

# FCMAT

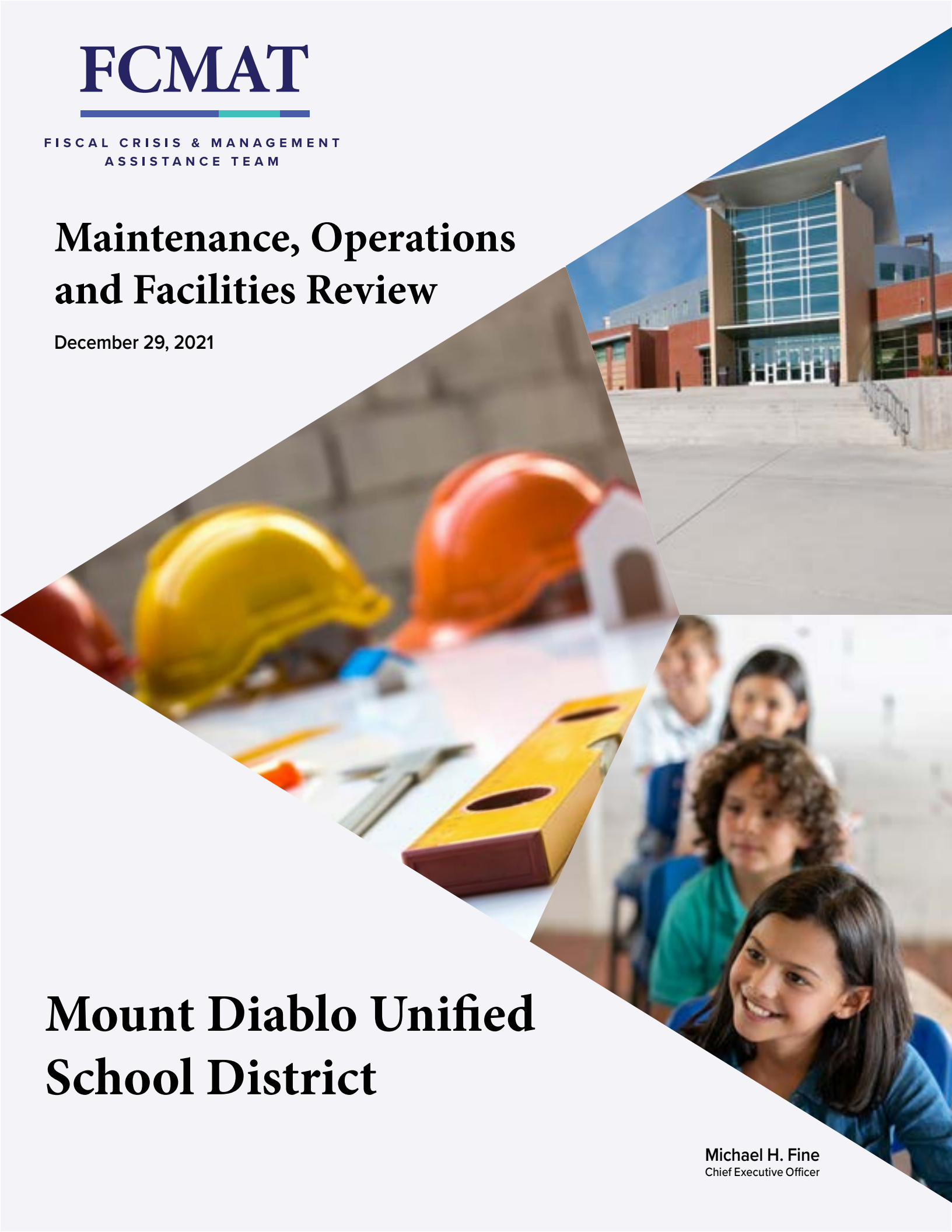
FISCAL CRISIS & MANAGEMENT  
ASSISTANCE TEAM

## Maintenance, Operations and Facilities Review

December 29, 2021

## Mount Diablo Unified School District

Michael H. Fine  
Chief Executive Officer



# FCMAT

FISCAL CRISIS & MANAGEMENT  
ASSISTANCE TEAM

December 29, 2021

Adam Clark, Ed.D., Superintendent  
Mt. Diablo Unified School District  
1936 Carlotta Drive  
Concord, CA 94519

Dear Superintendent Clark,

In April 2021, the Mt. Diablo Unified School District and the Fiscal Crisis and Management Assistance Team (FCMAT) entered into an agreement to provide a review of the district's maintenance, operations and facilities department programs, services and staffing. Specifically, the agreement states that FCMAT will perform the following:

1. Conduct an organizational and staffing review of the Maintenance and Operations Department (including maintenance, grounds, custodial) and make recommendations for staffing improvements or reductions, if any.
2. Evaluate the current workflow and distribution of functions in the Maintenance and Operations and Facilities departments and make recommendations for improved efficiency, if any.
3. Review the operational processes and procedures for the Maintenance and Operations and Facilities departments and make recommendations for improved efficiency, if any.
4. Conduct an organizational and staffing review of the Facilities Department and make recommendations for staffing improvements or reductions, if any.

The attached report contains the study team's findings and recommendations.

We appreciate the opportunity to serve you and we extend thanks to all the staff of the Mt. Diablo Unified School District for their cooperation and assistance during fieldwork.

