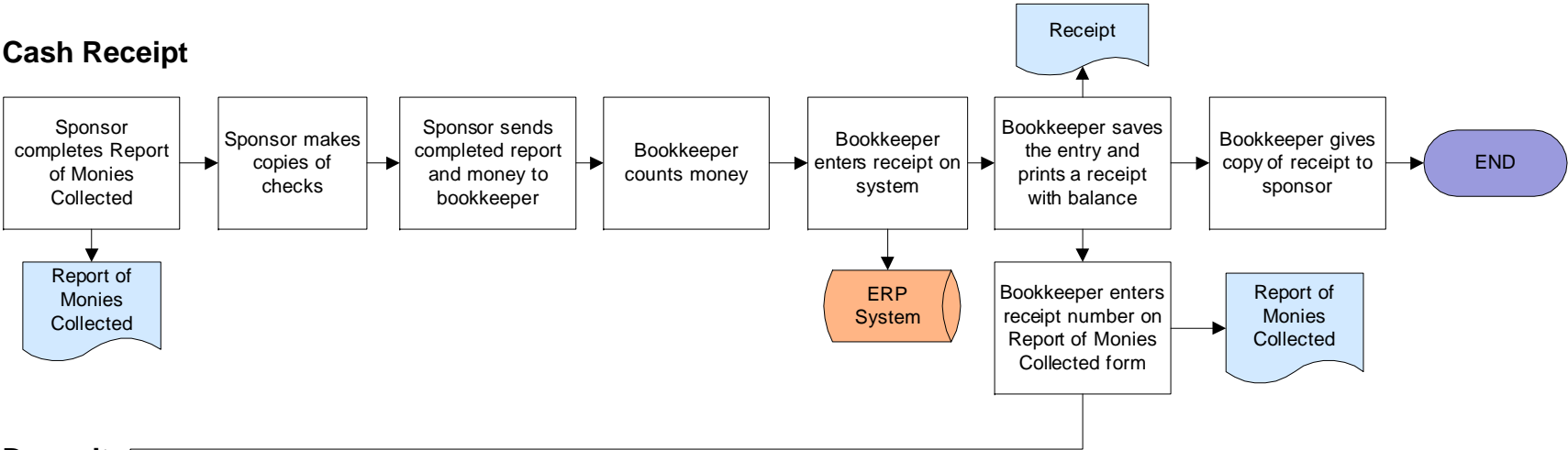
Department: Accounting
Participants: Barbara Brown, Beth Callahan
Validated: Beth Callahan, 5/4/05

Student Activity Funds - Campus

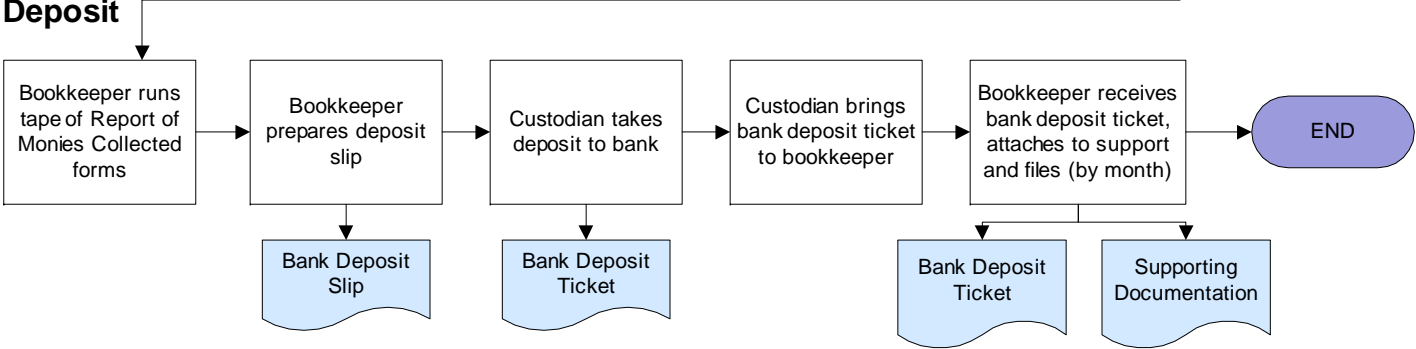
Check Request



Cash Receipt



Deposit

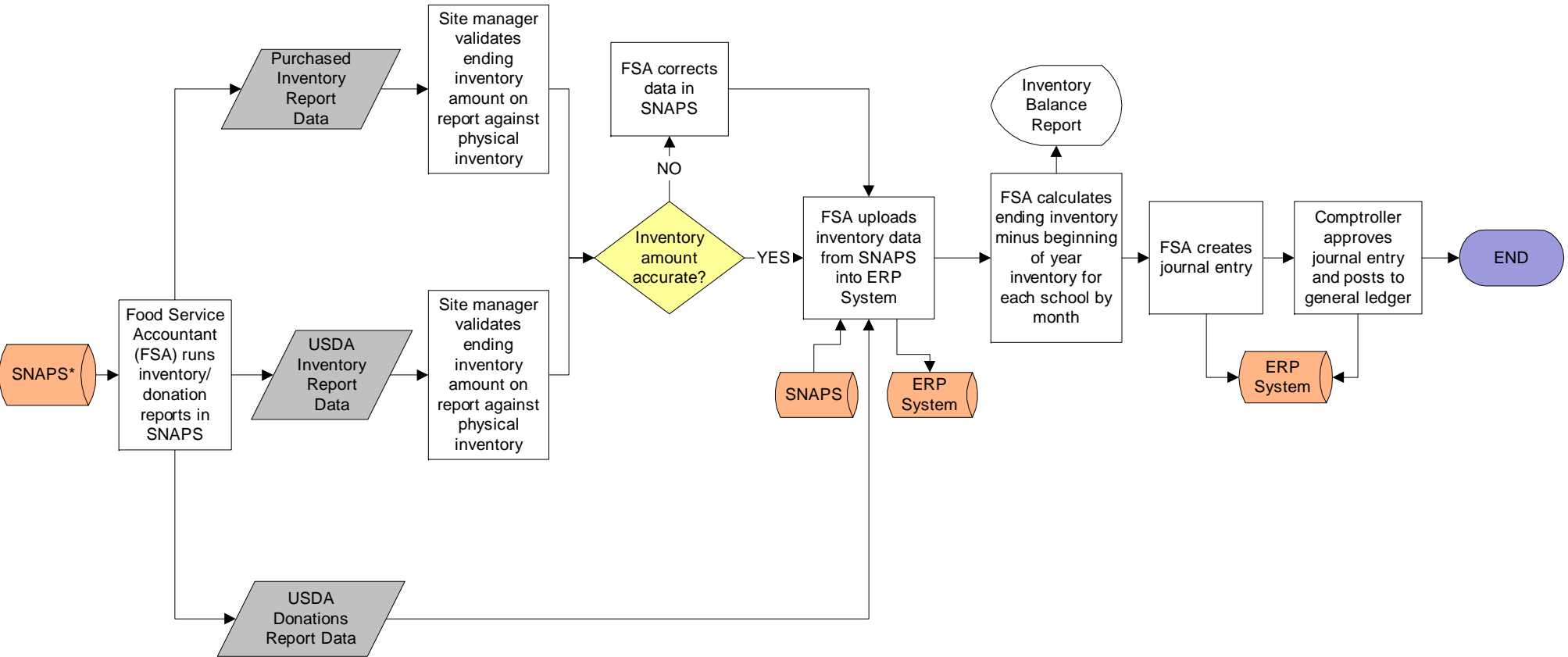


Department: Accounting
Participants: Beth Callahan
Validated: Beth Callahan, 5/4/05

Notes:
The "to be" process is the same as the "as is" except that the "to be" process assumes activity funds will be handled by the ERP system, replacing the current Manatee system.

Food Service: Inventory Adjustments

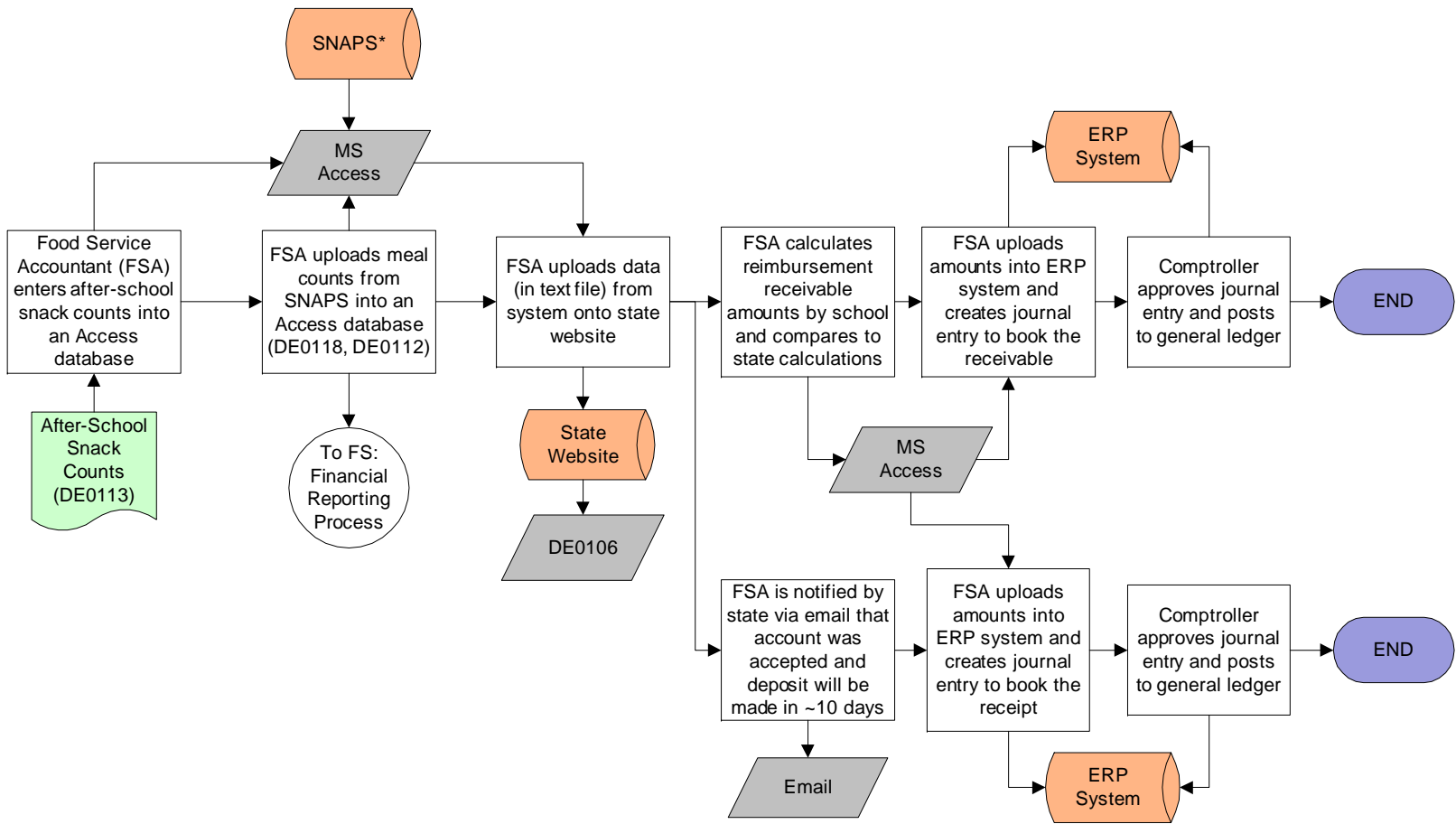
USDA and Purchased Food Items



Department: Accounting
Participants: Warren Mitchell, Beth Callahan
Validated: Beth Callahan, 5/4/05

Notes:
* SNAPS might be replaced with MCS school food service system.

Food Service: Monthly Meal Reimbursement

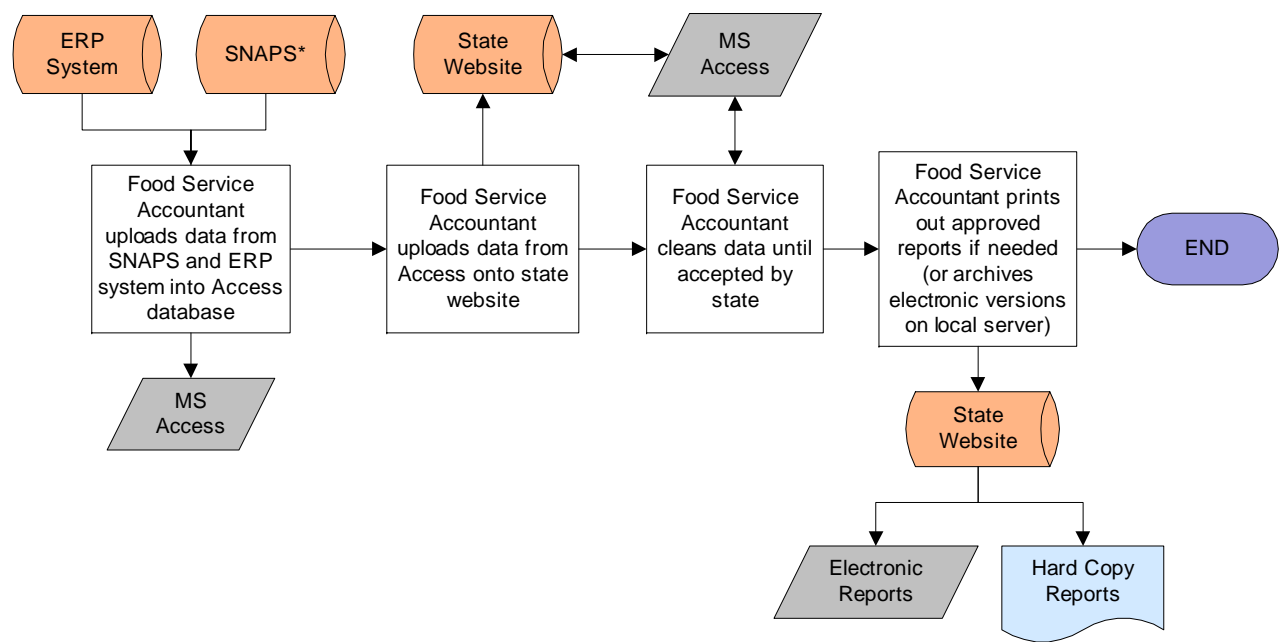


Department: Accounting
Participants: Warren Mitchell, Beth Callahan
Validated: Beth Callahan, 5/4/05

Notes:
This process requires an interface with SNAPS, as well as state reporting capability.

* SNAPS might be replaced with MCS school food service system.

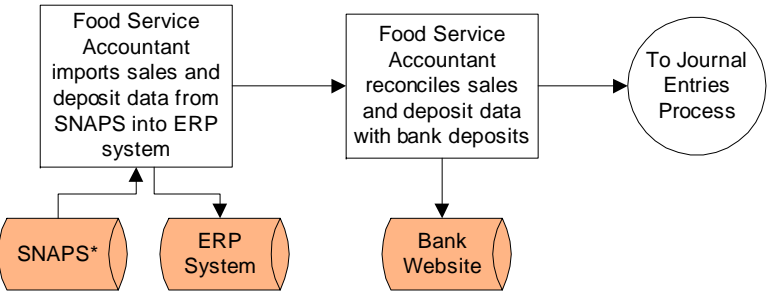
Food Service: Financial Reporting (Monthly)



Department: Accounting
Participants: Warren Mitchell, Beth Callahan
Validated: Beth Callahan, 5/4/05

Notes:
* SNAPS might be replaced with MCS school food service system.

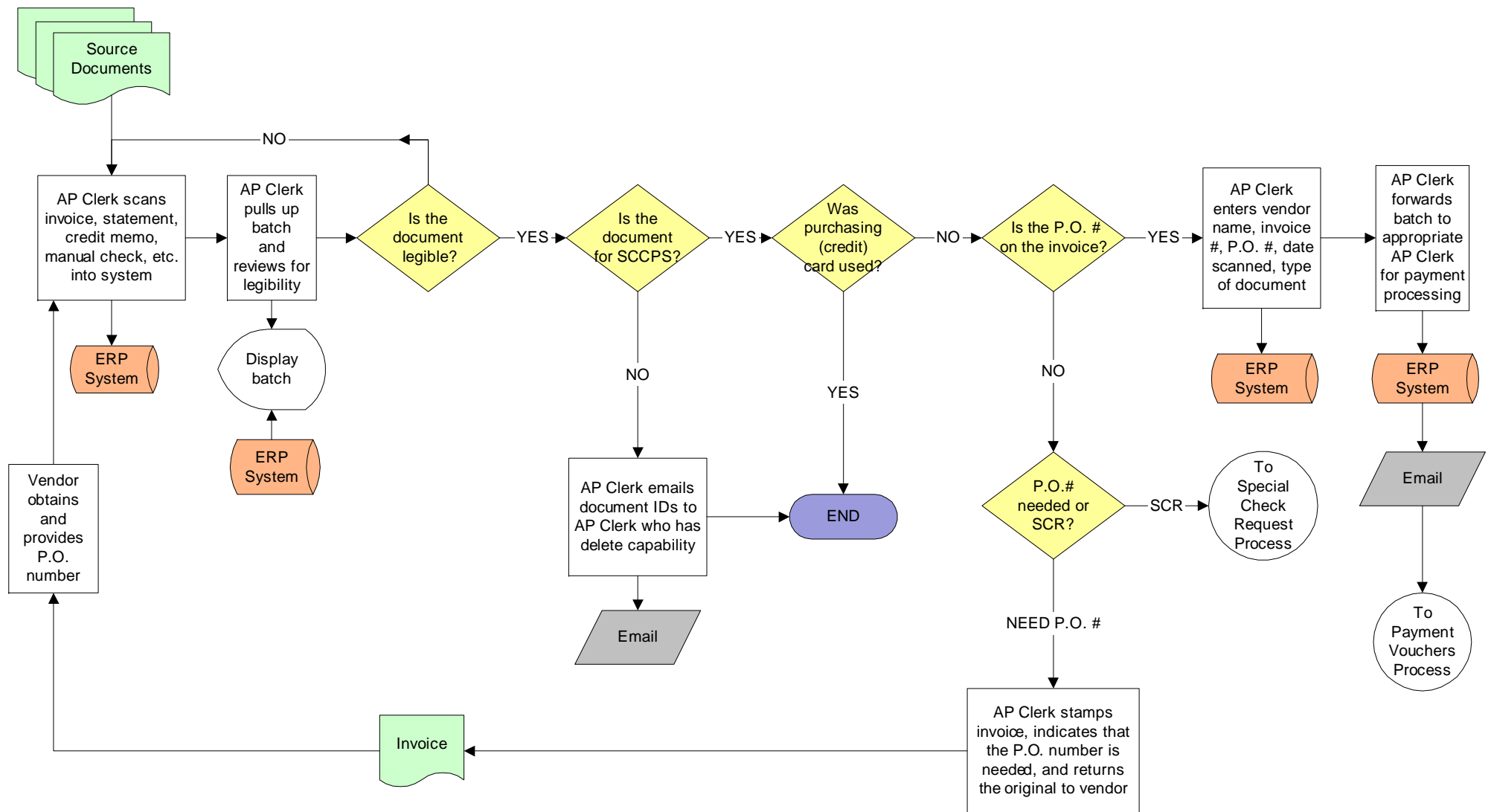
Food Service: Posting of Food Service Revenues and Deposits to GL



Department: Accounting
Participants: Warren Mitchell, Beth Callahan
Validated: Beth Callahan, 5/4/05

Notes:
* SNAPS might be replaced with MCS school food service system.

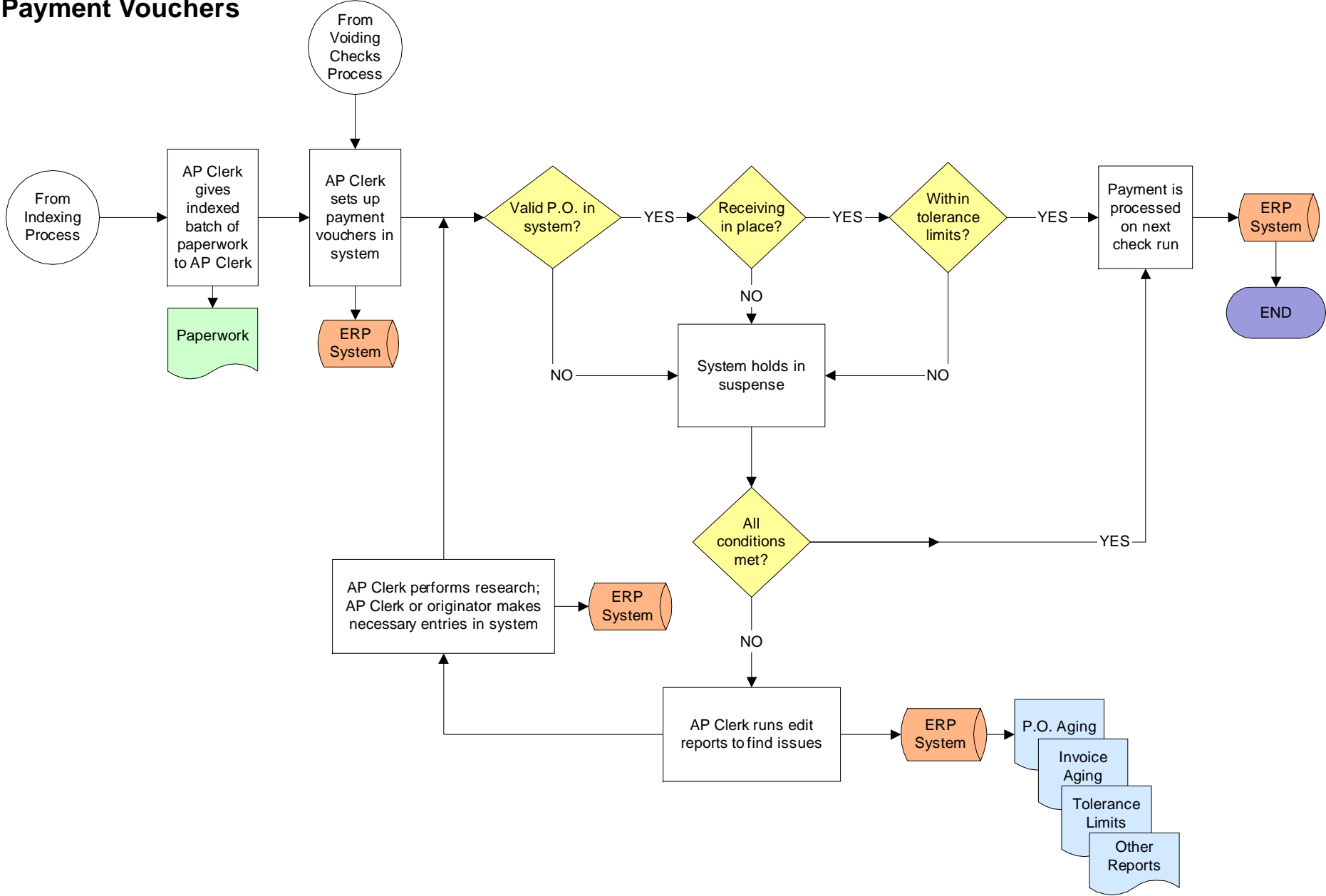
Indexing



Department: Accounts Payable
Participants: Mercedes Ferguson
Validated: Matthew Yoakum, 3/31/2005

Notes:
 No substantive changes from "as is" process

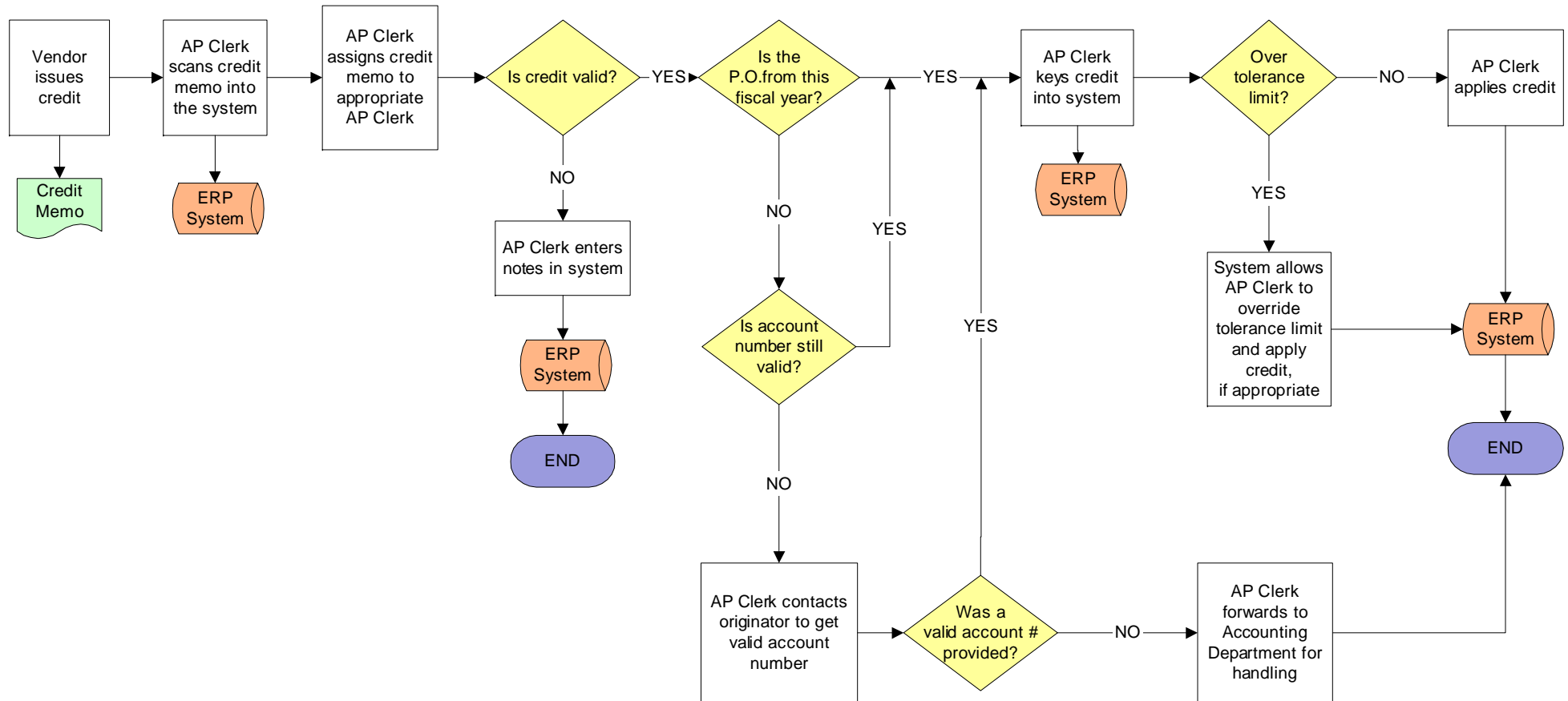
Payment Vouchers



Department: Accounts Payable
Participants: Mercedes Ferguson
Validated: Matthew Yoakum, 3/31/2005

