AUSD Re-Design Summary Report
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*New Additions are highlighted in yellow

Consulting Team

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Executive Summary

As part of the AUSD Master Planning process, and with the prospect of drastic budget cuts looming, Superintendent Vital commissioned Barb Gee Consulting, (an independent consulting firm), to conduct an efficiency assessment of the District Office. After conducting 3 customer focus groups, a series of in-depth jobs analysis interviews, and 14 process mapping activities, this report recommends a restructuring of most of the District Office. This report includes organization charts for the District Office departments that were included in the redesign, identification of cost-saving opportunities, identification of technology opportunities, and identification of process improvement opportunities. If the budget demands further cuts, data gathered from this process can be used to apply a thoughtful process to further cutting of positions.

This report is presented in 4 major sections:

I. Methodology
II. Organizational Findings
III. Process Map Findings.
IV. Change Management Plan

The primary purposes of this efficiency study were:

1. To identify opportunities to save District funds.
2. To assess the efficiency and effectiveness of the District Office as the District Office moves to a service organization model in which its primary function is to support the schools in delivering a quality education to every student in Alameda.
3. To assure the Alameda community that the District Office is operating without waste.
4. To develop solid metrics by which the performance of the District Office can be continually monitored and improved.

Customer Feedback

Focus groups provided concrete prioritized feedback as to which District Office services were most problematic for school sites. Administrators and staff reported spending a disproportionate amount of time accessing these District Office services and support rather than focusing on improving classroom instruction. Subsequent process mapping of these problem areas revealed numerous broken business processes as well as the scope of work required to fix them. The process maps in conjunction with the jobs analysis are the foundation for this report's recommendations.

Creating a Service Organization

A primary purpose of this analysis is to create the foundation for transforming the District Office to a service organization. The process mapping defines the work of each department by the key processes for which they are accountable. Once the processes are identified and understood, each department must set concrete measurable service standards for each process. Service standards might include turnaround times (i.e. 2 day turnaround between purchase requisition request and purchase order placement), quality measures (i.e. 98% accuracy on quarterly audit of leaves balances), or labor times (i.e. 1 hour data check and data entry per timecard submitted). The Change Management Plan sets forth the manner in which service standards are built into departments as the organization is redesigned and processes are improved.

Key Findings and Recommendations

Although the District Office is thinly staffed, some key positions are lacking in the requisite skill level to address the process deficiencies. Accordingly, this report recommends eliminating some lower skilled positions and upgrading others which will result in a net savings to the District. Further, this report identifies several opportunities to use technology to solve process issues. It is expected that further labor savings can be realized upon the implementation of technological improvements.

The assessment also revealed that poor communication between departments as well as District Office and school sites has created "silos" or departments working in isolation from other departments. Process maps vividly illustrate the problems that arise from working in a silo: work takes longer to complete, redundant processes are created, and the result is sometimes inaccurate.

Because department silos are obstacles to fixing broken processes, all process maps address cross-departmental roles and procedures. Successful implementation of the recommendations for organizational redesign and the process/technology improvements require cross-departmental collaboration. This report details fourteen process maps in the following areas:

- Hiring process
- Health and Wellness process
- Change of Status process
- Leaves Management process (5 types of leaves)
- Pay Process (salaried, hourly, overtime, and stipends)
- Purchasing
- MOF Work Order process

For each process analyzed, the report makes specific recommendations for process improvement. Some of the more significant process improvement recommendations include:

> Leaves Management. This report highlights the need for major work to address the process problems associated with Leaves Management, which includes the management of at least five different types of leave. On the organizational level, the function needs to be reporting into the HR department, not the Fiscal department as leaves are just a complex form of change of employment status. At the technical level, an understanding of State and Federal law, coupled with an understanding of union agreements and AUSD policy is required. At a process level, Leaves Management needs to be automated in a way that integrates with the systems used to track employee data (in other words, the new process cannot rely on silo'ed databases that compromise the accuracy of the employee data housed in APTA).

Pay Processes. Currently, all of the pay processes in the District entail labor intensive handling of paperwork (timecards), knowledge of budget codes, and detailed management of varying pay rates. For example, management of the substitute pay complexity entails maintenance of separate databases and processing of complex timecards. In addition, employees funded by grants are classified differently than salaried employees, requiring an entirely different set of paperwork and procedures to process payroll. This report recommends resolving all of these issues with a combination of process and technology fixes.

MOF Work Order Process. By all accounts, the Work Order Process is broken. This process requires a metrics-driven approach to managing the pipeline of maintenance requests, with increased attention to work order completion rates. At the organizational level, managerial accountability for oversight of the work order pipeline must be increased, an effective prioritization policy must be implemented consistently, and the Department must focus on work order completion. At a process level, the manner and timeliness in which work orders are dispatched to staff must be improved, as well as the manner and timeliness in which the closing out of work orders is accomplished. These requirements informed the reorganization of MOF as well as the recommendations for work order processing.

Implementation Plan

The Change Management Plan outlines the recommendation for a phased approach to the re-structuring of the District Office. The initial redesign, Phase 1, is followed by a sequence of cross-departmental process improvement projects that enable a further redesign in Phase 2, which may result in a further reduction in FTE. This phased approach will demand a new set of managerial skills --- that is, all leaders in District Office will be required to lead major cross departmental process improvement efforts in order to deliver the best operational performance of their departments.

The Change Management Plan details the design and implementation phases for each process improvement. As the name suggests, the design phase will include the design of an improved process, the establishment of service standards that the process is expected to meet, a summary of all of the underlying reasons for the pain points discovered, and a work plan for implementation of the process. The implementation phase involves carrying out the work plan. Upon completion of the process improvement, the service standard associated with that process will be incorporated into the department's performance expectations thus shifting the District Office to a service organization.

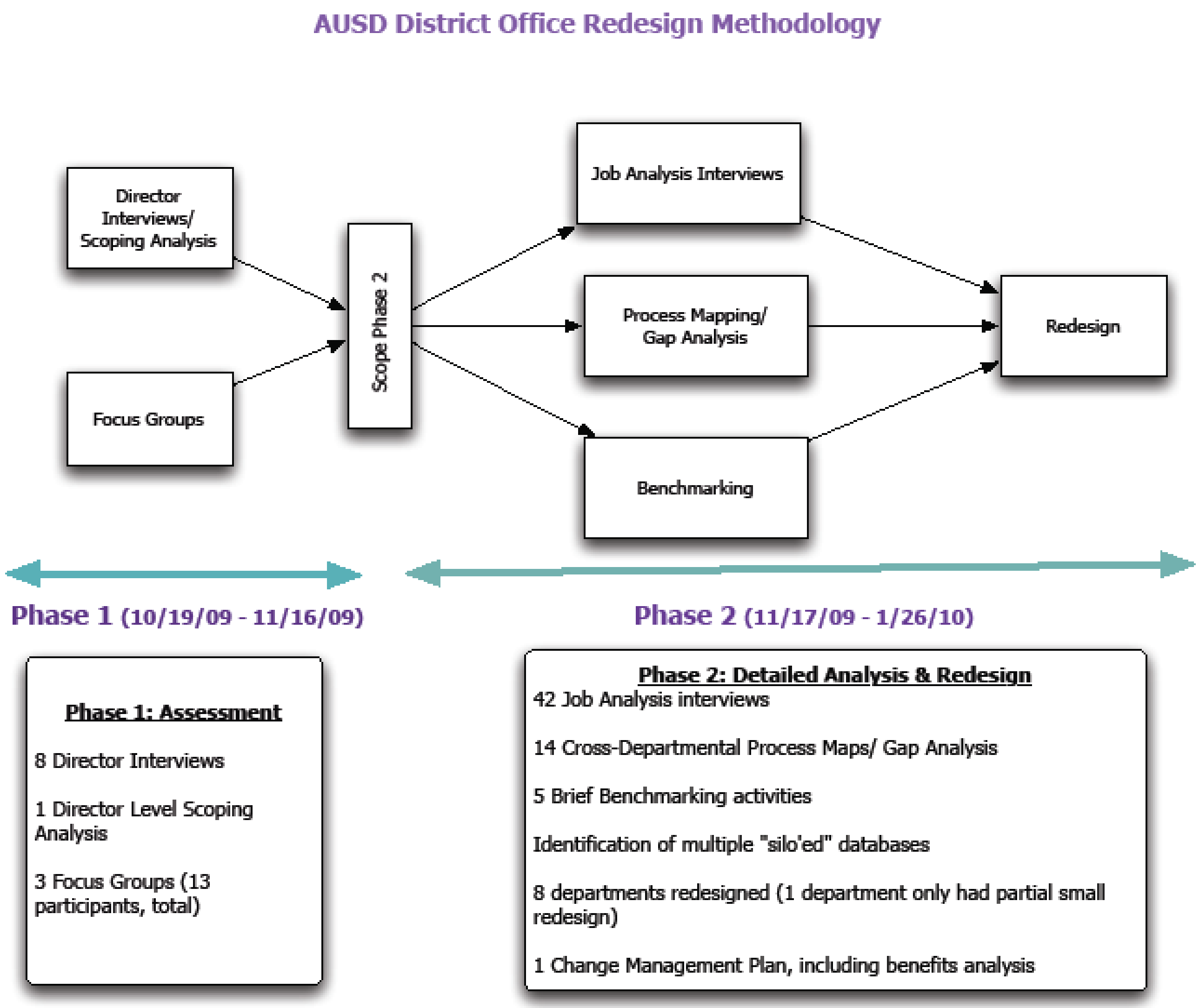
Savings Realized

At the conclusion of Phase 1 of the Change Management Plan, the District will realize approximately $463,420 per year in cost savings through reduction in Full Time Employees and with increased revenue realization in the Special Education Department. At the conclusion of Phase 2, we estimate the District will realize approximately $109,800 to $219,600 per year in cost savings through further reductions in Full Time Employees and additional process improvements with the efficient use of technology.

TABLE OF CONTENTS

I. Methodology

The project was conducted in two phases.



<u>Phase 1 (Assessment and Scoping of Detailed Analysis Needed).</u>
The purpose of Phase 1 was to obtain an overview of the scope of work in the District Office, the nature of funding in these departments, the scope of work that each Director oversees, and ***most importantly***, gather customer feedback on how the District Office was performing.

Eight Director/Manager interviews were conducted using the “Job Scope Responsibility” questionnaire (see **Appendix A**). Using the questionnaire, an overall understanding of the current District office structure and scope of responsibility was developed. The Directors also assisted in identifying positions which should be analyzed in Phase 2 in order to better understand the workload of each department.

In addition, three focus groups were held with different “customer groups”: a sampling of Principals, school-based Office Managers, and Teachers. Each group provided extensive input on what is working and what is not working with each of the departments within the District Office. In addition, the groups were asked to identify the major “pain points” in interacting with the District Office. The input of these focus groups was used to identify the District processes that would be extensively “process-mapped” during Phase 2 in order to understand the barriers to efficiency and effectiveness. Fourteen (14) cross-departmental processes were identified and seen as the highest priority areas that needed improvement.

What is Process Mapping and Gap Analysis?

*One important technique that is used to understand and improve complex cross-departmental processes is called **Process Mapping**.*

Employees from different departments who touch the process meet as a group and document every step of paperwork or information handling that is needed to complete the process successfully. By documenting the whole “AS-IS” process, end-to-end, and having a visual representation of how information is handed off between departments (and the problems associated with it), we can start to identify the root causes of problems.

***Gap Analysis** is then simply looking at the “AS-IS” process and identifying all of the problems associated with the process. The kinds of problems, or “pain points” that are identified, can be quite varied:*

- *It might not make sense for a department to carry out a particular role.*
- *People in different departments might be doing duplicate work, or might have different information about the same situation.*
- *Handoffs between departments might be a problem.*
- *Policies and guidelines could be missing, resulting in each person “winging it”, with inconsistency in how things are handled and problems are resolved.*
- *Key steps might not be staffed or might be staffed inadequately.*
- *Systems or tools could be sorely lacking.*

These kinds of problems inevitably lead to inefficiency and ineffectiveness: routine processing taking too long (with Herculean effort), inaccurate processing, and poor customer service (all of which costs money). Process Mapping and Gap Analysis enable us to solve complex problems quickly and in a thoughtful and systematic manner.

***Phase 2 (Analysis and Design)*.**
The purpose of Phase 2 was to apply extensive analysis to the 14 cross-departmental processes that were identified as "pain points":

- Hiring process
- Change of Status process
- Health and Welfare Benefits process
- Pay process (Salaried)
- Pay process (Hourly and ExtraTime-OverTime)
- Pay process (Other- Stipends)
- Personal Leave process
- Leave of Absence process
- Medical Leaves process
- Vacation Leave process
- Workers' Compensation process
- Retirement Benefits process
- Purchasing process
- MOF Work Order process

Each of these processes are documented in the report, with pain points identified. The processes and pain points are illustrated on the process maps set forth in section III. The process maps clarified the source of the problems, including role issues, inefficient processes, un-necessary steps, communication breakdowns, and technology opportunities. The process maps were therefore critical to the organizational redesign of the HR, Fiscal, and MOF departments.

In addition to process mapping, extensive interviews were conducted to gather data on 46 District Office jobs. (See **Appendix B**, "Jobs Analysis" questionnaire.) These interviews provided the consulting team with a good understanding of the work being done and identified opportunities for re-design. Interviews focused on which tasks were compliance-driven, whether and to what extent the tasks were interdependent with other departments, where employees' time was being spent, and (in some cases) the transaction volume associated with tasks.

Lastly, the analysis includes information gained from an abbreviated benchmarking activity with two (2) school districts, (Berkeley and Napa Valley), as well as organizational benchmark data for three (3) "like" districts (San Leandro, San Lorenzo, Carlsbad). To a large extent, these districts were chosen as comparison districts due to their similar size and/or the willingness of their staff to share organizational information such as their process for administering maintenance work orders.

What is Benchmarking?

***Benchmarking** entails collecting data from other "like" organizations so that you have some way of comparing your organization to similar organizations to determine if the way you are doing things is "in the ballpark" of other districts like you. First, you identify school districts with similar characteristics (enrollment, free/reduced lunch %'s, urban/suburban, etc.), then you collect data on the characteristics you are most interested in.*

For our purposes, we looked at other school districts and collected information on things like: size/composition of the Cabinet, staffing levels for facilities/maintenance, staffing levels for other business functions (for example, fiscal, technology, HR), spending data, and other measures.

Note: We decided to limit time spent on benchmarking, opting instead to invest our time with the Process Mapping and Job Analysis interviews.

For purposes of this project, we used the benchmarking data in two areas. We first used the data to assess how other districts structured their Cabinet level team. We then compared the benchmarking data to the AUSD maintenance department to analyze numbers around maintenance staffing, the use of leads in the maintenance department, and how other districts managed maintenance work orders.

What we learned is that the size of the AUSD Cabinet is typical.

In addition, we learned a number of things about Maintenance and Operations by studying another California district with high functioning maintenance leadership:

1. The use of Leads to supervise the "back end" of the work order process (completion of work orders and closing of work orders) is a good idea. The decision has to be made as to whether non-management Leads, or true supervisory roles are needed.
2. The central dispatch and prioritization of work orders makes sense.
3. Centralizing the closing out of work orders does NOT make sense (have the Leads who are close to the work do it, not a central office employee who may get backed up on already-late data entry).

Finally, we obtained a copy of a maintenance manual, intended to assist site level customers in interacting with the maintenance department. This manual can be used as a template for something to develop at AUSD and put on an intranet.

II. Organizational Findings

This section summarizes the organizational findings (a result of “Job Analysis” interviews and Process Mapping) and presents organizational recommendations.[1]

[1] It is important to note that many of these changes to job descriptions will require negotiation with our bargaining units.

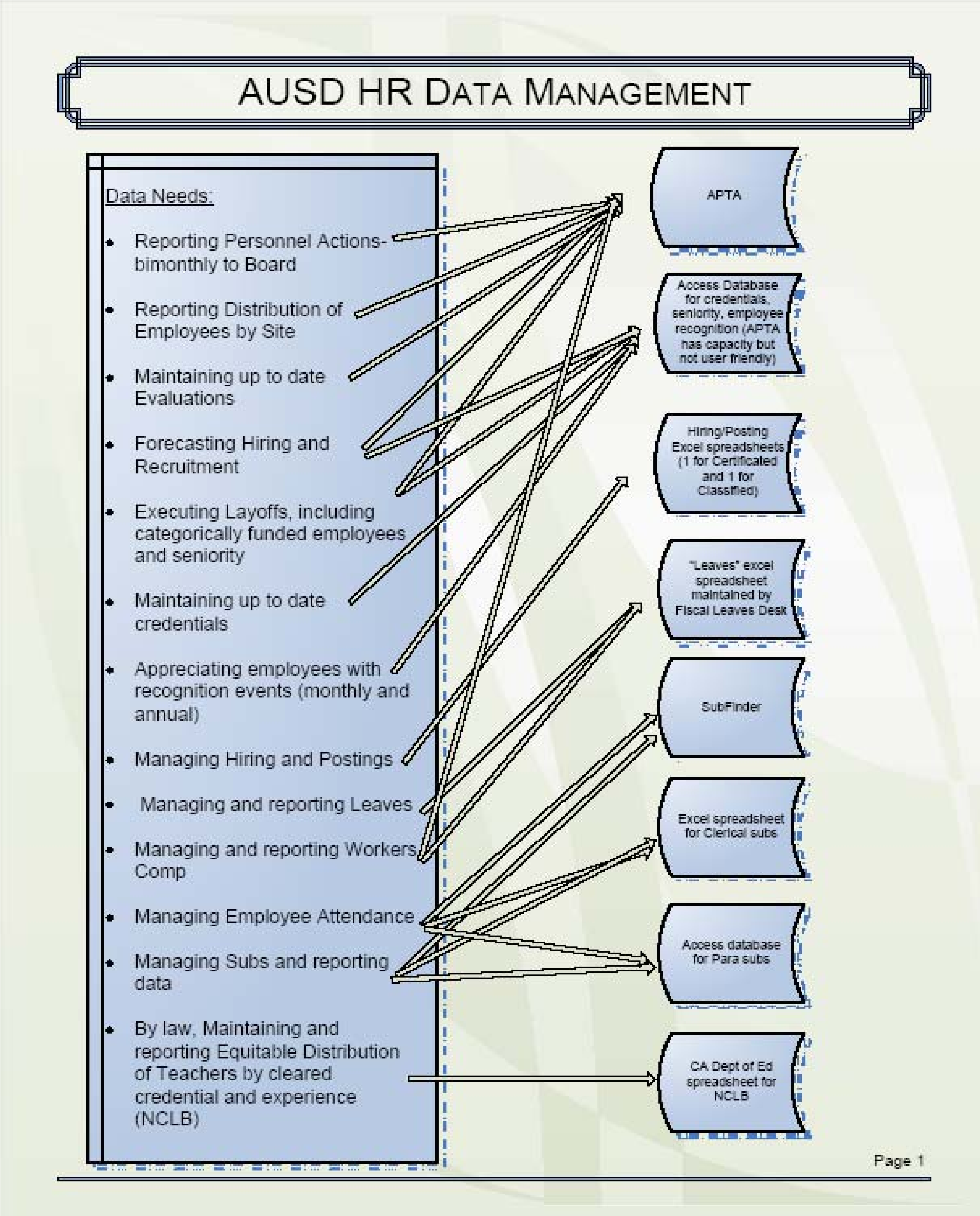
Human Resources

Summary: The current Human Resources Department is handling routine processing, much of it manual. The first improvement work needed in this department is strengthening of systems and reducing labor intensive processes, after which a re-assessment of staffing needs should be made. Among the more significant findings are:

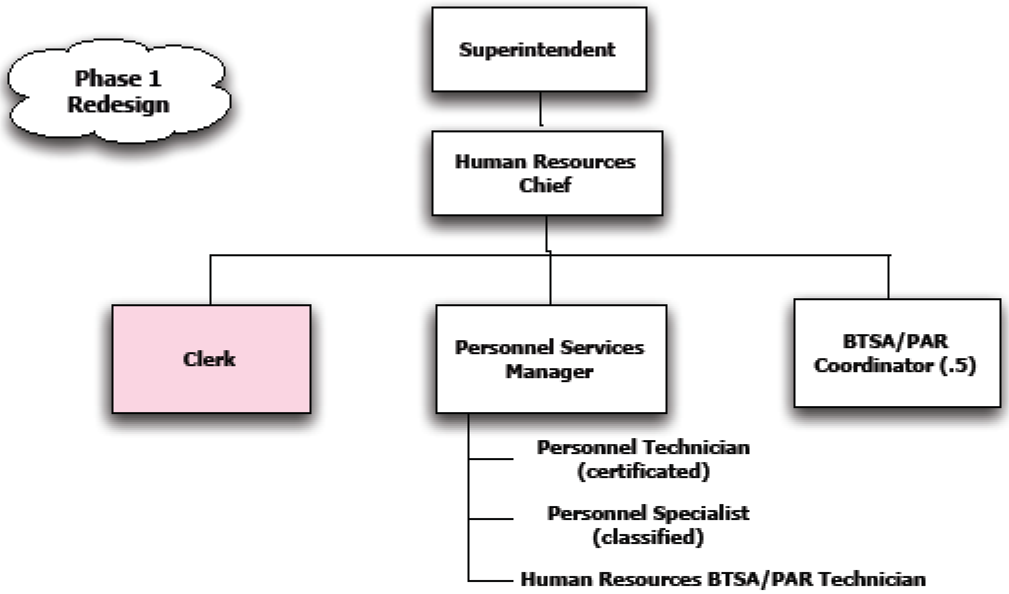
- Staff is focused in the mornings with filling substitute positions, then later in the day by large volume of routine paperwork processing associated with hiring, change of status, and exiting.
- Processes are heavily manual, and there is much opportunity for automation. Multiple standalone databases are being maintained, which should be integrated with the financial/employee management system (APTA).
- Personnel Manager's job responsibilities have been added to over the years, and the position needs major re-structuring. A number the position's responsibilities need to be moved to other positions (in HR or Fiscal) or eliminated.
- In addition, as we eliminate the need to maintain separate databases for different needs, and as we automate routine work, the role of the Personnel Manager should be simplified and take much less time, enabling the Personnel Manager to focus on a higher level of human resources work.
- There is no clerical staff to support heavy paper processing and records function, which partially explains a recent audit finding regarding personnel records.