Sincerely,



Michael H. Fine  
Chief Executive Officer

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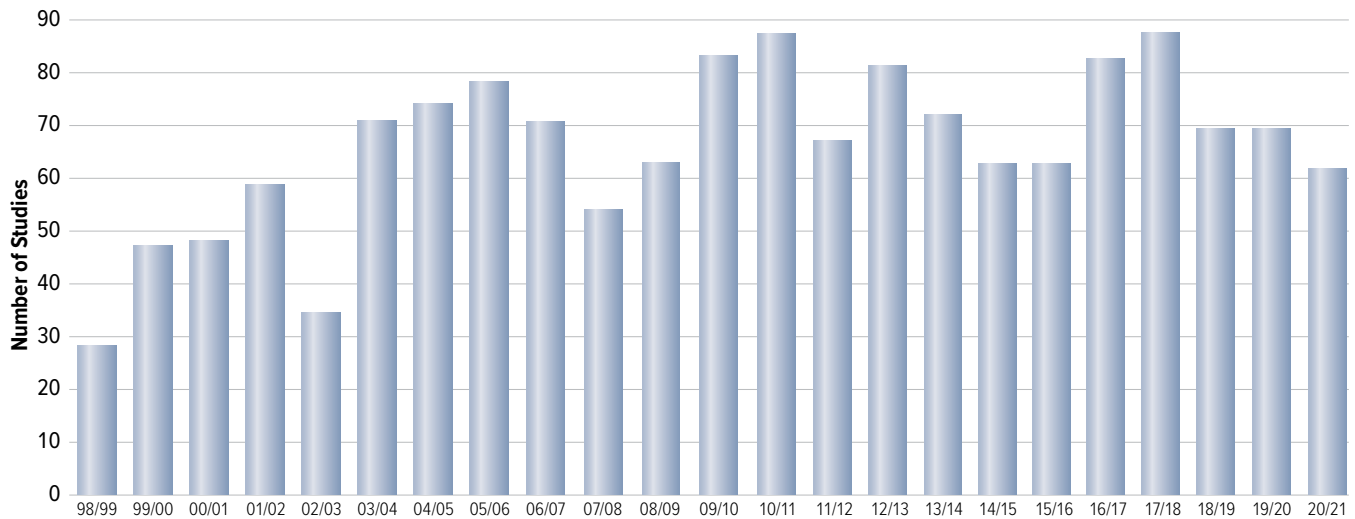
# About FCMAT

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

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

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

**Studies by Fiscal Year**



FCMAT has continued to make adjustments in the types of support provided based on the changing dynamics of K-14 LEAs and the implementation of major educational reforms. FCMAT also develops and provides numerous publications, software tools, workshops and professional learning opportunities to help LEAs operate more effectively and fulfill their fiscal oversight and data management responsibilities. The California School Information Services (CSIS) division of FCMAT assists the California Department of Education with the implementation of the California Longitudinal Pupil Achievement Data System (CALPADS). CSIS also hosts and maintains the Ed-Data website ([www.ed-data.org](http://www.ed-data.org)) and provides technical expertise to the Ed-Data partnership: the California Department of Education, EdSource and FCMAT.

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

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

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

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

Since 1992, FCMAT has been engaged to perform more than 1,400 reviews for LEAs, including school districts, county offices of education, charter schools and community colleges. The Kern County Superintendent of Schools is the administrative agent for FCMAT. The team is led by Michael H. Fine, Chief Executive Officer, with funding derived through appropriations in the state budget and a modest fee schedule for charges to requesting agencies.

# Introduction

## Background

Mount Diablo Unified School District is a public school district in Contra Costa County, California. It operates 29 elementary schools, nine middle schools and five high schools, with seven alternative school programs and an adult education program.

The district has had changes in administration in its central office over the last several years. In June 2019 the former longstanding superintendent resigned. The district subsequently had three different superintendents until July 2020, when a new superintendent was appointed to lead the district.

The district has also experienced leadership changes in its Business Department and in its Maintenance and Operations and Facilities and Bonds (MOF) departments. The current chief business official (CBO) has been in this position for approximately two years and is responsible for overseeing the operations of the MOF departments.

Key leadership positions in MOF have also been unstable over the past 18 months. Over the years, the overall leadership structure for maintenance, operations and facilities has varied from managing these functions as individual departments under separate leaders, to making them a single department under a director and assistant director and, at the time of FCMAT's fieldwork, returning to a two-department model to be led by a director of maintenance and operations and a director of facilities and bonds.

As the CBO settled into her new role, many concerns about aspects of the MOF departments became apparent, and the district contacted FCMAT to conduct an independent review of the department's staffing and operations.

## Study and Report Guidelines

FCMAT visited the district on May 24-28, 2021 to conduct interviews, collect data and review documents. Following fieldwork, FCMAT continued to review and analyze documents and data. This report is the result of those activities.

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

## Study Team

The study team was composed of the following members:

Marisa Ploog, CPA, CFE, CICA, CGMA  
FCMAT Intervention Specialist

Chris Johnston\*  
Assistant Superintendent for Business  
Pleasant Valley School District

Eric D. Smith\*  
Associate Superintendent/Vice President  
Allan Hancock College

John Lotze  
FCMAT Technical Writer

\*As members of this study team, these consultants were not representing their respective employers but were working solely as independent contractors for FCMAT.

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



# Executive Summary

Essential to any review of operational policies and procedures for MOF is an analysis of a district's MOF departments' structure and staffing, and an evaluation of its organizational configuration and its ability to support its current and future needs. In doing so, FCMAT compared the district's organizational structure with the industry standard using basic theories of organizational structure, which include span of control, chain of command, and line and staff authority.

The Mount Diablo Unified School District's leadership and staff reported that the district's MOF departments' structure has been in a state of flux for years. Dating back Great Recession era cuts, staff report multiple arrangements of staff and leadership. A review of department leadership and staffing for each division identified ineffective span of control over department staff for some leadership and supervisory positions and a very limited span of control for others. Some cases in which the span of control is too wide are the result of vacant or eliminated supervisor positions.

The levels of maintenance varied districtwide, with substandard maintenance at many sites. The district does not differentiate between contracted routine maintenance and contracted major maintenance. FCMAT observed and interviews with school administrators revealed persistent maintenance failures and an inability of the maintenance staff to resolve issues in a timely manner or sometimes at all.

Vacant positions make it difficult for department personnel to provide a reasonable standard of care. The understaffing is compounded by overly specific job descriptions and an inability to attract qualified staff who meet experience prerequisites. Another complication is that the district's approach to custodial staffing at school site is a one size fits all approach, which means that all elementary schools have the same number of custodial staff regardless of the size and configuration of the campus or the number of students enrolled. This creates inequities in staffing and services between sites.