Notes:
No substantive changes from "as is" process
Current SCCPS tolerance limit: \$200 or 10%

Credit Memos

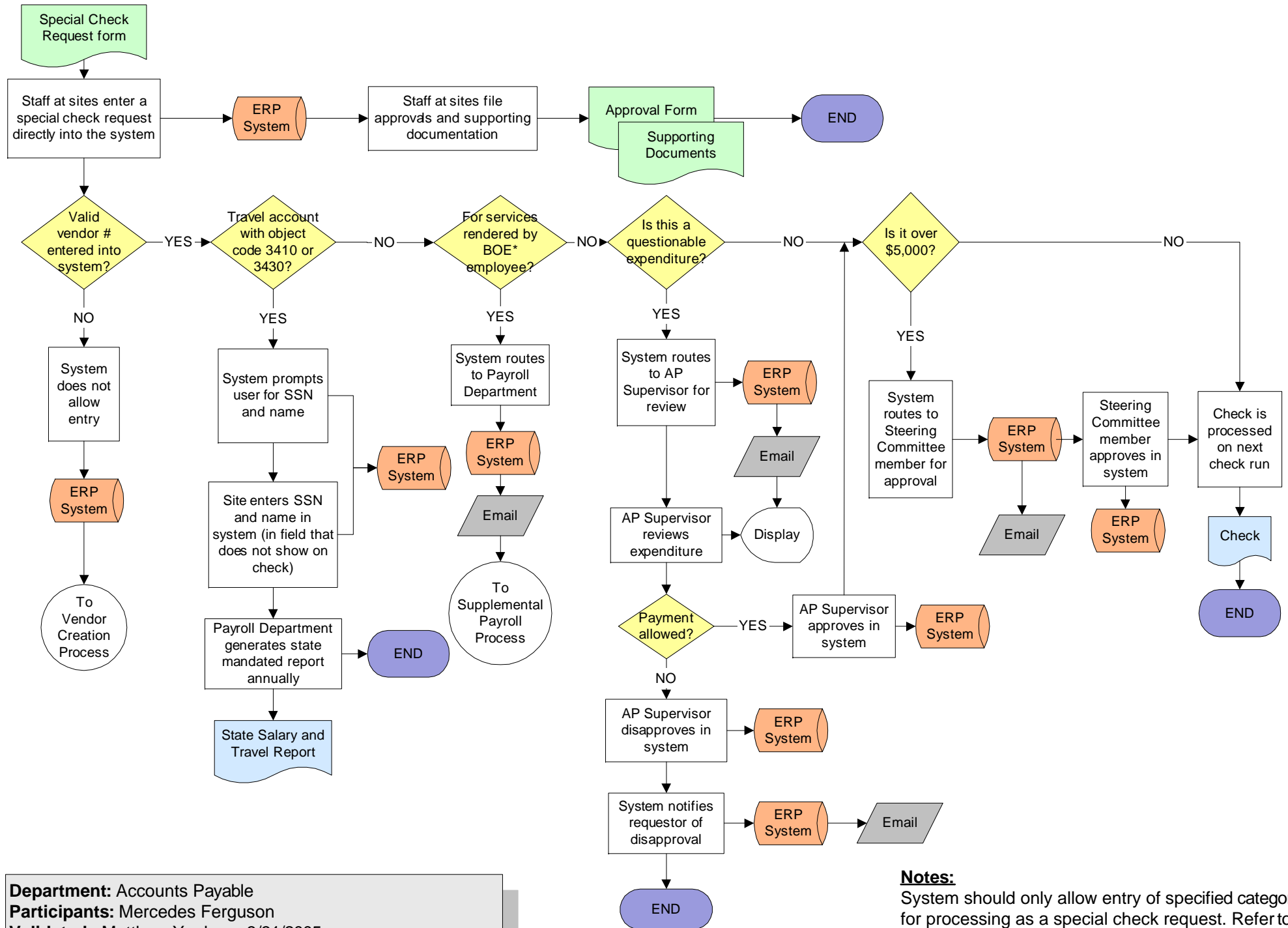


Department: Accounts Payable
Participants: Mercedes Ferguson
Validated: Matthew Yoakum, 3/31/2005

Notes:

When a credit memo is received referencing an account that has been closed, the Accounting Department applies the credit in the current year if the amount is not material. If the credit is material and relates to a grant, the grant may need to be re-opened with the state and the credit applied in the appropriate year.

Special Check Requests

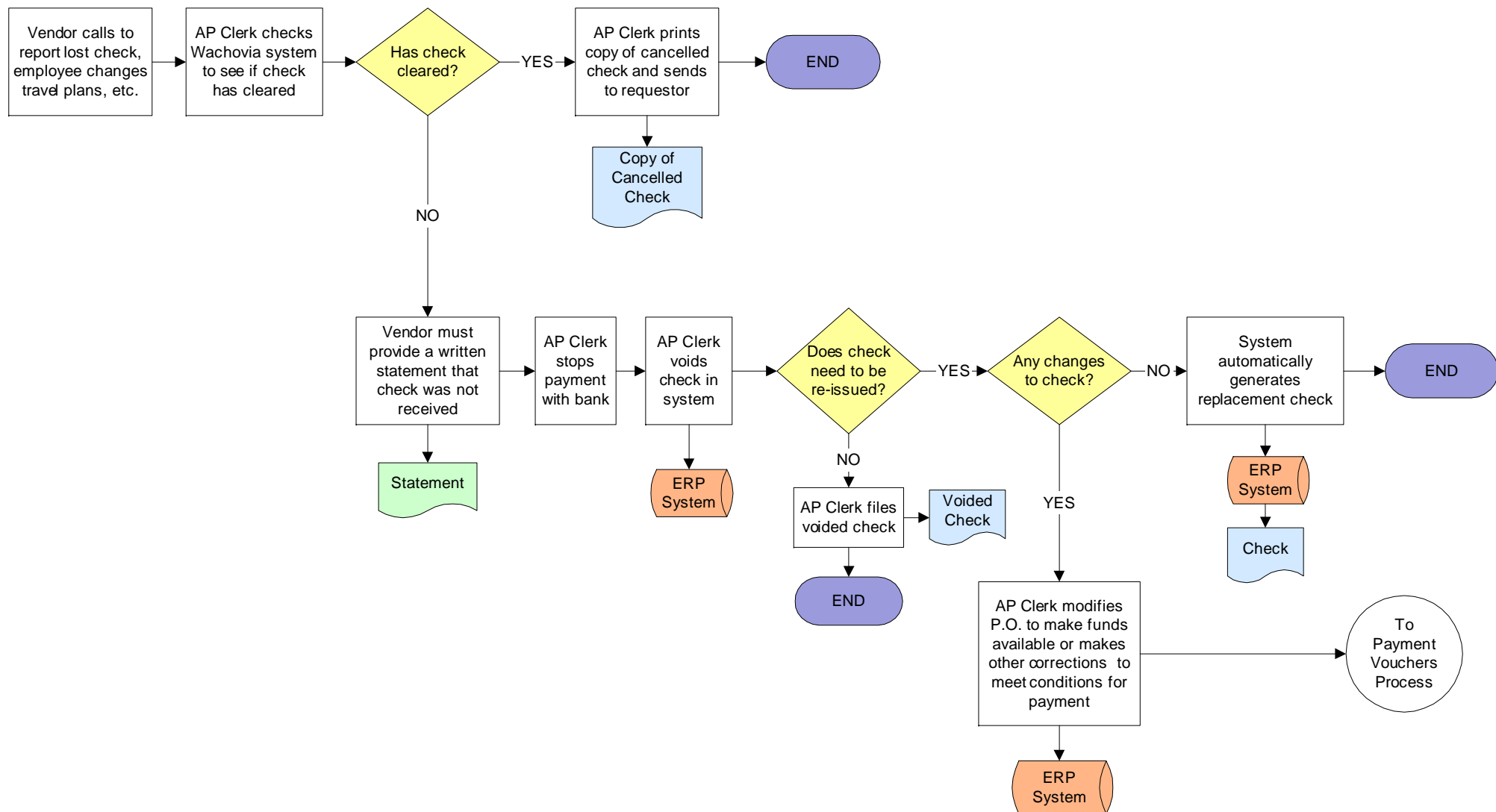


Department: Accounts Payable
Participants: Mercedes Ferguson
Validated: Matthew Yoakum, 3/31/2005

Notes:

System should only allow entry of specified categories for processing as a special check request. Refer to "as is" process map for current valid items
 *BOE = Board of Education.

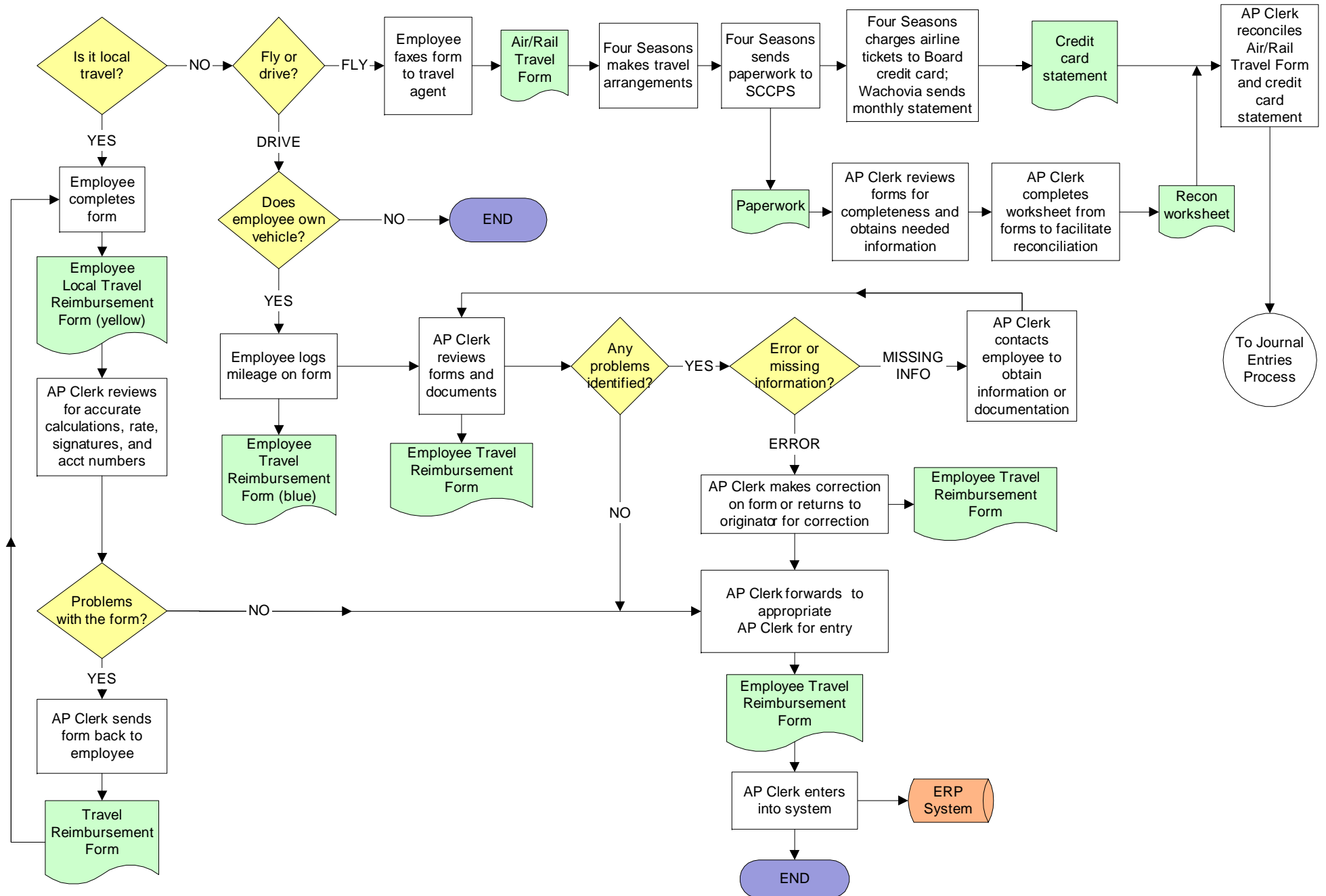
Voiding Checks



Department: Accounts Payable
Participants: Mercedes Ferguson
Validated: Matthew Yoakum, 3/31/2005

Notes:
 No substantive changes from "as is"

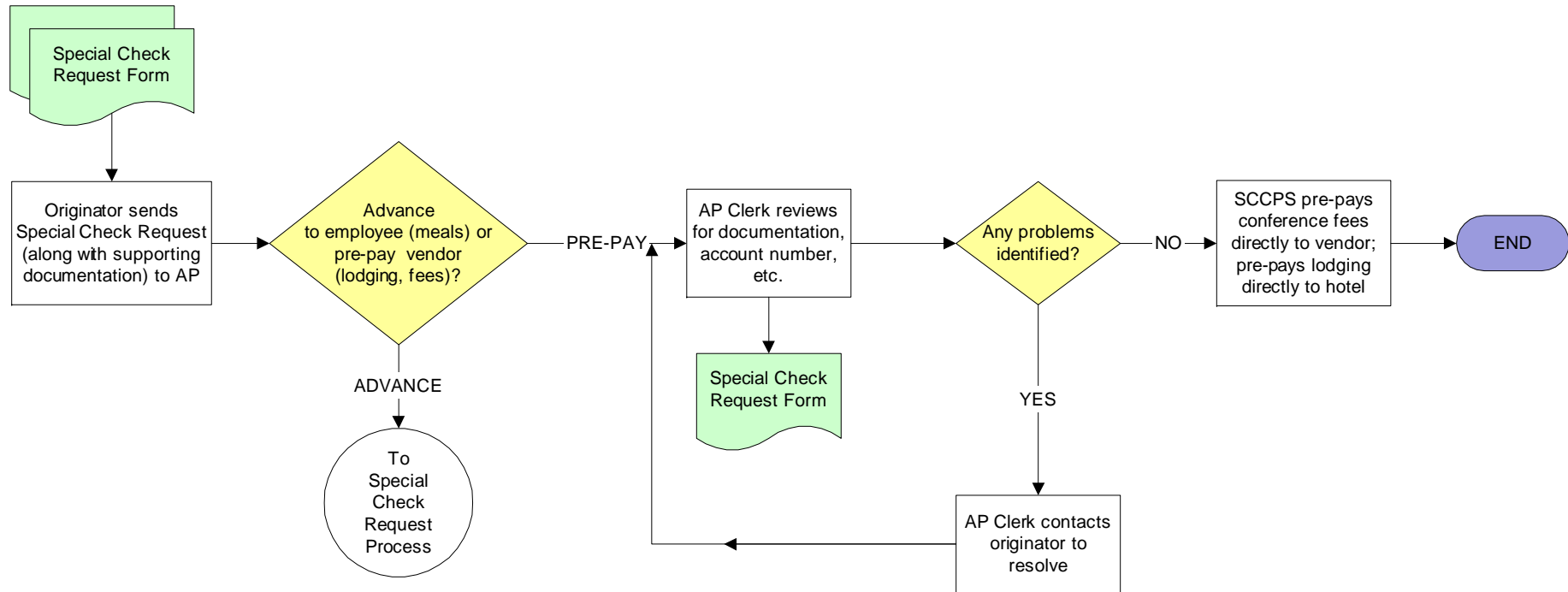
Travel Expense Processing



Department: Accounts Payable
Participants: Alice Watson, Mercedes Ferguson
Validated: Matthew Yoakum, 3/31/2005

Notes:
 No significant changes from "as is" process

Travel Advances & Pre-Pays



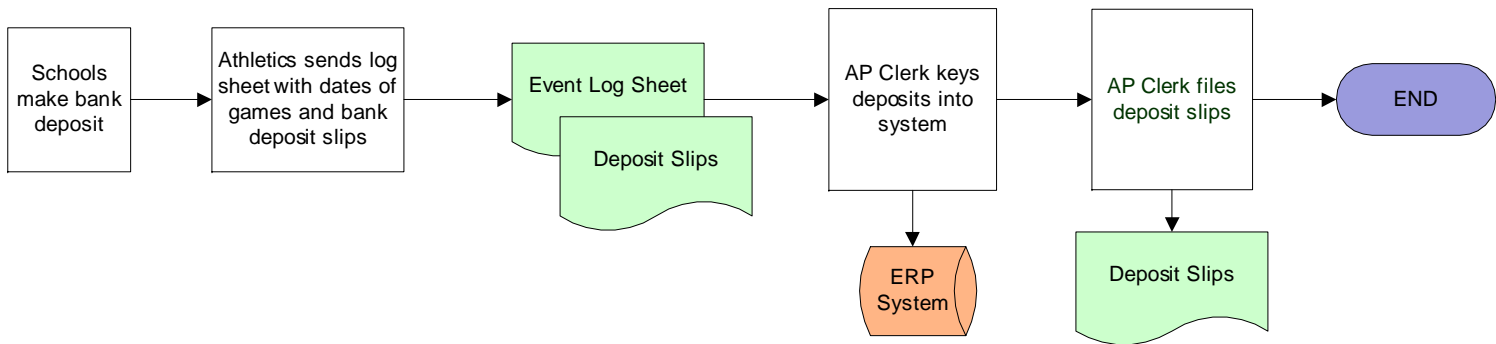
Department: Accounts Payable
Participants: Mercedes Ferguson
Validated: Matthew Yoakum, 3/31/2005

Notes:
No substantive changes from
"as is"

Cash Receipts

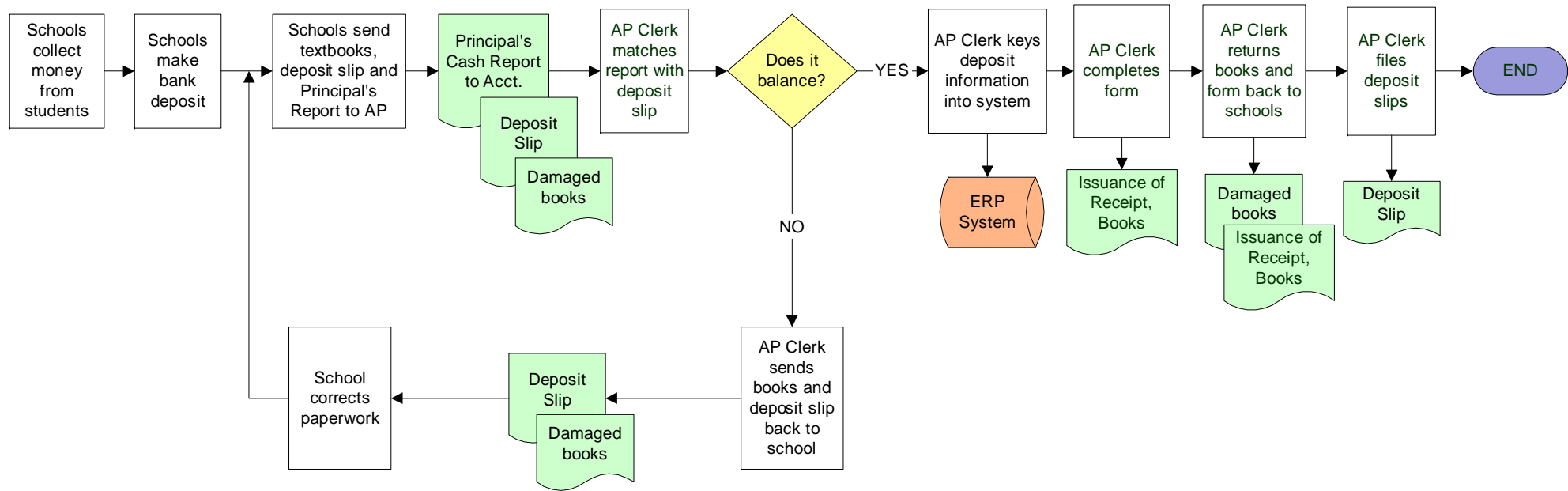
The "to be" process map for cash receipts is included in the Accounting section

Athletic Receipts

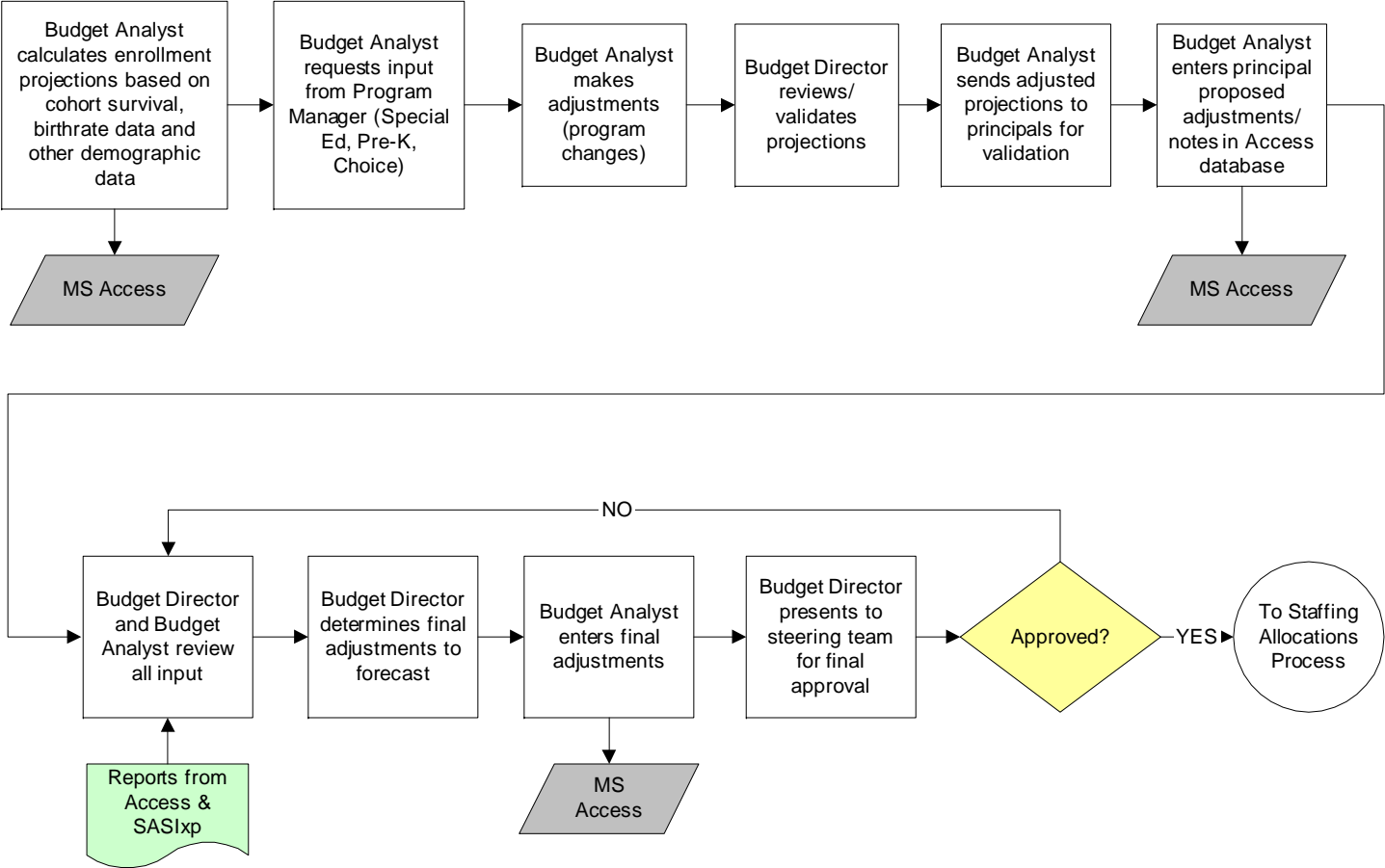


Department: Accounts Payable
Participants: Matthew Yoakum
Validated: Matthew Yoakum, 3/31/2005