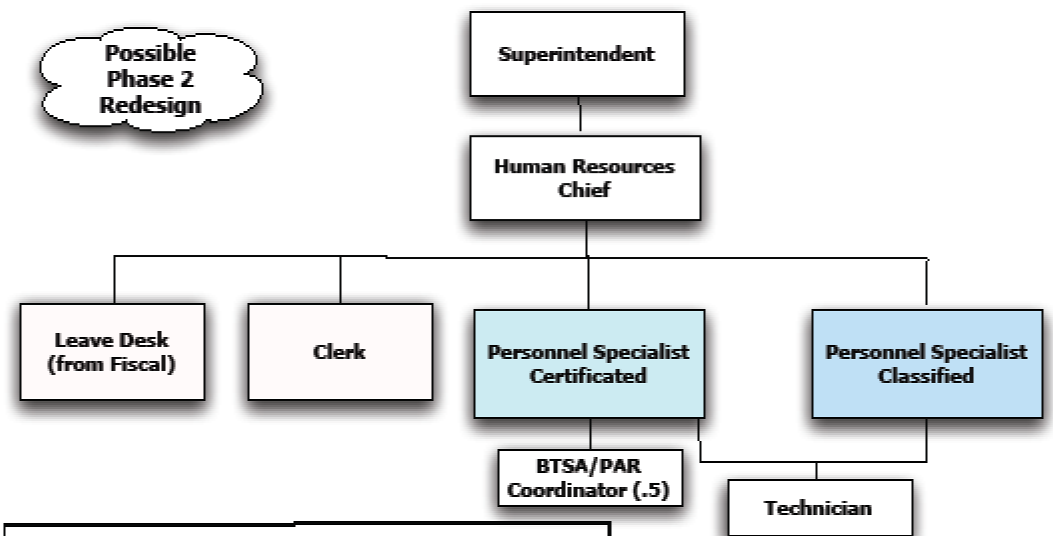
Organizational Recommendations:

1. Add one clerical position to manage some of the paper processing and, more importantly, to enable existing staff to focus on implementing process improvements.
2. Re-structure job description of Personnel Manager (affects jobs in Fiscal and some internal HR jobs) to enable Personnel Manager to focus on performing fewer tasks better.
3. Implement technology projects to streamline routine paperwork and eliminate un-necessary standalone databases that require maintenance.
4. Once automation projects are complete, conduct "Phase 2" redesign to re-assess staffing levels. Specifically, once the department becomes less dependent on paper processing, the department will need to assess the appropriate level of clerical support. In addition, consider restructuring the job descriptions of Personnel Specialist and Personnel Technician to create positions which require a higher level of technical human resources skill, including labor relations. This re-structure will require a reclassification of these positions to a confidential classification.



Much of the streamlining in HR has to do with eliminating standalone databases that need to be maintained. The use of these separate databases increases the risk of data discrepancies between these databases and the main HR/Finance application, APTA. By eliminating the use of these databases, automating report generation, and integrating with APTA, many labor hours can be saved.





Legend

Yellow = positions that will be eliminated, or not filled

Blue = upgrades of current positions

Pink = new positions

Notes:
1) Leaves Desk will move from Fiscal to HR once the desk is established (staff, policies, procedures, systems)
2) Once automation projects are completed, consider eliminating 1 FTE
3) Responsiibiliity for review of Benefits vendors bills done by Personnel Manager, who also ensures communication of Benefits to new hires.

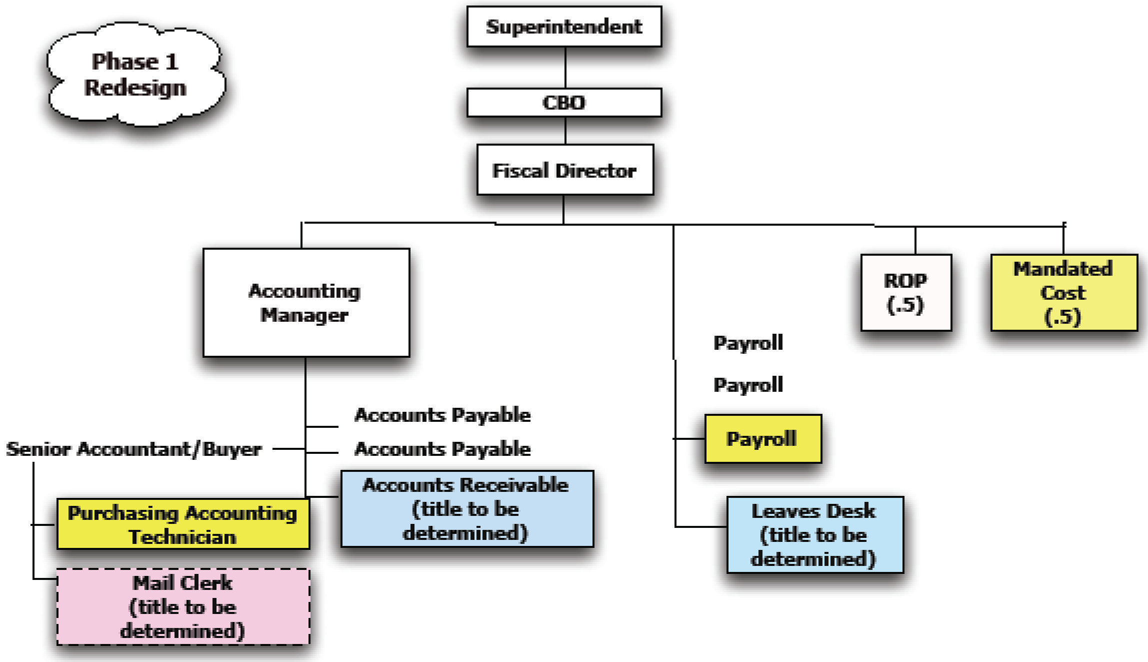
Fiscal

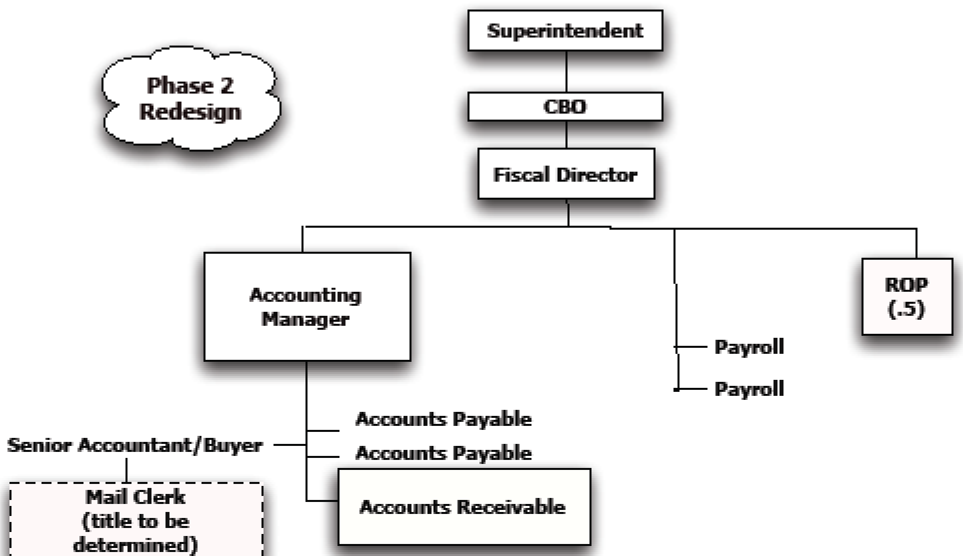
Summary: The Fiscal Department has strong managerial leadership, but is missing major systems, as indicated by the process mapping. Some positions need to be either upgraded, eliminated or moved to other departments in order to increase the Department's ability to establish stronger processes. In addition, a review of the APTA system and its limitations is warranted and strongly recommended. Significant findings are:

- Complexity of many conditions associated with leaves, historically high turnover at Leave Desk, absence of procedures, and role confusion between HR and Fiscal indicate that the Leaves Desk position needs to be upgraded and a more comprehensive leave process must be implemented.
- Payroll requires a very labor-intensive time-carding process to enable payroll.
- Current system requires that multiple roles perform tasks because APTA is not compatible with the County financial system.
- Serious financial system functionality flaws (APTA) have not been addressed by vendor for years, coupled with the fact that it is incompatible with the County's system, indicate need to look at system issues.
- There are currently some tasks that are being implemented with student interns that need to be built into a permanent position.
- With the upgrading of some roles, we can manage to reduce FTE by 2.0 FTE.

Organizational Recommendations:

1. Upgrade the Leaves Desk position.
2. Fix process issues associated with leave management, institute processes, then transfer Leave Desk to HR.
3. Streamline timecard processing by using existing technology.
4. All departments must adhere to strict cutoff dates for Payroll to minimize the need for overtime and ensure greater pay accuracy.
5. Assess whether the continued use of APTA makes sense.
6. Upgrade one Accounts Receivable position to take on additional tasks relating to Purchasing, assume the responsibility for invoicing and collections for the Kofman Theater, collecting Mandated Costs, and additional responsibilities.
7. Reduce ROP/Mandated Cost role to .5 FTE.
8. Do not fill 2 vacant positions: Purchasing and Payroll. (May need to hire a temporary employee for a finite time while timecard processing improvement is being implemented).
9. Consider creating a position, such as Mail Clerk, to handle mailroom and other tasks currently being handled by student interns.
10. After completing process fixes, conduct "Phase 2 Redesign" and re-examine roles, including managerial roles.





Net Fiscal Savings: Approximately $138K/year

Legend

Yellow = positions that will be eliminated, or not filled

Blue = upgrades of current positions

Pink = new positions

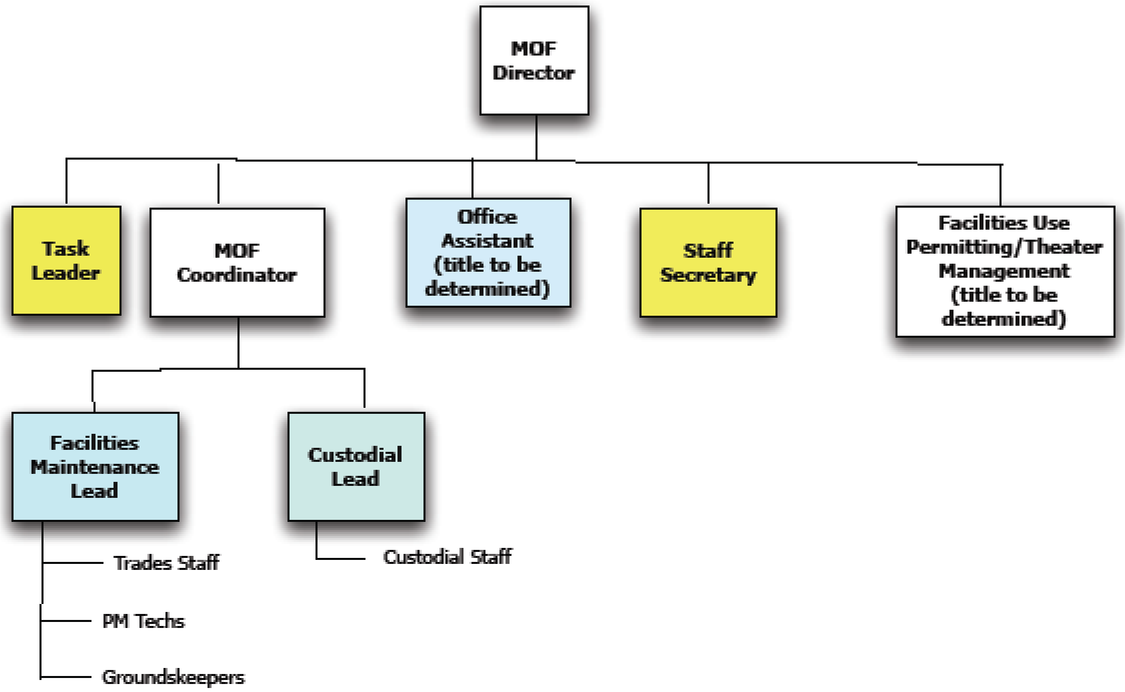
Maintenance Operations & Facilities (MOF)

Summary: The MOF Department lacks strong leadership and there is no managerial accountability for ensuring that work orders are completed in a timely fashion and with consistent communication with the school sites. There are some responsibilities being handled by the office staff that can be transferred to other departments without any increase in FTE. In order to strengthen the managerial structure, the Coordinator's job should be re-focused, and Lead Employees should be used to oversee custodial and trades staff. Findings include:

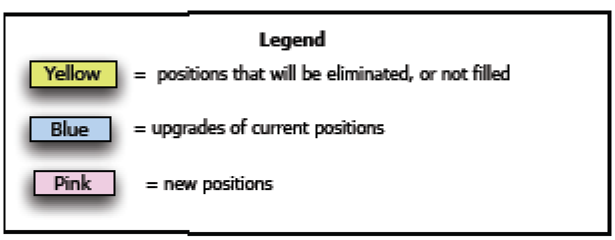
- Work Order system is not working. Work orders go in and get dispatched to yard (by office staff), and there is no oversight on the back end (completions). Prioritization is non-existent, and there is no manager who is accountable for ensuring completion rates. In short, work orders go in and do not come out.
- Some day to day responsibilities which are being done by office staff should be done elsewhere, including the ordering of buses for school sites and the processing of invoices and payment for civic use permits. MOF is currently receiving requests for buses from the school site and placing the order for the bus. However, there is no evidence that MOF's involvement adds value to the process other than acting as an administrative broker. School sites should be permitted to order the bus directly.
- Responsibility for phones and pagers should be transferred to Technology Services as this function is heavily related to technology. Further, the integration of telecommunications and data networks is a long term strategy that may make sense for the District and combining these functions facilitates a strategic assessment of the District's technology solution to voice and data needs.
- Much stronger management structure needed. Currently, MOF lacks clear oversight and responsibility for the prioritization, assignment and completion of work orders. The recommendations include restructuring the Coordinator's job to address this deficit.

Organizational Recommendations:

1. Transfer day to day ordering of buses to school sites.
2. Transfer responsibility for phones/pagers to Technology Services.
3. Transfer invoicing and collections for Kofman Theater and other civic use permits to Fiscal Department.
4. Combine remaining Staff Secretary and Office Assistant responsibilities into one job.
5. Establish two Lead positions (Custodial, Trades/PM) to oversee supervision and tracking of work order completion. Lead positions must be technology enabled and equipped so work orders can be closed out from the school sites, eliminating the need to return paperwork to the District Office.
6. Eliminate "Task Leader" position.
7. Focus Coordinator position on Work Order Management system.



Net Fiscal Savings: Approximately $135,300/year



Changes from Current Organization:

- Do NOT need a Coordinator AND a Task Leader
- By moving/eliminating work from the department and combining work, do NOT need to replace Staff Secretary position.
- Eliminate day to day bus ordering and let sites order direct from vendor, not through MOF
- Move all invoicing and collecting work to Fiscal
- Move all telephone/pager work to Tech Services
- Move responsibility of WO prioritization from Office Assistant to Coordinator
- Move all dispatch of work from Office Assistant to Coordinator/Leads, including emergency calls
- Focus Coordinator on overall management of WO pipeline, management to metrics, coordinating PD, identifying maintenance patterns and feeding facilities improvement needs to MOF Director
- Leads are responsible for daily closing of WO's, delegation of work, balancing of emergency and WO dispatching, and supervision/evaluaiton of staff
- Revision of job description for Facilities Use Permitting/Theater Management position needed

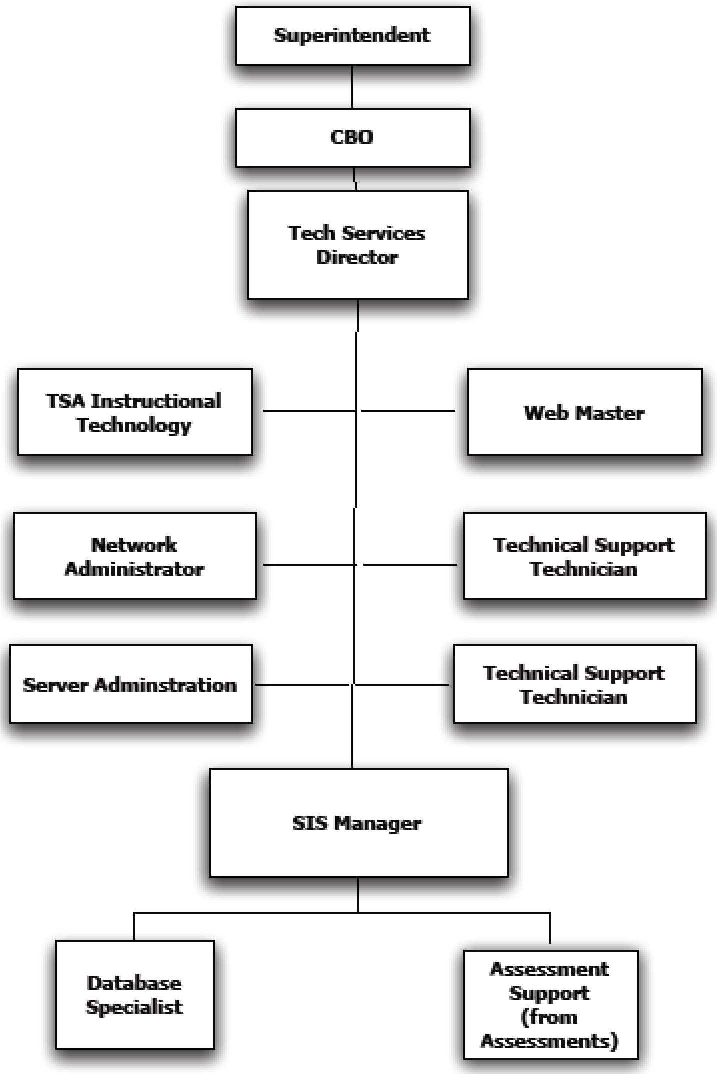
Technology Services

<u>Summary:</u> The Technology Services Department is a strong team with the best cross departmental training of all the departments reviewed. Their customer service is valued by the school sites. Though there is some room for staff reduction, no cuts are recommended during this phase. Rather, we recommend that the Department undergo a "re-missioning" to place much stronger priority on supporting the business systems. Technology is absorbing significant functions from two different departments (MOF and Assessment) with only one FTE increase in staffing. Process mapping and Focus Group interviews indicate that there is a need for strong technology support to implement operational systems, fix process pain points, improve District Office productivity, and improve District communication. Leading the establishment of a strong intranet is critical to the productivity improvement needed. The intranet project can be a platform from which to establish the District Office's virtual Operations Manual. Significant findings are:

- Strong focus on instructional technology and student information services.
- Little or no support of business systems, very little project work on business productivity or business support.
- The appetite for technology has been whetted in teaching ranks. However, some processes to support teachers who have become dependent on technology in their day to day needs (emergency parts replacements, for example) are lacking.

<u>Organizational Recommendations:</u>

1. Implement intranet (an internet structure that is only accessible by AUSD employees) and facilitate departments in developing operating protocols so that the intranet content is useful to school sites. For example, posting and housing all operations manuals on the Intranet will enable school sites to quickly and efficiently access standard District procedures and forms.
2. Utilize intranet for electronic routing of forms such as budget and position requisitions, leave requests, and bus ordering to further alleviate the workload at school sites.
3. Reduce workload in District Office and email traffic to school sites by communicating information via the intranet.
4. Absorb phones/pagers responsibility.
5. Absorb data management responsibilities of Assessment Department. The District has already reduced assessments, but is considering further reductions. Once the District definitively decides how many assessments to conduct, this function should be moved to the Technology Department (which could affect FTE).
6. "Re-mission" Department to do more business support projects and less instructional technology growth. The Department will be critical to the success of several technology recommendations contained in this report. The focus of the Department, at least for a time, will therefore need to shift to support technology implementation in the District Office. Implement automation projects as defined by process maps.
7. Consistent with the re-missioning of the Department, move the Department to Business Services.



Legend

Yellow = positions that will be eliminated, or not filled

Blue = upgrades of current positions

Pink = new positions

Changes from current organization:
1. Bring in responsibility for Assessments (data management piece) from Assessment Department
2. Bring in responsibility for Phones/Pagers AT NO EXTRA COST
3. **Re-mission** department to put more priority on business systems support, less priority on instructional technology support

Educational Services: Assessment, Compliance/Curriculum/ELD, Student Services and Special Education

<u>Overview</u>

We reviewed the following departments in Educational Services: Assessments, Compliance/Curriculum/ELD, Student Services, and Special Education (partial). At the end of last school year, the Superintendent initiated a first phase reorganization of Educational Services. As a result, Educational Services is already operating with fewer employees. Our analysis revealed that these departments, more so than the business operations, are significantly impacted by AUSD policy, Education Code compliance, grant compliance, and the decentralized, site-based decision-making model that Superintendent Vital is implementing.

Site-based decision making implies that District Offices are intended to be lean and focused on supporting school sites in building site-based capacity. One of their core responsibilities is to perform compliance functions, enabling schools to focus on instruction and ensuring that the District fulfills its fiduciary responsibilities. This shift in focus means that many of the tasks that are performed by the District Office today, in a "high touch" (labor intensive) manner, may need to transition to the sites.

As District Office and site-based roles are further clarified and shifted, it is important that the transition of these operations does not mean a loss of the customer service orientation for which the District Office is known.

Although process mapping was not performed in these departments, it is recommended that follow-up work in these areas include some combination of role clarification, policy clarification, process improvement, and establishment of service standards.

This report sets forth summary findings for the Assessment, Compliance/Curriculum/ELD, and Student Services departments and makes one set of recommendations pertaining to all three departments. This portion of the report concludes with an outline of the partial redesign of the Special Education Department.