The level of grounds staffing is insufficient to maintain safe, attractive grounds conditions. This problem is exacerbated by the fact that grounds staffing appears to be scheduled in an arbitrary manner that assumes all sites have the same amount of grounds needs, regardless of size or configuration. The district lacks a systematic approach to turf maintenance, has no system for planning tree care or safety pruning, and does not have a centralized irrigation system. Each of these issues contributes to a greater workload because maintenance becomes deferred until the required work is greater.

The district does not have a preventive maintenance plan, which results in a reactive rather than proactive approach to addressing maintenance needs. Although the district has an automated work order system, it is not used to its maximum potential to manage and monitor all work of maintenance, grounds and facilities.

The district does not have a preventive maintenance plan, a deferred maintenance plan, or a usable facilities master plan. Although the district did procure the development of a facilities master plan, neither the plan nor other district documents have a priority projects list or appear to address maintenance cycles in any systematic way. As a result, the district has no actionable plan for addressing deferred maintenance or major maintenance, nor does it have a plan for expanding facilities funding, including bond funds.

The district does not coordinate its financial resources, including the amounts transferred to the routine repair and maintenance resource in the general fund, developer fee collections, and bond funds.

Information from individuals FCMAT interviewed indicated that organizational transparency and communication is lacking. Staff feel that the district lacks a clear vision of where it is headed, and that decision making is not transparent; rather, a top-down approach is instituted.

# Findings and Recommendations

## Facilities Data

Data-driven decision making is essential to organizational management. The premise behind data driven decision making is that organizations should make decisions based on verifiable facts, using logic that is communicated openly, defensible, and reasonable to objective third parties. Continuous improvement strategies require measuring present conditions or outcomes, implementing strategic changes, and measuring the results of those changes to validate the effectiveness and plan next steps. Examples of decision-making methods that are not data driven or objective include repeating past practice regardless of results, repeating past practice even though circumstances have changed significantly, and making decisions based on intuition instead of an analysis of available information.

FCMAT studies typically involve extensive data collection to help make informed recommendations. FCMAT draws from multiple sources of data and cross validates information to ensure a complete understanding of circumstances and causes for conditions. Findings and recommendations rely on verifiable data to provide accurate analysis and meaningful information. In conducting data collection and validation, FCMAT found that the district has almost no reliable or complete facilities data. The data submissions initially provided by the district's MOF departments were contradictory, incomplete, or defied logic. For example, in one data set, the square feet of at one campus divided by the number of rooms resulted in an average of approximately 500 square feet per room, which is half what a standard classroom size is.

At a minimum, FCMAT would expect a district to have the following basic facilities data for each campus:

- Number of classrooms
- Current year usage of each classroom space,
- Square feet of buildings,
- Total acres of athletic fields used for competitive sports,
- Total acres of fields used for recreation or sports practice.

Although more data than listed above is needed for accurate decision making, a district cannot make informed decisions about basic facilities management without at least this essential data. For example, if a district does not know how many classrooms are on each campus, it will not be able to make accurate decisions about a facility's capacity. Without basic information on square footage and usage, informed custodian schedules are not possible. Without basic data on grounds acreage, accurate grounds schedules are not possible. Without square footage data for buildings, creating benchmarks for planning of energy efficiency projects or proving the value of completed projects is not possible. In addition, most preliminary construction estimates are determined based on a square footage or quantity. A district cannot make preliminary estimates for construction or renovation projects if basic square footage data is unavailable. This is a sampling of basic facilities management decisions; without data to inform those decisions, a district is at best guessing.

After further exploration of the data provided to FCMAT, the district's administration discovered that its facilities site plans and other supporting documents were incomplete, out of date, and contained other inaccuracies. Although the district did its best to verify site and grounds square footage and composition, administrators ultimately decided that FCMAT should proceed with the limited confirmed data and qualify its findings and recommendations regarding staffing recommendations.

# Organizational Structure

## Principles of Organizational Structure

A school district's organizational structure should establish a framework for leadership and the delegation of specific duties and responsibilities for all staff members. District leaders should manage this structure to maximize resources and reach identified goals, adapting as a district's strategies for student success change and as workload increases or decreases. As a district's enrollment increases or declines, the organizational structure should adapt to ensure duties and responsibilities continue to be fulfilled efficiently.

A district should be staffed according to generally accepted theories of organizational structures and standards used in other school agencies of similar size and type. The most common of theories of organizational structure are span of control, chain of command, and line and staff authority.

## Span of Control

Span of control refers to the number of subordinates reporting directly to a supervisor. Although there is no agreed upon ideal number of subordinates for span of control, it is generally agreed that the span can be larger at lower levels of an organization than at higher levels, because subordinates at lower levels typically perform more routine duties and can therefore be supervised more easily.<sup>1</sup> When dynamic conditions require frequent schedule or assignment changes, a higher frequency of communication is needed between leaders and subordinates. This increase in communication needs decreases the effective span of control.

The fact that there is no single functional span of control range applicable to every management position should not be interpreted to mean that appropriate span of control range cannot be estimated for specific positions. The management consulting firm McKinsey & Company provides a guide for estimating recommended spans of control based on the type of managerial position being considered. McKinsey & Company identify five managerial archetypes that are applicable across industries and across organizations, with recommended spans of control for each archetype.

Each archetype is determined based on four aspects of managerial complexity: the amount of time a manager has committed to their own work and to overseeing the work of others; the standardization of processes for the work being performed; the variety of the work being performed by subordinates; and the required skills, experience and training necessary to perform essential job duties. A summary of McKinsey and Company's framework can be found at <https://www.mckinsey.com/business-functions/people-and-organizational-performance/our-insights/how-to-identify-the-right-spans-of-control-for-your-organization>. When the framework is applied to the district, McKinsey's "coach" archetype best describes the role and responsibilities of the director of maintenance and operations and the director of facilities and bonds. Under this archetype, the leader's direct reports have general guidelines or structures to follow, yet personally perform complex work of more than one type. It can take up to a year for the direct reports of a coach to master their jobs to the point of self-sufficiency. The recommended span of control for this archetype is six to seven direct reports.