Lost & Damaged Textbook Fines



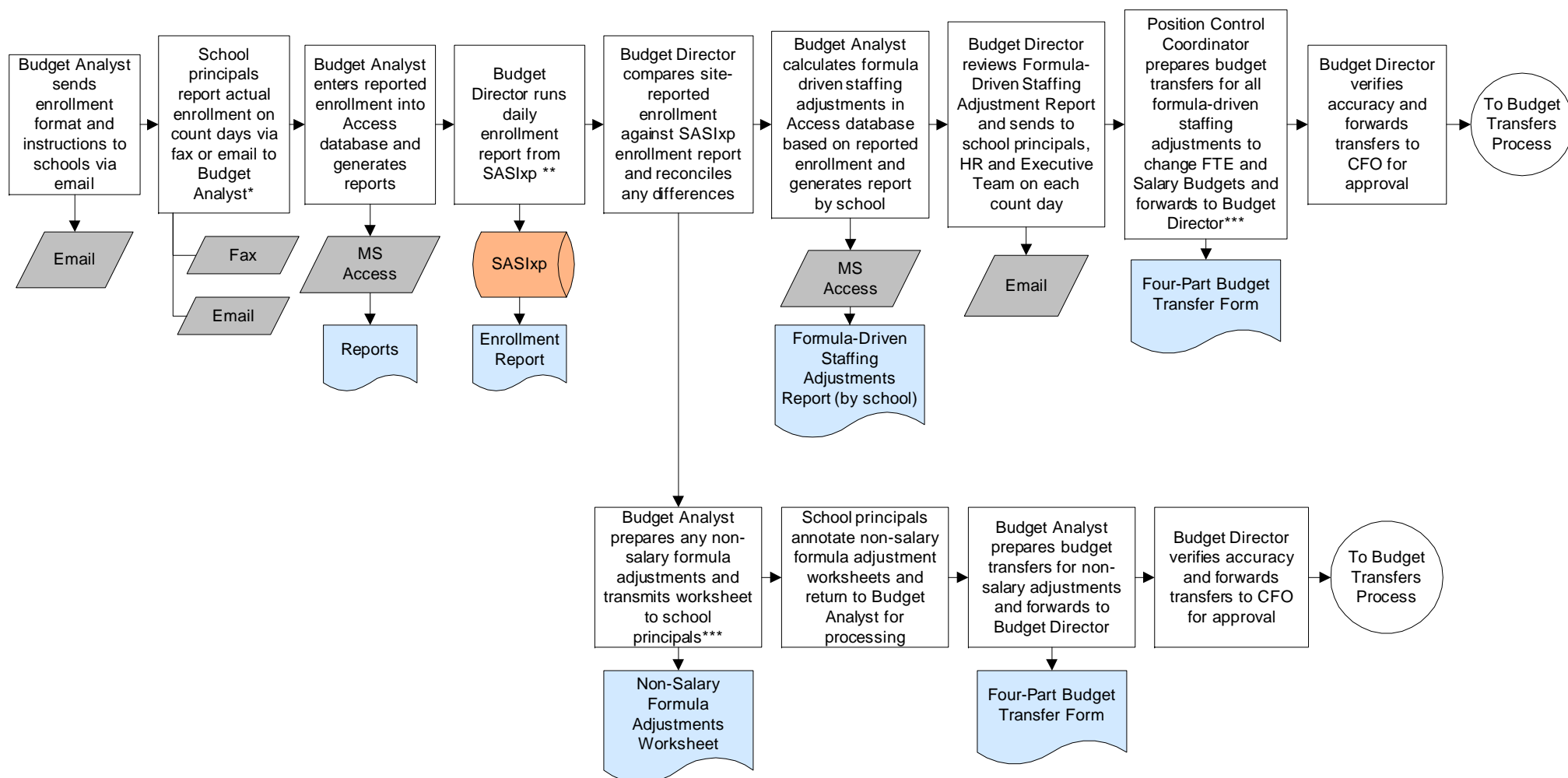
Enrollment Projections (September through December)



Department: Budget
Participants: David Fields
Validated: N/A - no changes made

Notes:
No changes from "as is" process map; not impacted by ERP implementation.

Enrollment Reporting / Formula Earnings Adjustments



Notes:

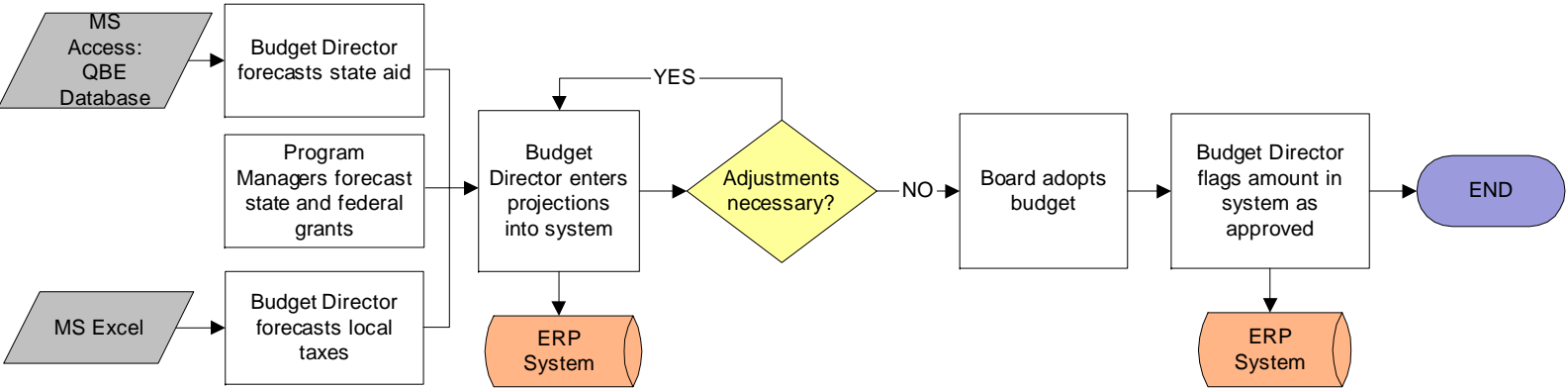
* Count days = 1,5,7,10, 15 and 20

** May be able to download school enrollment data directly into budget system where calculations are applied (positions and non-salary allocations).

*** This happens on record day, which is usually the 20th day.

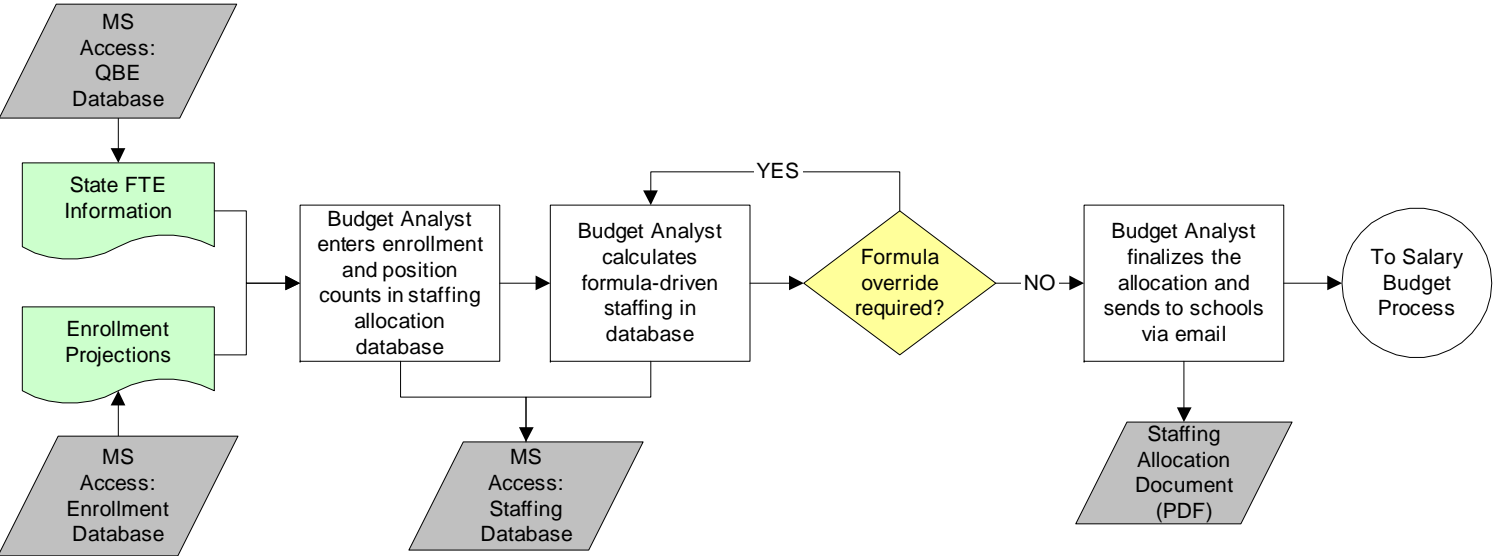
Department: Budget
Participants: David Fields
Validated: David Fields, 5/4/05

Revenue Projections



Department: Budget
Participants: David Fields
Validated: David Fields, 5/4/05

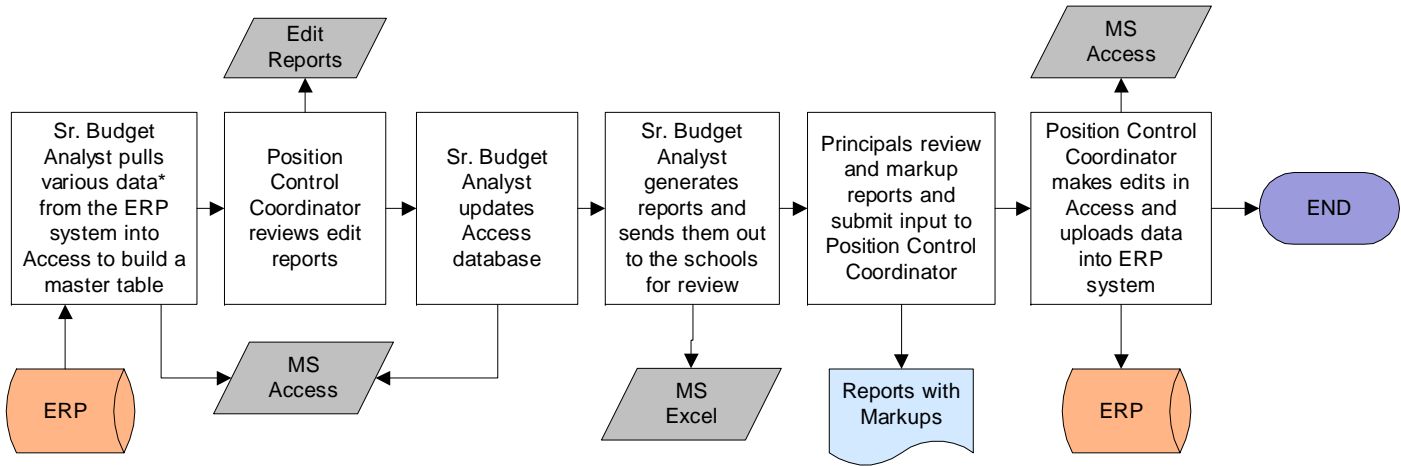
Staffing Allocations



Department: Budget
Participants: David Fields
Validated: David Fields, 5/4/05

Note:
Position control may be able to address some of the Access staffing formula and allocation functions. The Access tables are already linked; interface to system may be all that is needed.

Salary Budget

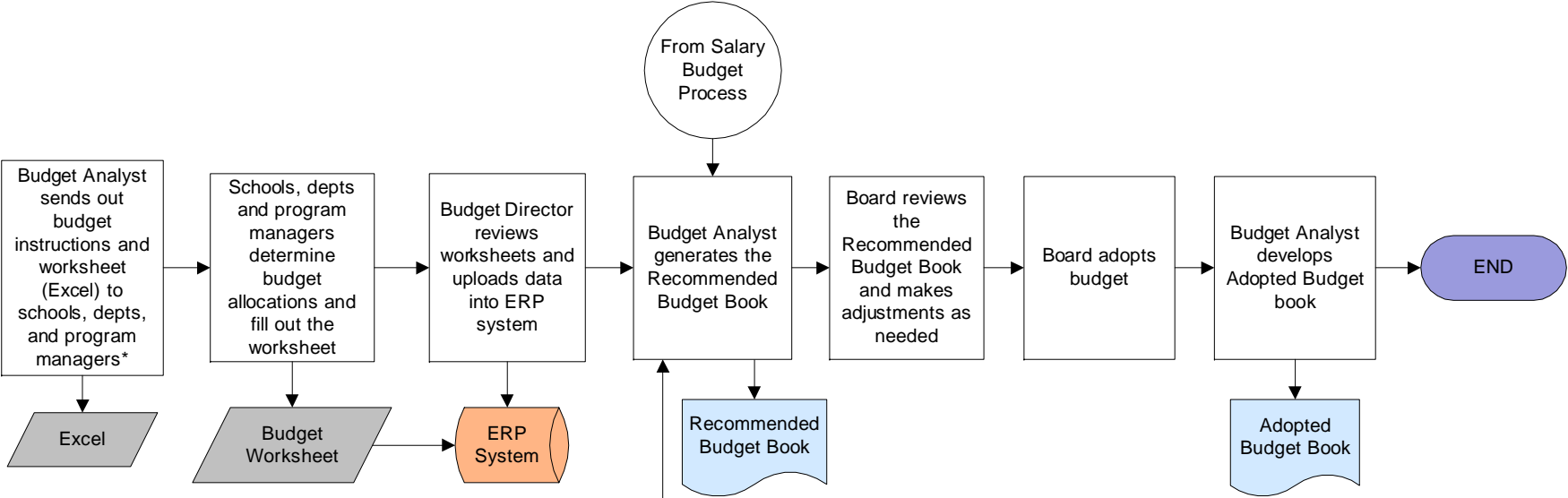


Department: Budget
Participants: David Fields
Validated: David Fields, 5/4/05

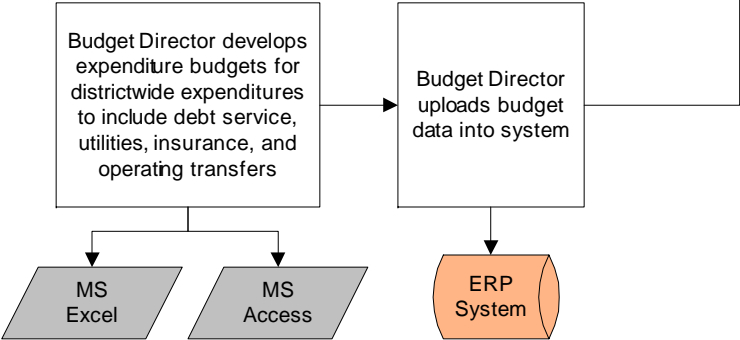
Notes:
* Pay tables, staffing allocation, current employee salary information, fringe rates by object, vacant position information, non-position compensation.

Some of the database-related tasks may be eliminated depending on available budget module features. It is expected that some offline analysis will still need to be done.

Budget Development (non-salary accounts)



Budget Development (other non-salary accounts) **



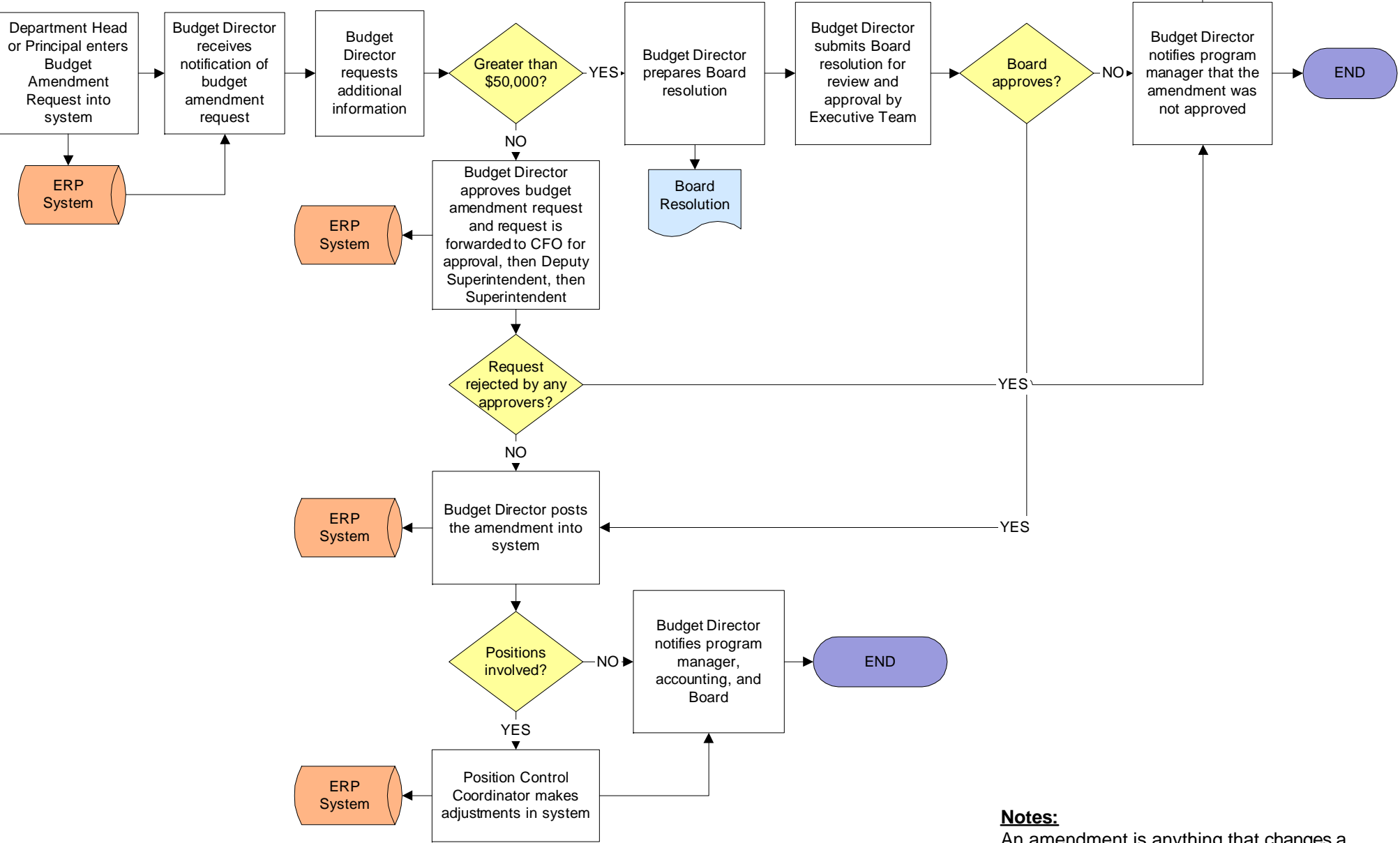
Department: Budget
Participants: David Fields
Validated: David Fields, 5/4/05

Notes:

* Extensive training and transition support will be needed to make this work, whether entering directly into ERP system or on Excel templates.

** Budget system may have formula capability and sensitivity analysis capability to reduce or eliminate use of some spreadsheets or databases for non-salary accounts.

Budget Amendments

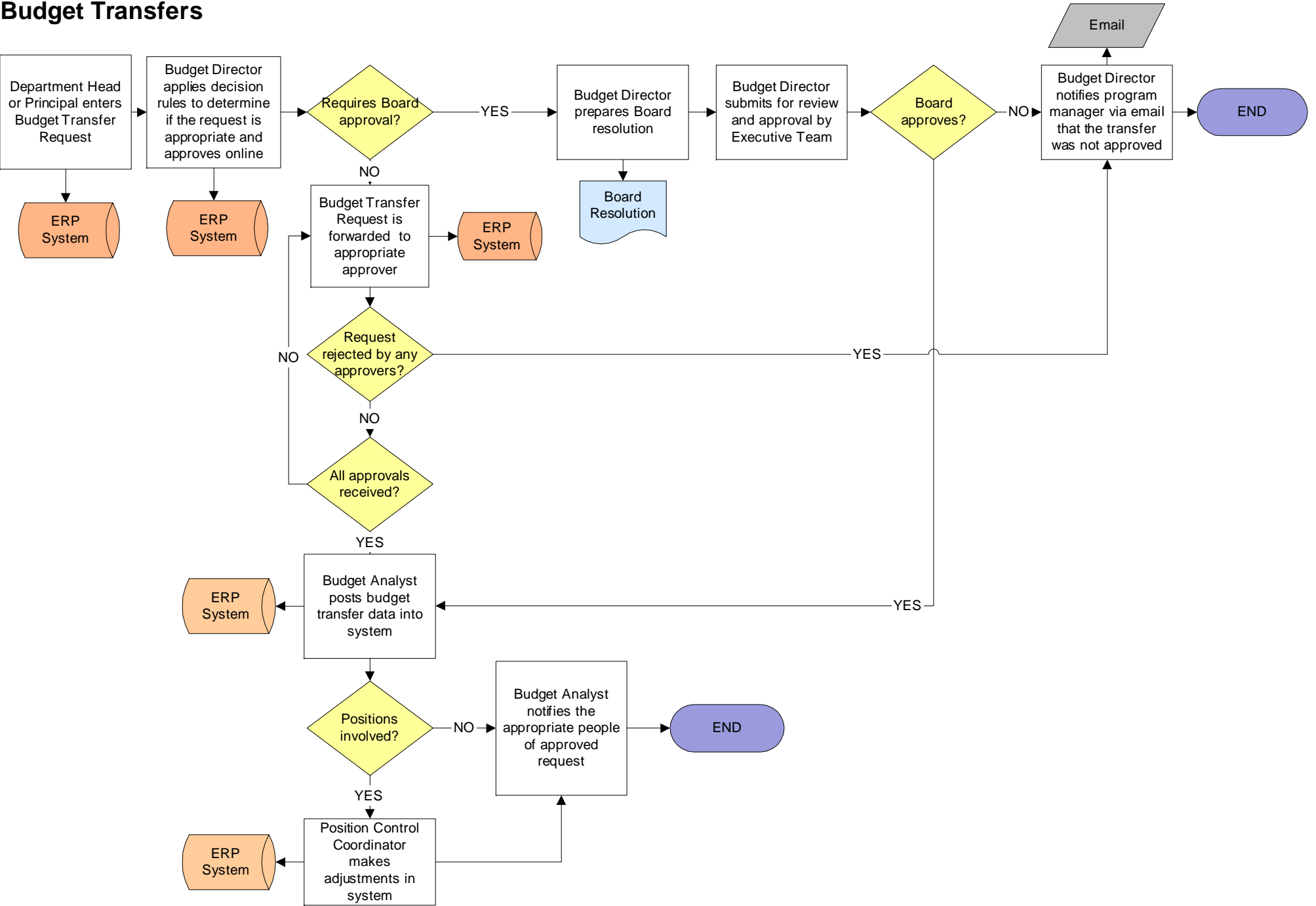


Department: Budget
Participants: David Fields
Validated: David Fields, 5/4/05

Notes:
An amendment is anything that changes a budgeted amount at the fund level

Will need query capability on historical transaction history in order to eliminate the need/desire for hard copy (by date, approver, account code, etc.).