Assessments

Summary: The Assessment team is very busy implementing a large number of assessments. Staff has already begun to analyze and reduce the number of required assessments. Over time, this group has absorbed some responsibilities that traditionally belong in the Compliance Department. Accordingly, this report recommends that part of the team be transferred into Compliance. The remainder of the Assessment Department should be transferred into Technology Services for reasons outlined in the Technology Services portion of this report. In addition, there are many activities that can be automated and made less labor intensive. These productivity improvements should be made after it is decided which assessments will be conducted and which will be eliminated moving forward.

- A number of responsibilities being carried out by this Department should move to other departments.
- There is an unusually large number of English language assessments being given to students, particularly in the elementary and middle school grades.
- Much of the administrative work in the Assessment Department can probably be transitioned to sites, though the infrastructure at sites may need to be upgraded before the transition can occur.

Student Services

Summary: The Student Services Department oversees a number of key compliance-driven activities such as truancy, discipline, address verification and nursing services, In addition, three grant program areas are administered and supervised as part of this Department: After School, Family Literacy and McKinney-Vento. Processes in this Department require significant staff time and the District needs to evaluate if such thorough execution of these processes is necessary. For example, the process of address verification is very time consuming. Although grant programs are independently run, there is a lack of administrative oversight of these programs District-wide. In addition, the financial management of grant programs is often disconnected from program implementation, leading to inefficiencies and misunderstandings around program goals and responsibilities.

Each member of the team works independently and there is little cross-training within the Department.

- The District Nurse is a good model of how the District departments are intended to operate under a service-based model: 1/4 of her time is spent on compliance-related activities, 1/2 of her time on training and capacity building for the school sites, and ¼ of her time on new initiatives. She has systems and tools in place that support efficient execution of her compliance-related activities, and consistently reviews and revises her toolbox.

- Grant-funded programs are most frequently conceptualized based on whether the District receives a particular grant. In other words, the District tends to operate under the theory that if it receives a grant, it does the program. The converse is in fact more operationally sound: the District operates an important program, and it secures grant funding to support the program. Thus, the same individual who manages the program should manage the finances for the program (with support from Fiscal Services).
- Grant programs need better District-wide oversight of key deadlines for applications and renewals. In addition, additional checks and balances are needed to ensure that revenue loaded into a grant's budget is confirmed revenue. These systems and oversight should be a responsibility of the Fiscal Department.
- There are efficiencies to be gained in the data management processes that support the activities of this Department.
- There is an opportunity to re-assess and then communicate how roles and task responsibilities are delineated between District Office and school sites.

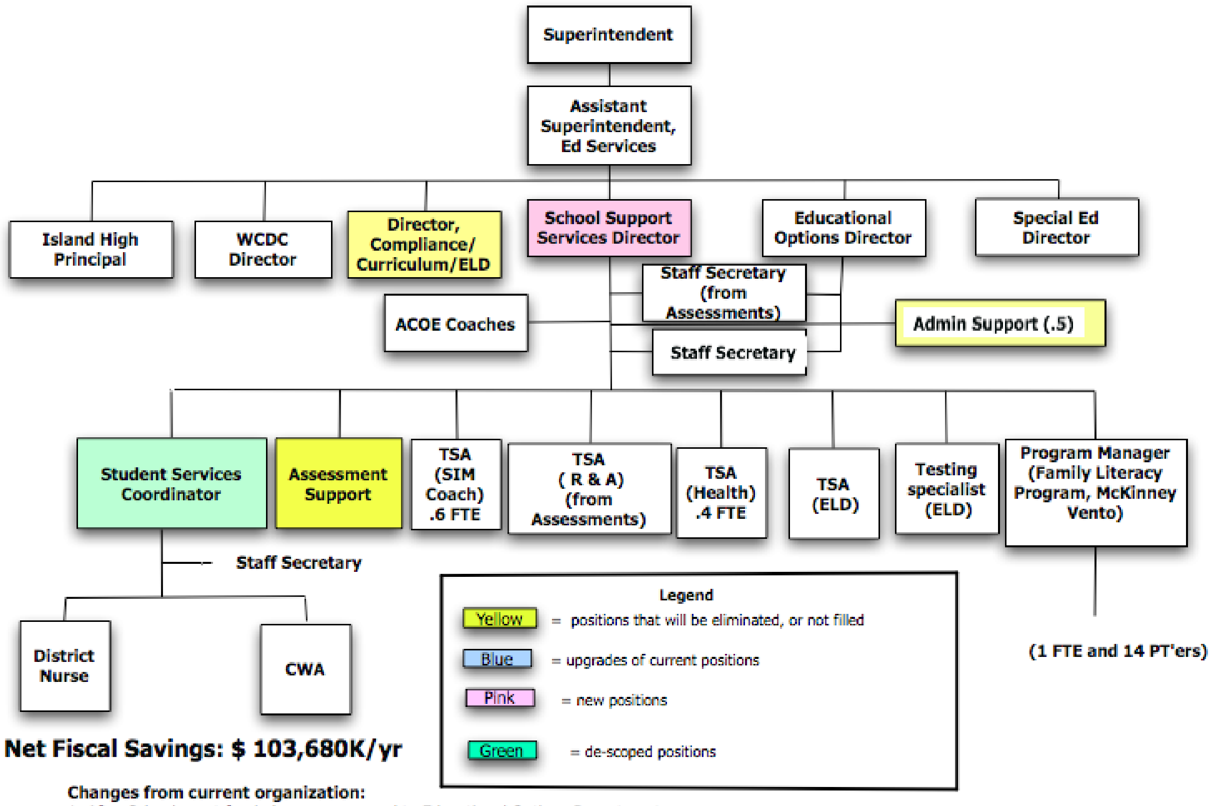
Compliance/Curriculum/ELD (AKA"Compliance")

Summary: The Compliance/Curriculum/ELD department oversees the execution of a number of grant and categorically funded programs, provides compliance services to the whole District, oversees major curriculum initiative rollouts, and oversees the English Language Development (ELD) program for the District. The Department's roles and responsibilities are ambiguous. The roles and responsibilities of this Department needs to be clearly differentiated from the roles and responsibilities of school sites. In addition, there is a need for the delineation of responsibilities between the Assistant Superintendent of Educational Services and the Compliance Director (especially in the area of curriculum and instruction).

- Like Student Services, this is a Department which performs tasks which are labor intensive and further analysis and assessment as to the necessity and relative value of these tasks is warranted.
- There are also areas where some redundancy in tasks can be eliminated (for example, data review for placement decisions).

Organizational Recommendations:

1. Combine the Compliance and Student Services Departments into one department called "School Support Services".
2. Establish District processes for programmatic ownership of grants, ongoing oversight of all deadlines related to grants, initial drafting and appropriate review of applications prior to submittal, and establishment (with Fiscal) of process for ensuring that all revenue that is loaded into budgets is confirmed revenue.
3. Develop workflow tracking system for grants and other categorical funds.
4. Move After School programs to Educational Options department.
5. Move Family Literacy/McKinney-Vento programs under School Support Services Director.
6. Share two secretarial positions between School Services Director and Educational Options Director.
7. Move summer school and hourly intervention programs from Assessments Department to School Support Services, as well as responsibility for sending CELDT letters.
8. Improve school sites' administrative infrastructure for printing and scoring tests.
9. Use AERIES and Measures for increased automation of assessments processes.
10. Move TSA and Staff Secretary positions from Assessments Department into School Support Services.
11. Consider and assess whether the number of assessments is appropriate and necessary (may result in a further reduction of FTE).
12. Move the position of Data Base Administrator into Technology Services.
13. Reduce scope of responsibility of Student Services Director to a Coordinator level.
14. Assess workload necessary staffing for ELD work.
15. Fully utilize AERIES data collection and storage function for CELDT. Also, consider eliminating redundant spreadsheets by utilizing SASI or AERIES directly.
16. Identify key processes that need process mapping, especially those that would help clarify District Office and school site roles and responsibilities for certain processes. Once these roles and responsibilities are clarified, it is highly recommended that the District periodically audit the processes and realign responsibilities as needed.

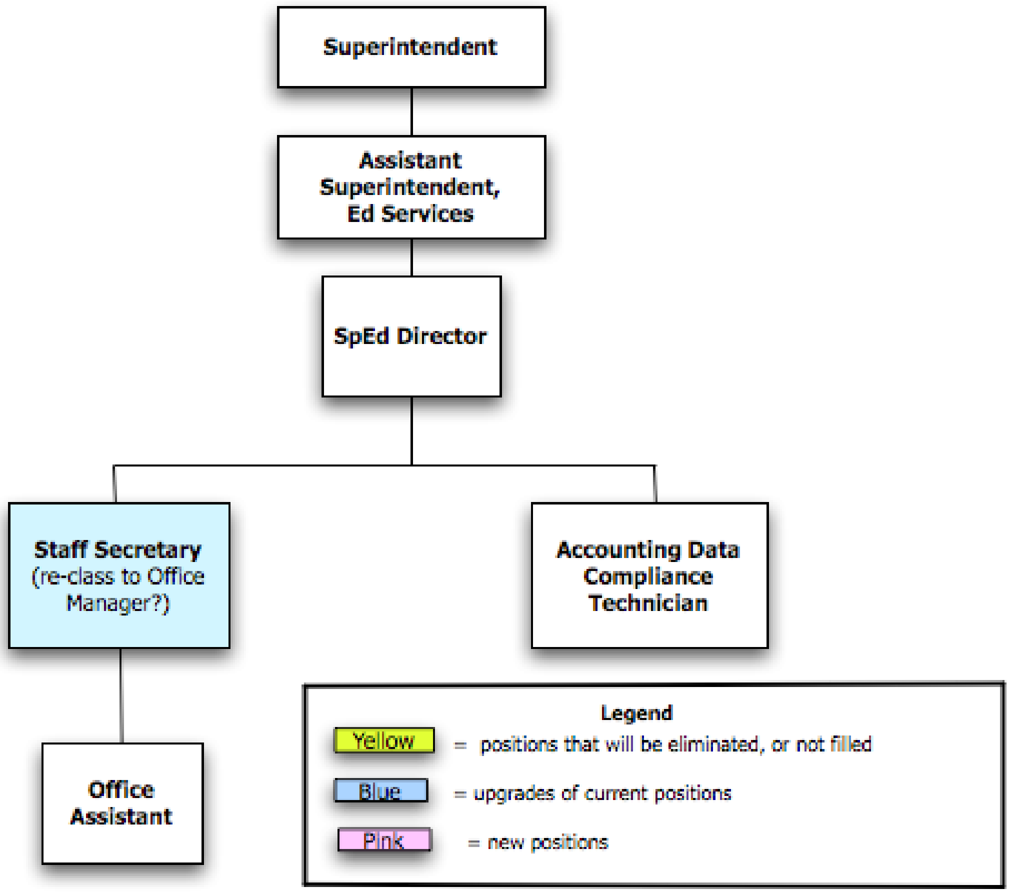


Net Fiscal Savings: $ 103,680K/yr

Changes from current organization:
1. After School grant-funded program moved to Educational Options Department
2. Director expected to institute oversight process and tools to ensure submittial of grant applications and renewals (district-wide) occurs
3. This represents the merging of 2 departments: Compliance and Student Services departments, and a re-configuration of the Assessment department (1 FTE moving into Tech Services, 2 FTE moving into School Support Services, 1 FTE reduction)
4. Potential to reduce headcount by combining some admin tasks, re-visiting goals for some activities, and clarifying Site level responsibilities.
5. As Centralized enrollment is considered, may affect the staffing and configuration of this department.
6. 2 Staff Secretaries will support the School Support Services and Educational Options departments.

Special Education

A very limited assessment was conducted with the Director of Special Education that focused on three office positions within the department. Although we do not recommend reducing full time employees within the Department office, this report recommends upgrading the Staff Secretary role to a supervisory role, supervising the Office Assistant. This shift in responsibilities for the Staff Secretary will allow the Director to devote more time to working with the Data Accounting Technician to focus on additional revenue realization.



Net Fiscal Impact: $100,000/yr increased revenue

Changes from Current Organization:
1. Re-class Staff Secretary to Office Manager to relfect scope of work, plus additional supervisory responsibility
2. Move reporting relationship of Office Assistant from SpEd Director to Office Manager
3. **Major Change**: Focus Accounting Data Compliance Technician job and Director's supervisory focus onto **realization of revenue potential.**

III. Process Map Findings (14 Processes)

Fourteen (14) cross-departmental processes were mapped and analyzed:

- Hiring process
- Change of Status process
- Health and Welfare Benefits process
- Pay process (Salaried)
- Pay process (hourly and ETOT)
- Pay process (Substitute and Other Stipends)
- Personal Leave process
- Leave of Absence process
- Medical Leaves process
- Vacation Leave process
- Worker's Compensation process
- Retirement Benefits process
- Purchasing process
- MOF Work Order process

This section includes an overview of each process as well as the following analyses:

1. Summary of what was found;
2. Consequences of not fixing this process;
3. Benefits of fixing this process; and
4. Recommended timing of process fix.

In addition, this section includes a detailed Process Map and Pain Point Analysis or Gap Analysis for each process.

What is a Pain Point?

A "pain point" is a problem that is identified with a particular process. It usually causes pain in the form of wasted time, frustration, inaccurate work product, and lost money. The pain points that were identified in this analysis fall into 4 categories: Organizational, Process, Communication/Training, or Technology.

An ***Organizational pain point*** *is usually related to role confusion, role redundancy, or missing roles, An Organizational pain point might also refer to a management process that is missing.*

Process pain points *are any problem with a particular step or procedure and how it is performed, It can also refer to steps that are missing, a group of steps that are done in the wrong order, or a group of steps that don't make sense or are inefficient.*

Communication/Training pain points *relate to problems due to lack of communication or training. Many times communication pain points can't be solved until a policy is clarified, or a decision is made that can be clearly communicated. At other times, a procedure has been put in place by a District Office department, but the department failed to adequately communicate it to the school sites , resulting in the procedure not being used.*

Technology pain points *can either be related to technology being used in the process, or can represent some difficulty that could be better served by better use of technology.*

Hiring Process

Summary

The hiring process entails a number of paper handling steps and the routing required for approval is unclear. This includes how requisitions are routed to Compliance and to Fiscal in order to check for availability of funds and compliant use of funds. The Hiring Process is completely manual, and a better use of technology will help streamline it. There is also some role clarification needed between HR and Hiring Managers. Another large piece of work entails the hiring of employees funded by grants. These employees are not under position control and involve a number of paperwork workarounds to hire them and manage their compensation. Finally, there is not a clear protocol for who/how communication with the Hiring Manager is done – particularly when requisitions are denied.

Number of pain points identified by type of pain point:
Organizational: 3
Process: 17
Communication /Training: 4
Technology: 4

Pain Point Examples

- *Lack of clarity around budget codes and compliant use of categorical funds make it hard for Administrators to complete requisitions. This can be exacerbated when an employee is split funded.*
- *Confusion around routing of forms.*
- *Edjoin is used for job posting, but not for job applications.*
- *Employee has to go to 2 departments to get hired: HR for orientation, Fiscal for Benefits information.*
- *General lack of clarity on the order of operations for routing position requisitions and the reasoning behind the position requisition process.*

Impact

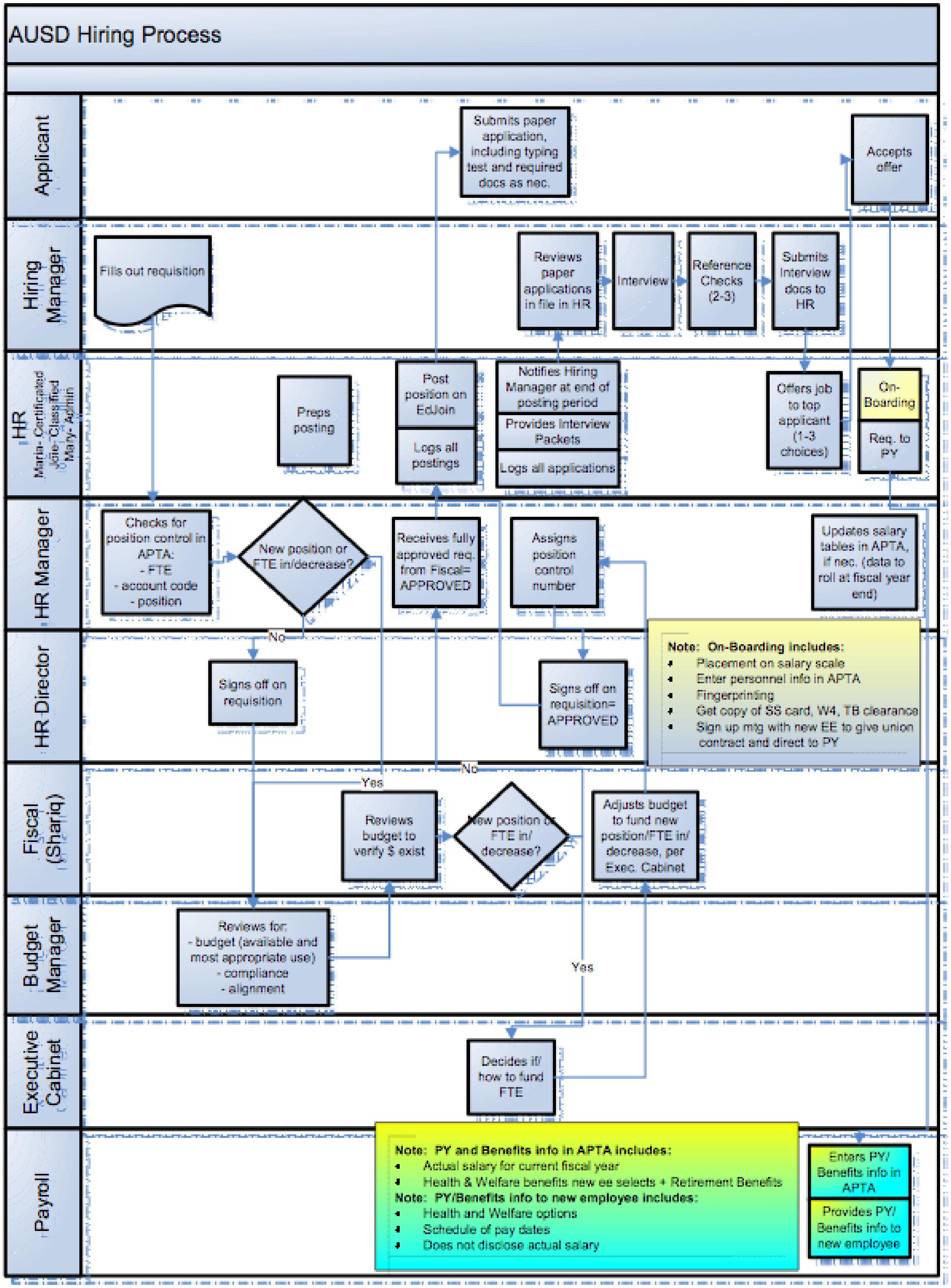
The hiring process is unnecessarily complicated and difficult for hiring managers and District Office staff to implement.

Benefits to Fixing

- Decrease in labor hours for paper handling.
- Decrease in delays in getting people hired.
- Labor savings as routine paperwork handling is streamlined and automated.
- HR department can focus on more strategic activities: cultivating high quality candidates, compensation benchmarking, etc.

Timing Recommendation

Develop work plan in February in order to fix pain points before next hiring season starts (June).