McKinsey's "supervisor" archetype is applicable to the district's managers who directly oversee building maintenance and trades staff. This is because their direct reports perform a wide variety of work tasks. Although building trades work has standard industry practices, and workers should follow standard processes, situations that must be escalated from line staff to managers occur often. Also, building maintenance

<sup>1</sup> Principles of School Business Management, Association of School Business Officials, Incorporated, Wood, R. Craig, Thompson, David C., Picus, Lawrence, O., Tharpe, don I., 2nd Edition (1995)

and trades staff require a longer period of training for self-sufficiency than do grounds and custodial staff. The recommended span of control is eight to 10 direct reports.

McKinsey's "coordinator" archetype is most applicable to school district managers who directly oversee grounds and custodial line staff. The majority of grounds and custodial line staff work is scheduled in advance, routine, and standardized. Staff members can be trained to work independently in days or weeks. As such, a wider span of effective control is possible, with McKinsey and Company recommending 15 or more direct reports.

## Chain of Command

Chain of command refers to the flow of authority within an organization and is characterized by two significant principles: unity of command, in which a subordinate is accountable only to one supervisor; and the scalar principle, which suggests that authority and responsibility should flow in a direct vertical line from top management to the lowest level. The result is a hierarchical division of labor.<sup>2</sup>

## Line and Staff Authority

Line authority is the relationship between supervisors and subordinates. It refers to the direct line in the chain of command. For example, the district's superintendent has direct line authority over the CBO; the CBO has direct line authority over the director of maintenance and operations; and the director of maintenance and operations has direct line authority over the building and grounds manager. In contrast, staff authority is advisory in nature. Staff personnel do not have the authority to make and implement decisions but act in support of line personnel. The organizational structure of local educational agencies includes both line and staff authority.

The distinction between line and staff authority is important when considering the role of lead workers. Except for scheduling or assigning work orders, lead workers typically possess limited line authority. Specifically, when staff members ignore the direction of the lead worker or perform substandard work, the lead worker does not have the authority to carry out progressive discipline. The issue must be escalated to the supervisor above the lead worker, who has that line authority. When organizations are staffed appropriately and functioning well, lead worker positions are effective in expanding the functional span of control of the supervisor positions. When organizations are not functioning well and issues must frequently be elevated to supervisors for resolution, lead worker positions prove ineffective at substantially expanding a supervisor's functional span of control.

Put another way, in a well-functioning system where lead workers are disseminating management communication and making schedule adjustments, these roles effectively spread the functional span of control of a supervisor. Lead roles do not, however, effectively distribute the span of control of supervisors when staff need accountability and corrective discipline. The district's Maintenance and Operations Department does not display established systems or strong organization. In this situation, the lead workers' effect on the span of control is limited.

The purpose of an organizational structure is to help a district's management make decisions to achieve organizational goals and objectives. The organizational design should outline the management process and its links to the system of communication, authority and responsibility needed to achieve the district's goals and objectives.

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<sup>2</sup> Ibid

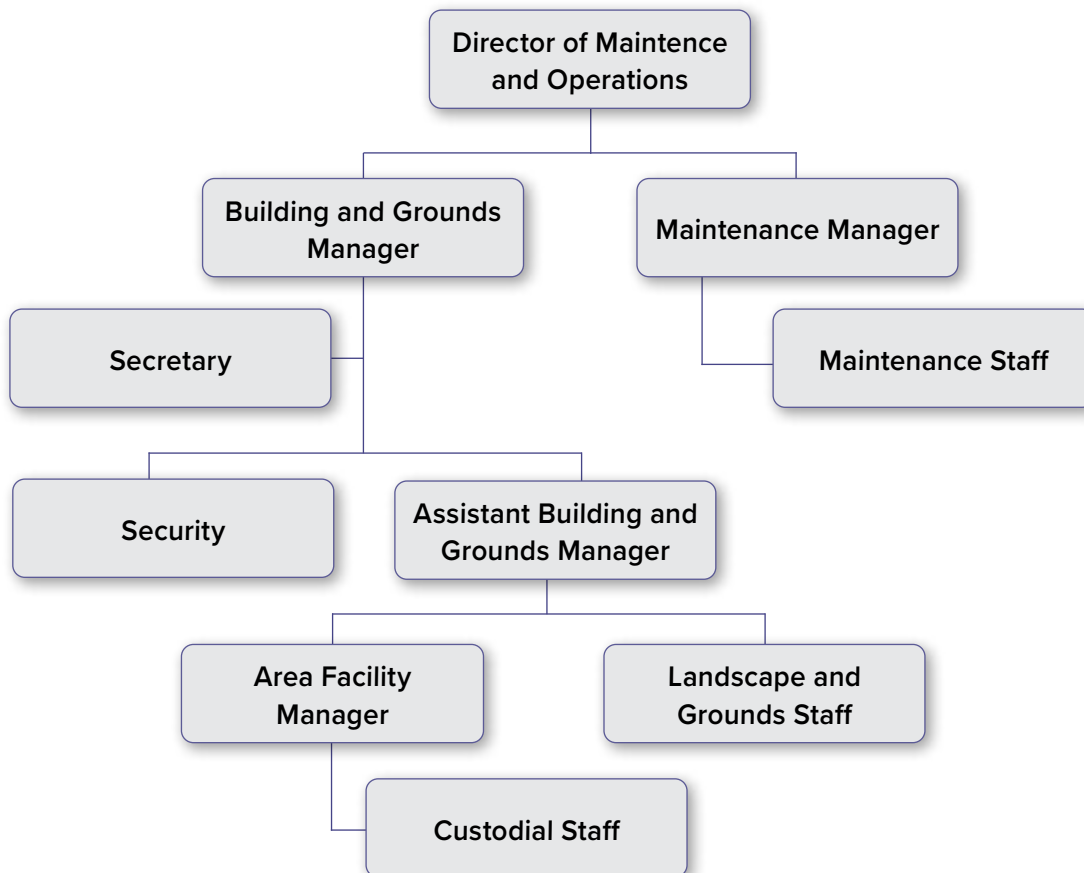
## Maintenance, Operations and Facilities Structure

The district’s MOF departments are under its Business Services Division, which is led by its CBO. The MOF departments are responsible for facility maintenance, landscape, playgrounds, hazardous material management and disposal, custodial services, security services, and facility use permits. The departments also coordinate and oversee all bond and capital improvement projects funded through bonds or developer fees.