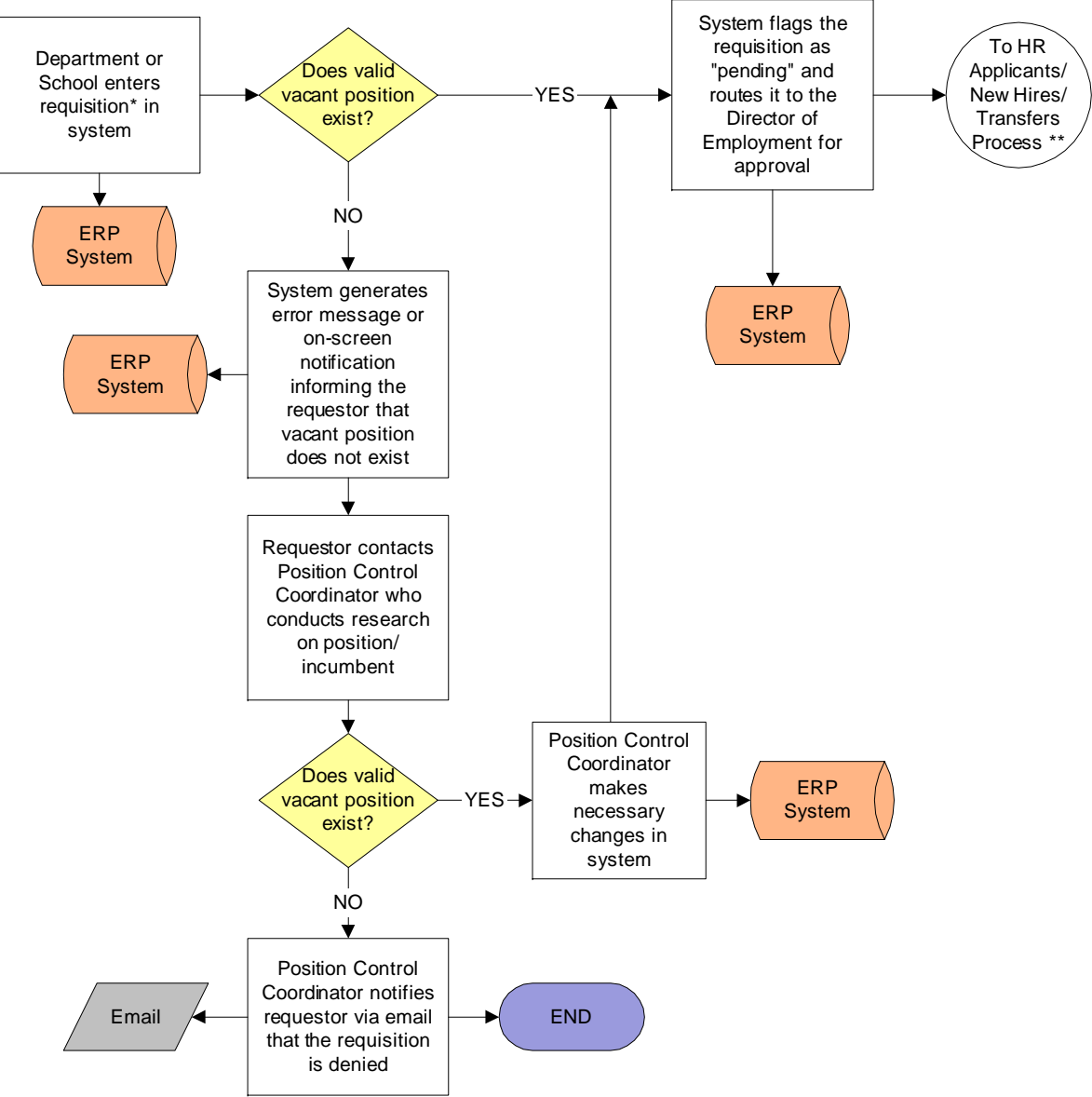
Budget Transfers



Department: Budget
Participants: David Fields
Validated: David Fields, 5/4/05

Note:
Will need query capability on historical transaction history in order to eliminate need/desire for hard copy (by date, approver, account code, etc.).

Position Verification



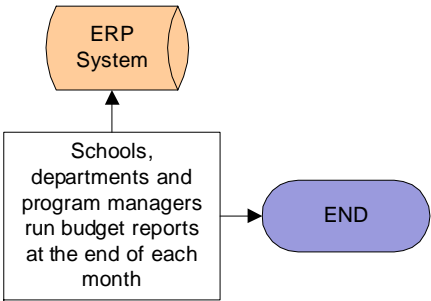
Department: Budget
Participants: David Fields
Validated: David Fields, 5/4/05

Note:
* After the requisition is entered, the system will automatically check to make sure the position is in fact vacant

** Under "to be" process, the Budget Office is responsible for the verification process and HR is responsible for the approving the requisition and filling the position.

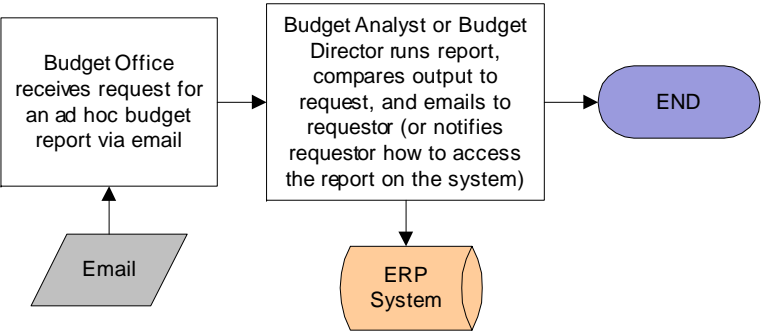
Budget Reporting - Monthly

Routine Request



Examples:
Position Budget Detail
Budget vs. Actual Expenditure Report
Budget Execution Summary

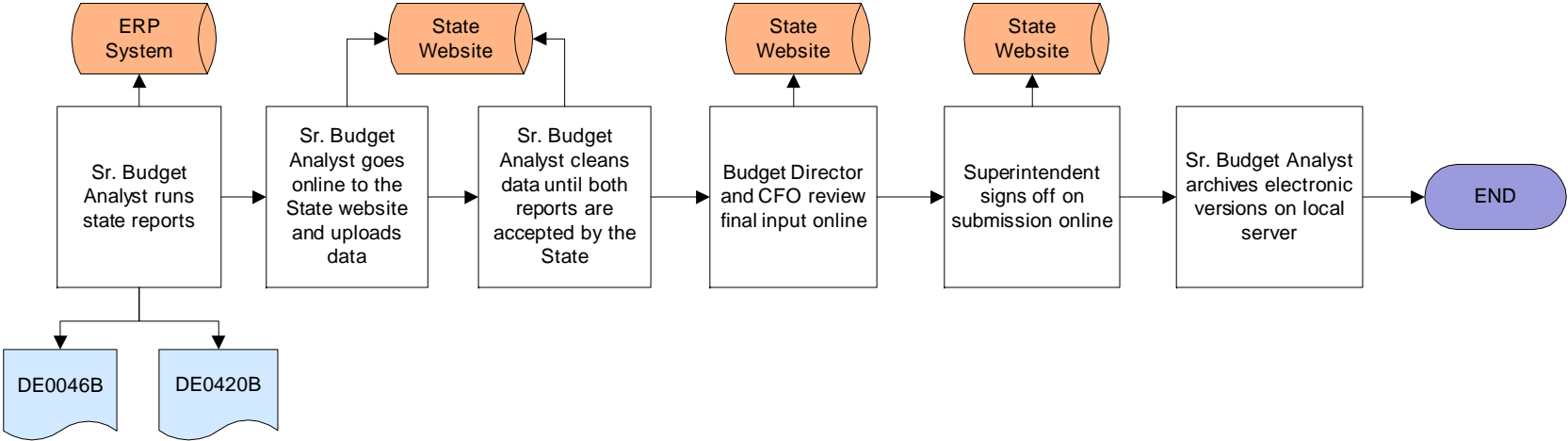
Ad Hoc Request



Department: Budget
Participants: David Fields
Validated: David Fields, 5/4/05

Note:
Schools, departments and program managers will have access to the system and will run their own reports.

State Reporting (DE0046B, 0420B) - October and April

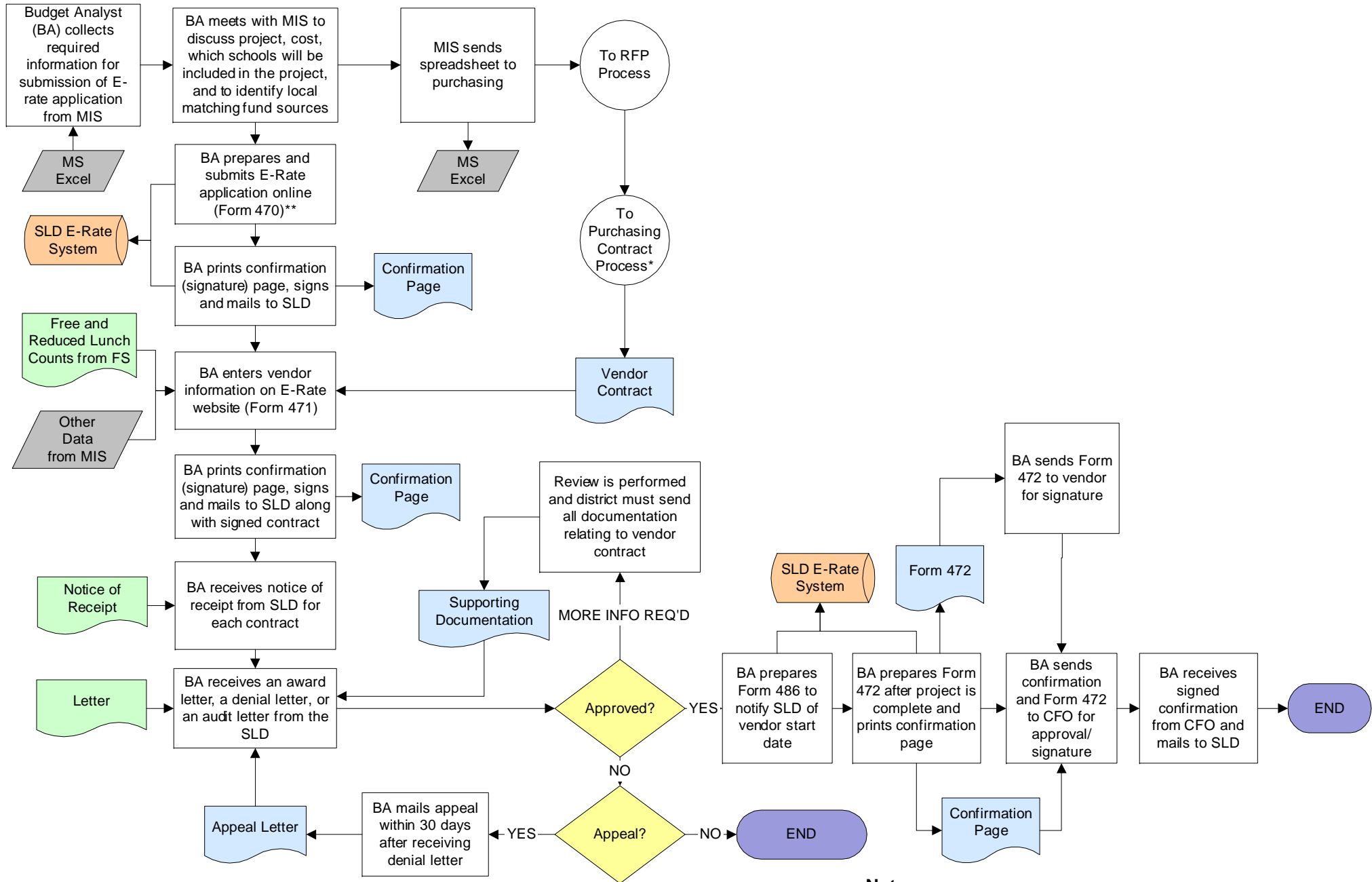


Department: Budget
Participants: David Fields
Validated: David Fields, 5/4/05

Note:
Assumes system will generate reports that map to a separate state level chart of accounts

E-Rate Processing

No changes from "as is" process map; not impacted by ERP implementation.



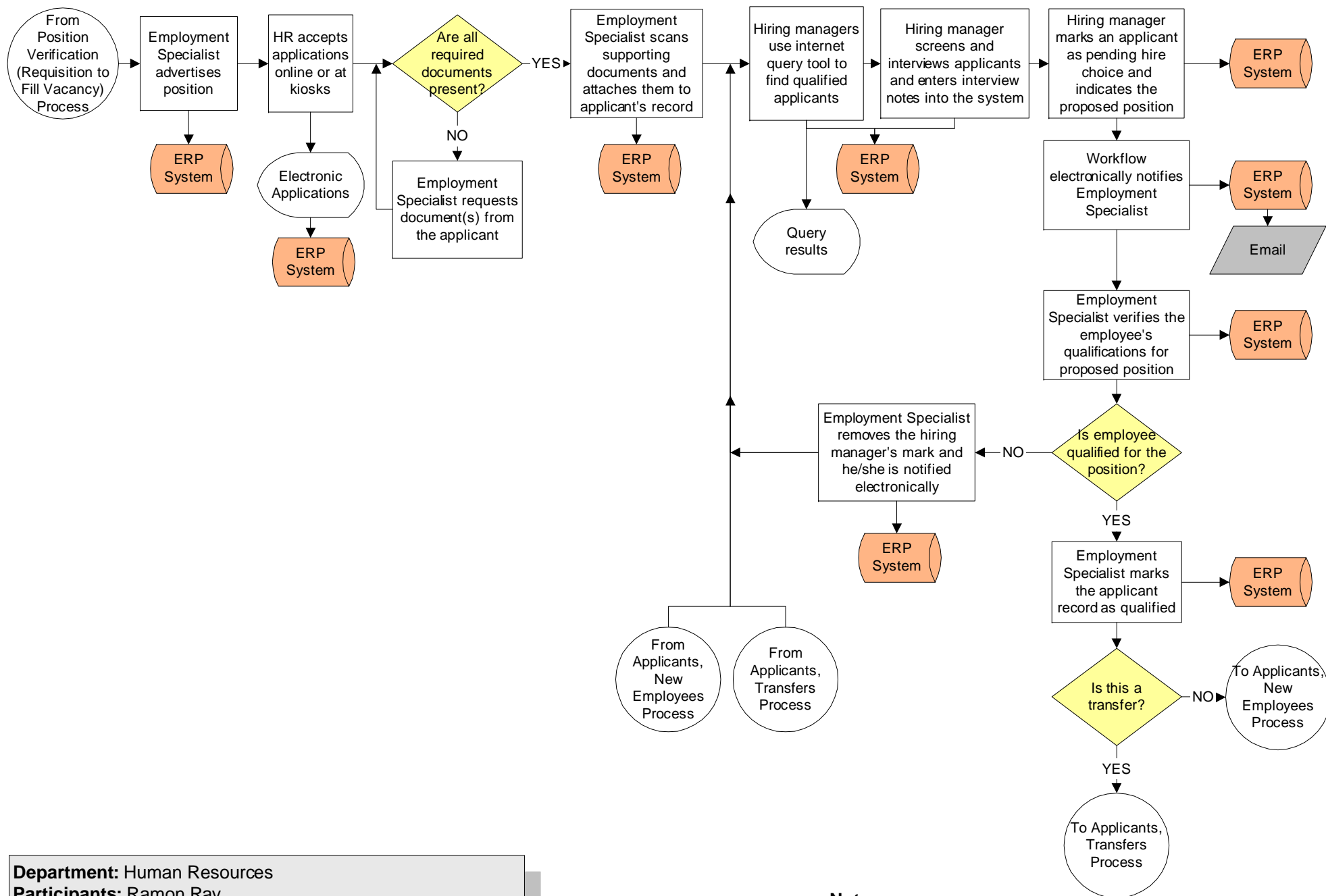
Department: Budget
Participants: David Fields
Validated: N/A - no changes made

Notes:

* Recurring projects do not require resubmission of Form 470.

** Vendors can begin contacting the district at this point. District must wait at least 28 days until contingent contract can be signed.

Applicants/New Hires/Transfers



Department: Human Resources

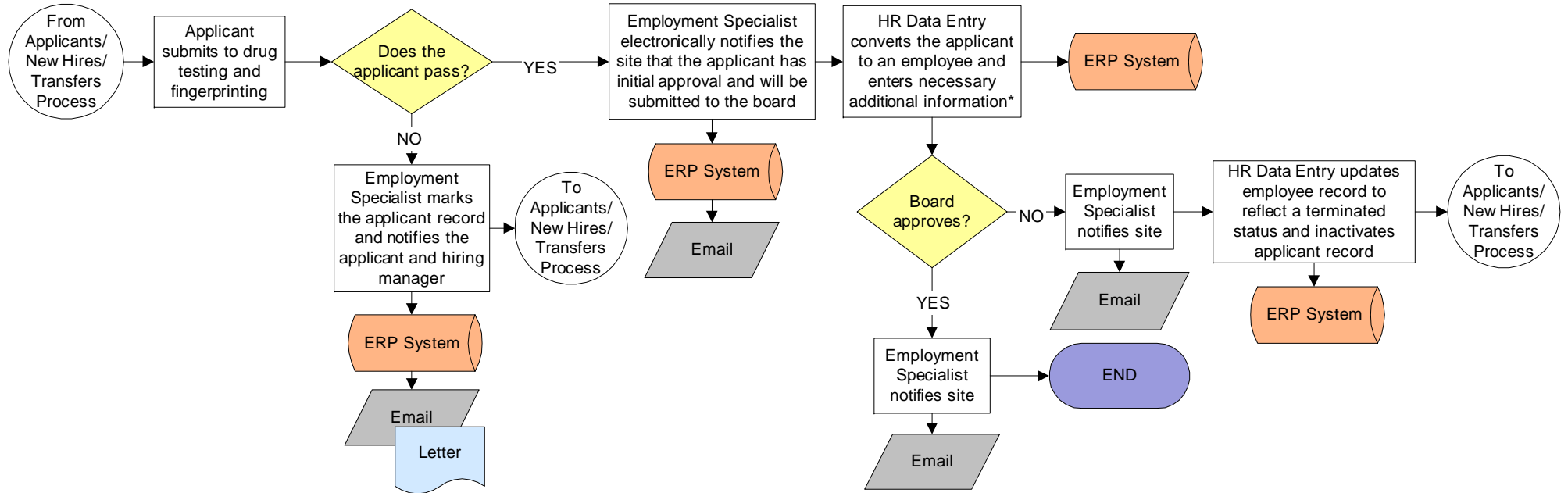
Participants: Ramon Ray

Validated: Distributed 3/31/05, No response as of 5/16/05

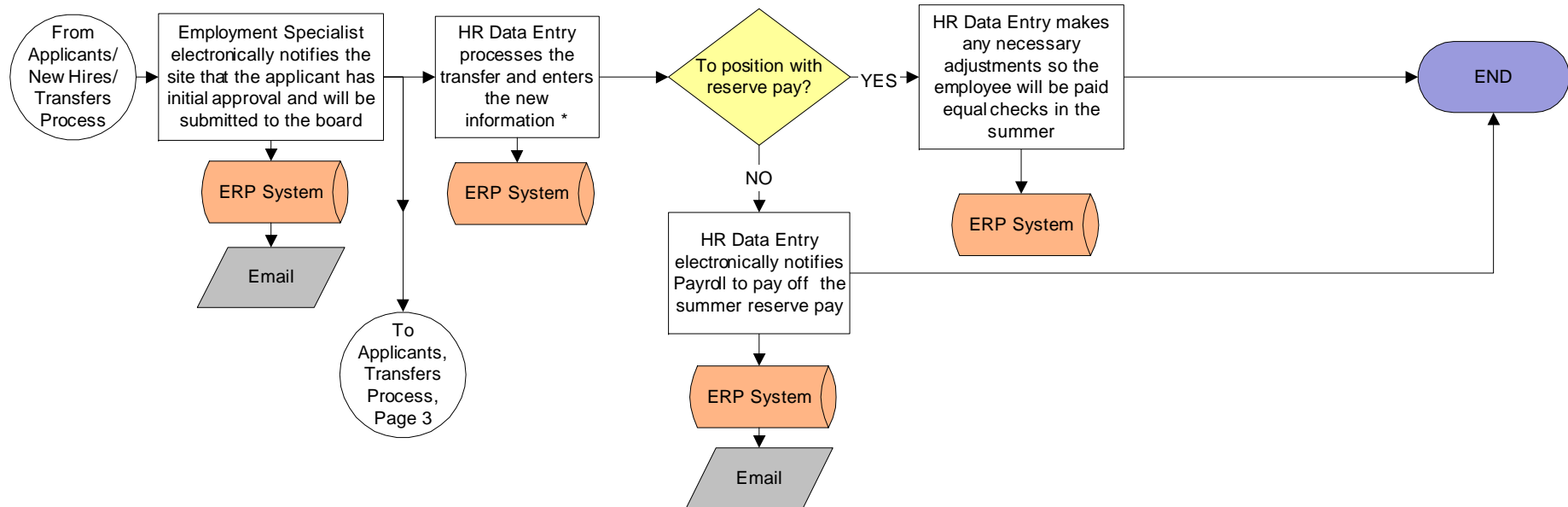
Notes:

* System automatically verifies that the position is vacant in Position Control before allowing the creation of a vacancy.

Applicants, New Employees



Applicants, Transfers

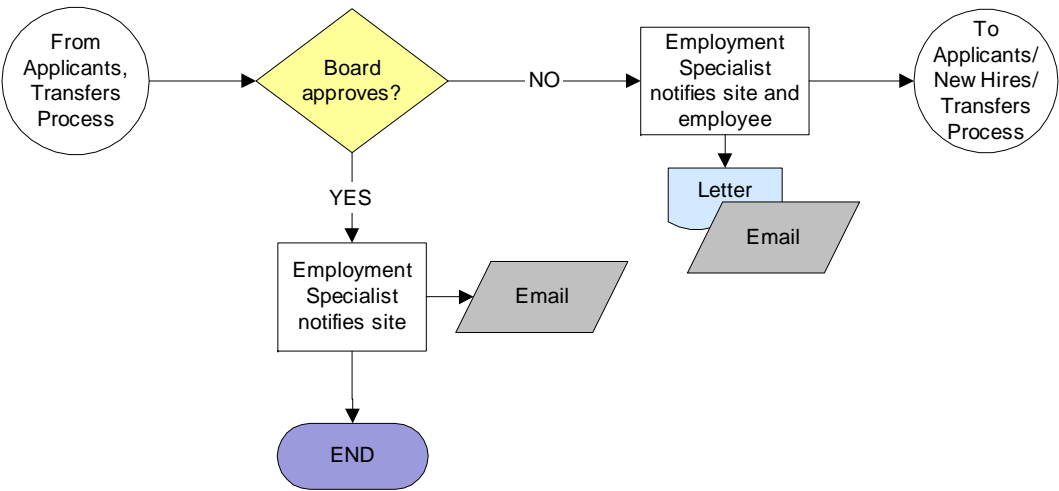


Department: Human Resources
Participants: Ramon Ray
Validated: Distributed 3/31/05, No response as of 5/16/05

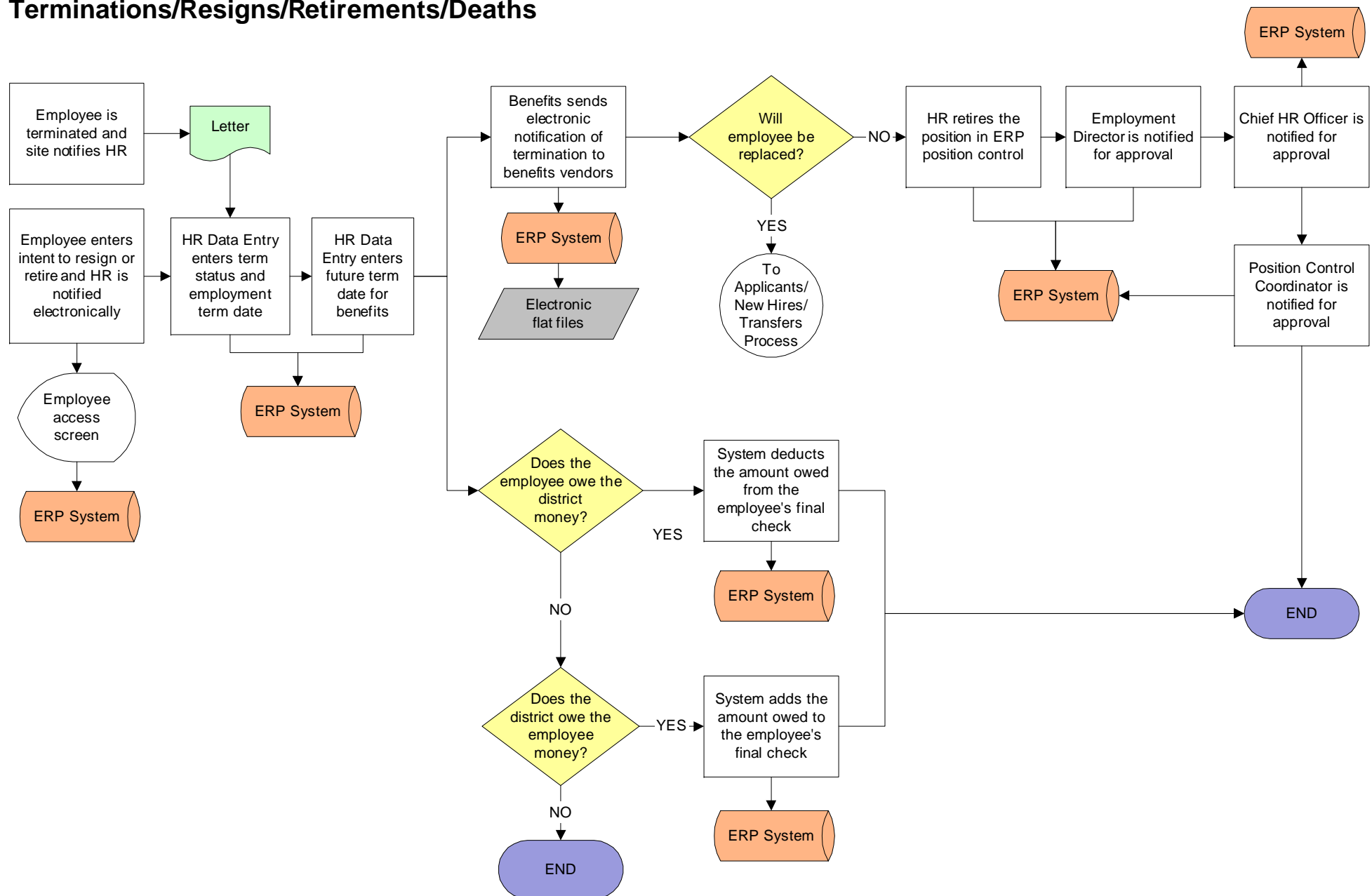
Notes:

* System automatically verifies (again) that the position is vacant in Position Control before allowing the entry of an employee into it.