AUSD Hiring Process
Applicant
Hiring Manager
HR Maria- Certificated Jose- Classified Mary- Admin
HR Manager
HR Director
Fiscal (Shariq)
Budget Manager
Executive Cabinet
Payroll
Submits paper application, including typing test and required docs as nec.
Accepts offer
Fills out requisition
Reviews paper applications in file in HR
Interview
Reference Checks (2-3)
Submits Interview docs to HR
Preps posting
Post position on EdJoin
Logs all postings
Notifies Hiring Manager at end of posting period
Provides Interview Packets
Logs all applications
Offers job to top applicant (1-3 choices)
On-Boarding
Req. to PY
Checks for position control in APTA: - FTE - account code - position
New position or FTE in/decrease?
Receives fully approved req. from Fiscal= APPROVED
Assigns position control number
Updates salary tables in APTA, if nec. (data to roll at fiscal year end)
No
Signs off on requisition
Signs off on requisition= APPROVED
Note: On-Boarding includes:
Placement on salary scale
Enter personnel info in APTA
Fingerprinting
Get copy of SS card, W4, TB clearance
Sign up mtg with new EE to give union contract and direct to PY
Yes
No
Reviews budget to verify $ exist
New position or FTE in/ decrease?
Adjusts budget to fund new position/FTE in/ decrease, per Exec. Cabinet
Reviews for: - budget (available and most appropriate use) - compliance - alignment
Yes
Decides if/ how to fund FTE
Note: PY and Benefits info in APTA includes:
Actual salary for current fiscal year
Health & Welfare benefits new ee selects + Retirement Benefits
Note: PY/Benefits info to new employee includes:
Health and Welfare options
Schedule of pay dates
Does not disclose actual salary
Enters PY/ Benefits info in APTA
Provides PY/ Benefits info to new employee

Hiring Process

Pain Point	Roles/ Technology/ Process/ Communication
Hiring Managers often fill out employee requisition forms incorrectly, particularly when it comes to split funding and employees with more than 1 job. Need to consider designing a form such that it is clear that request is for a description of the whole employee, not just pieces of info. Form should be revised to have as much built-in data validation as possible (e.g. drop downs, total FTE calculations) in order to minimize user errors.	Process Communication Technology
Principals report that if requisition is not on a triplicate form it is rejected.	Process
May need to consider additional training and reference documentation for principals regarding budgets and budget codes and compliant use of categorical funds. This lack of clarity often delays the completion of the requisition. Consider adding a drop down budget code list to the form. In simplifying the forms, process should consider adult learning needs so as to provide enough but not too much information so as to not overwhelm Principals.	Communication Technology
Position codes are unique. Need to examine whether hourly positions are part of position control, e.g. noon supervisors and problems that may arise as a result.	Process
Position control needs to incorporate employees funded by grants. Significant time is consumed in Human Resources attempting to accommodate this large group of employees, including design of specialized forms, and processing employees. Need to examine how these employees can be incorporated into position control with classified service. Review of grant requirements is necessary to examine the appropriate employment terms for grant funded employees.	Process
Need to examine position requisition process and ensure that money is reserved for approved requisitions.	Process
In June 2009, categorical funds previously managed by District Office were dispersed to the school sites. Some of these categorical funds were used to fund site-based employees. Need to review this disbursement for the next school year to ensure that that Principals have maximum autonomy to make these budgetary decisions based on their categorically funded FTE needs.	Process Roles
There is a lack of clarity around the role of “Budget Manager.” For example, Ed Services has two tier Management (Student Services/Compliance/etc. in addition to an Asst. Superintendent). Sites are not clear as to how many levels of management approval	Process Policy

are required for requisition.	
Analysis reveals a possible overlap and redundancy in roles between the Budget Manager and Fiscal in that both roles appear to be responsible for verifying available funds. The Budget Manager also checks for compliance and alignment. These roles need further examination to eliminate overlap and streamline process.	Process
Currently Compliance does not receive requisitions until after HR does position control check. This results in unnecessary work being performed by HR in the case of a requisition being denied by Compliance as well as a delayed response to Principals. However, there may be some value in vetting the position in HR prior to routing it to Compliance. Further analysis should be done to determine whether the requisition should be routed first to Compliance or HR.	Process
HR Director approval/signature occurs before Fiscal approval if position is not new and there is not an increase or decrease in FTE. However, if the position is new or there is an increase or decrease in FTE, the position must be approved by Fiscal first. This creates confusion when routing requisition form for approval.	Process
There is a perception that requisitions get held up in Executive Cabinet; this process needs to be examined to ensure requisitions are process in a timely manner.	Process
There is a general lack of clarity on the order of operations for routing requisitions and the reasoning behind the process. There is evidence that the current process is not consistently adhered to. For instance, it appears that Compliance may receive a requisition or change of status from before HR. This lack of clarity causes confusion and delay in processing.	Process
The communication process for the denial of a requisition is unclear. For example, to whom the denial is communicated is unclear. Consider sending denied requisition with explanation to HR and task HR with the responsibility to communicate denial to Hiring Manager. This ensures one point of contact.	Process Communication
HR posts positions to EdJoin, but then asks applicants to fill out hard copy AUSD applications. As a result, only part of technology tool is being used. HR keeps posting log and application log. This is a very time consuming.	Process Technology
Principals report that applications are not organized when they pick them up from HR. The stack is often incomplete. Principals have never understood how the files are organized. They must do “detective work to see if anything is missing”.	Process
Need to clarify HR vs. Hiring Manager role in vetting	Roles

applicants/applications/setting up interviews. Consider having Hiring Manager set up interviews.	
There is considerable confusion surrounding the Effective Date of employment and disagreement between Central Office and Hiring Managers. Hiring managers believe that start date is the day that the employee signs the contract. Central Office believes that it's the date the Requisition was fully approved.	Process
New Employee must go to 2 departments when hired (HR and PY for Benefits). Means new Employee must make and go to 2 different appointments. This process creates customer service confusion for new employee. Coordination is challenging between HR and Payroll. HR does not always inform Payroll when new Employee will come in for on boarding. Therefore, Payroll can't plan their work. Suggested partial solution: Create shared HR-Payroll calendar for heavy months of August and September.	Process Roles
Turnaround time of entire process unclear. Lack of clarity yields frustration and anxiety. This could lead to false expectations on the part of employees as to when they should work and when they will be paid.	Communication
Entire process is done manually on paper. It is slow, cumbersome, and inefficient. There is no transparency, thus creating anxiety and additional work tracking down status of requisitions.	Technology

Change of Status Process

Summary

The Change of Status process shares many of the same pain points as the hiring process as well as some additional problems. There is evidence that employees begin working before the Change of Status is fully processed, causing confusion among employees who expect to get paid in accordance with their new employee classification. In addition, there is evidence of requests to make status changes retroactive.

Number of pain points identified by type of pain point (these are in addition to hiring process pain points):

Organizational: 0
Process: 3
Communication /Training: 2
Technology: 0

Impact

The District's ability to pay or hire staff in a timely manner is impaired. Employee and District Office confusion regarding the "effective date" of employment causes problems with employees who expect to be paid at new compensation levels before the change of status is fully processed.

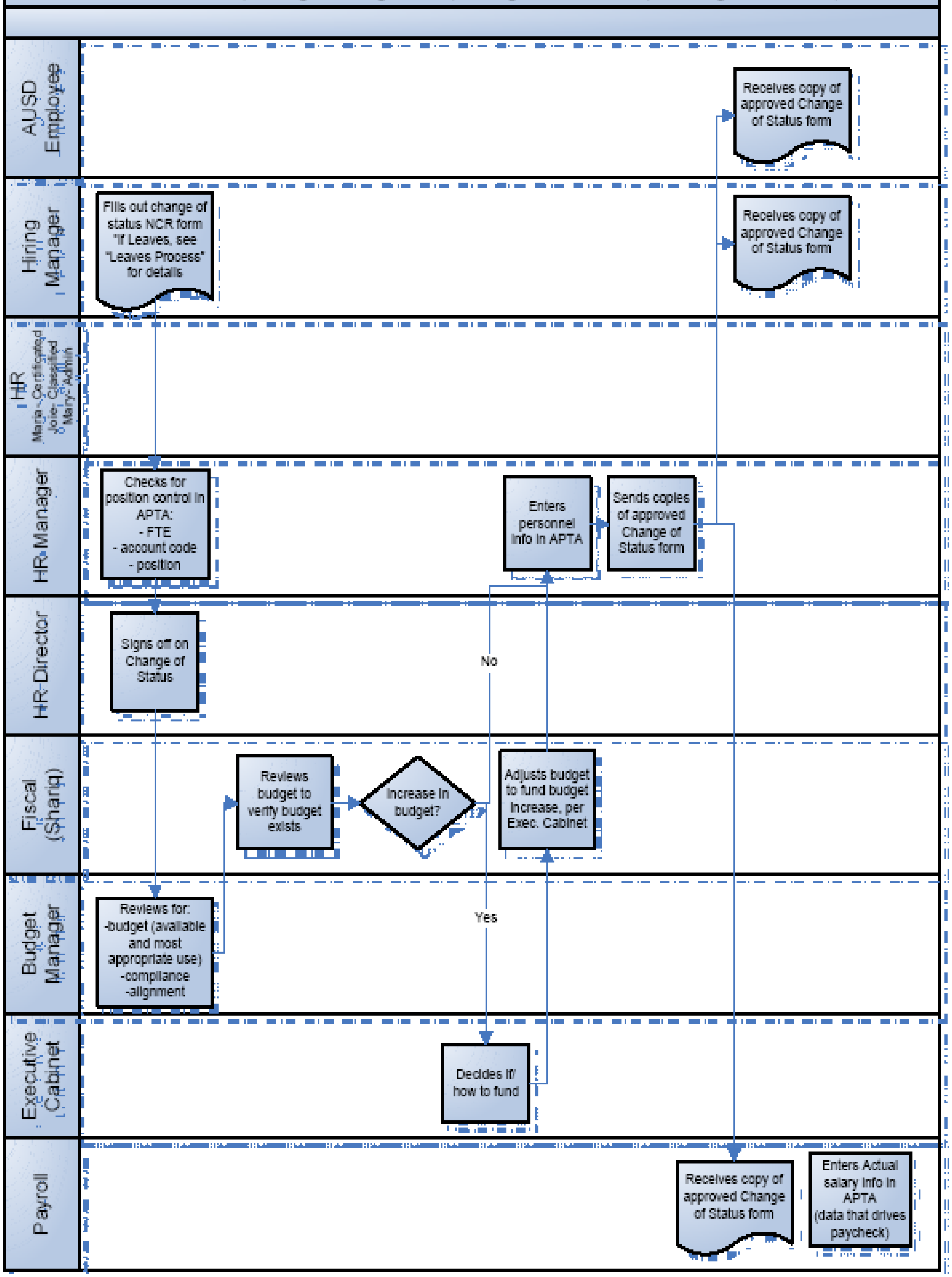
Benefits to Fixing

A clear and coherent process for an employee's change of status and corresponding pay adjustment ensures that there is visibility and predictability around pay increases both as to timing and amount.

Timing Recommendation

The process for change of employee status should be implemented at the same time that the District implements a new Hiring process as both processes share many of the same problem areas and are inter-related. (Begin in February to fix before June).

AUSD Employee “Change of Status” Process:
Increase/Decrease in hours, Change funding source, Change work location, Working out of Class, Leaves*



“Change of Status” Process

Pain Point	Roles/ Technology/ Process/ Communication
Same pain points as “Hiring Process” with the addition of the following below:	
There is a lack of clarity around the “effective date” of employment and which department decides the date. Consider use of “confirmation date” with HR deciding the effective date, not the hiring manager. There is evidence that employees begin working before the Change of Status is fully processed, causing confusion among employees who expect to get paid in accordance with their new employee classification. There are communication gaps between HR and Site Administrators as to when the Change of Status form should be submitted for approval, causing delays in the process. Consider implementing training for hiring managers to assist with change of status requests and to clarify retroactive pay issues.	Process Communication
HR-Payroll process timeline and deadlines. Widespread perception that Payroll is responsible for employees not getting paid. However, there is evidence to suggest that pay issues are often a matter of timing and clear expectations. • Employee understanding • Office Manager/Principal understanding Consider implementing clear protocol for what happens when HR misses a Payroll deadline Consider establishing a rigorous calendar of deadlines for submission of Payroll information and requiring strict adherence to the deadlines.	Communication
Need clear process for when an employee suddenly leaves job and manager needs someone in position immediately (e.g. special ed) Suggested interim solution: Hire sub and pay with timecard while awaiting hiring process.	Process
Need to assess whether it is necessary to require Principals to submit Change of Status for teachers changing grade levels as utility is unclear.	Process

Health and Welfare Benefits Process

Summary

While HR manages employee records and employee profiles overall, the Payroll staff currently manage the Health and Welfare Benefits aspect of employee records. Payroll manages selection and set-up of Health and Welfare benefits of new employees during hiring, but there is no clear owner of this process when an employee is separated from AUSD.

Number of pain points identified by type of pain point:

Organizational: 3
Process: 3
Communication /Training: 0
Technology: 1

Impact

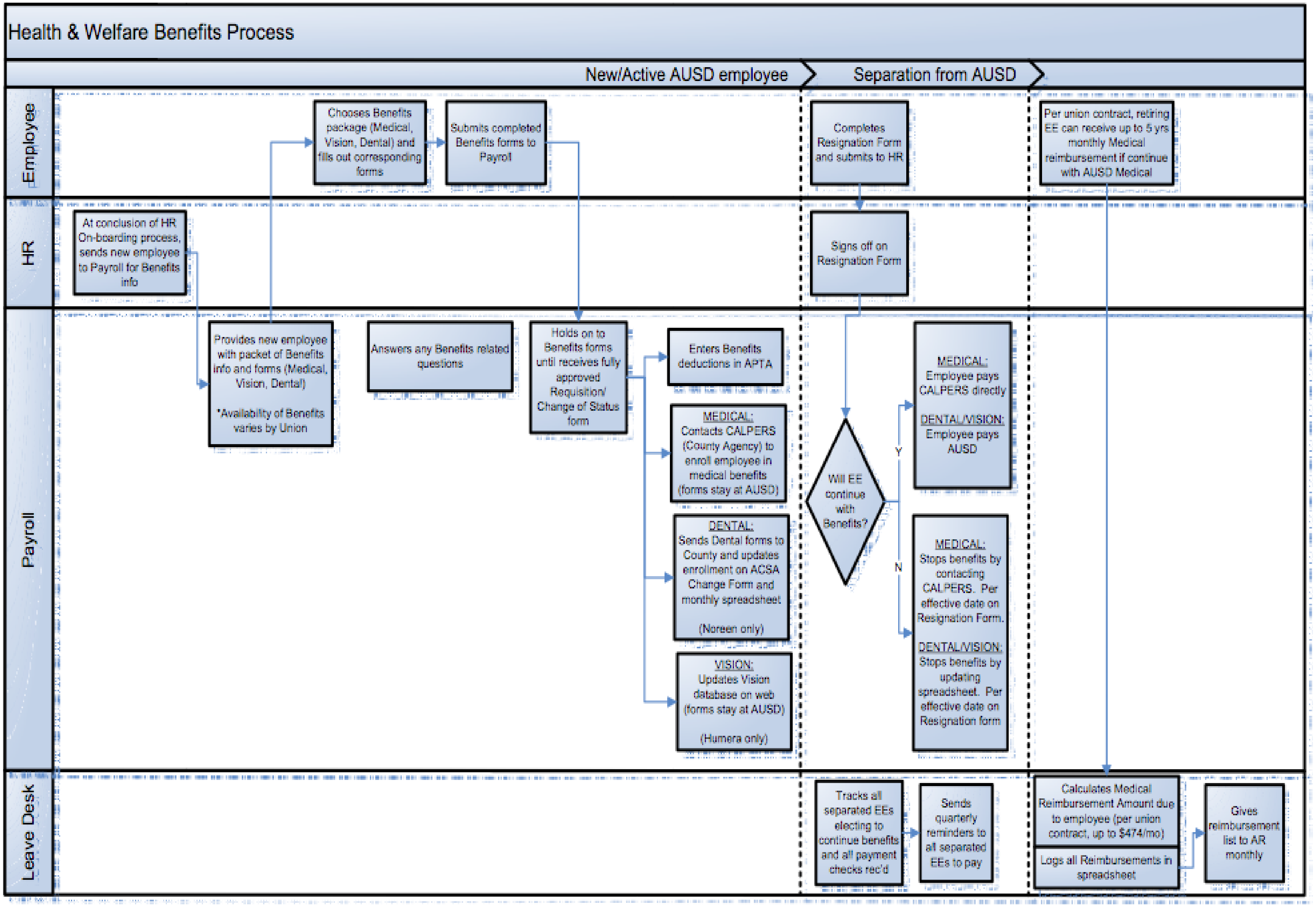
Payroll's ownership of Health and Welfare benefits means that new employees must go to two different departments during the hiring process and there is inconsistent implementation of COBRA notices upon an employee's separation from the District.

Benefits to Fixing

Improved customer service for new and separating employees and increased compliance with state and federal requirements.

Timing Recommendation

The Health and Welfare Benefits Process should be revised after implementation of the second phase of the redesign of the HR Department (by the start of next year).


Health & Welfare Benefits Process
New/Active AUSD employee
Separation from AUSD
Employee
HR
Payroll
Leave Desk
Chooses Benefits package (Medical, Vision, Dental) and fills out corresponding forms
Submits completed Benefits forms to Payroll
Completes Resignation Form and submits to HR
Per union contract, retiring EE can receive up to 5 yrs monthly Medical reimbursement if continue with AUSD Medical
At conclusion of HR On-boarding process, sends new employee to Payroll for Benefits info
Signs off on Resignation Form
Provides new employee with packet of Benefits info and forms (Medical, Vision, Dental)
*Availability of Benefits varies by Union
Answers any Benefits related questions
Holds on to Benefits forms until receives fully approved Requisition/ Change of Status form
Enters Benefits deductions in APTA
MEDICAL: Contacts CALPERS (County Agency) to enroll employee in medical benefits (forms stay at AUSD)
DENTAL: Sends Dental forms to County and updates enrollment on ACSA Change Form and monthly spreadsheet
(Noreen only)
VISION: Updates Vision database on web (forms stay at AUSD)
(Humera only)
Will EE continue with Benefits?
Y
N
MEDICAL: Employee pays CALPERS directly
DENTAL/VISION: Employee pays AUSD
MEDICAL: Stops benefits by contacting CALPERS. Per effective date on Resignation Form.
DENTAL/VISION: Stops benefits by updating spreadsheet. Per effective date on Resignation form
Tracks all separated EEs electing to continue benefits and all payment checks rec'd
Sends quarterly reminders to all separated EEs to pay
Calculates Medical Reimbursement Amount due to employee (per union contract, up to $474/mo)
Logs all Reimbursements in spreadsheet
Gives reimbursement list to AR monthly

Health and Welfare Benefits Process

Pain Point	**Roles/ Technology/ Process/ Communication**
A new employee has to go to two different departments during On-Boarding: HR (for HR info) and Payroll (for Benefits info)	Roles Process
There is evidence that employees who separate from AUSD may not be consistently being offered COBRA. Although the current owners of the Benefits process, Payroll, has not owned this portion of the Benefits process. COBRA needs to be offered consistently and needs be clearly housed in one department.	Roles Process
There is lack of clarity around retired employees' entitlement to medical benefit reimbursement. Currently the Leaves Desk tracks monthly medical reimbursements in a spreadsheet outside of APTA. The entitlement needs to be clarified and the Leaves Desk must use APTA to track reimbursements, if possible.	Roles Process Technology

Pay Process – Salaried Employees

Summary
The pay process is dependent on paper-based sign-in/sign-out sheets, which are inconsistently and inaccurately completed. This causes the Fiscal Department to spend a significant amount of time troubleshooting sign-in/sign-out sheet errors. In addition, the sign-in/sign-out sheets are generated by a separate HR database, instead of generating them from APTA. HR employees spend an inordinate amount of time tracking non-teacher substitute pay, instead of using a system like SubFinder to help automate paying substitutes. There is inconsistency in how leaves are noted on the sign-in/sign-out sheets.

Number of pain points identified by type of pain point:

Organizational: 1
Process: 6
Communication /Training: 0
Technology: 6

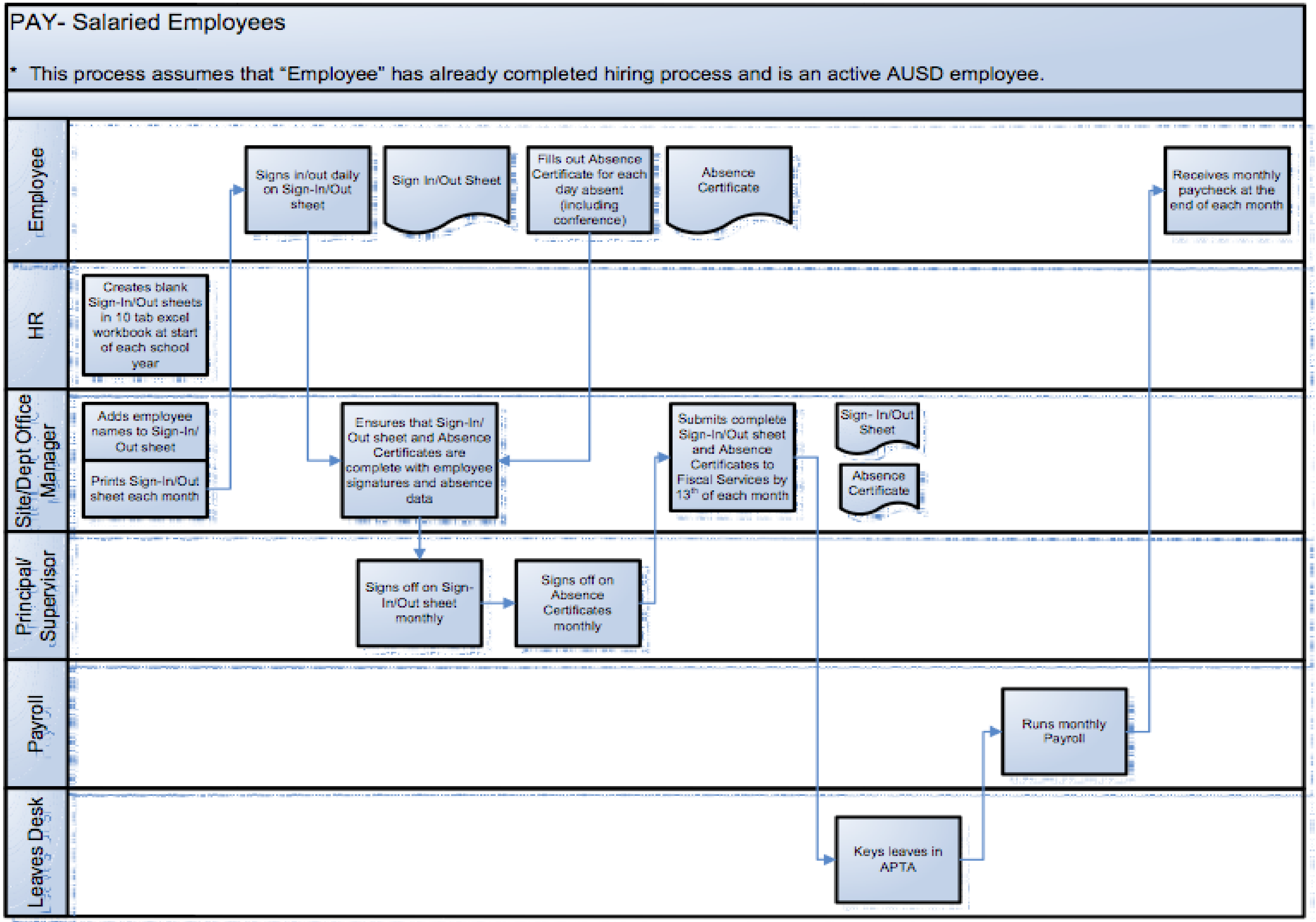
Pain Point Examples

- *Office Managers spend a significant amount of time chasing down employees to fill out absence certificates and sign-in/sign-out sheets.*
- *Because sign-in/sign-out sheets are manually completed as opposed to being automatically generated with employee names or employee id numbers, the sheets frequently contain errors and create a time drain on the Leaves Desk and Payroll to correct the data.*

Impact
Both site level employees and HR staff waste time just to get people paid and the resulting process does not generate accurate leave accounting.

Benefits to Fixing
- Opportunity to automate (using a robust time and attendance system) could result in decreased FTE needed to implement payroll.
- With more time to provide oversight to ensure accurate time accounting (instead of chasing paper), monitoring the accuracy of time accounting could represent dollar savings.

Timing Recommendation
Institute fixes streamlining sign-in/sign-out sheets before the fiscal year end. Schedule consideration of a long term time and attendance system for 2011 (cost and internal capacity to manage this project warrants waiting).