The departments’ structure reported to FCMAT during fieldwork was not consistent with the district’s 2020-21 organizational chart submitted to FCMAT (Appendix A). At the time of fieldwork, a single director oversaw all maintenance and operations, and facilities and bonds. However, the organizational chart shows two separate directors, who report to the CBO: one director of maintenance and operations, and one director of facilities and bonds. Shortly after FCMAT’s fieldwork, the district returned to a two-director structure, with the facilities and bonds director moving into the maintenance and operations role, and the district hiring a new director of facilities and bonds. The remainder of this discussion will focus on the two-director structure. However, because certain findings may arise from the overly broad span of control of a single director, that fact remains important for context.

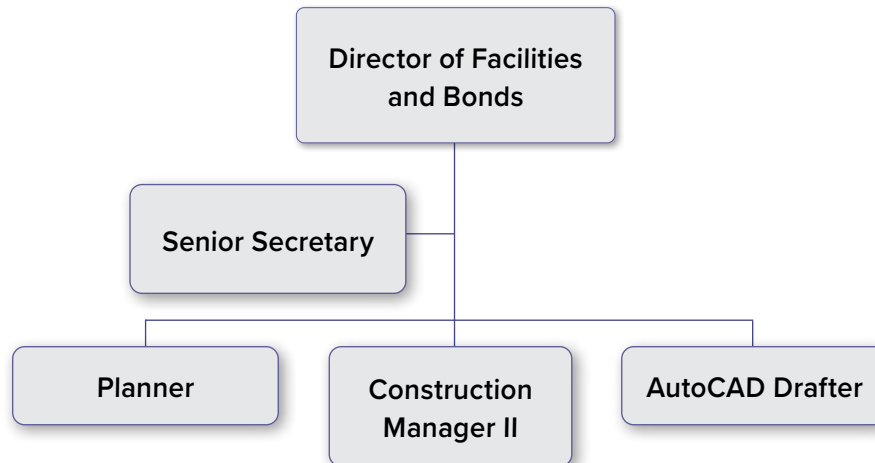
Under the two-director structure, two managers report to the director of maintenance and operations: a building and grounds manager and a maintenance manager. The building and grounds manager oversees the assistant building and grounds manager and the security staff (which is outside the scope of this review). The assistant building and grounds manager oversees the area facility manager and all landscape staff. The maintenance manager directly oversees all maintenance staff. The area facility manager oversees all custodial staff. Custodial staffing is discussed later in this report.

The following chart shows this organizational structure:



The director of facilities and bonds, as indicated by the position title, oversees the district's facilities and bonds programs. These staff include a planner, three construction managers, an auto CAD drafter, and secretarial staff. Not evident from the organizational chart is the presumably large number of outside vendors whose work this director is responsible for, including architects, engineers, consultants and contractors. The director of facilities and bonds position was vacant at the time of FCMAT's fieldwork and has since been filled.

The following chart shows this organizational structure:



Using the aforementioned principles of organizational structure to analyze the district's maintenance and operations and facilities and bond organizational design reveals a number of deviations from best practices. The district has approximately 140 custodial line staff, who are overseen by a single area facility manager; the district has two area facility manager positions, but only one position was staffed at the time of FCMAT's fieldwork. Among these 140 employees are approximately 45 custodians who have "lead" or "head" in their job title. Because lead and head custodians have no formal disciplinary authority, their ability to direct work is limited, which reduces their ability to effectively function in the chain of command and expands the span of control of their direct supervisor. However, even if one were to assume that the "lead" and "head" job titles and structure were fully functional, at best the span of control of the area facility manager is spread over 45 direct reports.

Using the McKinsey & Company framework to estimate effective span of control, FCMAT would expect to see 15 or more direct reports to the area facility manager. However, having 45 direct reports far exceeds the effective span of control of the area facility manager, and 140 line staff is completely unmanageable. This structure is not effective. This finding is discussed further in the custodial supervision section of this report.

The Grounds Department is allocated 24 full-time equivalent (FTE) staff positions (three of which were vacant at the time of FCMAT's fieldwork), which are directly managed by the assistant building and grounds manager. The assistant building and grounds manager also oversees the area facility manager. Using the McKinsey & Company span of control recommendations, FCMAT would expect to see an effective span of control for the assistant building and grounds manager of approximately 15 people. Twenty-four direct line staff reports, plus responsibility for the area facility manager, pushes the limits of the effective span of control. If the job duties of the assistant building and grounds manager were limited to staff supervision, the existence of the grounds maintenance lead worker position could arguably make the span of control manageable. However, the assistant building and grounds supervisor is also responsible for the area facility manager, the district's pest control program, Americans with Disabilities Act (ADA) compliance, the dis-

trict's hazardous materials compliance functions, and the district's Asbestos Hazard Emergency Response (AHERA) program. To effectively complete all of these management duties and effectively manage line staff, FCMAT recommends that the assistant building and grounds manager position be supported with an additional lead grounds worker. Because that district's staff work at 55 separate locations, the lack of an additional lead worker means the assistant building and grounds manager's attention is spread too thin for effective management.

The maintenance manager oversees 29 building maintenance and trade worker line staff members. Based on the McKinsey & Company recommendations for a management role of this type, which falls into the "supervisor" archetype, FCMAT would expect to see an effective span of control of eight to 10 direct reports. Twenty-nine direct reports far exceeds this recommendation. This means that maintenance staff members have little ongoing supervision and, when complex issues arise that are beyond the skill set of line staff, there is limited managerial support to escalate the issue for complex troubleshooting. This may explain why school site leaders report that recurring building maintenance issues, such as plumbing problems, are common. Spot repairs are made, and then the issues resurface. In overseeing 29 line staff across 55 locations, the maintenance manager also has his attention spread too thin for effective management.