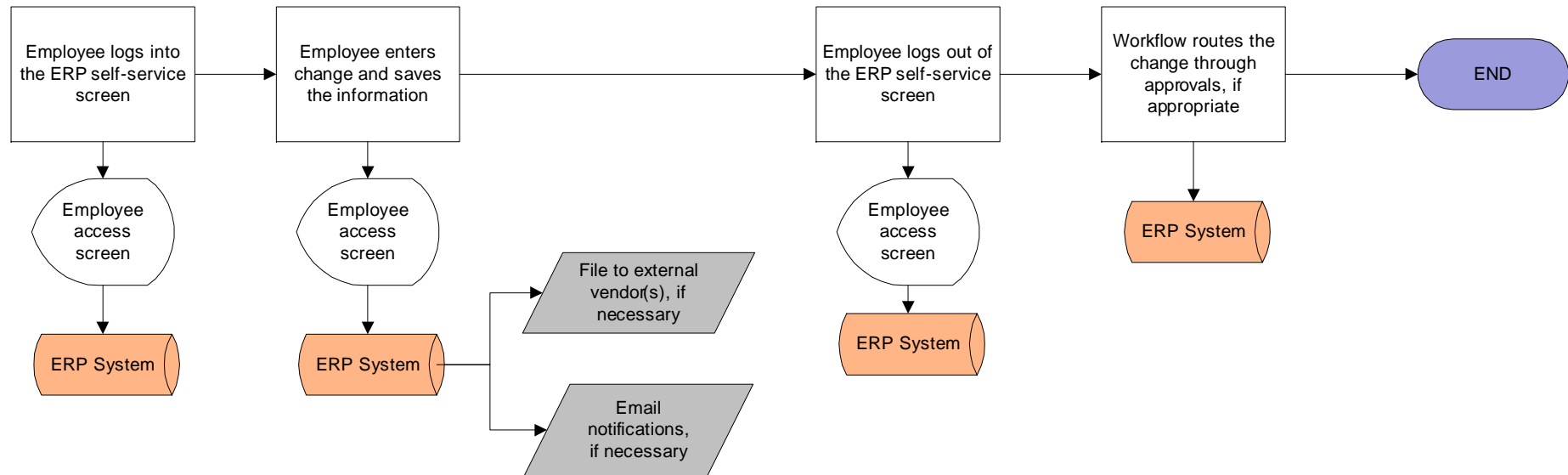
Applicants, Transfers, Page 3



Department: Human Resources
Participants: Ramon Ray, Glenn Arnsdorff, Roger Bartlett
Validated: Distributed 3/31/05, No response as of 5/16/05



Employee Self-Service Changes



Department: Human Resources

Participants: Ramon Ray, Glenn Arnsdorff, Roger Bartlett

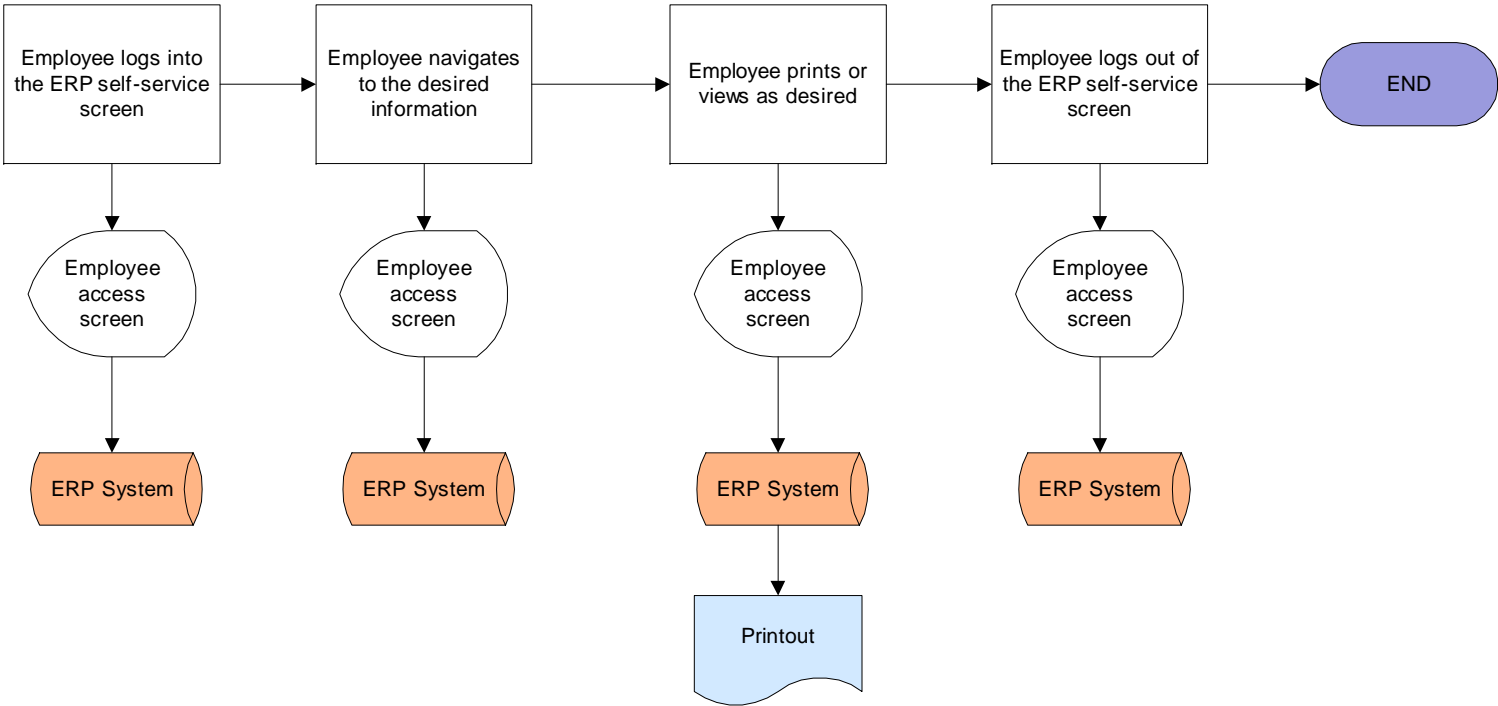
Validated: Distributed 3/31/05, No response as of 5/16/05

Notes:

Changes such as:

- address changes
- emergency contact update
- dependent information update
- bank information update
- withholding changes
- leave requests
- application for open jobs

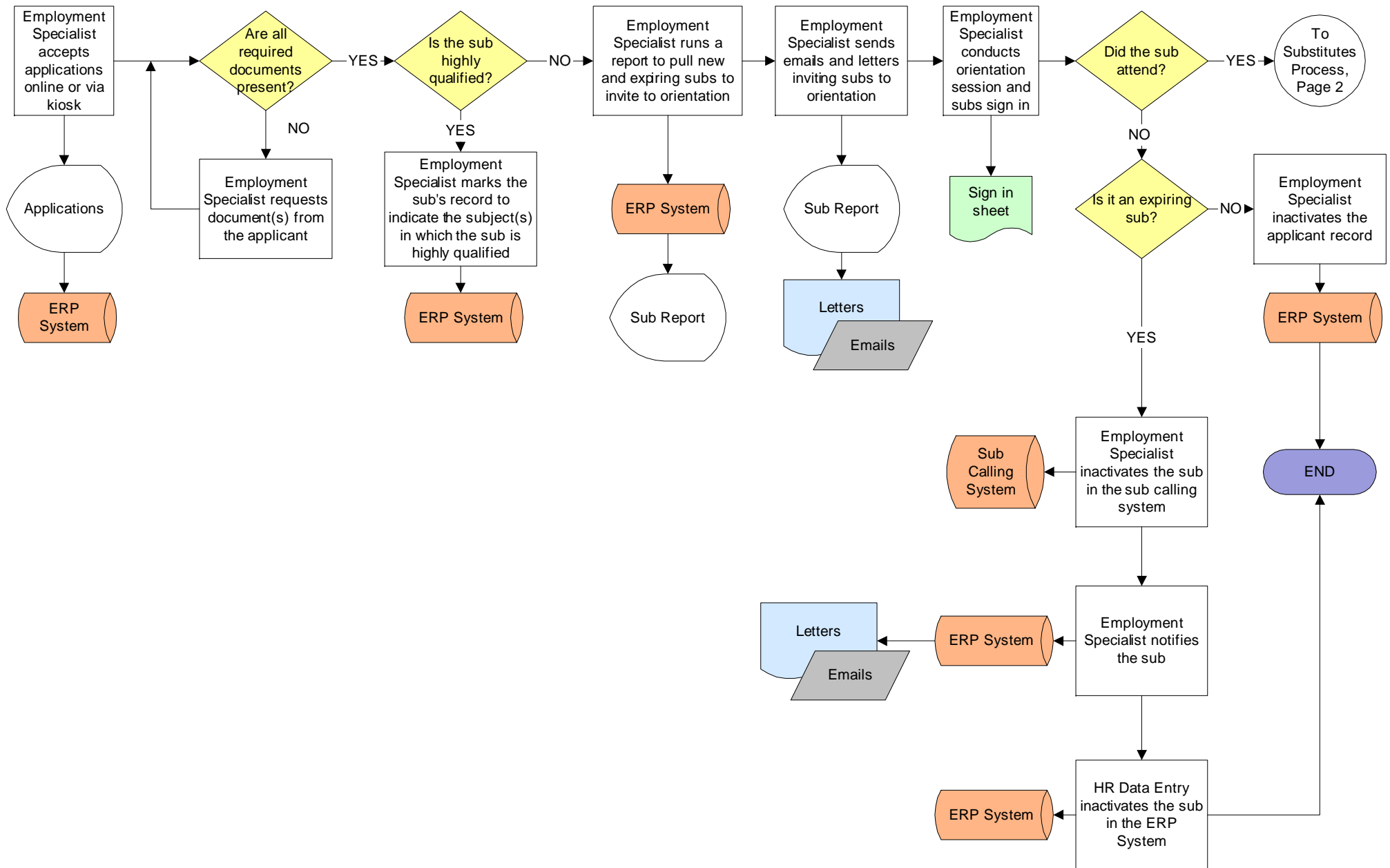
Employee Self-Service Inquiries



Department: Human Resources
Participants: Ramon Ray, Glenn Arnsdorff, Roger Bartlett
Validated: Distributed 3/31/05, No response as of 5/16/05

Notes:
Inquiries such as:
- pay stubs
- benefits enrolled in
- salary and job information
- salary verification statements

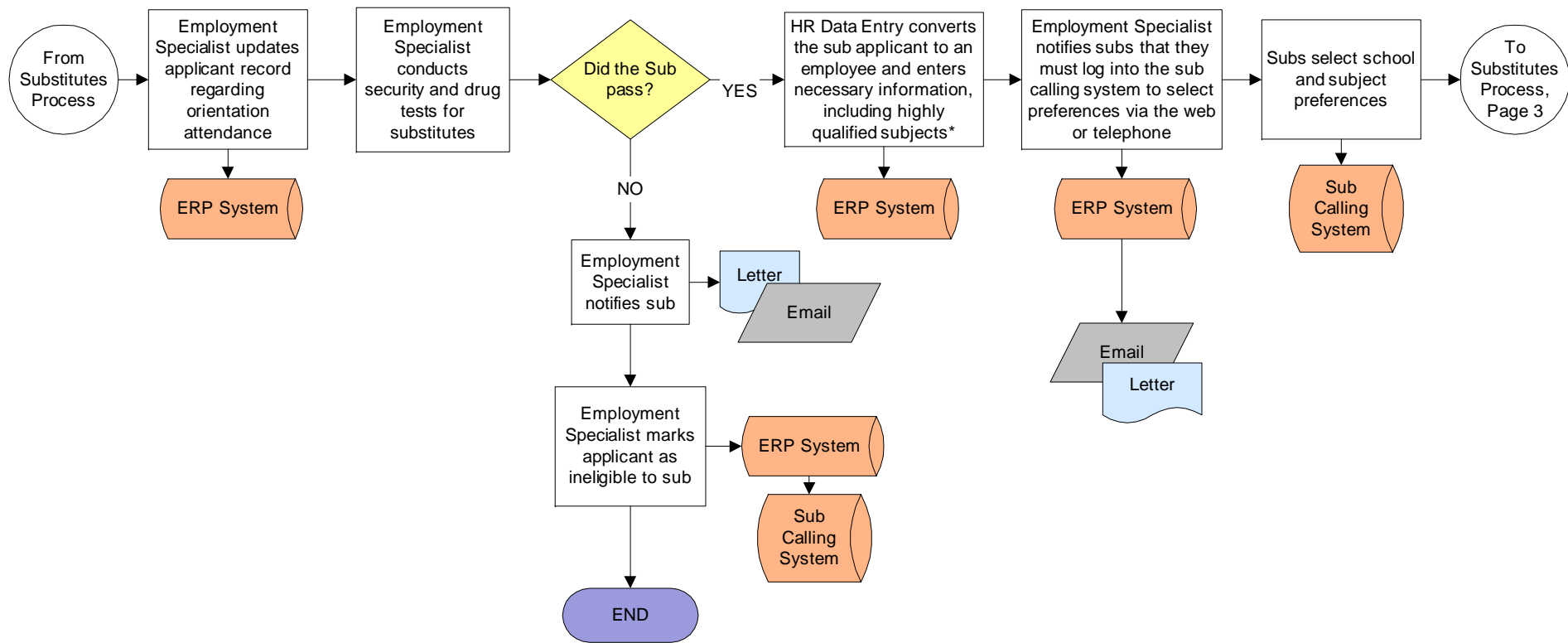
Substitutes



Department: Human Resources
Participants: Ramon Ray
Validated: Distributed 3/31/05, No response as of 5/16/05

Notes:
 14 orientations per year - between 75 to 85 people.

Substitutes, Page 2



Department: Human Resources

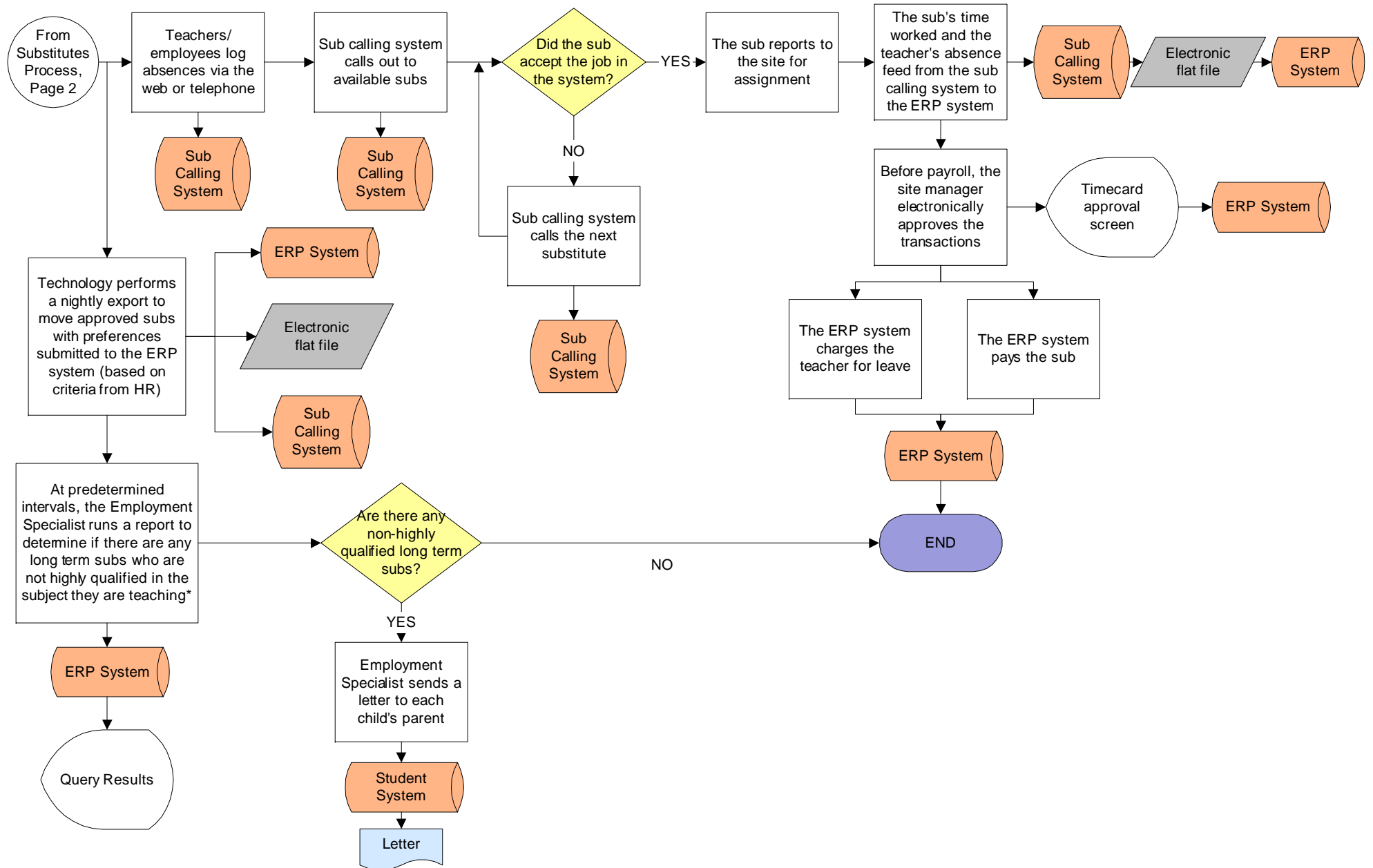
Participants: Ramon Ray

Validated: Distributed 3/31/05, No response as of 5/16/05

Notes:

*NCLB requires that parents are notified if a student has received instruction for four or more consecutive weeks by a teacher who is not highly qualified.

Substitutes, Page 3

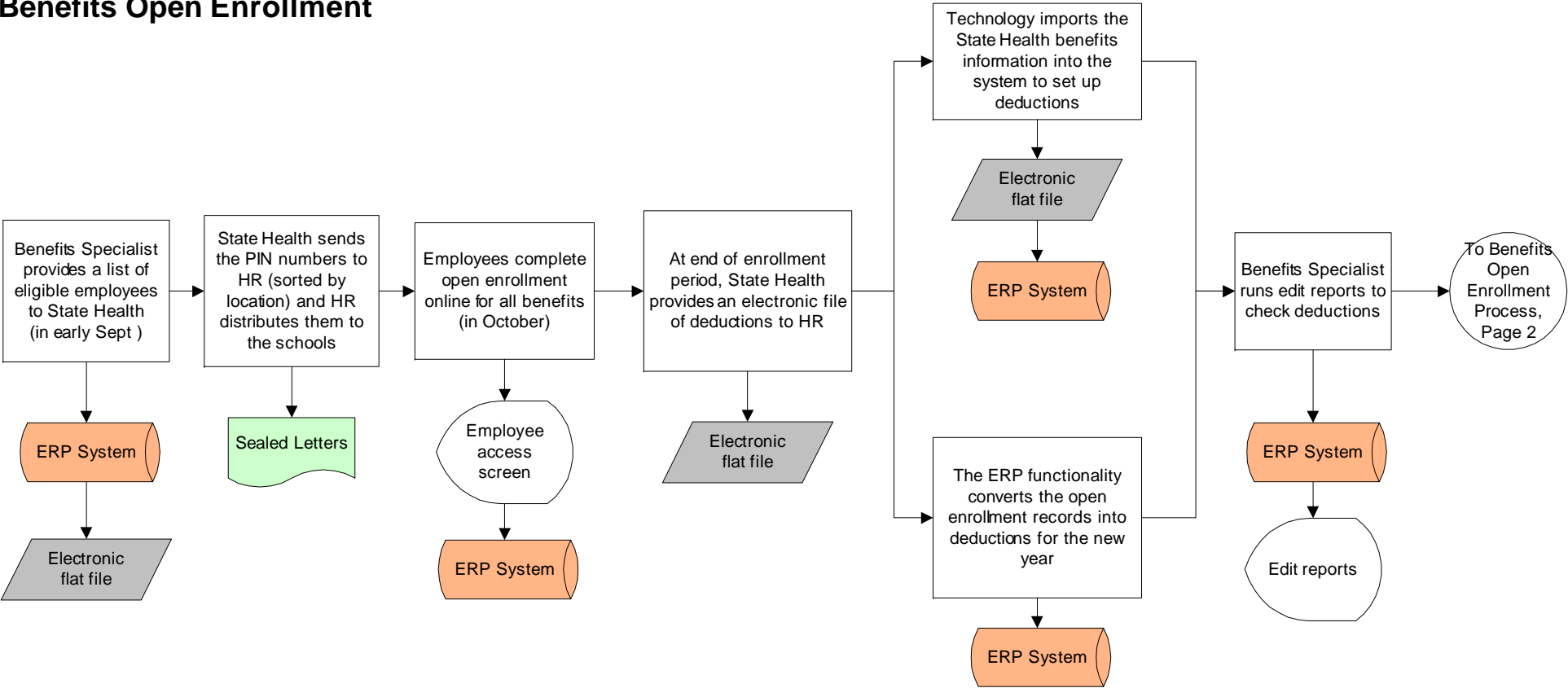


Department: Human Resources
Participants: Ramon Ray
Validated: Distributed 3/31/05, No response as of 5/16/05

Notes:

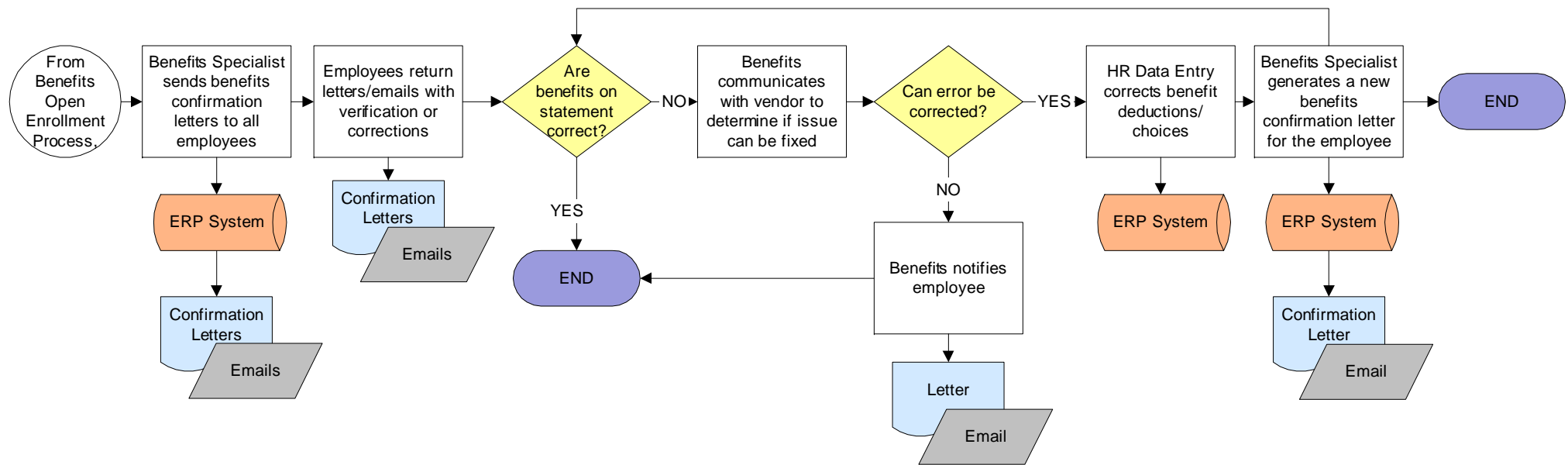
*NCLB requires that parents are notified if a student has received instruction for four or more consecutive weeks by a teacher who is not highly qualified.