PAY- Salaried Employees
* This process assumes that "Employee" has already completed hiring process and is an active AUSD employee.
Employee
HR
Site/Dept Office Manager
Principal/ Supervisor
Payroll
Leaves Desk
Signs in/out daily on Sign-In/Out sheet
Sign In/Out Sheet
Fills out Absence Certificate for each day absent (including conference)
Absence Certificate
Receives monthly paycheck at the end of each month
Creates blank Sign-In/Out sheets in 10 tab excel workbook at start of each school year
Adds employee names to Sign-In/ Out sheet
Prints Sign-In/Out sheet each month
Ensures that Sign-In/ Out sheet and Absence Certificates are complete with employee signatures and absence data
Submits complete Sign-In/Out sheet and Absence Certificates to Fiscal Services by 13th of each month
Sign- In/Out Sheet
Absence Certificate
Signs off on Sign-In/Out sheet monthly
Signs off on Absence Certificates monthly
Runs monthly Payroll
Keys leaves in APTA

Pay- Salaried Employees

Pain Point	Role/Technology/ Process/ Communication
The Employee Attendance sheet referred to as the “Sign-In/Out sheet” is often not filled out completely, accurately, or legibly by the employee. This creates significant time drain for the Leaves Desk and Payroll to research each individual employee’s issue. When the Sign-In/Out sheet is left completely blank for an employee, the Leaves Desk researches the attendance issues with the site and/or employee. There is a lack of clarity as to how to accurately account for short absences when the employee neglects to complete one or two days on the Sign-In/Out sheet.	Technology
Responsibility for managing employee attendance is largely placed on Office Managers in the current system. Office Managers have many other job duties and by necessity spend much of their time following up on staff attendance issues, thus taking them away from other critical functions.	Process Roles
The creation of Sign-In/Out sheets is a laborious process that involves multiple departments to create and multiple staff to update and maintain. Blank Sign-In/Out sheets are created at the beginning of the school year by HR with assistance from Tech Services. In years past they were posted on the “L” drive, but starting in 2009/10, HR emailed them directly to sites. These excel sheets allow up to 100 rows for Employee Names. Once names are entered on one sheet they auto-populate all other sheets (representing months) in the workbook.	Technology Process
Employee names are used as the primary data to identify a staff person on the Sign-In/Out sheet. Employee ID #’s are not included on the Sign-In/Out sheet. Office Managers populate the Sign-In/Out sheets with employee names. There is evidence that names are frequently misspelled or that the Sign-In/Out sheet contains names which are not official names in APTA. This creates significant time drain for Leaves Desk and Payroll to research the correct name in APTA, thus holding up the processing of Payroll.	Technology Process
The employee attendance process requires that employees fill out and sign the Sign-In/Out sheet each day. When an employee is absent, he/she must also fill out an “Absence Certificate”. Both sets of documents are turned in to Payroll each pay period. There is evidence that even when Sign-In/Out sheets are complete, the accompanying “Absence Certificate” is frequently missing or incomplete. The Leaves Desk must spend time tracking these down by contacting the Office Manager. There is a lack of clarity as to how to accurately account for short absences when the Absence Certificate is missing or incomplete.	Technology Process

Overall, sites adhere to the Payroll deadline and turn their Sign-In/Out sheets in to Fiscal by the 13th of each month. However, there is evidence that some Central Office departments are inconsistent in turning in their Sign-In/Out sheets on time. This creates an unnecessary time crunch for Leaves/Payroll in order to get checks out on time. AUSD needs an accountability system to assist Payroll in meeting this deadline.	Process
The employee Sign-In/Out sheet is being marked inconsistently when an employee is on leave. There is evidence that sites are confused as to how to account for employees who are leave. For example, some sites cross out the name of the employee on leave, while others entirely delete the employee on leave from their Sign-In/Out sheet.	Process
AUSD has a system for managing and tracking teacher substitutes called SubFinder. However, the District does not use SubFinder to track substitute pay. Instead, the current process for paying substitutes teachers is the use of Sign-In/Out sheets. There is an opportunity to use the current SubFinder system for validating employee attendance data in the short term. In the long term, staff should investigate if it is possible for SubFinder to interface with a Time and Attendance system in the long term.	Technology
Customers report that they spend an inordinate amount of time moving and processing the multiple pieces of paper required to get employees paid. One Principal suggested using classroom computers to sign in/out, given that teachers are already expected to take student attendance on their classroom computers. Another Principal suggested that a swipe card would be better than using computers to sign-in/out because classroom computers are not always reliable. AUSD should investigate both options.	Technology

Pay Process – Hourly Employees & Extra Time / Over Time for Salaried Employees

Summary
Paying substitutes entails detailed tracking of pay rates, which is done in an EXCEL spreadsheet. This tracking is very time consuming. Because timecards are not filled out accurately, HR and Payroll spend significant time researching pay issues. In addition, multiple technology-based tools are used to track different kinds of substitutes. Finally, HR and Fiscal experience a huge drain in time due to the use of timecards to process payroll for grant funded employees.

Number of pain points identified by type of pain point:

Organizational: 0
Process: 3
Communication /Training: 0
Technology: 4

Pain Point Examples

- *Employees funded by grants are paid on timecards, creating a huge volume of timecards. Additionally, their rate of pay is not consistent.*
- *Fiscal is frequently calculates pay manually without the use of APTA, adding another step to the process.*

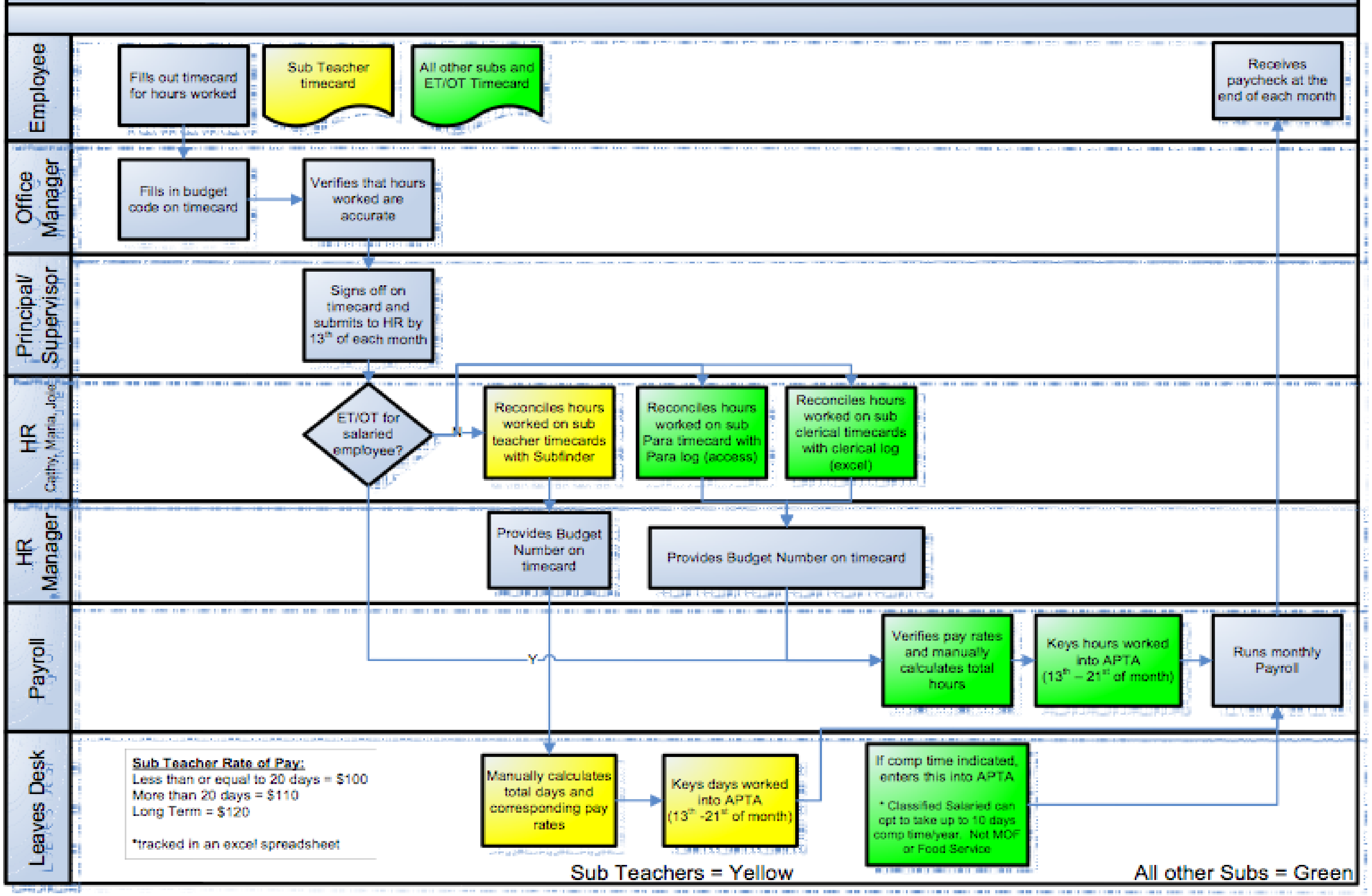
Impact
Fixing this process will save labor resources and possibly enable further reductions in FTE in either HR or Fiscal. At a minimum, it will enable employees to focus their work on more high leverage projects.

Benefits to Fixing
- Opportunity to automate (use SubFinder for all substitutes) to cut down on processing timecards.
- With more automation in payroll, payroll accuracy will improve, likely resulting in dollar savings.

Timing Recommendation
Evaluate capacity of SubFinder first (to get some workload relief), then fix this process at same time as pay process for salaried employees. (Sept 2010)

PAY- Hourly Employees and Extra-Time/Over-Time for Salaried Employees

* This process assumes that “Employee” has already completed hiring process and is an active AUSD employee.



Pay- Hourly and Extra-Time/Over-Time for Salaried Employees

Pain Point	Role/Technology/ Process/ Communication
It appears that employee timecards are often incomplete, inaccurate, or illegible. This creates a significant time drain for HR, Leaves Desk and Payroll to research each individual employee's issue. Such issues include: missing/incorrect/illegible budget codes, missing signatures, hours listed for the same date, hours worked are unclear, names are illegible. Additionally, there is no employee ID # on timecards.	Technology
Substitute teachers receive different rates of pay based on how many days they work, per union contract. This is tracked manually in an excel spreadsheet, verified by HR, and calculated by the Leaves Desk. This process is time consuming and unnecessarily involves multiple employees.	Technology
Substitute employees attendance is tracked using three different technology tools in HR. Substitute teachers are tracked in SubFinder. Substitute clerical are tracked in an excel spreadsheet. Substitute paraprofessionals are tracked in access. From an efficiency standpoint it makes sense to use one system for all substitutes. Investigate whether SubFinder has this capacity.	Technology
Employees funded by grants submit timecards. Review of grant requirements is necessary to examine the appropriate employment terms for grant funded employees.	Process
Payroll calculates pay outside of APTA. Payroll totals hours/days manually then enters them in APTA instead of using APTA to perform the calculation.	Technology
All timecards go through HR as school sites often perceive HR to be the first point of contact in District Office. However, approval and sign-off on timecards is determined by the department or school site funding the work. It is unclear what benefit is gained from having HR first review the timecards. AUSD should consider eliminating this step and requiring that all ExtraTime/OverTime for salaried employees be submitted directly to Fiscal. Similarly, MOF and Food Service schedule, track and pay their own substitutes, therefore their timecards do not need to go thru HR, but rather can go directly to Fiscal. This process need to be streamlined and clearly communicated to school sites and departments.	Process
It is critical that HR and Fiscal complete their Change of Status/Requisition data input into APTA before 13th of the month. The 13th to the 21st is reserved for timecard entry into APTA in order to process Payroll by the end of the month. These deadlines are not consistently adhered to by HR and Fiscal.	Process

Pay Process – Other Stipends

Summary
The pay process for stipends has created confusion between the role of Compliance and Fiscal and may be causing redundant work. In addition, confusion and errors when employees are splitting a stipend causes problems in tracking the payment of stipends. The absence of budget codes on stipend worksheets causes employees to waste time conducting research to determine the appropriate stipend pay.

Number of pain points identified by type of pain point:

Organizational: 1
Process: 5
Communication /Training: 1
Technology: 0

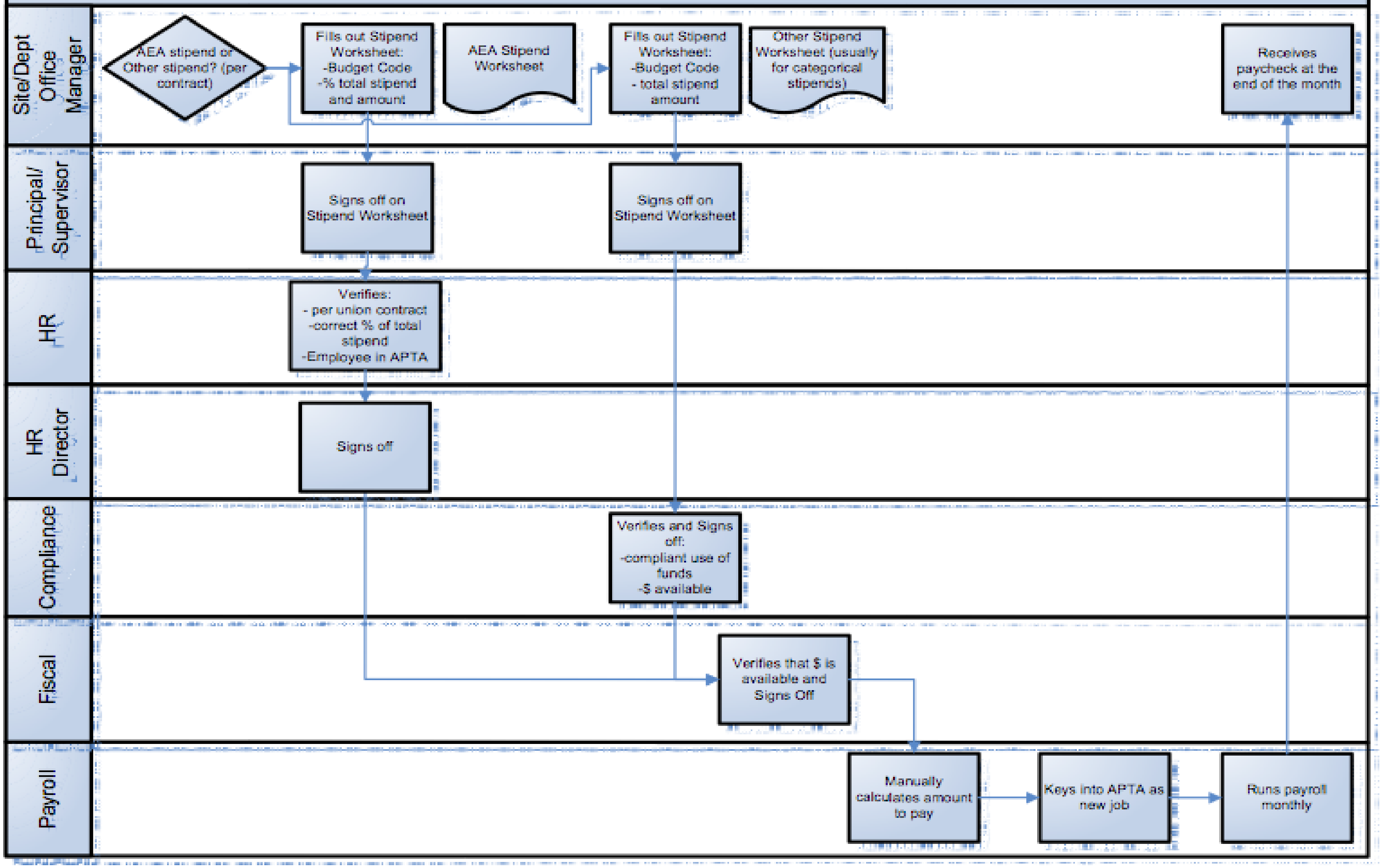
Impact
This process causes employees to waste time in an effort to ensure that pay is correct.

Benefits to Fixing
Relatively easy fixes can eliminate time spent in Fiscal and could therefore generate a savings in FTE in conjunction with other labor saving fixes.

Timing Recommendation
Implement in first 3 months of 2010.

PAY- Other including stipends and in-service activities

* This process assumes that "Employee" has already completed hiring process and is an active AUSD employee.



Pay- Other Stipends

Pain Point	Role/Technology/ Process/ Communication
The Stipend Worksheet does not have budget codes. Payroll is therefore required to look up stipend budget codes in APTA or on forms from previous years in order to process this pay.	Process
Current process is that Fiscal verifies that budget is available for stipends. Analysis reveals a possible overlap and redundancy in roles between the Budget Manager and Fiscal in that both roles appear to be verifying available funds. These roles need further examination to eliminate overlap and streamline process. (This is the same issue in Hiring/Change of Status process.)	Process Roles
High School athletic stipends are often problematic because the person to receive the athletic stipend has been working on site as a volunteer, but is not in the system as an employee and therefore cannot be paid. To resolve this issue, the District began requiring that HR first check APTA to verify employee status.	Process
There is evidence that HR and Payroll lack clarity when two employees are splitting a stipend. This confusion creates problems in tracking the percentage of available stipend and may result in payment inaccuracies. This variation on the process needs further analysis and support.	Process
There is a gap between when employees expect to be paid and when they will in fact be paid due to processing timelines. These timelines need to be clear and explicitly communicated.	Communication
"In-Lieu"- This kind of extra pay scenario is not documented in the "Other-Stipends' process map. However, it deserves attention. Synopsis: Teachers can opt out of their prep time and get paid for this time. The time does not carryover to the next school year and must be used by June. This means that HR and Payroll receive huge stacks of "in lieu" forms at the end of the school year. The HR Manager verifies the budget code and rates of pay. Payroll manually calculates pay. Overall Central Office spends an inordinate amount of time processing In-Lieu payments resulting in a relatively small dollar amount for employees. This process needs further exploration for streamlining opportunities.	Process

Personal Leave Process

Summary

Entitlement to personal leave benefits are dependent on union contracts and are currently unclear. The process of administering personal leaves is cumbersome, and particularly difficult at time of separation. Sick leave balances (which are affected by personal leave) are not calculated upon separation (they are calculated upon retirement) --- leaving room for disputes many years after separation.

Number of pain points identified by type of pain point:

Organizational: 1
Process: 5
Communication /Training: 1
Technology: 1

Impact

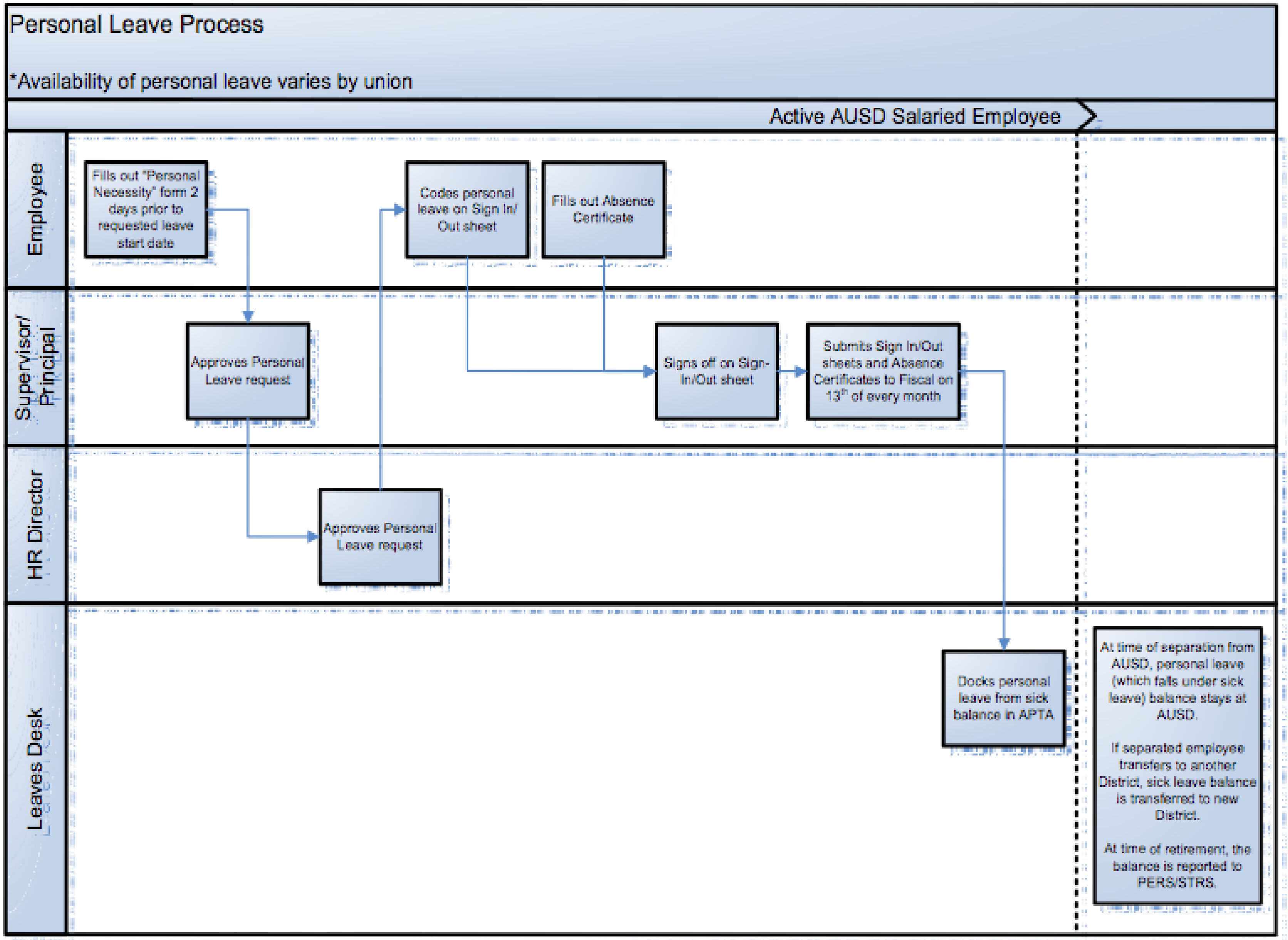
Personal leaves are administered inconsistently and, in some cases, incorrectly.