The building and grounds manager oversees the assistant building and grounds manager, and the security staff. There are seven security staff members with 24-7 coverage by security dispatchers. It appears that the job duties of the building and grounds manager fall under the McKinsey & Company archetype of "coordinator" for the security staff, and "coach" for oversight of the assistant building and grounds supervisor. This position has a limited span of control compared to what could be expected, especially considering the extraordinarily wide span of control of other department leaders. This position could oversee many more staff members because the span of control for the coach classification is six to seven direct reports, and for a coordinator it is 15 or more direct reports.

The director of maintenance and operations also has a narrow span of control, overseeing the building and grounds manager and the maintenance manager. The responsibilities of the director of maintenance and operations falls under the "coach" archetype, with a recommended span of control of six to seven.

It is evident that managers who oversee landscape, maintenance and custodial staff have an unmanageably wide span of control. The department director and the building and grounds manager have narrow spans of control, with significant capacity for additional direct reports. Put another way, the department's management structure has too many vertical layers and not enough width to oversee line staff. This inadequate organizational structure is likely a main cause of issues that were evident during the FCMAT's fieldwork. Maintenance and operations department leaders struggled to provide accurate information about line staff's activities. This was likely because of too many layers of management between line staff and department leadership. Also, line staff complete their work inconsistently, which is evidence of lack of supervision. With unmanageable spans of control, it is not surprising that the direct supervisors of line staff are not achieving effective results.

The constraints of internal management mechanisms and contracts preclude an overly prescriptive recommendation for management reconfiguration. However, at a minimum, in order to be effective, the district needs more direct oversight of line staff.

## Recommendation

*The district should:*

1. Reconfigure the management structure within maintenance and operations by redistributing line staff oversight duties and reducing vertical layers of management.

# Secretarial Support Staffing

The MOF departments are supported by four secretarial positions and a fiscal analyst position.

The administrative secretary supports the director of maintenance and operations and is primarily responsible for facilities use permits; utility cost and mobile phone charge backs; managing land leases; bond oversight committee meeting minutes and notes; supplies budget and procurement; and department purchase requisitions and obtaining purchasing quotes. This employee also processes absence tracking for department personnel and helps enter data into the department's work order system.

The senior secretary position supports the director of maintenance and operations and will be transitioning support to the director of facilities once staffed. This position also supports the three construction manager positions in the Facilities and Bonds Department. Responsibilities of this position currently include supporting activities related to Measure C, Measure J, Measure A and Proposition 39 funding, as well as other specialty funding. Duties also include preparing purchase orders for new project bid awards; health and safety expenditures; developer fee expenditures; tracking and processing all project invoices; maintaining project documentation, including change order adjustments; and maintaining a log of all projects and expenditures.

The department has two secretary positions that support the building and grounds manager. One secretary supports maintenance and operations as the custodial secretary and is responsible for absence tracking, sub calling and custodial supply orders. This position also supports the facilities managers and grounds managers. The second secretary position also performs absence tracking, work order data entry and other support activities.

The department is also supported by a fiscal analyst. This position is responsible for the accounting functions of the district's bond program. Responsibilities include budget monitoring, creating purchasing orders, preparing budget transfers and journal entries, and monitoring the district's bond funds. The position also monitors the district's utilities and performs some invoicing functions.

Interviews with staff indicate that there is no cross training between secretarial positions. In some cases the staff members reported that it is difficult to take time off because of the workload.

It is not unusual for duties outside of those identified in job descriptions to shift from one staff member to another among clerical staff, especially when departments structures change over the years. However, this often contributes to an imbalance in the distribution of duties and can often place a greater burden on some staff members while freeing up time for others. The district needs to take inventory of the work requirements of each position and of the tasks being performed so it can reduce any redundancy in tasks and ensure employees are focusing their time in the areas of highest priority.

## Recommendations

*The district should:*

1. Review the tasks being performed by clerical staff and evaluate the distribution of duties among staff, with the goal of alleviating any redundancy in tasks being performed by multiple staff and ensuring time is focused on tasks with the highest priority.
2. Assess staffing needs based on workload and distribution of assigned duties.
3. Cross train secretarial staff to ensure there is coverage during employee absences to ensure the continuity of workflow.



# Maintenance Staffing and Operations

The Association of Physical Plant Administrators (APPA) provides a formula for determining appropriate maintenance staffing based on the desired level of service. The levels of service are as follows:

Level 1 – Showpiece Facility (the highest standard)

Level 2 – Comprehensive Stewardship (this is the recommended staffing level for public schools)

Level 3 – Managed Care (work order response time can be lengthy, and facilities' conditions remain stagnant)

Level 4 – Reactive Management (facilities' conditions deteriorate at an accelerated rate)

Level 5 – Crisis Response (maintenance staff can only respond to emergencies)

FCMAT is normally able to provide a detailed maintenance staffing recommendation based on the APPA staffing levels, with recommended modifications based on site-specific needs or local conditions. However, as noted earlier in this report, the district struggled to provide accurate or complete facilities data. The MOF departments provided FCMAT with building data sets that were incomplete and contained obvious errors that called into question the validity of the information. After multiple requests for data, the CBO used outside resources to provide high level data to FCMAT. Although lacking the specificity needed for in-depth analysis, FCMAT used the data to provide maintenance staffing approximations.

The following table shows an estimate of the number of FTE maintenance positions the district would need for each level of service if all routine maintenance tasks are performed by district staff:

Level of Service	No. of FTE
Level 1 – Showpiece Facility	44.7
Level 2 – Comprehensive Stewardship	37.5
Level 3 – Managed Care	27.8
Level 4 – Reactive Management	23.8
Level 5 – Crisis Response	17.4

According to documents provided to FCMAT, the maintenance department has a staffing allocation of 29.0 FTE, which includes five ongoing vacancies.