Benefits Open Enrollment



Department: Human Resources/Benefits
Participants: Glenn Arnsdorff, Roger Bartlett
Validated: Distributed 3/31/05, No response as of 5/16/05

Benefits Open Enrollment, Page 2



Department: Human Resources/Benefits

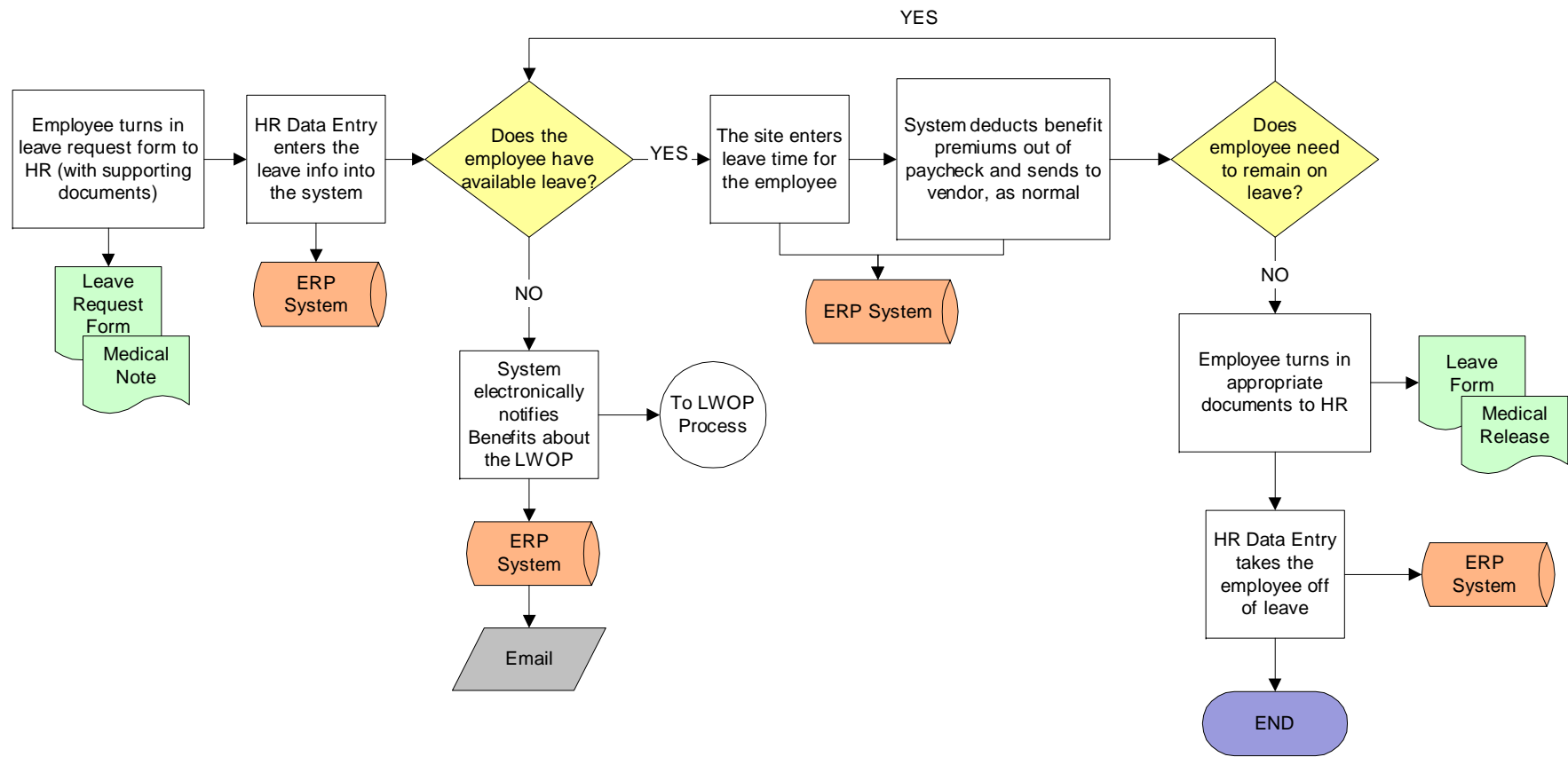
Participants: Glenn Arnsdorff, Roger Bartlett

Validated: Distributed 3/31/05, No response as of 5/16/05

Notes:

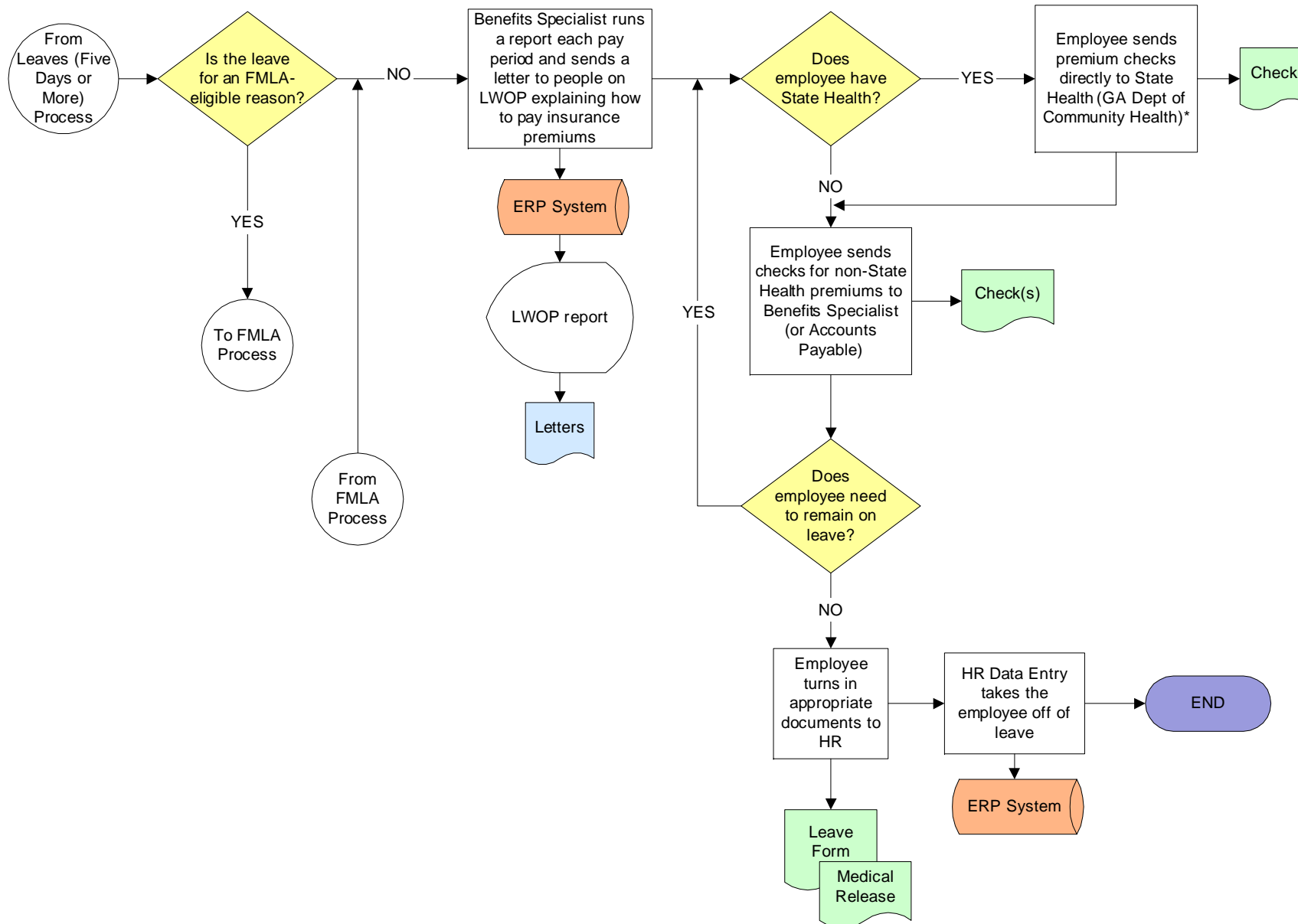
State Health sends the new insurance cards to SCCPS, who mails them out.

Leave (Five Days or More)



Department: Human Resources/Benefits
Participants: Glenn Arnsdorff, Roger Bartlett
Validated: Distributed 3/31/05, No response as of 5/16/05

Leave Without Pay (LWOP)



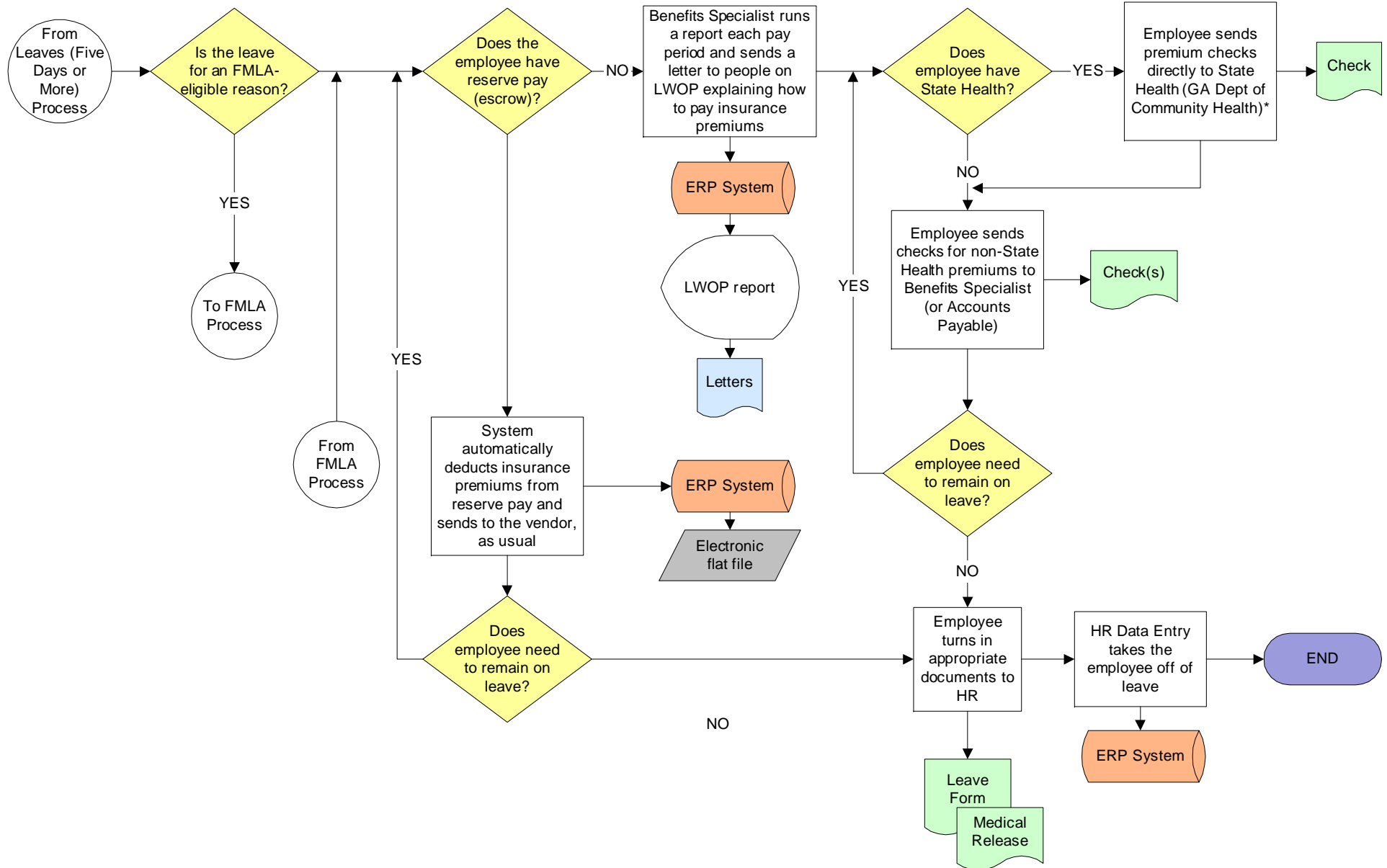
Department: Human Resources/Benefits
Participants: Glenn Arnsdorff, Roger Bartlett
Validated: Distributed 3/31/05, No response as of 5/16/05

Notes:

*If employee does not have a paid workday or holiday in the month, then State Health does not allow SCCPS to take the deduction from reserve pay. Employee must pay State Health by check.

Leave Without Pay (LWOP), Version 2

Insurance Premiums Taken From Reserve Pay (Escrow)

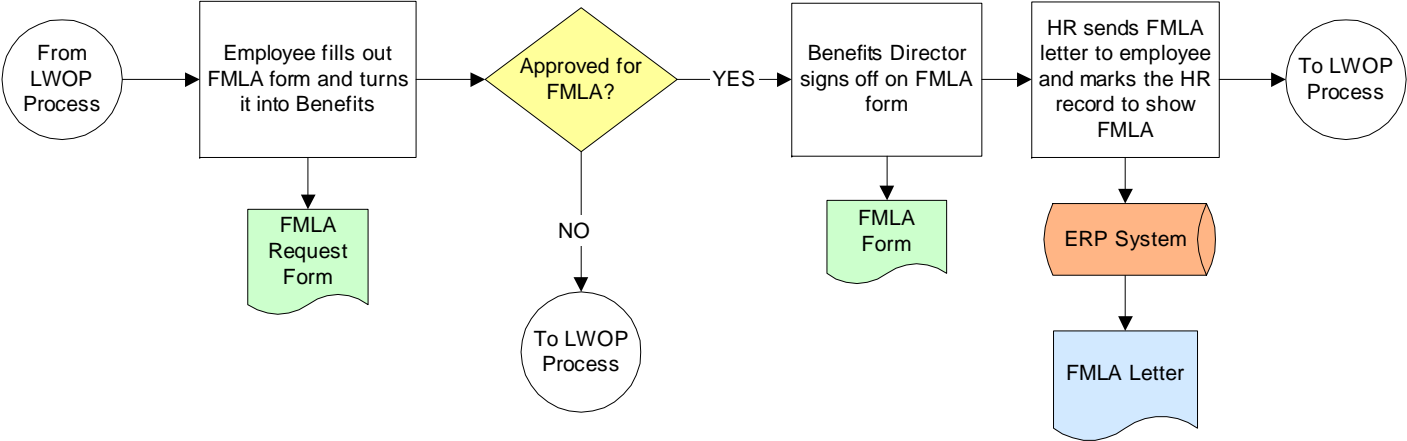


Department: Human Resources/Benefits
Participants: Glenn Arnsdorff, Roger Bartlett
Validated: Distributed 3/31/05, No response as of 5/16/05

Notes:

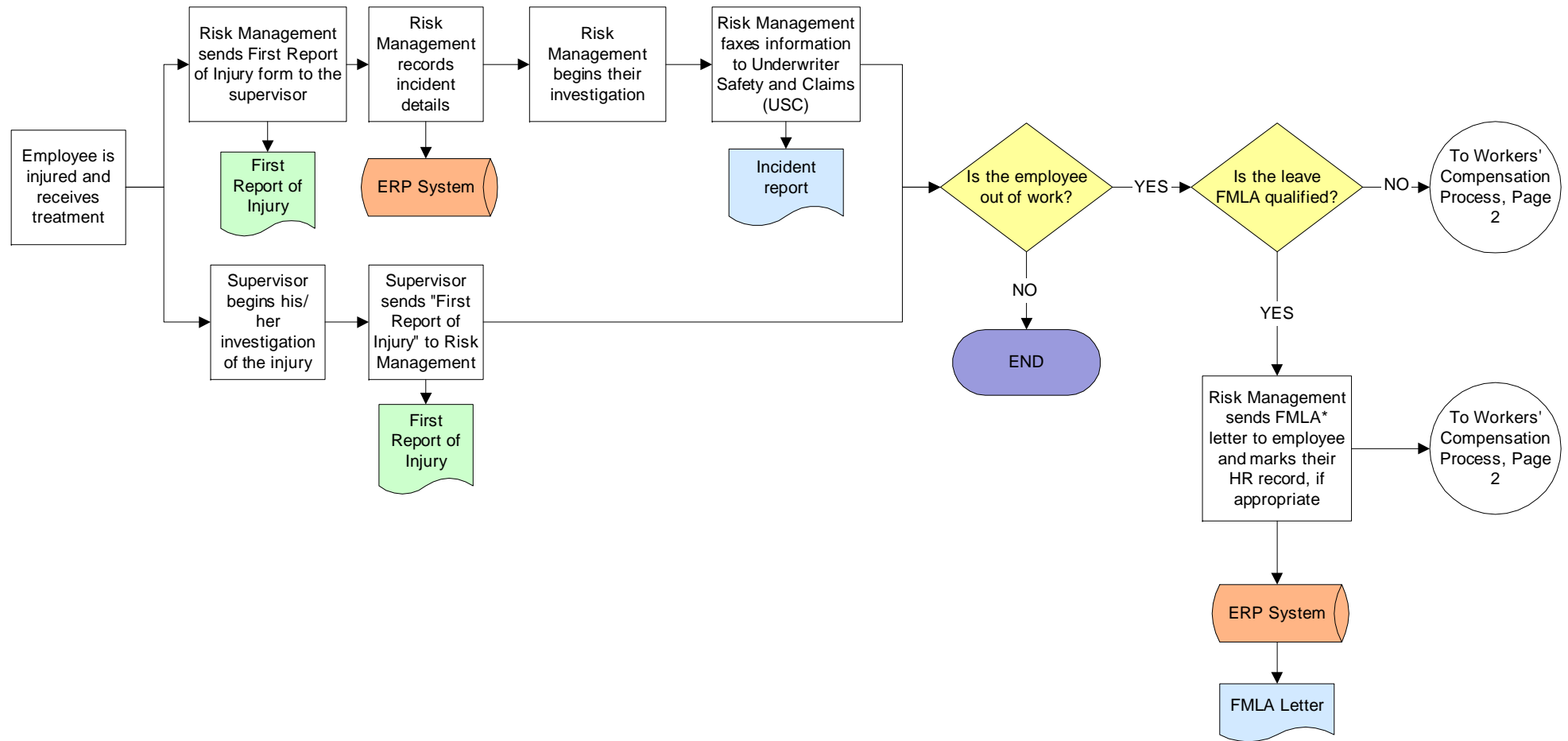
*If employee does not have a paid workday or holiday in the month, then State Health does not allow SCCPS to take the deduction from reserve pay. Employee must pay State Health by check.

Family Medical Leave Act (FMLA)



Department: Human Resources/Benefits
Participants: Glenn Arnsdorff, Roger Bartlett
Validated: Distributed 3/31/05, No response as of 5/16/05

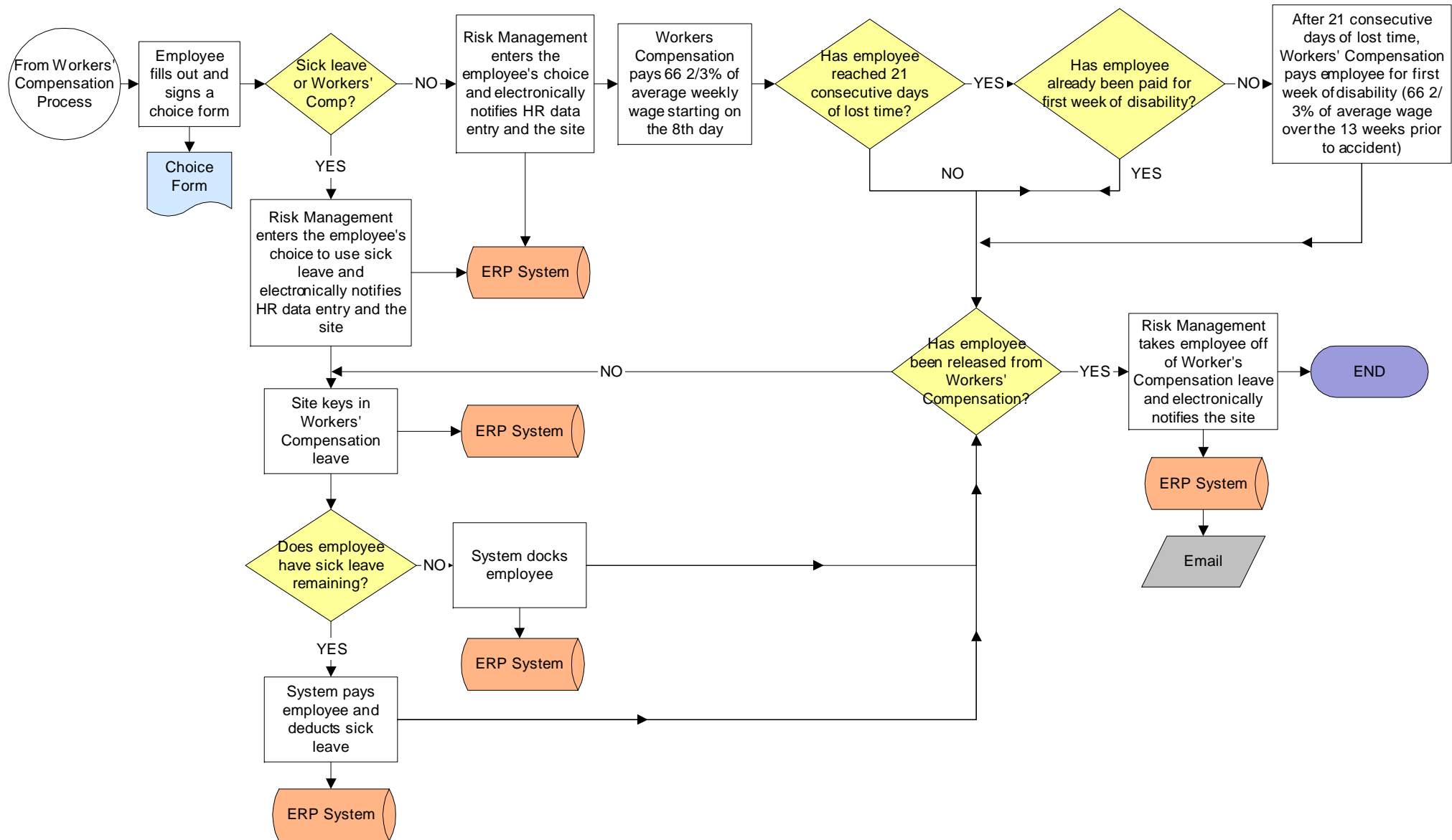
Workers' Compensation



Department: Human Resources/Risk Management
Participants: Rob Gordon
Validated: Distributed 3/31/05, No response as of 5/16/05

Notes:
* Family Medical Leave Act

Workers' Compensation, Page 2



Notes:

Risk Management runs periodic reports such as:

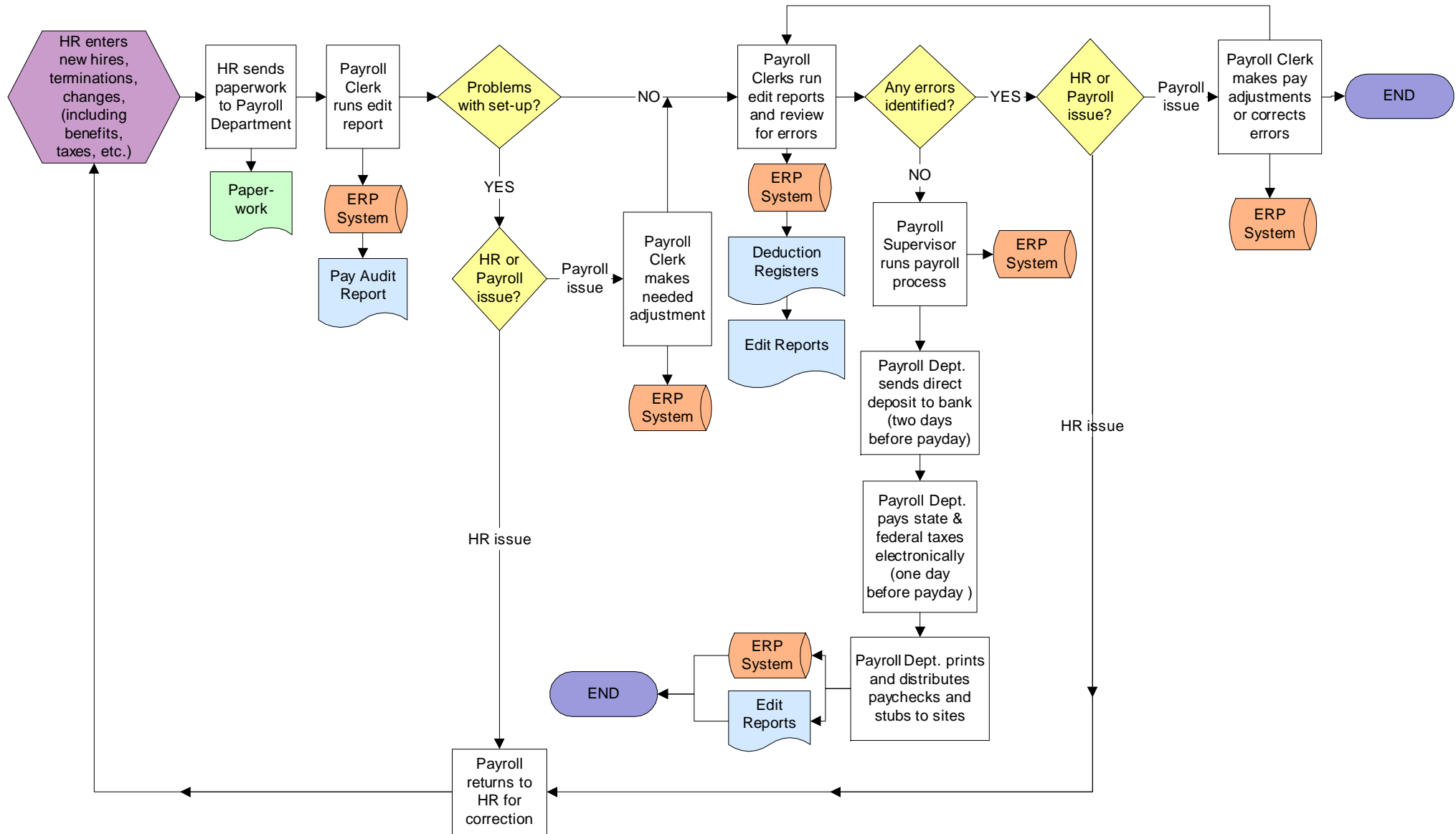
- Incident Detail
- Incident Summary
- Location Incident Summary
- Employees in Incidents over Time Period
- Non-Employees in Incidents over Time Period
- Lost Work in Time Period