Benefits to Fixing

Relatively easy fixes can eliminate future disputes, which could represent savings to the District.

Timing Recommendation

Implement in first 3 months of 2010.


Personal Leave Process
*Availability of personal leave varies by union
Active AUSD Salaried Employee
Employee
Supervisor/ Principal
HR Director
Leaves Desk
Fills out "Personal Necessity" form 2 days prior to requested leave start date
Approves Personal Leave request
Approves Personal Leave request
Codes personal leave on Sign In/ Out sheet
Fills out Absence Certificate
Signs off on Sign-In/Out sheet
Submits Sign In/Out sheets and Absence Certificates to Fiscal on 13th of every month
Docks personal leave from sick balance in APTA
At time of separation from AUSD, personal leave (which falls under sick leave) balance stays at AUSD.
If separated employee transfers to another District, sick leave balance is transferred to new District.
At time of retirement, the balance is reported to PERS/STRS.

Personal Leave Process

Pain Point	**Roles/ Technology/ Process/ Communication**
There is evidence to suggest that personal leave allotments by employee group need clarification in order to ensure that the process is consistent.	Process Communication
Current policy requires that an employee request personal leave two days prior to leave, according to at least one union contract.	Process
The HR Director is required to sign off on all requests for personal leave. The purpose of the HR Director sign off is unclear and warrants a deeper understanding in order to maximize the value-add of this step of the process.	Roles Process
Currently, processing personal leave is a cumbersome 2-paper process for documenting employee attendance (Sign In/Out sheet + Absence Certificate). The purpose of both paper documents needs to be clarified, after which it needs to be determined whether both documents are in fact necessary.	Process
Personal leave falls under sick leave in APTA. It is not a separate category. There is evidence that total sick leave is not consistently being calculated at the time of employee separation from AUSD. This means that when an employee retires or transfers to another District, Payroll must manually search through old databases and old files to tally up sick leave balances from previous years of service with AUSD. This problem is exacerbated by the fact that the APTA Leaves module does not consistently or accurately roll leave balances from one year to the next. Because the sick leave calculations are done after an employee has been gone from the District, this unnecessarily creates room for dispute. Going forward, the process needs to be revised such that Payroll calculates sick leave balance upon separation, provides a separated employee with a copy of this overall balance, and has the employee acknowledge receipt. This should be filed for use at time of retirement. (Same pain point as Retirement Benefits Process)	Process Technology

Medical Leaves Process

Summary

Leaves in general, medical leaves in particular, are a complex problem at many levels. The District's administration of medical leaves is inconsistent. Leave balances are questionable and often disputed due to the complexity of implementing and tracking medical leave. In addition, problems with APTA create visible and significant issues for leave accounting.

The deficiencies in the medical leaves process, as demonstrated by this process map, support the organizational recommendation that the Leaves Desk position be upgraded and the function moved to HR for better integration and administration.

Number of pain points identified by type of pain point:

Organizational: 2
Process: 12
Communication /Training: 3
Technology: 6

Pain Point Examples

- *APTA has some serious functional deficiencies when recording leaves. Leave balances are not rolled over at the conclusion of the fiscal year, so all kinds of leave balances are manually calculated outside of APTA. In addition, APTA does not print sick leave balances accurately on pay stubs so there is confusion and lack of trust in the system's sick leave balances.*
- *Communication between HR and the Leaves Desk is fragmented, inconsistent and not done in real time. The Leaves Desk might have the latest status of an employee's leave, but the information (being housed in a non-APTA spreadsheet) is only shared with HR when it is requested.*

Impact

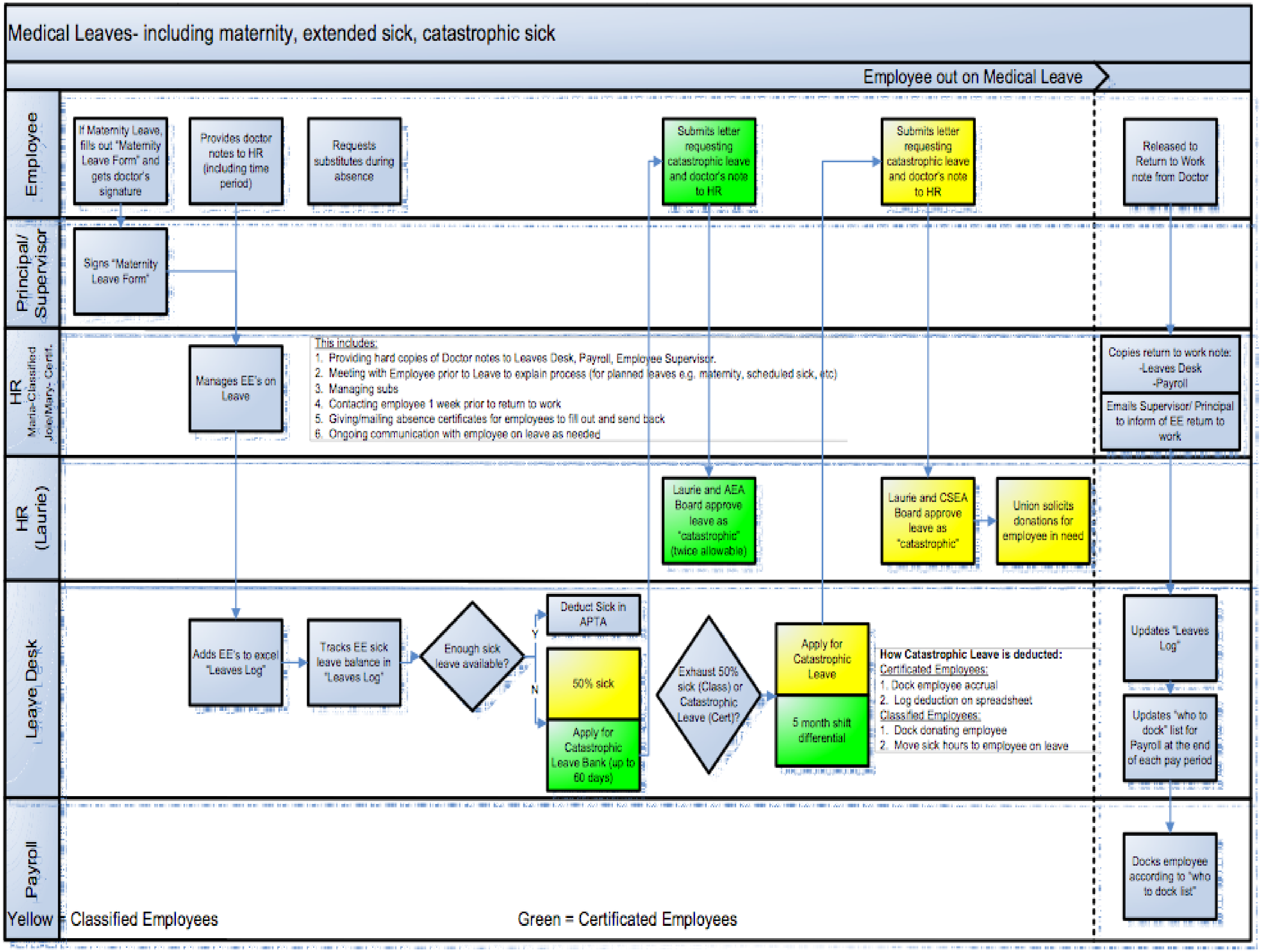
Inconsistent and inaccurate administration of medical leaves results in dollars expended for leaves that are in excess of benefits due.

Benefits to Fixing

- Clarifying a leaves policy and instituting a process that ensures accurate leave balances and leave management will likely result in significant savings.
- A streamlined process with clear roles, policy, and protocol, will eliminate the fragmentation and back and forth between HR and Fiscal.

Timing Recommendation

Upgrade the Leaves Desk position in the first 3 months of 2010; obtain Board approval for the position and hire in the second 3 months of 2010. Complete the design of the new position by August of 2010, at which point it will be transferred to HR, and the new process implemented.



Medical Leaves- including maternity, extended sick, catastrophic sick
Employee out on Medical Leave
Employee
Principal/ Supervisor
HR Maria-Classified Joe/Mary- Cert.
HR (Laurie)
Leave Desk
Payroll
If Maternity Leave, fills out "Maternity Leave Form" and gets doctor's signature
Provides doctor notes to HR (including time period)
Requests substitutes during absence
Submits letter requesting catastrophic leave and doctor's note to HR
Submits letter requesting catastrophic leave and doctor's note to HR
Released to Return to Work note from Doctor
Signs "Maternity Leave Form"
Manages EE's on Leave
This includes:
1. Providing hard copies of Doctor notes to Leaves Desk, Payroll, Employee Supervisor.
2. Meeting with Employee prior to Leave to explain process (for planned leaves e.g. maternity, scheduled sick, etc)
3. Managing subs
4. Contacting employee 1 week prior to return to work
5. Giving/mailing absence certificates for employees to fill out and send back
6. Ongoing communication with employee on leave as needed
Copies return to work note: -Leaves Desk -Payroll
Emails Supervisor/ Principal to inform of EE return to work
Laurie and AEA Board approve leave as "catastrophic" (twice allowable)
Laurie and CSEA Board approve leave as "catastrophic"
Union solicits donations for employee in need
Adds EE's to excel "Leaves Log"
Tracks EE sick leave balance in "Leaves Log"
Enough sick leave available?
Y
N
Deduct Sick in APTA
50% sick
Apply for Catastrophic Leave Bank (up to 60 days)
Exhaust 50% sick (Class) or Catastrophic Leave (Cert)?
Apply for Catastrophic Leave
5 month shift differential
How Catastrophic Leave is deducted:
Certificated Employees:
1. Dock employee accrual
2. Log deduction on spreadsheet
Classified Employees:
1. Dock donating employee
2. Move sick hours to employee on leave
Updates "Leaves Log"
Updates "who to dock" list for Payroll at the end of each pay period
Docks employee according to "who to dock list"
Yellow = Classified Employees
Green = Certificated Employees

Medical Leave

Pain Point	Roles/ Technology/ Process/ Communication
Because paychecks reflect inaccurate sick leave balances even when sick leave balances are accurate in APTA, an employee has to call the Leaves Desk in order to know their sick leave balance. This is a longstanding problem with APTA that needs to be addressed.	Technology
Employees are unclear about their leave entitlement and what it means. Employees need to be given information that explains the type of leave they are taking, whether paid or unpaid and if paid using sick leave, when the sick leave will be exhausted and what options they have at that time. Principals would like a chart of leaves that defines each type by union, to include: 1) day to day leaves differentiated from long terms leaves and paid leaves from unpaid leaves, 2) when a health clearance is necessary for employee to return to work, and 3) reference page # of union contract.	Process Communication
There is evidence that suggests that HR is inconsistent in their process for meeting with employees with planned leaves.	Process
The Leave Desk keeps a spreadsheet outside of APTA to track medical leaves. HR sees this information by request only, thus resulting in a real time disconnect for HR.	Process Technology
APTA stores leave data but does not compile or analyze it in a user friendly manner.	Technology
It is only recently that APTA has the capacity to make visible the dates adjustments were made. Payroll is not yet confident that this module works correctly.	Technology
There is evidence that leave does not roll consistently and accurately from one fiscal year to the next. This is true of all leaves and means that all data must be kept outside of APTA and manually calculated.	Technology
HR sends copies of employee Doctor's notes to the Leaves Desk, Payroll, and the Employee's Supervisor. This process needs to be analyzed to determine if it is the most efficient and is consistent with employee confidentiality.	Process Technology
The definition of catastrophic leave is not universally understood and needs clarification.	Process

It is unclear how the catastrophic leave bank is being tracked and reported.	Process
The process and expectations for employees returning from medical leave needs clarification, as it is not being consistently followed. For instance, HR does not always know when an employee has returned to work after a medical leave.	Process Communication
There is evidence that maternity leave "Return to Work" doctor notes are inconsistently collected. HR needs to reinforce and clarify this process with employees on maternity leave.	Process Communication
The process for keeping an employee's supervisor informed of the employee's leave status is unclear and inconsistent.	Process Communication
There is evidence that AUSD is not consistently notifying employees on leave when their benefits are affected.	Process Roles
There is evidence that FMLA is not being consistently applied.	Process
There is evidence that the application of the Family Care Act needs to be clarified and consistently applied.	Process
Absence Certificates do not appear to be consistently filled out, along with Sign-In/Out sheets. AUSD needs a system of accountability and clear guidelines for when absence certificates are required.	Process
The process for administering extended sick leave when an employee exhausts his/her sick leave needs clarification and further examination.	Process Technology
Overall, it seems that there are too many employees touching small portions of the process while no one employee or department owns this process from end-to-end.	Roles

Leave of Absence Process

Summary

The Leave of Absence Process is inconsistent and departmental ownership of the process is unclear. As a result, tasks required to administer leaves of absence frequently fall through the cracks (like the sending of letters to notify the employee of the option of "opting in" to benefits while on leave). Although there have been some process improvements with respect to granting leaves, beginning in the 2009/2010 school year, significant process problems remain.

Number of pain points identified by type of pain point:

Organizational: 1
Process: 5
Communication /Training: 1
Technology: 0

Pain Point Examples

- *Employee sign-in/sign-out sheet is completed inconsistently.*
- *Unclear which department is responsible for notifying employees who are on a leave of absence about benefits and related matters.*

Impact

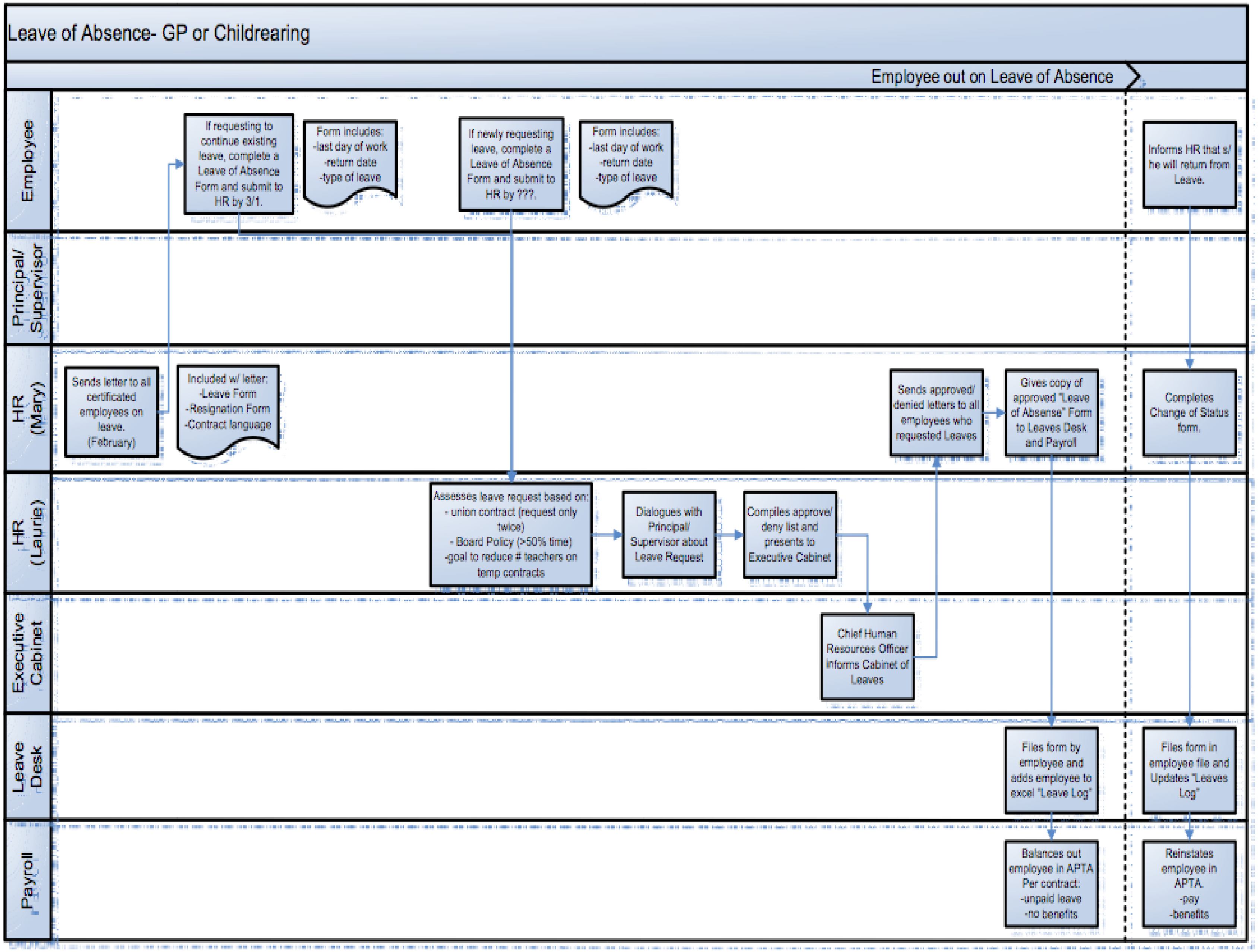
Errors in tracking employees on leave likely result in the over payment of employees on leave.

Benefits to Fixing

Potential cost savings if the District is overpaying employees.

Timing Recommendation

Upgrade the Leaves Desk position in the first 3 months of 2010; obtain Board approval for the position and hire in the second 3 months of 2010. Complete the design of the position by August of 2010, at which point it will be transferred to HR, and the new process implemented.



Leave of Absence- GP or Childrearing
Employee out on Leave of Absence
Employee
Principal/ Supervisor
HR (Mary)
HR (Laurie)
Executive Cabinet
Leave Desk
Payroll
If requesting to continue existing leave, complete a Leave of Absence Form and submit to HR by 3/1.
Form includes: -last day of work -return date -type of leave
If newly requesting leave, complete a Leave of Absence Form and submit to HR by ???.
Form includes: -last day of work -return date -type of leave
Informs HR that s/he will return from Leave.
Sends letter to all certificated employees on leave. (February)
Included w/ letter: -Leave Form -Resignation Form -Contract language
Sends approved/ denied letters to all employees who requested Leaves
Gives copy of approved "Leave of Absence" Form to Leaves Desk and Payroll
Completes Change of Status form.
Assesses leave request based on: - union contract (request only twice) - Board Policy (>50% time) -goal to reduce # teachers on temp contracts
Dialogues with Principal/ Supervisor about Leave Request
Compiles approve/ deny list and presents to Executive Cabinet
Chief Human Resources Officer informs Cabinet of Leaves
Files form by employee and adds employee to excel "Leave Log"
Files form in employee file and Updates "Leaves Log"
Balances out employee in APTA Per contract: -unpaid leave -no benefits
Reinstates employee in APTA. -pay -benefits

Leave of Absence

Pain Point	Roles/ Technology/ Process/ Communication
There is a perception among many employees that all leaves of absence will be granted as some believe this has been past practice. The standard for approving leaves of absence must be clarified and communicated.	Communication
It is unclear if AUSD is consistently informing employees of their options regarding benefits while on leave.	Process Roles
The Employee Sign-In/Out sheet is being marked inconsistently while an employee is out on a leave of absence. Some sites cross the employee on leave name out, others delete the employee on leave entirely. AUSD needs a consistent, standard practice which accurately reflects the employee's status while on leave.	Process
The Change of Status form is not being used consistently when an employee goes on leave. It is sometimes used. In other instances, the approved Leave Form itself is sent to Leave Desk/Payroll as a notification that the employee is on leave.	Process
Staff needs to analyze process for requesting leave of absence for all employee groups.	Process
There is evidence to suggest that the deadline for leaves of absence is not clearly understood or communicated.	Process

Vacation Leave Process

<u>Summary</u>
The Vacation Leave Process is relatively simple with some inefficiency (cumbersome 2-piece paper process).

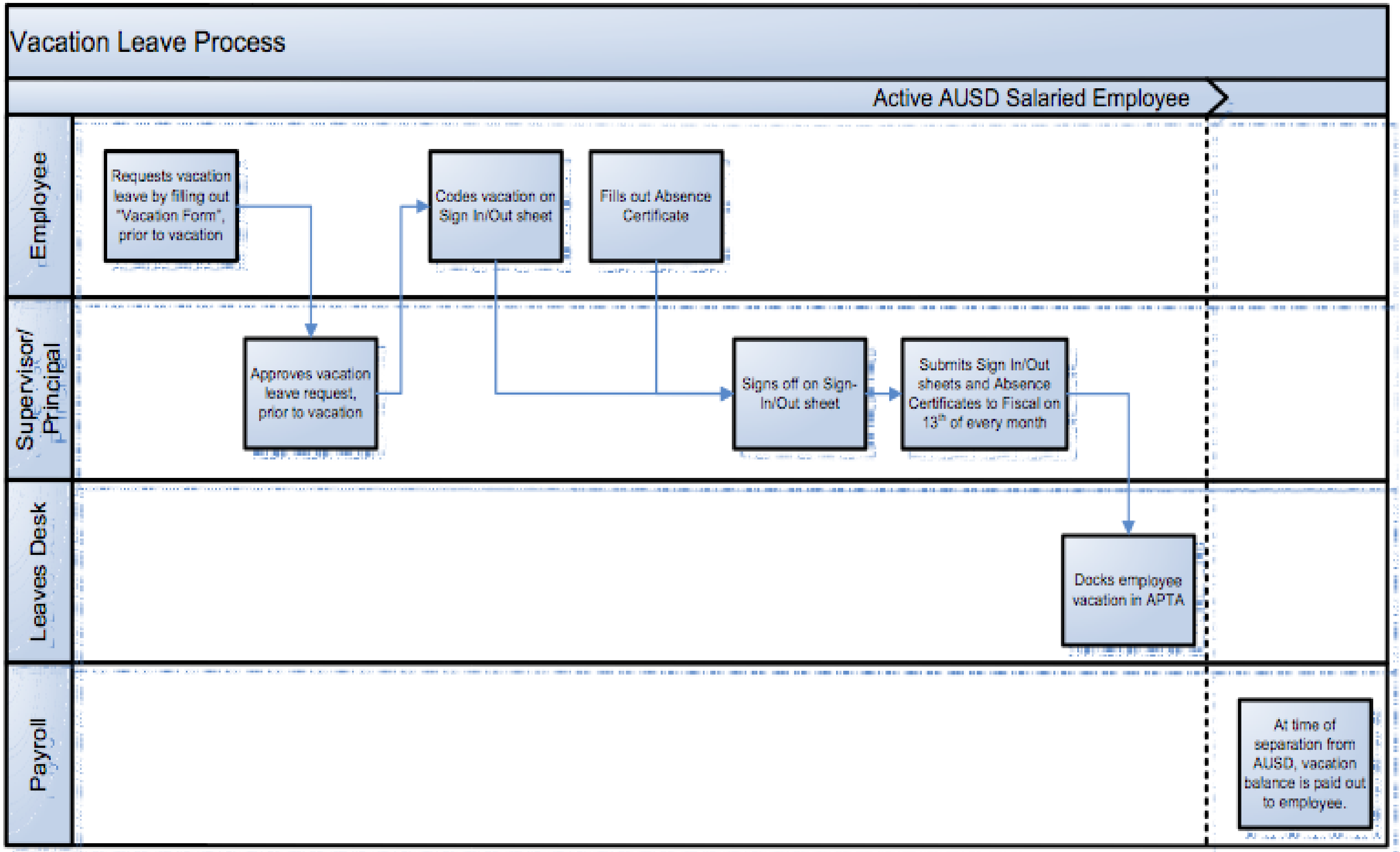
Number of pain points identified by type of pain point:
Organizational: 0
Process: 1
Communication /Training: 0
Technology: 1

<u>Impact</u>
HR and Fiscal spend more time on this process than is necessary to perform the task.