Position	Total No. of Positions	No. of Vacant Positions
Carpenter	3	
GM Senior	1	
General Maintenance Worker	4	1
Locksmith	1	
Painter	4	
Electrician	3	1
EMT	1	
Glazier	1	
HVAC Technician	3	1
Electronic Technician	3	1
Fire Tech	1	
Plum Weld Leadworker	1	
Plumber	3	1

Even if all positions were filled, the Maintenance and Operations Department is staffed only at the level of Managed Care, wherein facilities conditions remain stagnant and wear and tear degrade all but the newest of facilities. Facilities conditions, as described later in this report, indicate an insufficient level of ongoing maintenance. The estimated staffing needs in the table above assume that all routine maintenance tasks are performed in house, not contracted. If the district were contracting for a substantial amount of routine maintenance and repair, the in-house staffing needs would be reduced. The district provided documents showing that during the 2020-21 fiscal year, for the routine restricted maintenance account (Resource 8150), substantial expenditures were made in the 5000 object codes for contracted services. Expenditures were approximately \$2.7M, or 31% of Resource 8150 spending. Maintenance and Operations Department leaders reported that this spending was on large projects, not routine or preventive maintenance. Because of an apparent dearth of recordkeeping, FCMAT was not able to verify these statements.

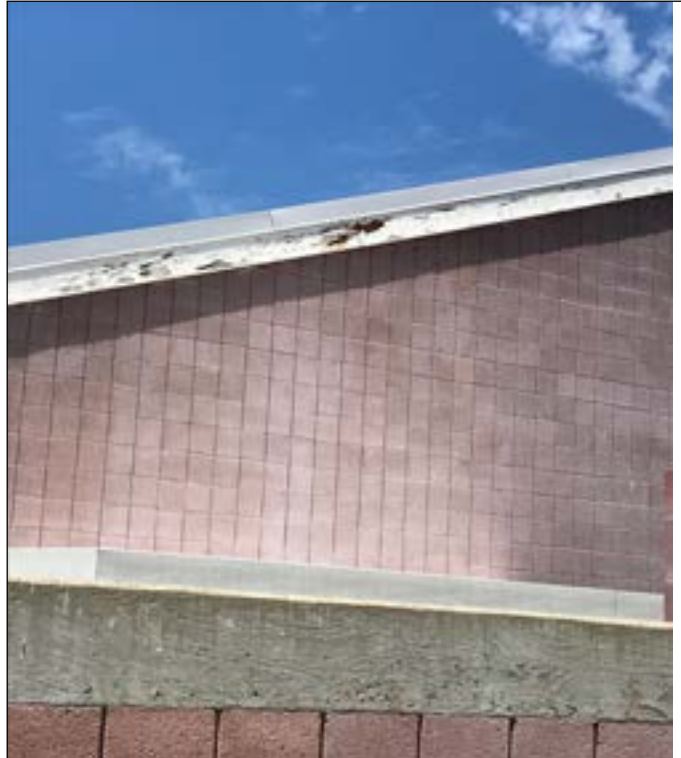
The district needs to develop a method for differentiating between contracted routine maintenance and contracted major maintenance. This is needed to determine if the district is investing enough resources in routine maintenance and repair to prevent further facilities degradation and building system failures. The district needs to develop a plan for increasing staffing incrementally until it is sufficient to maintain Level 2 – Comprehensive Stewardship.

At the district's current level of investment in routine and preventive maintenance, the district's facilities conditions will at best be Level 3 – Managed Care. However, its facilities' conditions are substandard, with numerous areas indicative of a Level 4 – Reactive Management standard of service. With ongoing staffing vacancies, a lack of department planning and inadequate supervision, it is not surprising that the level of service provided by the maintenance department falls short.

FCMAT requested tours of school campuses in three classifications: most well maintained, average maintained, and minimally maintained. FCMAT visited six campuses selected by the director of maintenance and operations based on these criteria and observed maintenance deficiencies throughout each campus. School site leaders corroborated these findings, reporting persistent maintenance failures and an inability of the maintenance department to resolve issues. Reported issues included heating, ventilation and air conditioning equipment failures; ongoing plumbing and wastewater system failures; unrepaired roof leaks; and windows that fail to lock and are not repaired. It is possible to thoroughly inspect even the best facilities and find areas of need that are not representative of the whole, but FCMAT found deficiencies to be widespread. The photographs on the following pages show some of the conditions found.



*Water damaged door.*



*Dry rot in fascia board.*



*Ceiling damage from roof leaks.*



*Door with graffiti.*



***Stairway trip hazards.***

According to the APPA, when staffing is at Level 4 — Reactive Management, facilities conditions deteriorate. Staff mainly react to system failures instead of proactively addressing issues. Exteriors begin to look rough and dingy. Building systems become unreliable, and routine repairs face long backlogs and extended response times. Because maintenance staff members' time is focused on emergency response, issues of school appearance and resolution of complex problems become deferred. This description reflects what FCMAT observed and heard from school site leaders when visiting the district's facilities. Unless the district invests more in routine and preventive maintenance, these poor facilities conditions will persist.

In addition to understaffing, the district's maintenance job descriptions are overly specific. The district has a glazier position that works mainly with glass and plastics. Throughout the district's facilities one can observe custom fabricated light and clock covers, made and installed by the glazier. This work has clear value, protecting lights and clocks from damage; however, leaking roofs, trip hazards and many other deficiencies must be given higher priority. Maintenance, Operations and Facilities departments' leaders reported that the district's overly specific job descriptions mean that staff members cannot be used to address urgent issues. The district needs to change job descriptions to include other duties so urgent building health and safety issues are not neglected.