Department: Human Resources/Risk Management

Participants: Rob Gordon

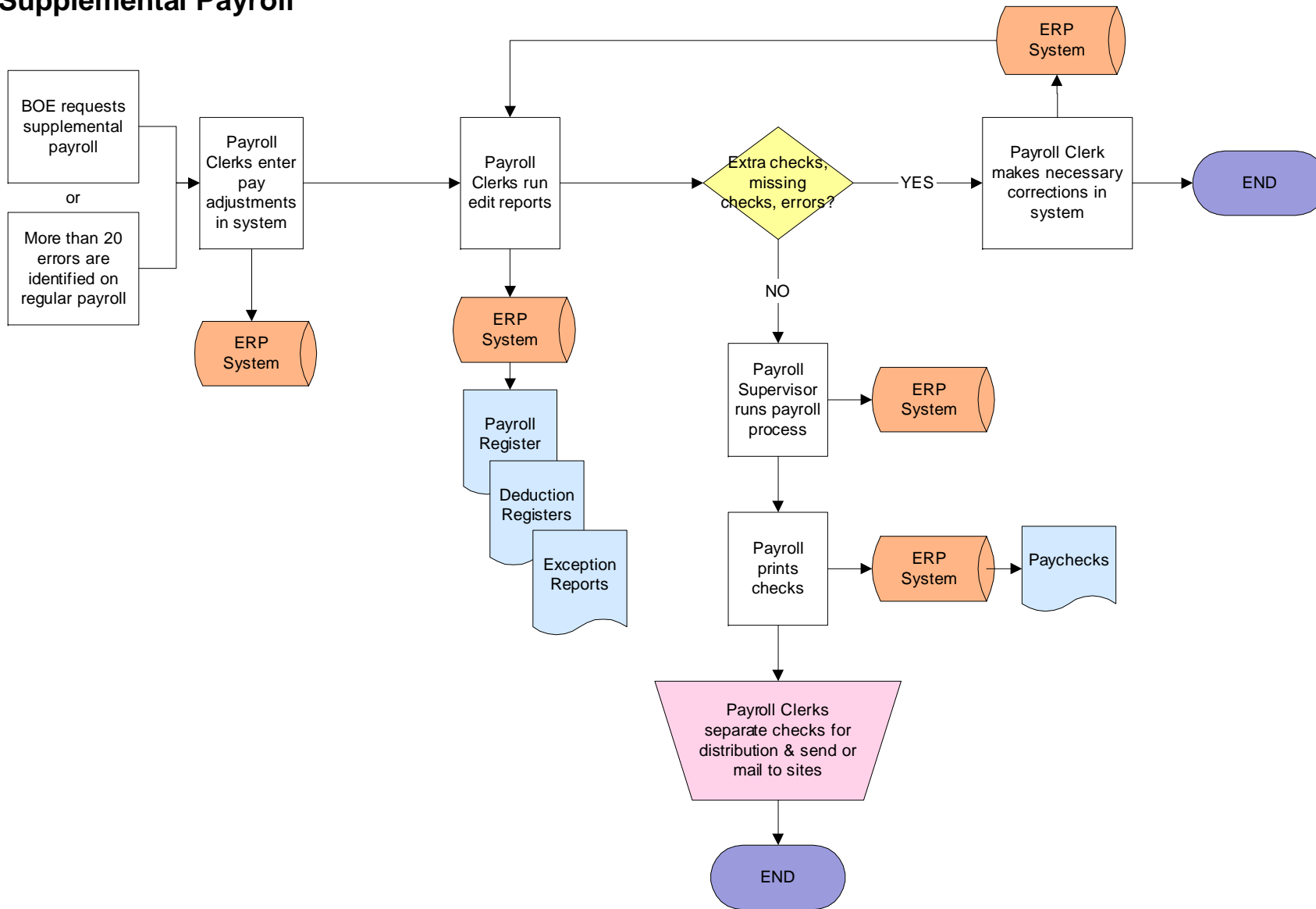
Validated: Distributed 3/31/05, No response as of 5/16/05

Payroll



Department: Payroll
Participants: Matthew Yoakum, Sheryle Null
Validated: Matthew Yoakum, 3/14/05

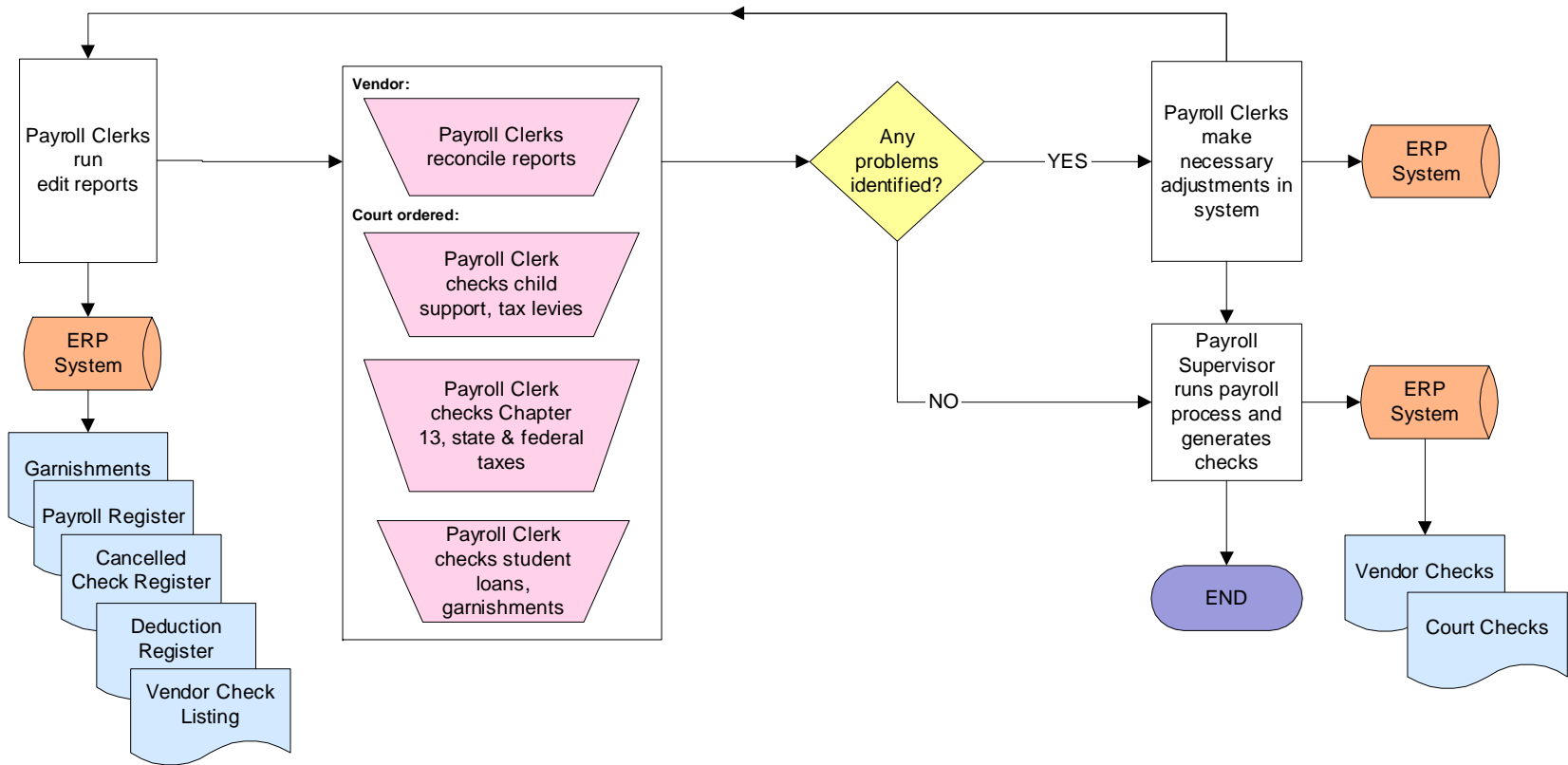
Supplemental Payroll



Department: Payroll
Participants: Matthew Yoakum, Sheryle Null
Validated: Matthew Yoakum, 3/14/05

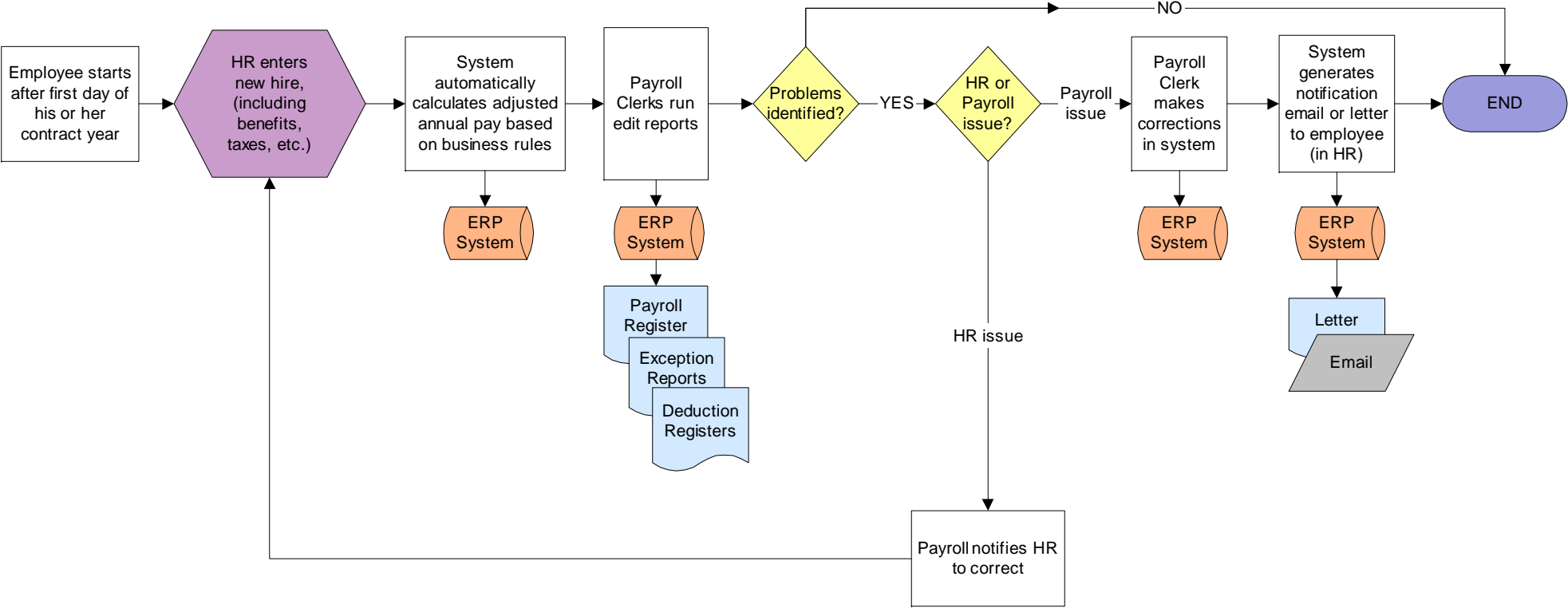
Notes:
BOE = Board of Education

Vendor Register Reconciliation

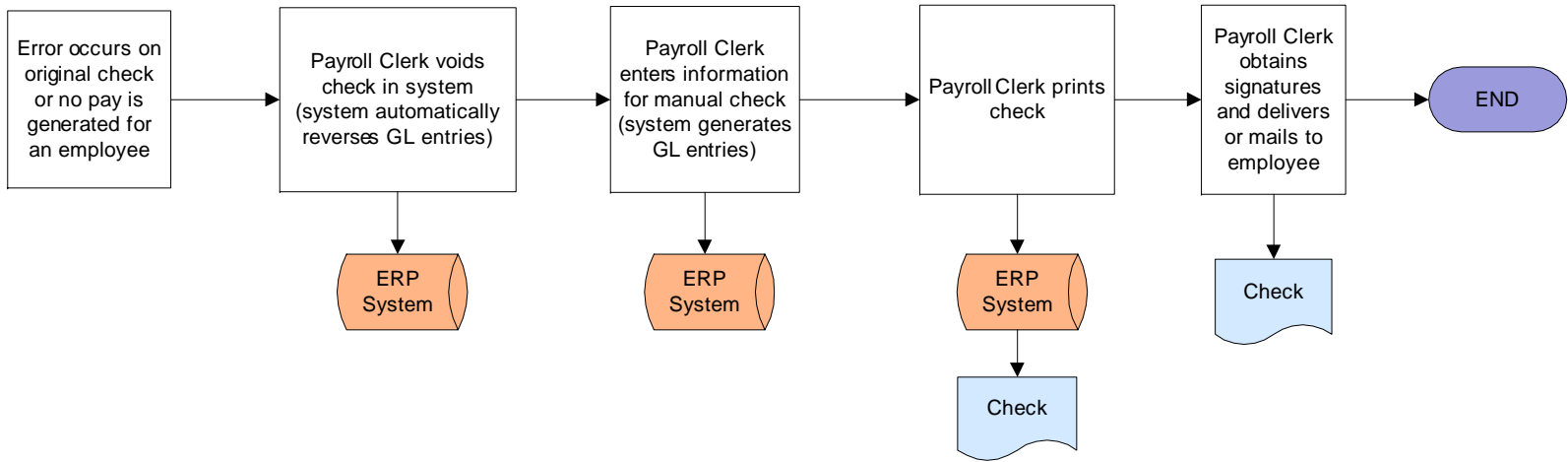


Department: Payroll
Participants: Matthew Yoakum, Sheryle Null
Validated: Matthew Yoakum, 3/14/05

Late Starts

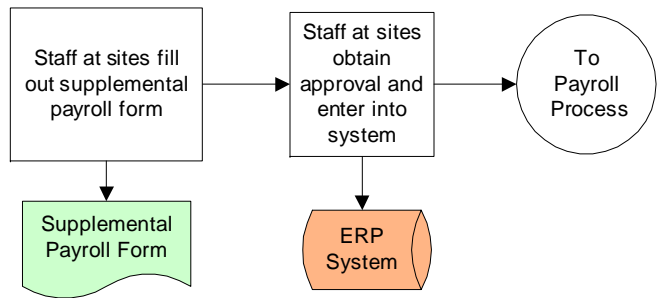


Manual Checks

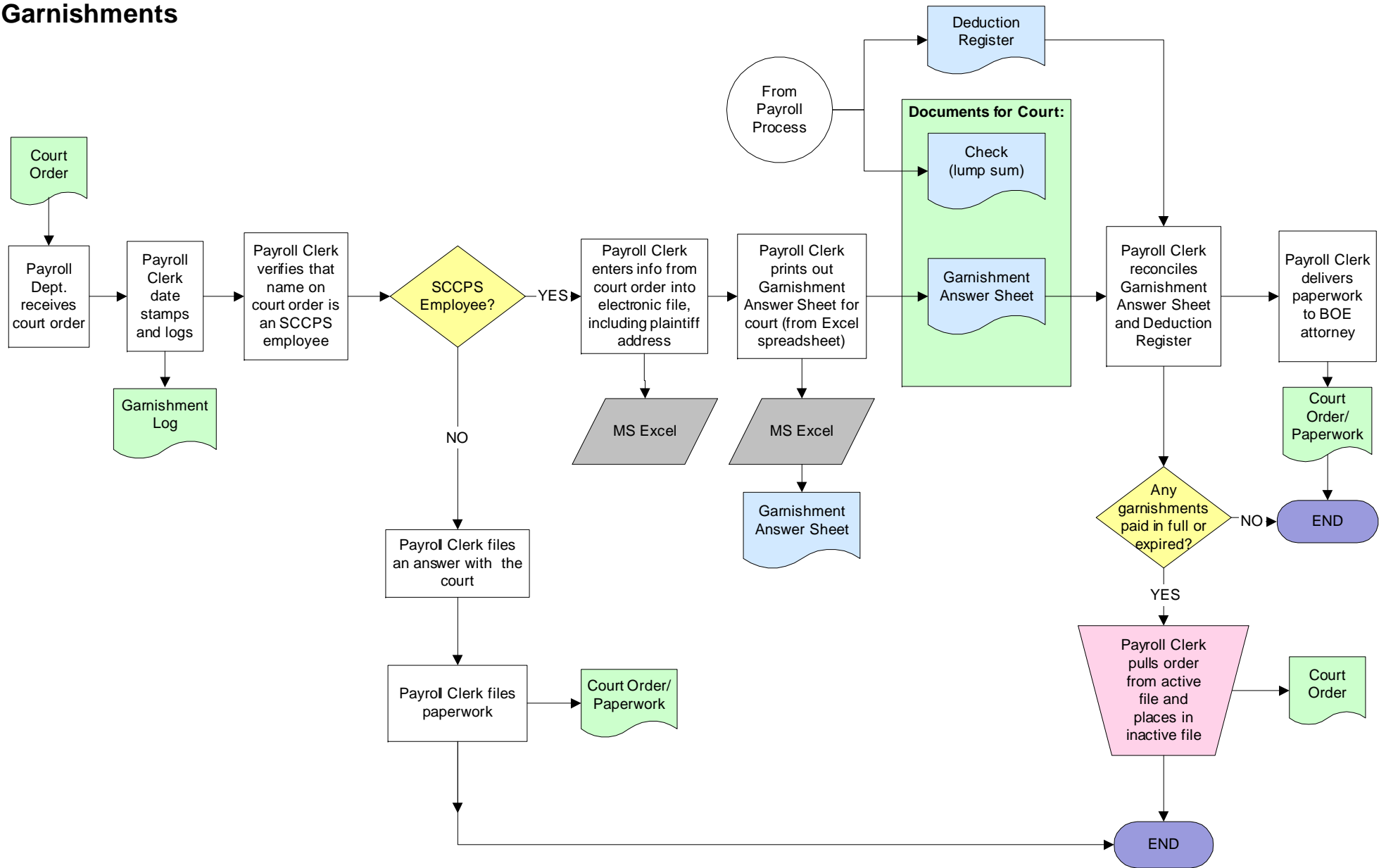


Department: Payroll
Participants: Matthew Yoakum, Sheryle Null
Validated: Matthew Yoakum, 3/14/05

Supplemental Pay



Garnishments

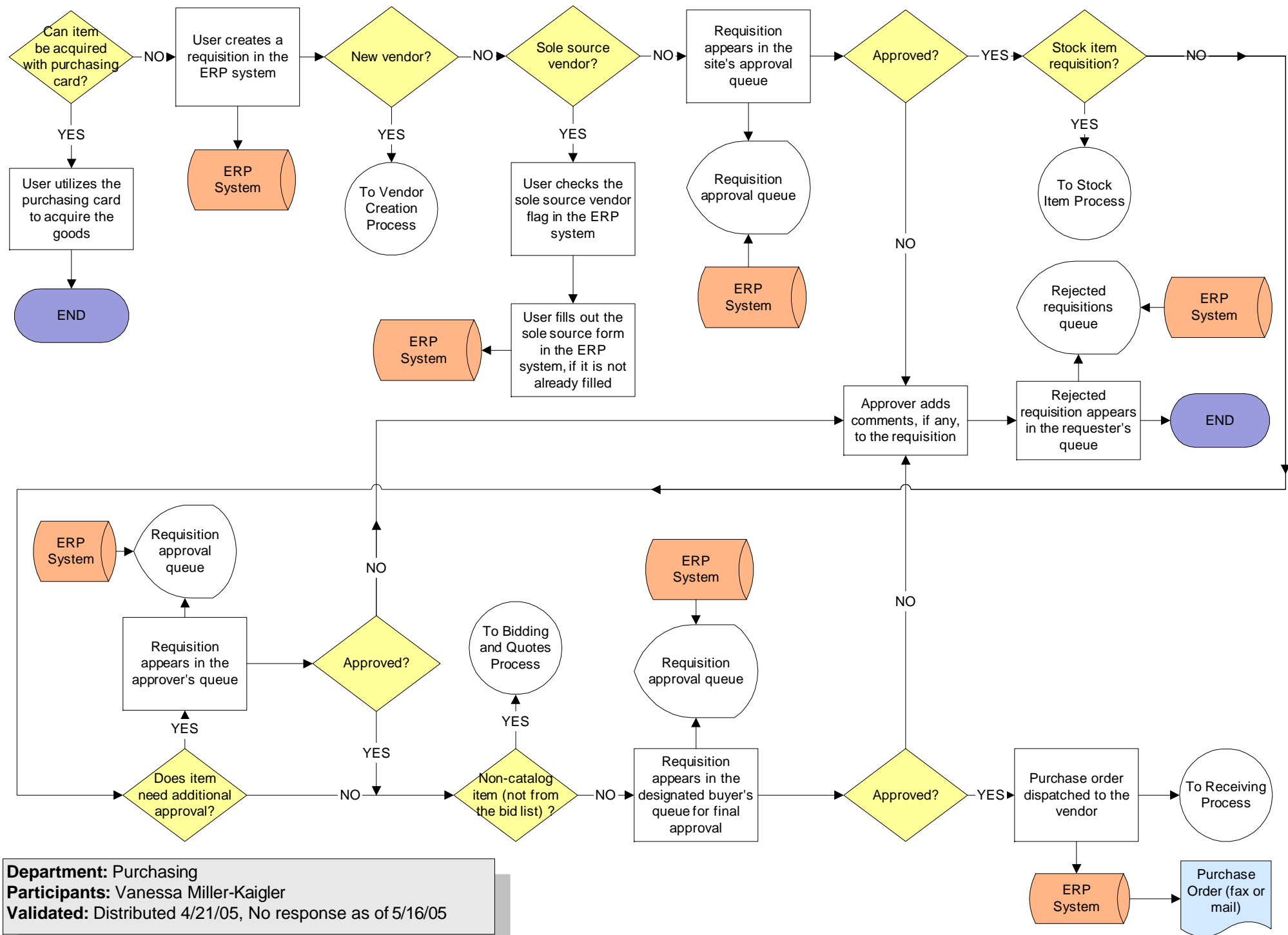


Department: Payroll
Participants: Matthew Yoakum, Sheryle Null
Validated: Matthew Yoakum, 3/14/05

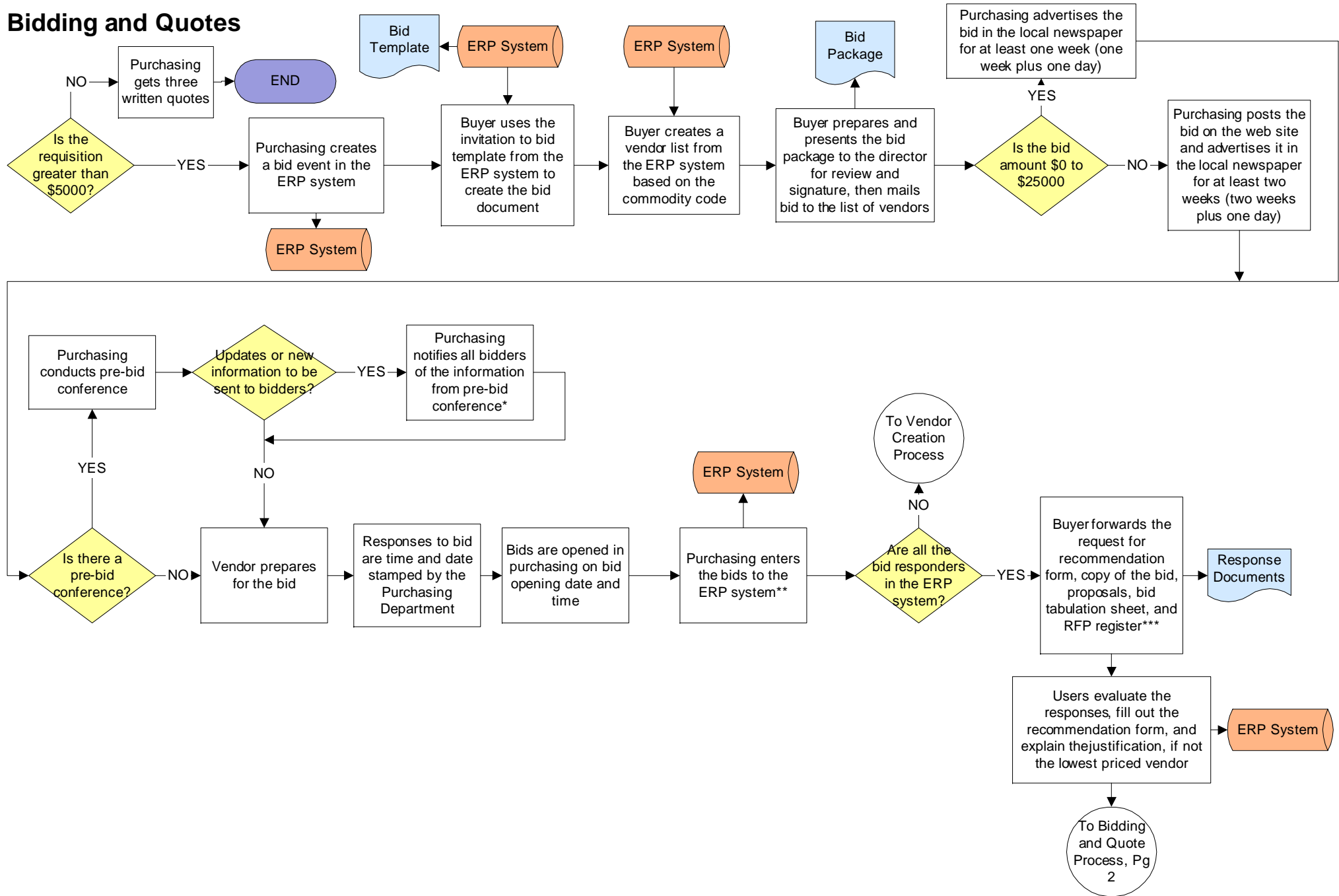
Notes:

BOE = Board of Education
 If garnishment is missed, SCCPS must pay the Court.