<u>Benefits to Fixing</u>
More simple process.

<u>Timing Recommendation</u>
Fix this process after the Leaves Desk is implemented and the major process improvements are implemented. This is not a high priority.

Pain Point	**Roles/ Technology/ Process/ Communication**
Current process is a cumbersome 2-paper process for documenting employee attendance (Sign In/Out sheet + Absence Certificate). The purpose of both paper documents needs to be clarified, after which it needs to be determined whether both documents are in fact necessary.	Process Technology


Vacation Leave Process
Active AUSD Salaried Employee
Employee
Supervisor/ Principal
Leaves Desk
Payroll
Requests vacation leave by filling out "Vacation Form", prior to vacation
Approves vacation leave request, prior to vacation
Codes vacation on Sign In/Out sheet
Fills out Absence Certificate
Signs off on Sign-In/Out sheet
Submits Sign In/Out sheets and Absence Certificates to Fiscal on 13th of every month
Docks employee vacation in APTA
At time of separation from AUSD, vacation balance is paid out to employee.

Workers' Compensation Process

Summary

Lack of a single owner of this end-to-end process, coupled with complex laws that govern timing and blending of benefits (i.e. AUSD policy, Workers' Compensation, Education Code, and Family Medical Leave Act), and lack of communication among all players (Fiscal, HR and the vendor that administers AUSD's workers' compensation claims) results in incomplete and inadequate communication with the employee and supervisor, as well as overpaying the employee.

Number of pain points identified by type of pain point:

Organizational: 4
Process: 9
Communication /Training: 2
Technology: 2

Pain Point Examples

- *Too many players touch this process, and no one owns it end-to-end.*
- *There is evidence to suggest that the third party claims administrator is inconsistent in its payment of claims, occasionally sending checks directly to employees on workers' compensation leave, not to AUSD.*

Impact

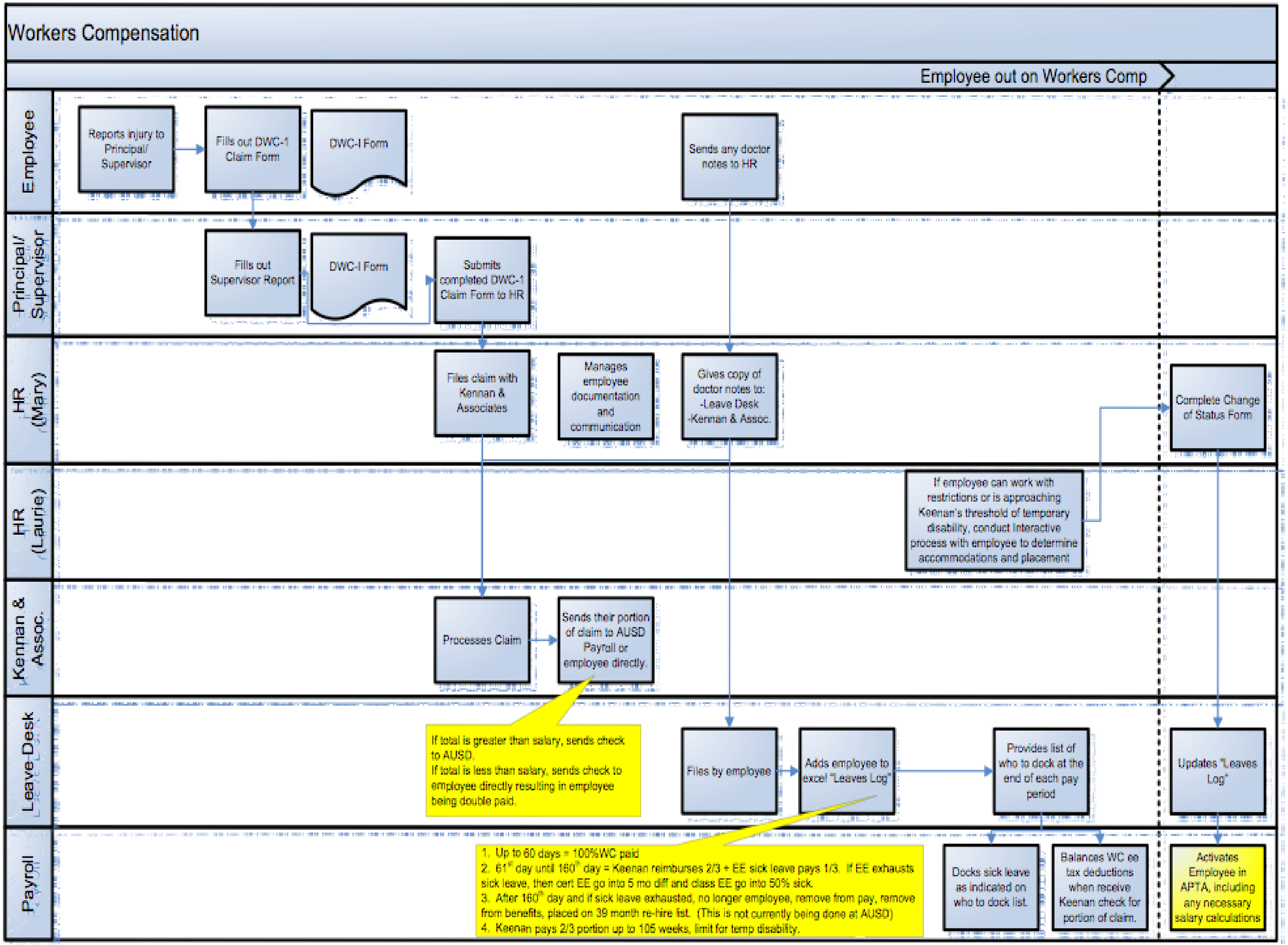
Errors can result in overpayment.

Benefits to Fixing

Cost savings due to eliminating and preventing overpayment.

Timing Recommendation

Address double payment issue in first 3 months of 2010 and implement the remaining recommendations with other leave processes. (Sept. 2010)



Workers Compensation
Employee out on Workers Comp
Employee
Principal/ Supervisor
HR (Mary)
HR (Laurie)
Kennan & Assoc.
Leave-Desk
Payroll
Reports injury to Principal/ Supervisor
Fills out DWC-1 Claim Form
DWC-I Form
Sends any doctor notes to HR
Fills out Supervisor Report
DWC-I Form
Submits completed DWC-1 Claim Form to HR
Files claim with Kennan & Associates
Manages employee documentation and communication
Gives copy of doctor notes to: -Leave Desk -Kennan & Assoc.
Complete Change of Status Form
If employee can work with restrictions or is approaching Keenan's threshold of temporary disability, conduct Interactive process with employee to determine accommodations and placement
Processes Claim
Sends their portion of claim to AUSD Payroll or employee directly.
If total is greater than salary, sends check to AUSD.
If total is less than salary, sends check to employee directly resulting in employee being double paid.
Files by employee
Adds employee to excel "Leaves Log"
Provides list of who to dock at the end of each pay period
Updates "Leaves Log"
1. Up to 60 days = 100%WC paid
2. 61st day until 160th day = Keenan reimburses 2/3 + EE sick leave pays 1/3. If EE exhausts sick leave, then cert EE go into 5 mo diff and class EE go into 50% sick.
3. After 160th day and if sick leave exhausted, no longer employee, remove from pay, remove from benefits, placed on 39 month re-hire list. (This is not currently being done at AUSD)
4. Keenan pays 2/3 portion up to 105 weeks, limit for temp disability.
Docks sick leave as indicated on who to dock list.
Balances WC ee tax deductions when receive Keenan check for portion of claim.
Activates Employee in APTA, including any necessary salary calculations

Workers' Compensation

Pain Point	Roles/ Technology/ Process/ Communication
There is a real time disconnect and lag time in Leave Desk- HR communication. Current practice is that HR sends a copy of the employee doctor note to the Leaves Desk upon receiving the note from the employee.	Technology
The Leave Desk keeps a spreadsheet outside of APTA to track Workers' Compensation claims. HR sees this information by request.	Technology
There is evidence that AUSD is not consistently sending letters to employees informing them of their leave balances and benefits while on Workers' Compensation leave.	Process Roles
There is evidence that AUSD is inconsistent in its practice of notifying employees on Workers' Compensation leave of FMLA benefits.	Process Roles
HR practice when an employee has exhausted all leaves, including Workers' Compensation leave, is inconsistent and requires further examination.	Process
There is evidence to suggest that employees on Workers' Compensation leave do not always turn in their doctor's notes. HR needs a process for tracking and accounting for employees on Workers' Compensation leave.	Process
There is a lack of clarity in the role of the District's third party administrator and the role of the HR Manager as it relates to managing employee documentation regarding Workers' Compensation.	Process Communication
The HR Manager uploads documents to Keenan for processing of Workers' Compensation claims. Leaves Desk and Payroll are reliant on this information to accurately pay employees on Workers' Compensation, but do not have access to view this documentation online. This is an opportunity to maximize access to this information to ensure accurate pay.	Roles
When an employee on Workers' Compensation leave will return to work, HR sends an email to the employee's Supervisor to notify him/her. The process for keeping an employee's supervisor informed of the employee's status is inconsistent.	Process
Currently employees on Workers' Compensation leave are expected to fill out Absence certificates. HR mails Absence Certificates to these employees. Simultaneously, sites are instructed to mark "WC" on the Sign-in/out sheets. This process is inconsistently implemented and staff	Process Communication

should assess the utility of multiple forms.	
There is evidence that Keenan is inconsistent in the manner in which they pay workers' compensation claims. Keenan sometimes sends checks directly to employees, not to AUSD Payroll.	Process
There is evidence that Keenan is inconsistent in notifying AUSD upon termination of claims and the corresponding effect on the employee's status.	Process
Overall, it seems that there are too many players touching small portions of the process while no one owns this process from end-to-end.	Roles

Retirement Benefits Process

Summary
At the start of an employee's retirement, Payroll must undertake a labor-intensive process to compile the employee's sick leave balance because the balance is not calculated at time of separation. This is a significant problem when the employee separates from AUSD, accepts employment with another employer and retires at some later date. In these cases, at the time of retirement, old records and documents have to be reviewed in order to calculate the employee's sick leave balance. This problem is exacerbated by the fact that APTA does not roll over sick leave balances year to year, requiring manual calculations.

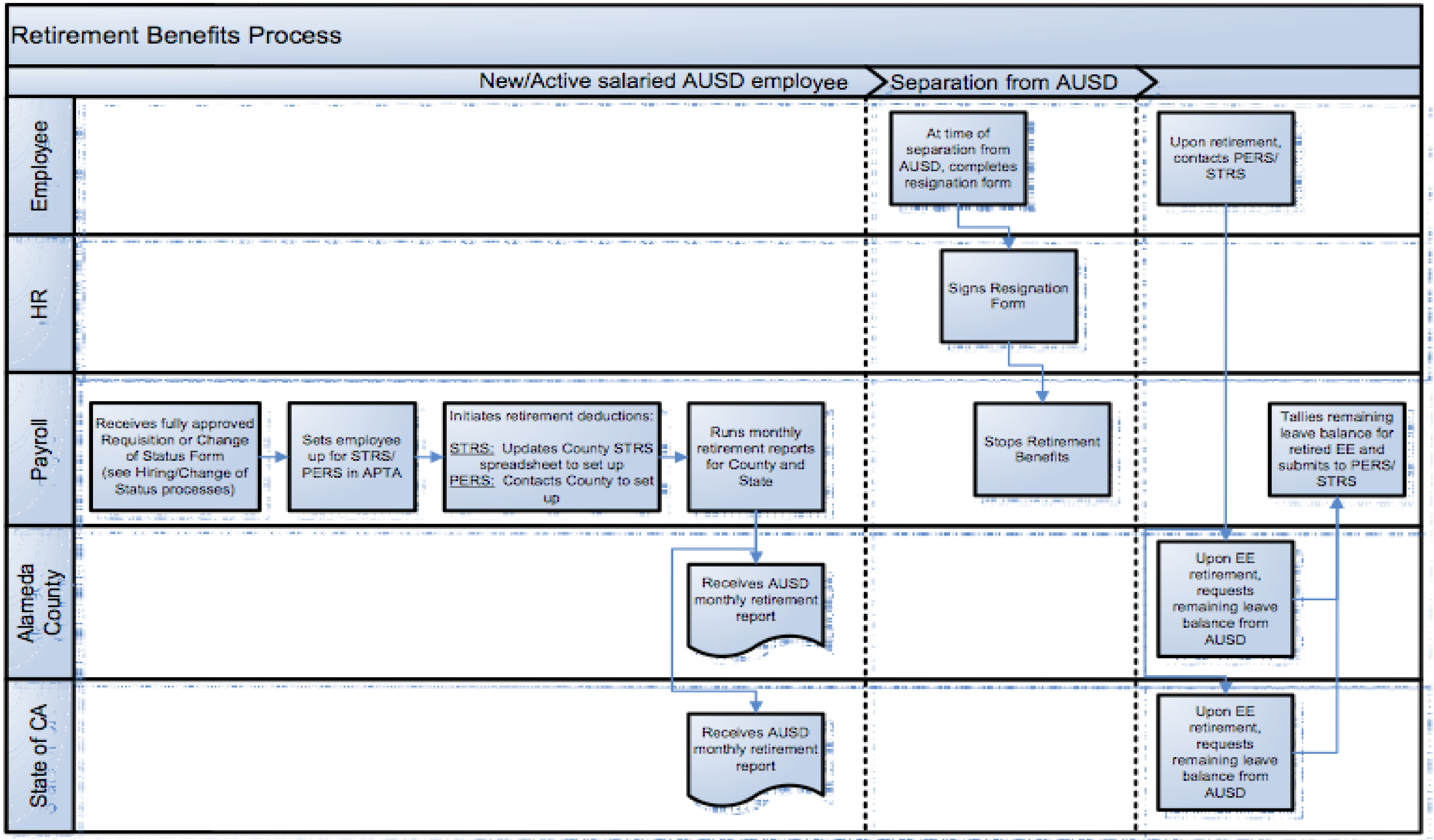
Number of pain points identified by type of pain point:
Organizational: 0
Process: 1
Communication /Training: 0
Technology: 1

Impact
Fiscal spends significant time calculating retirement benefits every time an employee or ex-employee retires.

Benefits to Fixing
Potential cost savings if the District is overpaying because sick balances are inaccurate and greater labor efficiencies realized by implementing an automated solution.

Timing Recommendation
Implement this process improvement once the Leaves Desk is upgraded and other leaves processes improved. (Sept 2010)

Pain Point	**Roles/ Technology/ Process/Communication**
There is evidence that total sick leave is not consistently being calculated at the time of employee separation from AUSD. This means that when an employee retires or transfers to another District, Payroll must manually search through old databases and old files to tally up sick leave balances from previous years of service with AUSD. This problem is exacerbated by the fact that the APTA Leaves module does not consistently or accurately roll leave balances from one year to the next. Because the sick leave calculations are done after an employee has been gone from the District, this unnecessarily creates room for dispute. Going forward, the process needs to be revised such that Payroll calculates sick leave balance upon separation, provides a separated employee with a copy of this overall balance, and has the employee sign off. This should be filed for use at time of retirement.	Process Technology


Retirement Benefits Process
New/Active salaried AUSD employee
Separation from AUSD
Employee
HR
Payroll
Alameda County
State of CA
At time of separation from AUSD, completes resignation form
Upon retirement, contacts PERS/ STRS
Signs Resignation Form
Receives fully approved Requisition or Change of Status Form (see Hiring/Change of Status processes)
Sets employee up for STRS/ PERS in APTA
Initiates retirement deductions:
STRS: Updates County STRS spreadsheet to set up
PERS: Contacts County to set up
Runs monthly retirement reports for County and State
Stops Retirement Benefits
Tallies remaining leave balance for retired EE and submits to PERS/ STRS
Receives AUSD monthly retirement report
Upon EE retirement, requests remaining leave balance from AUSD
Receives AUSD monthly retirement report
Upon EE retirement, requests remaining leave balance from AUSD

Purchasing Process

Summary

A new Purchasing process was recently rolled out and is in transition. There are still kinks to work out as the transition continues. Use of APTA features that improve communication of the requisition's status should be utilized as soon as possible. Office Managers noted that it is difficult to adjust to receiving the purchased goods in APTA without having a hardcopy of the invoice. While there are lingering concerns about purchase orders being delayed in Purchasing, these concerns seem to be lessening as this process transitions. There are still pain points that require attention.

Number of pain points identified by type of pain point:

Organizational: 1
Process: 12
Communication /Training: 6
Technology: 5

Pain Point Examples

- *Only approximately ½ of all vendors acknowledge receipt of order. Purchasing staff is not always sure that the order was received. There is a risk of duplicate orders.*
- *Ambiguity around process and roles related to goods ordered and paid for by the District Office, but delivered to school sites , e.g., curriculum materials.*
- *Purchasing Department and school site staff experience confusion around the meaning of a closed purchase order. "Closed" status could mean either cancelled or paid.*

Impact

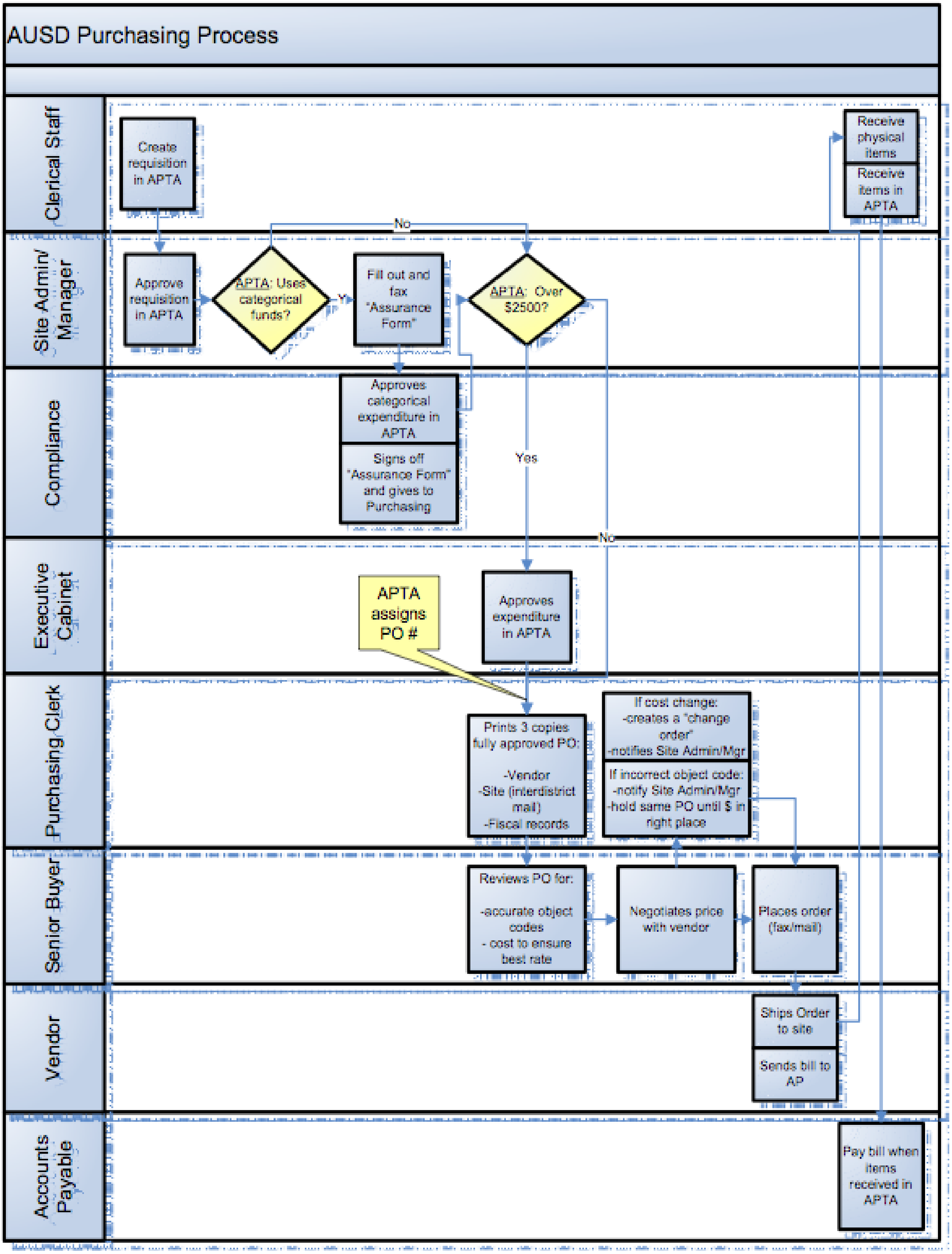
Inefficient use of time by school sites and the District Office tracking the status of purchase orders. Process creates the risk of double ordering goods and materials.

Benefits to Fixing

Tighter controls in new purchasing process will aid in cost control as spending becomes more transparent.

Timing Recommendation

Continue current transition and develop work plan to fix remaining pain points by mid 2010.


AUSD Purchasing Process
Clerical Staff
Site Admin/ Manager
Compliance
Executive Cabinet
Purchasing Clerk
Senior Buyer
Vendor
Accounts Payable
Create requisition in APTA
Approve requisition in APTA
APTA: Uses categorical funds?
Y
No
Fill out and fax "Assurance Form"
APTA: Over $2500?
Approves categorical expenditure in APTA
Signs off "Assurance Form" and gives to Purchasing
Yes
No
APTA assigns PO #
Approves expenditure in APTA
Prints 3 copies fully approved PO:
-Vendor
-Site (interdistrict mail)
-Fiscal records
If cost change:
-creates a "change order"
-notifies Site Admin/Mgr
If incorrect object code:
-notify Site Admin/Mgr
-hold same PO until $ in right place
Reviews PO for:
-accurate object codes
- cost to ensure best rate
Negotiates price with vendor
Places order (fax/mail)
Ships Order to site
Sends bill to AP
Receive physical items
Receive items in APTA
Pay bill when items received in APTA

Purchasing Process

Pain Point	Roles/ Technology/ Process/ Communication
Currently AUSD cannot place a purchasing order directly from APTA to vendor via email. This means that Purchasing must take an extra step in their process by ordering via fax or mail, thus slowing down the process. Possible solutions: Convert the order in APTA to pdf and email to the vendor, or print the order from APTA and scan directly to the vendor.	Technology
Purchase Order status "closed" could mean either cancelled or paid. This creates confusion for both purchasing department and site staff.	Process Technology
There is evidence that there is ambiguity around the process and the roles related to goods ordered and paid for centrally, but delivered to sites, e.g. curriculum materials. Because there is no centralized warehouse, Curriculum department orders items for sites and has the items delivered directly to sites. A clear process should be: 1) Central Office places order on APTA, 2) Items are delivered to the school site, 3) School site checks off on items received on the Packing Slip, 4) School site sends packing slip to Curriculum department, 5) Curriculum department accounts for the items in APTA. This needs to be articulated and communicated widely. Current practice is inconsistent, varies from site to site.	Roles Process Communication
Only approximately ½ of all vendors acknowledge receipt of order placed by the Purchasing Department. Purchasing staff is therefore not always sure that an order was received by the vendor and risks placing duplicate orders.	Process
It appears that APTA can send email alerts to an approver when a purchase requisition is awaiting their approval. The absence of APTA email alerts (current process) means that site staff are expected to proactively go into APTA to see if action is required. This required proactive action by site staff is not good use of time and causes anxiety. Compliance Dept reports that Office Manager's often call to see why the requisition is being held up in Compliance, when in fact it is still waiting in queue for Principal to approve. Currently this APTA email alert feature is not turned on, but can be.	Technology Process
All invoices go directly to Accounts Payable, except Special Ed, Food Service, MOF. This is a new practice as of this school year and Office Managers report that they like to see the invoices to be sure that the charges are accurate. Office Managers are having a hard time adjusting to this change.	Communication
If items have already been received in APTA and the total cost is less than the cost on a Purchase Order, Accounts Payable pays the total on the invoice and remaining funds in the Purchase Order are disencumbered. If however, the cost is higher than the cost on the Purchase Order (e.g. due to shipping), the Purchasing Clerk must go into APTA to 1) unreceive	Process

items, 2) alter the Purchase Order by doing a change order, 3) receive items again. Shipping charge is the primary cause for an increase in cost. Staff needs to analyze this process and impact, if any, on audit findings.	
An Assurance Form is a form that accompanies a Purchase Order verifying that the purchase is a compliant use of funds. At the beginning of the school year, Principals experienced the processing of the Assurance Form as slow. This has gotten better. Still, school sites need more guidance as to how to prepare the Assurance Form and Site Plan documentation. New Principals in particular need this kind of very explicit instruction. More experienced Principals have figured out how to make it work, but still report that it feels like a difficult barrier.	Process Communication Technology
The Assurance Form currently asks the Site Plan page # reference (minimally) in order to tie the purchase to the agreed upon plan. Going forward, the actual page from the Site Plan should be attached for Compliance purposes.	Process
Compliance department has found that often the Assurance Form is still being sent to Purchasing Dept (past practice) instead of the Compliance department. This causes delay in processing.	Process Communication
There is the overarching issue of the need to streamline the process to marry the paper (assurance form) with electronic process (APTA). Staff should research APTA's capacity to attach electronic documents. Currently the Assurance Form is faxed. Emailed form would be better.	Technology Process
Currently, the approved Assurance Forms are being stored/filed in Fiscal. This is compliant for Fiscal audits, however a Categorical Program Monitoring audit will require that the approved Assurance Forms be housed at the school sites. This discrepancy needs to be reconciled.	Process
School sites report that it would be helpful if Purchasing Department would suggest vendors. Currently, school sites spend a lot of time with a vendor, put the requisition online in APTA and then find that the Purchasing Department has changed the vendor. This results in wasted time for the school sites.	Process
Office Managers request that Purchasing Dept call them if they are going to change a vendor or an item once the purchase requisition has been submitted. This doesn't always happen and as a result Office Managers feel powerless in the process.	Communication
Principals report that most of the pain associated with the purchasing process is the newness of it. Office Managers and Principals are still learning how to use the APTA system. One Principal reports that the process is much faster than in other school districts.	Process
Principals report that they would still like more communication of changes in process/practice related to APTA and purchasing.	Communication

MOF Work Order Process

<u>Summary</u>

The Work Order (WO) Process is broken in numerous ways and many school sites report that they have given up on ever expecting this process to work. At the managerial level, there does not appear to be anyone who is overseeing the closure of WO backlog. There is no effective prioritization policy and practice in place. WO's get dispatched out, but there is no oversight in closing them out. Lack of managerial communication, internal to the department, as well as to school sites, is high.

Number of pain points identified by type of pain point:

Organizational: 4
Process: 18
Communication /Training: 4
Technology: 1

Pain Point Examples

- *Disconnect between the customer expectation as to priority level of work order and MOF assignment of priority level. Definition of priority is not clear.*
- *Everything feels like a one-off with no overall plan.*

<u>Impact</u>

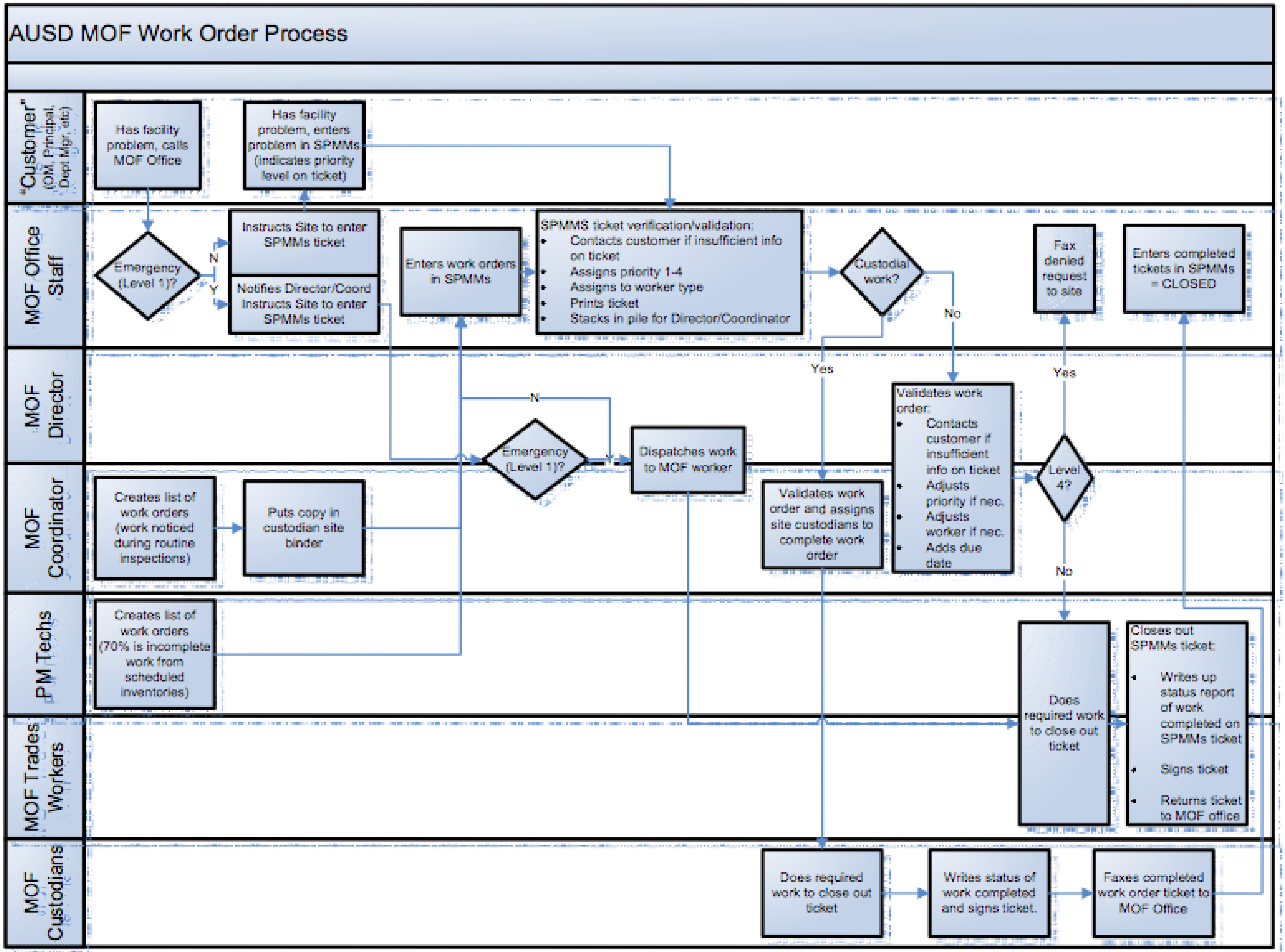
Lack of maintenance repairs means that students are learning in increasingly run-down environments. Lack of strong management and team spirit in MOF means that motivation to get the work done is compromised. The expertise of staff in the Department is not being utilized, and an accountability system for getting work done is not in place.

<u>Benefits to Fixing</u>

Better maintained facilities for students, less wasted time and frustration among site-based customers.

<u>Timing Recommendation</u>

Implement fixes as soon as re-structuring is complete and new Director hired.



AUSD MOF Work Order Process
"Customer" (OM, Principal, Dept Mgr, etc)
MOF Office Staff
MOF Director
MOF Coordinator
PM Techs
MOF Trades Workers
MOF Custodians
Has facility problem, calls MOF Office
Has facility problem, enters problem in SPMMs (indicates priority level on ticket)
Emergency (Level 1)?
N
Y
Instructs Site to enter SPMMs ticket
Notifies Director/Coord Instructs Site to enter SPMMs ticket
Enters work orders in SPMMs
SPMMS ticket verification/validation:
• Contacts customer if insufficient info on ticket
• Assigns priority 1-4
• Assigns to worker type
• Prints ticket
• Stacks in pile for Director/Coordinator
Custodial work?
No
Yes
Fax denied request to site
Enters completed tickets in SPMMs = CLOSED
Emergency (Level 1)?
N
Y
Dispatches work to MOF worker
Validates work order:
• Contacts customer if insufficient info on ticket
• Adjusts priority if nec.
• Adjusts worker if nec.
• Adds due date
Level 4?
Yes
No
Creates list of work orders (work noticed during routine inspections)
Puts copy in custodian site binder
Validates work order and assigns site custodians to complete work order
Creates list of work orders (70% is incomplete work from scheduled inventories)
Does required work to close out ticket
Closes out SPMMs ticket:
• Writes up status report of work completed on SPMMs ticket
• Signs ticket
• Returns ticket to MOF office
Does required work to close out ticket
Writes status of work completed and signs ticket.
Faxes completed work order ticket to MOF Office

MOF Work Order Process

Pain Point	Role/ Technology/ Process/ Communication
MOF utilizes the School Preventive Maintenance Management System (SPMMS) work order system. The purpose of the Work Order process is unclear and needs to be streamlined. Work orders are placed for both 1) broken facility issues as well as 2) desired facility adjustments (e.g. moving a projector screen). There is a perception among some MOF staff that customers were previously advised to be discerning about the types of work orders that were placed, but now it seems that any and every request is encouraged.	Process Communication
Work orders often lack sufficient information needed to ascertain the problem, assign the appropriate priority level, and fix the right problem, both when entered in SPMMS and by the time the Trades receive them.	Process
There is a disconnect between customer expectation of priority level and MOF assignment of priority level. The definition of priority needs to be clearly defined and communicated widely.	Process Communication
The prioritization system is essentially meaningless in current practice. Everything is a level 1 or a level 2. Level 1's are often not true emergencies. Because level 1's are so common, staff never get to non-emergencies.	Process
There is a perception that prioritization of work orders is often based on the requestor's position in the hierarchy as opposed to the severity of the problem. Emails circulate that circumvent and override MOF Work Order process and prioritization system.	Process
There is a perception that work orders are often submitted for work that could and should be done by a custodian. There needs to be clear criteria for work orders assigned to custodians vs. work assigned to trades, and clear protocol for custodial involvement in the Work Order process.	Roles Process
A Head Custodian Binder exists at every school site as a communication mechanism between custodians and site staff. However, it is used for different purposes from site to site and might present duplicates with work order tickets. The purpose of the Binder needs to be clarified and streamlined with work order process.	Process
There is evidence to suggest that duplicate work orders are a problem. Orders are initiated by various groups including "customers", meaning those who work at sites or departments who experience a facilities problem (generally a Principal or Office Manager) as well as the MOF Coordinator and PM Techs. Multiple points of entry increases the likelihood of duplicate orders and needs to be streamlined. Additionally, customers often enter	Process

duplicate work orders in the system intentionally with the hopes of getting work done faster. MOF staff report receiving a work order, going to do the work and finding that it has in fact already been completed. The SPMMS work order system does not check for duplicates, nor does a manual checks and balances system exist.	
There is a perception that a disproportionate number of work orders are assigned to "carpenters"; this group appears to be the default Trades group for assigning work orders.	Process
There is a perception, and some evidence to support the perception, that the MOF Trades turnaround times for submitting completed work orders are slow. Currently there is no incentive to submit completed work orders in a timely fashion. This causes the data in the system to reflect less work completed than is in fact completed.	Process
Many customers expressed a concern that workmanship is often poor quality. This issue requires further attention.	Process
There is lack of clarity around the City's role vs. the District's role in maintaining the playing fields. This needs clarification.	Process Roles
There is evidence to suggest that there is a significant time delay between when MOF office receives a new work order and when the assigned work order is given to Trades. (1- 4 days)	Process
It is reported that MOF Trades communicate inconsistently with school site staff both when they arrive on site as well as when they finish a work order and leave a site. Communication protocols should be developed and consistently implemented.	Process Communication
Office staff report challenges in closing out completed work orders in SPMMS. This is due to: • SPMMS system often freezes and/or is terribly slow • Excess number of fields in SPMMs • Excessive mouse work. Keyboard shortcuts exist, but MOF is not using them. Need additional training from SPMMS. • One MOF office staff person is responsible for closing out all work orders, on top of all other time sensitive job duties.	Process Roles Technology
MOF Department reports that when a work order is denied, the denied work order with explanation is faxed to original customer. However, there is evidence to suggest that school sites in fact do not receive a faxed denied ticket. There is a disconnect between policy and practice that needs to be addressed.	Process
Work orders received and assigned determine the workload for Trades, and to a degree for PM Techs. However, there is evidence to suggest that workloads are not being consistently managed. Additionally, there is an opportunity to integrate and maximize the Trades and PM Tech roles in order to increase completion work order completion rates that needs further	Roles Process

attention. The role of the MOF Coordinator vs. the MOF Director in overall workload prioritization and management is unclear.	
<u>MOF Customer Service:</u> Customers report that there is inconsistent communication from MOF to school sites when they request clarification on submitted work orders. MOF field staff are not easily identifiable as AUSD employees. Trades should have ID and notify office when they start/finish work. There is a perception that contacting MOF Office staff is not as responsive as a direct call to the MOF Director. Sites report the need for more communication from District Office to school sites regarding expectations and clarification of MOF roles and processes, especially for new Principals.	Communication Process

Change Management Plan and Anticipated Benefits

The Change Management Plan captures the initial redesign (“Phase 1 Redesign”) of the District departments and includes a sequence of cross-departmental process improvement projects that enable further redesign (“Phase 2 Redesign”).

The assumptions that underlie this plan are:

- There can only be one process improvement project assigned to a leader (Cabinet Member, Director, or Manager) at any point in time.

- Once major process improvements are implemented, there is an opportunity to do a “Phase 2” redesign of departments. An evaluation of Phase 1 results, process improvement results and in concordance with design changes in other departments, the District may be able to realize additional reductions in FTE.

- Every process improvement will entail a ***design phase***, and an ***implementation phase***: The design phase involves designing how the process SHOULD work, the establishment of ***service standards*** that the process is expected to meet, a summary of all of the root causes that will be addressed (“root causes” are the underlying reasons for the pain points discovered), and a work plan for how the process fix will be implemented. The implementation phase involves carrying out the work plan.

- Upon completion of the process improvement, the service standard associated with that fix will be built into management performance expectations (i.e., into a manager(s) job description and evaluation criteria). This ensures that a structure of accountability is established so that the transition to a Service Organization is fully realized.

- Once a major process is improvement is completed, a re-assessment of staffing levels, based on the actual labor savings realized, can be performed.

Note that the dates on the Change Management Plan are not final, as detailed work plans for process improvement projects have not been developed yet.

Overview: AUSD Change Management Plan
(Dates not Final)

Mar 2010 | June 2010 | Sept 2010 | Dec 2010 | Mar 2011

RE-STRUCTURE

Finalize Phase 1 Restructure:
- HR
- Fiscal
- MOF
- Tech Services
- Assessment
- School Support Svcs (merged Student Svcs/ Compliance)

- Re-write JD's

- Complete hiring for Phase 1 structure

Finalize Phase 2 Redesign:
- HR
- Fiscal

- Phase 2 Redesign: School Support Services

Finalize Phase 2 Redesign:
- MOF

- Phase 2 Redesign: HR, Fiscal (Includes xfr of Leaves Desk to HR)

PROCESS FIXING

Redesign Hiring/ Change of Status Processes — Implement — Streamline HR DB's

Implement easy HR technology (Edjoin,Subfinder)

Redesign Leaves Management Processes — Implement

Redesign Pay Processes — Implement

Implement Intranet

Redesign MOF WO Process — Implement

Implement ongoing Purchasing process improvement

NET H/C SAVINGS

- 2 FTE from Fiscal
- 2 FTE from MOF
- 1 FTE from Assessment
- .5 FTE from Compliance

- 1-2 FTE from School Support Services

- 1-2 FTE HR or Fiscal

NET $ SAVINGS

Net Fiscal Savings: $395,230.00

- $54,900 - 109,800/yr net dollars to district

- $54,900 - 109,800/yr net dollars to district

Appendix A

Responsibility Scope Questionnaire

These questions will help us gain a high level, broad-brush summary understanding of the scope of responsibilities under your direction.

Department Name:
Your Name:

BUDGET

1) What is your annual budget? Please specify % GP vs. % non-GP funded.
2) How many funding streams (including grants) do you manage? Please describe each stream and its purpose.
3) Please describe the complexity of your funder reporting, i.e. frequency, depth of info required, etc.
4) How much, if any, revenue generation (fundraising, grant researching, grant writing, etc) do you do?

DEPARTMENT COMPOSITION

5) How many employees do you have in your department? Please specify total 1.0FTE and total <1.0FTE.
6) How many different job types do you have?
7) How many unions do your employees represent?
8) How many managers/supervisors do you oversee?
9) Is there inherent staff turnover in your department (e.g. seasonal work or grant renewal that requires hiring or downsizing of staff)? If so, why and to what degree?
10) How many programs are in your department?
11) How many school sites (locations) do you have staff at?
12) Does the work of your department require your supervision outside the normal business hours? If so, what are the hours of operation?
13) What is your work calendar? i.e. calendar year or academic year
14) Please describe the seasons of your work in terms of heavy vs. light workload. Please be specific. What is heavy/light and when?
15) What level of on-call work do you do?
16) How many external collaborations do you manage?
17) How many external collaborations do you participate in?
18) On average, how many individual consultants work in your department?
19) How many vendor contracts do you manage? Please describe them.

LEGAL

20) Please describe the level of regulation/compliance issues that are part of your work.
21) Please describe the degree of inherent legal risk in your department, i.e. work that your department does that could potentially be a liability for the District.

22) As the leader of your department, do you bear professional liability due to the District's reliance on your credentials?

COMMUNITY

23) Please describe the extent of your visibility in the community
24) Please speak to the level of political complexity your role must engage in or maneuver.

MEASURES OF SUCCESS

25) What are your primary measures of success? i.e. how do you know that you are doing your job?

Appendix B

Job Analysis Questions

1. **What are the general areas of task responsibility you have?**
2. **What are your key deadlines?**
3. **In general, how do you get your work? Your priorities? From your manager? Routine workflow? From "customers"? Self initiated?**
4. **What percent of your time is spent interacting with school sites ?**
5. **Is this interaction reactive, or proactive in nature?**
6. **In general, how interrupt-driven is your day, vs. how well you can plan your time?**

Task	Compliance-related?	Interdependent with other departments?	Amt of cross training within the department?	Transaction Volume