Requisitions



Bidding and Quotes

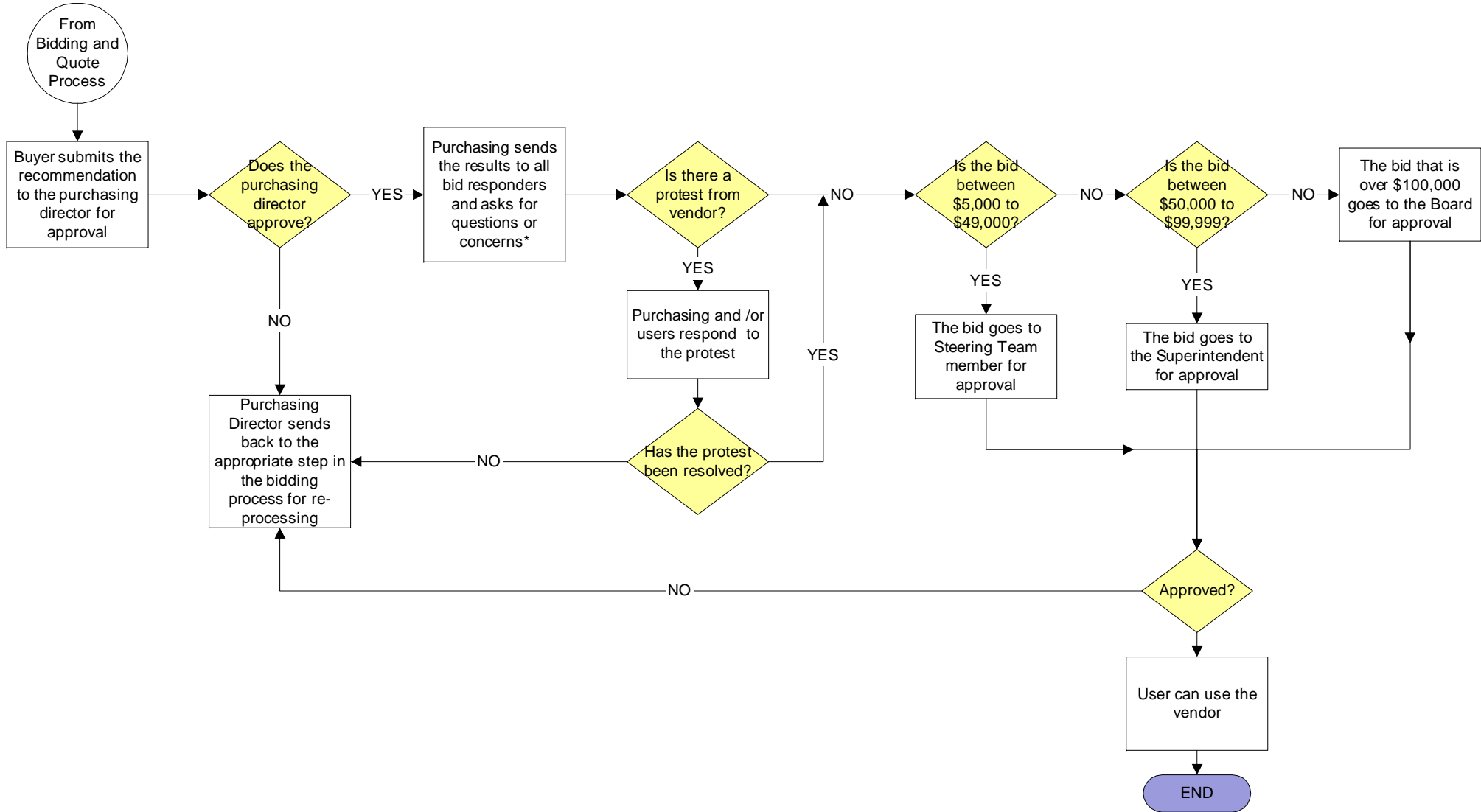


Department: Purchasing
Participants: Shera L, Bridgette K, Joan C., Vanessa M.
Validated: Distributed 4/21/05, No response as of 5/16/05

Notes:

- *Addendum must be issued within 72 hours of bid opening.
- **Purchasing posts unaudited tabulation sheet to the web site.
- ***Users have two weeks to evaluate.

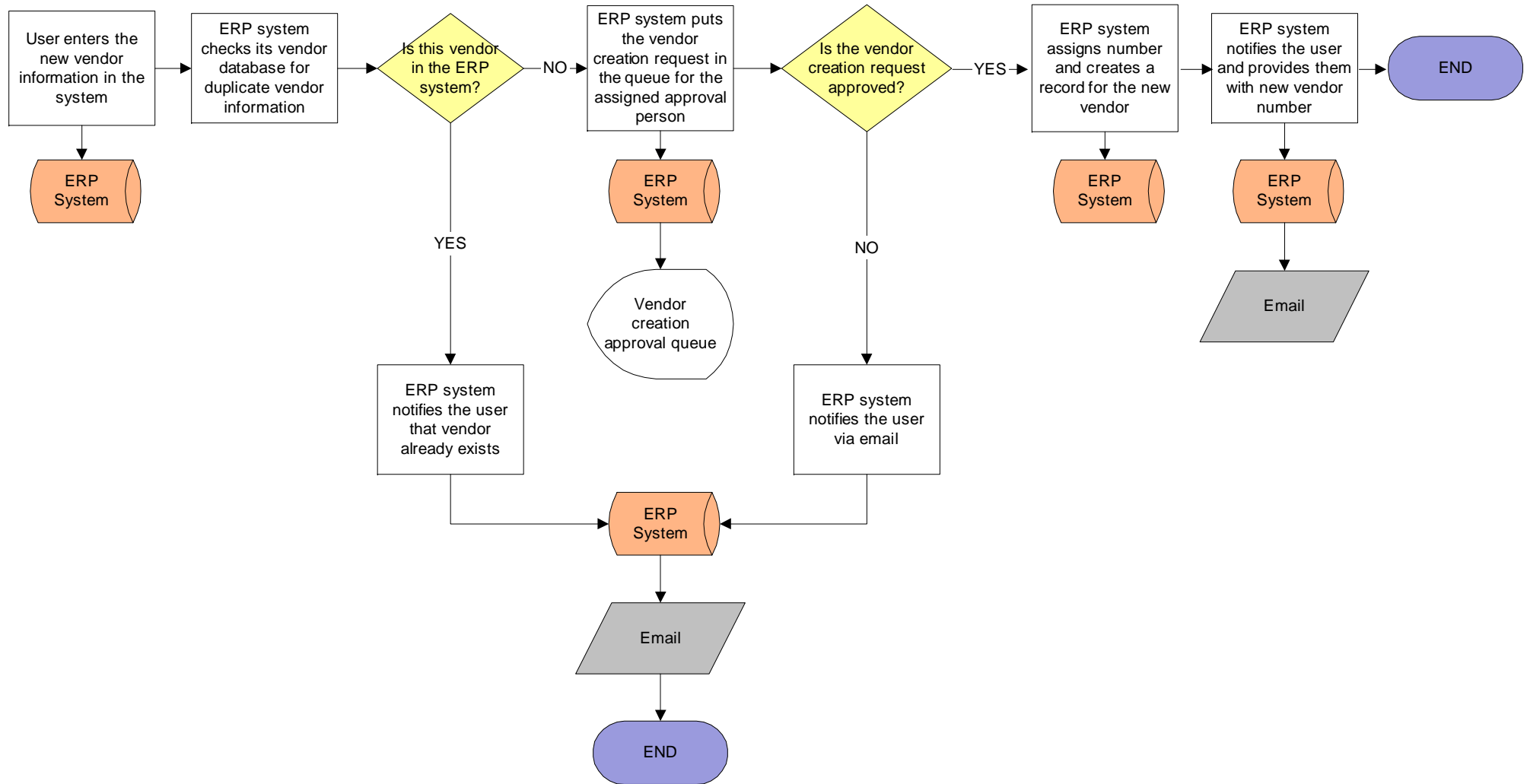
Bidding and Quotes, Page 2



Department: Purchasing
Participants: Shera L, Bridgette K, Joan C., Vanessa M.
Validated: Distributed 4/21/05, No response as of 5/16/05

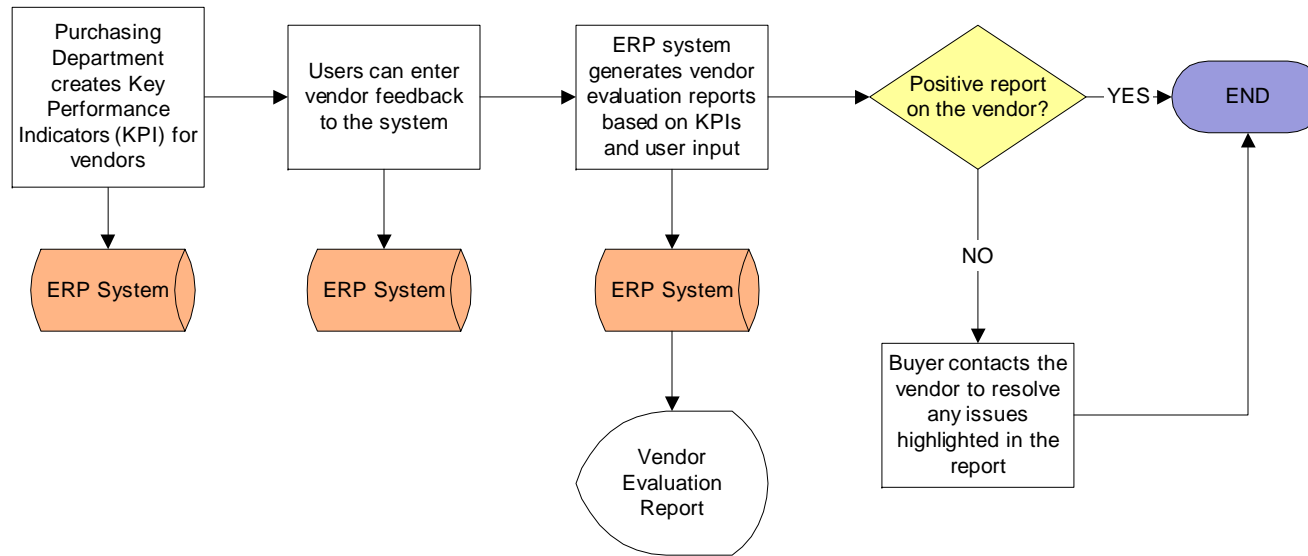
Notes:
Vendors have one week to respond

Vendor Creation



Department: Purchasing
Participants: Vanessa Miller-Kaigler
Validated: Distributed 4/21/05, No response as of 5/16/05

Vendor Evaluation

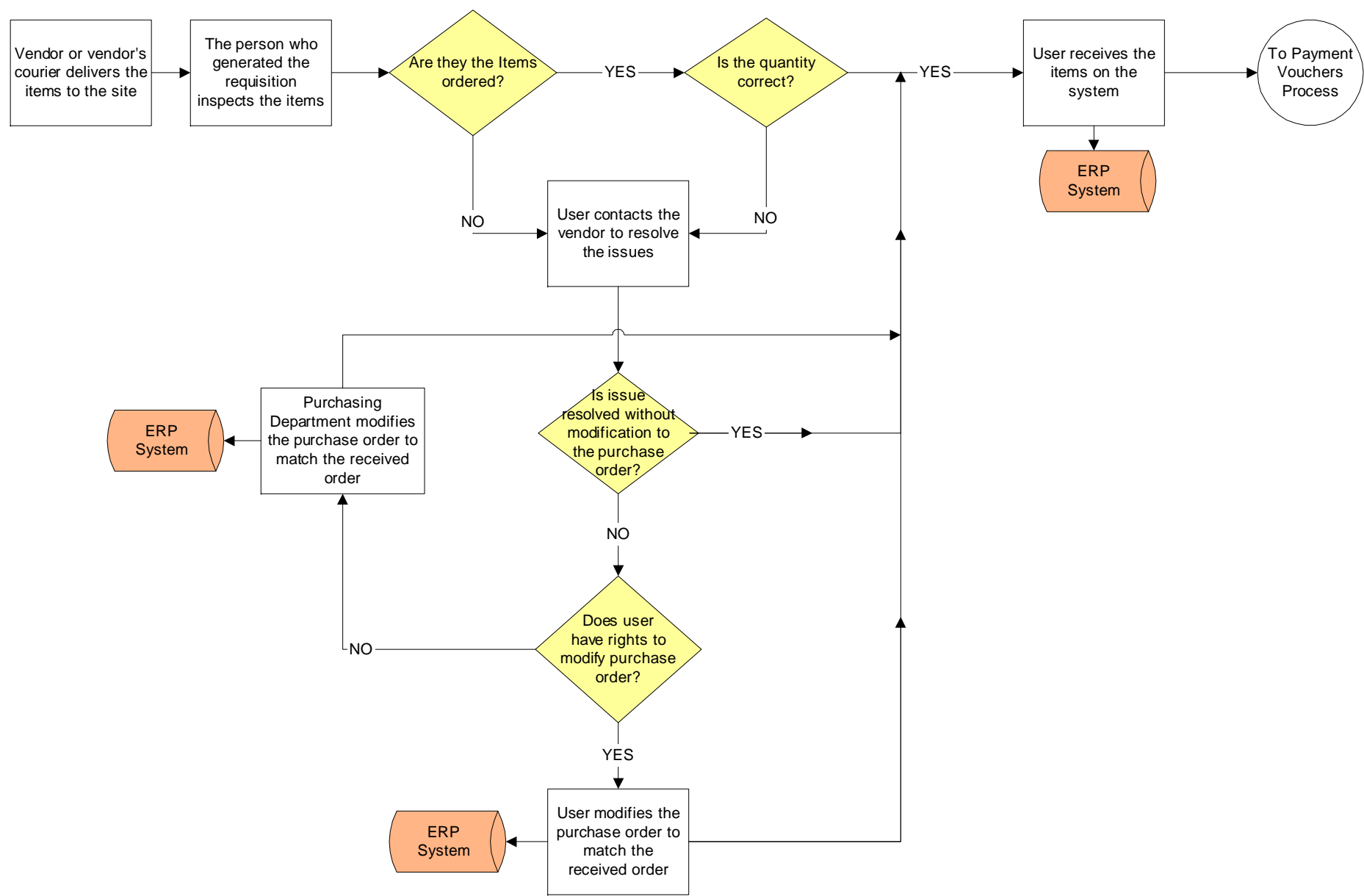


Department: Purchasing

Participants: Vanessa Miller-Kaigler

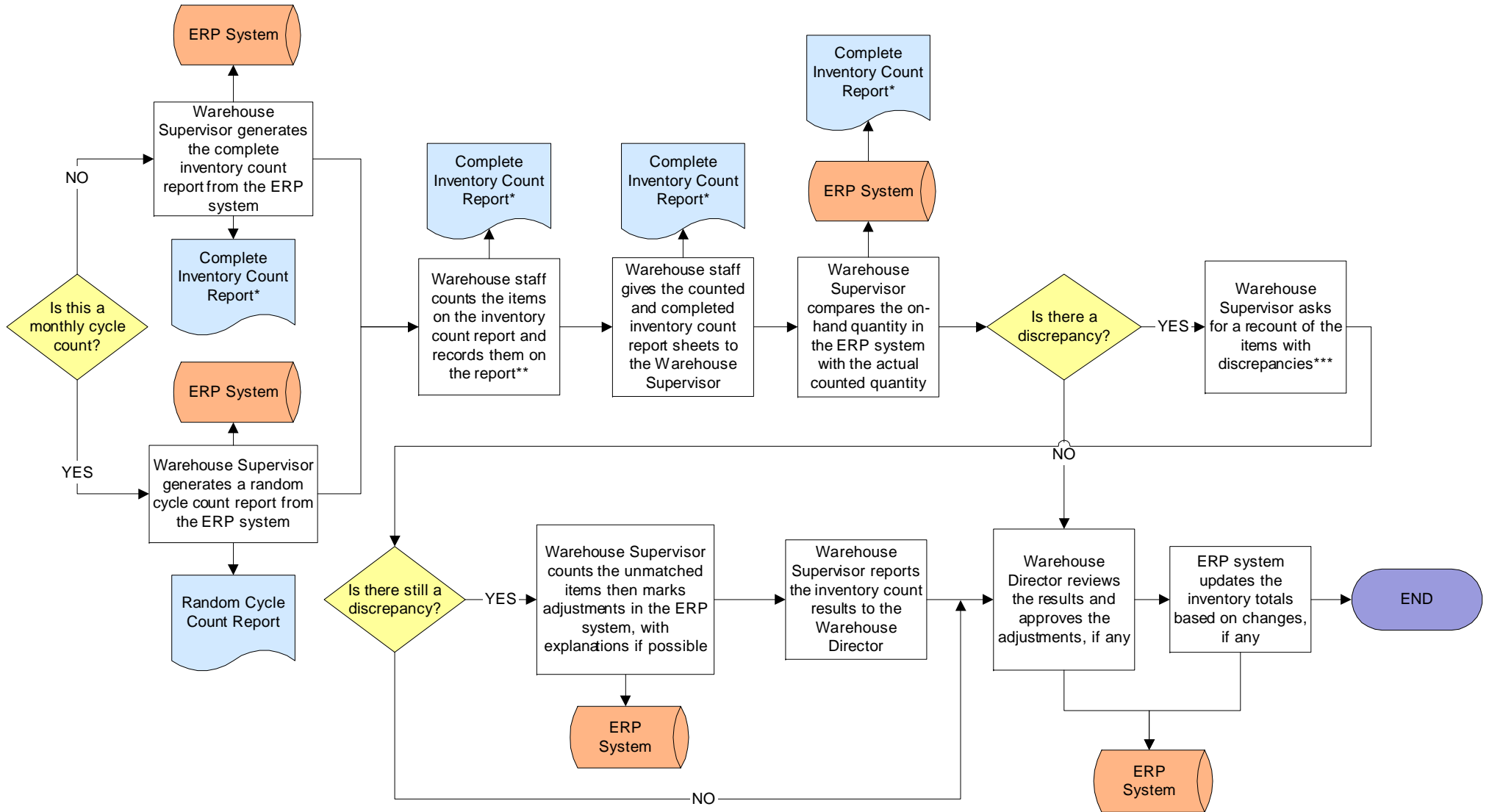
Validated: Distributed 4/21/05, No response as of 5/16/05

Receiving



Department: Purchasing
Participants: Michael Coon
Validated: Distributed 4/21/05, No response as of 5/16/05

Inventory Count

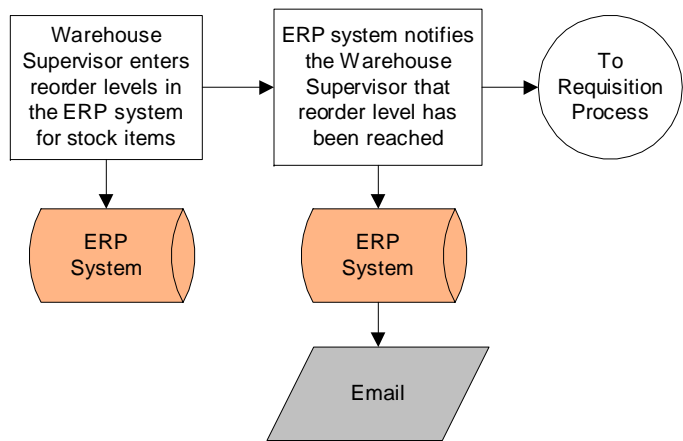


Department: Facilities and Maintenance
Participants: Michael Coon
Validated: Distributed 4/21/05, No response as of 5/16/05

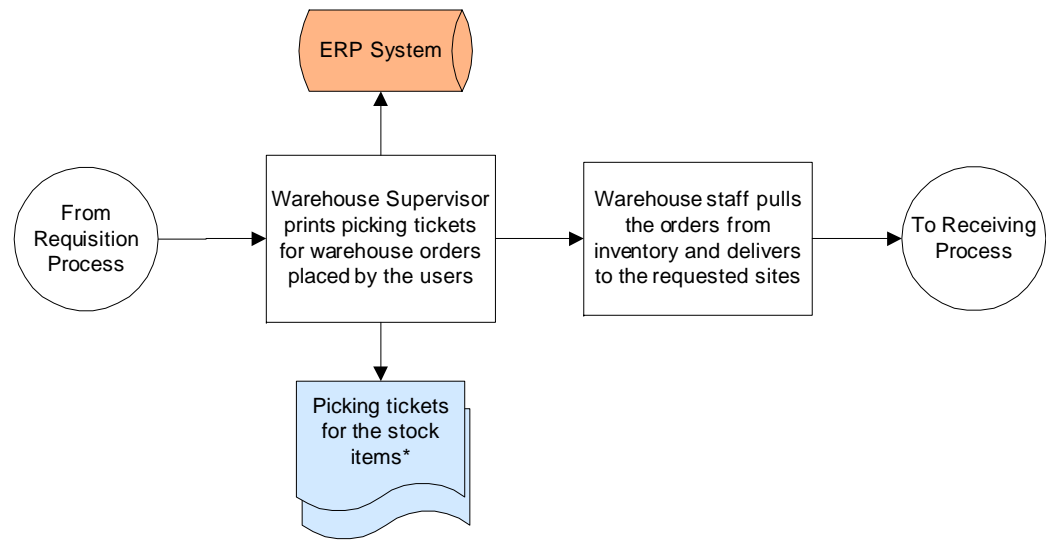
Notes:

*Both inventory count reports have the item description, item location,
 **Warehouse Supervisor can assign items or locations to specific warehouse staff or team. The printed count sheets have the assigned team or staff names
 ***Supervisor gives the recount task to a team or staff other than the one who counted the unmatched item(s).

Stock Item Order (by Warehouse)



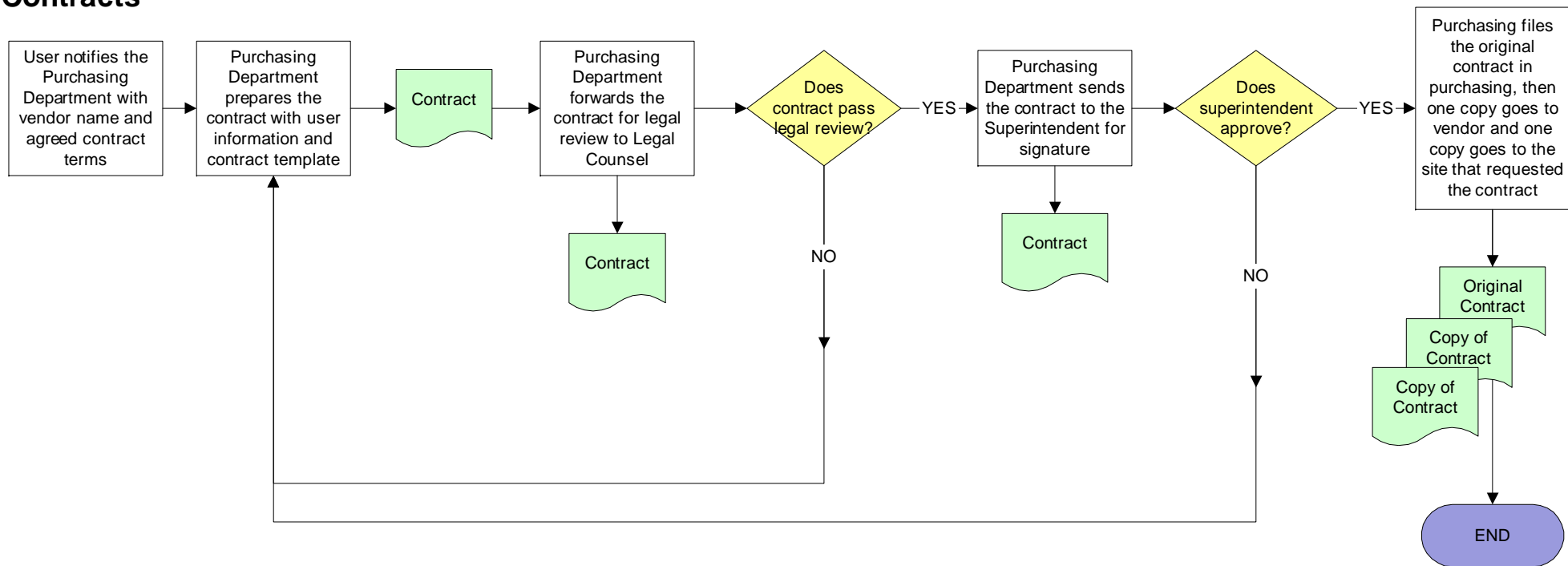
Stock Item Order (by Sites / Stock Item Fulfillment)



Department: Facilities and Maintenance
Participants: Michael Coon
Validated: Distributed 4/21/05, No response as of 5/16/05

Note:
*Driver brings a signed copy of the picking ticket for filing back to the warehouse

Contracts



Department: Purchasing
Participants: Vanessa Miller-Kaigler
Validated: Distributed 4/21/05, No response as of 5/16/05