***Protective light cover.***

Another issue that exacerbates understaffing is an inability to attract maintenance staff. The district reported several ongoing vacant positions in maintenance. Maintenance, operations and facilities leaders reported that the district requires journey level experience as a prerequisite for skilled trades positions. However, the district does not offer wages that are competitive with a booming and short-staffed construction industry. Many districts are facing these same challenges. It would benefit the district to lower the prerequisite experience requirements for skilled trades positions that have ongoing vacancies. Although a plumber with three years of professional experience may be preferable, a plumber with one year of experience is certainly better than no plumber. If existing district structures preclude such flexibility, then the district should hire for lower level general maintenance positions and provide on-the-job training.

## Recommendations

*The district should:*

1. Develop a method for differentiating between contracted routine maintenance and contracted major maintenance.
2. Develop a plan for incrementally increasing staffing to enable it to move from Level 4 — Reactive Management toward Level 2 — Comprehensive Stewardship.
3. Review and change job descriptions to include other duties so urgent building health and safety issues are not neglected.
4. Evaluate its current prerequisites for skilled trade positions and make adjustments to attract a wider range of qualified candidates to fill vacant positions.

# Custodial Staffing and Operations

## Custodial Supervision

The district has approximately 140 FTE custodial positions at more than 50 school sites. The district has one area facility manager, who is the immediate supervisor for custodians and is responsible for the training, supervision and evaluation of all custodians throughout the district.

Before the Great Recession, the district had 17 custodial supervisors, each responsible for the school custodians in their zone of schools. These supervisors were assigned approximately eight custodians each and were responsible for their supervision and evaluation. During the Great Recession these positions were eliminated and replaced with six area facility managers, and the zones were broadened to regions of schools. The six area facility managers were later reduced to three, only one of which is currently filled.

As previously noted, the span of control for the one area facility manager is excessive. Providing adequate supervision and evaluation of 140 custodians would be difficult with six area facility managers but is simply not possible with only one.

FCMAT generally favors a centralized management structure for custodians. However, given the area facility manager's excessive span of control, this model is not practical for the district. An alternative to the current structure could be to use a decentralized management model for custodial personnel, placing them under the direct supervision and evaluation of school principals, partnered with the area facility manager for training.

This model for direct supervision and evaluation of the custodians would increase accountability because school administrators have asserted that they currently have no control over the quality or quantity of work custodians perform on their campuses. Under this model, the area facility manager would retain the responsibility for training and would act as a liaison between the schools and the district's maintenance and operations facility but would no longer be responsible for the supervision and evaluation of school custodians.

However, this model does have some shortcomings. First, principals are not familiar with the nuances of custodial operations and usually lack the training and experience to assess a custodial employee's effectiveness. Evaluating custodians also creates additional responsibilities for the principals, who are often already overburdened performing staff evaluations and increasing academic performance. Another concern is that custodial schedules are sometimes affected by principals who use day shift custodians for services outside their job descriptions, such as traffic control, yard duty and other miscellaneous duties. This limits the amount of custodial work accomplished by the daytime custodians, resulting in uncompleted tasks being added to the night custodial crew's duties.

One may conclude that custodians could report to both the site principal and the area facility manager, but that would violate the unity of command principal, which states a subordinate should be accountable to only one supervisor.

For supervision by the school administrators to be viable, school site and district administrators must have a clear understanding of their individual roles and responsibilities, and must communicate effectively with each other regarding their expectations for custodial staff. These expectations should include the following:

- Ensuring that facilities are safe, clean, orderly and attractive.
- Creating educational environments that are well maintained, improve learning, reflect the value of public education, and preserve capital investments.

- Ensuring that general housekeeping and other support functions are performed as needed.
- Fostering a sense of professionalism and pride among the custodial staff.

## Custodial Staffing

Determining the number of custodial staff positions needed is difficult because custodial performance often depends on the caliber of personnel. However, the industry standard is to staff based on square footage or cleanable area. As custodial responsibilities and the total amount of cleanable space increase or decrease, an appropriate number of positions should be added or reduced. Although the district may ultimately use a single staffing method or a combination of methods best suited to its needs, the selected approach to custodial staffing should include variables that determine the workforce needed to provide an expected level of service.

The district's custodial staffing formula is unique: it allocates a uniform number of custodians to each school site at each grade level, regardless of each school's number of students or building square footage. Specifically, elementary schools are staffed with two custodians each (one day and one night); middle schools are staffed with two custodians each (one day and one night); and high schools are staffed with six custodians each (one morning, one midday and four night).

There is also a three-person roving crew that is assigned to miscellaneous tasks, such as set-up and tear-down for board meetings and special events, furniture moves, and other such tasks. Because the district's staffing formula does not take into account whether one school has more students than another, or whether one school's building square footage is significantly greater than another, this uniform distribution of custodial staff results in inequities in custodial staffing across the district. In this regard, equal is not equitable.

The California Association of School Business Officials' (CASBO's) custodial staffing formula is the industry standard in California for measuring whether school custodial staffing is adequate. This formula considers not only the square footage of a school but also the number of students, teachers, classrooms, offices and general-purpose areas. Implementing this formula should result in staffing levels that can achieve high Level 3 or even a Level 2 standard of cleanliness. The CASBO formula for custodial staffing is as follows:

Total staffing is the sum of the following, divided by four:

- One custodian for every 13 teachers
- One custodian for every 325 students
- One custodian for every 13 classrooms
- One custodian for every 18,000 square feet of facility

The resulting staffing per site is often impractical to implement because the district hires custodians for positions that are either 3.5 hours per day (0.4 FTE) or eight hours per day (1.0 FTE) (the district also has one seven-hour-per-day position that FCMAT has counted as 0.8 FTE to conform to the 3.5-hour, 0.4 FTE rounding convention). Because of this, and to avoid understaffing, FCMAT rounded the formula's results upward to the next highest FTE that is divisible by 0.4 FTE, 1.0 FTE, or a combination of the two. For example, 1.9 FTE at a site is not a practical staffing level given the available 0.4 or 1.0 FTE, so it is rounded to 2.0 FTE for a practical staffing level of two eight-hour-per-day custodian positions. Similarly, a formula result of 2.3 FTE is not practical, so it is rounded to 2.4 FTE for two eight-hour-per-day and one 3.5-hour-per-day custodian positions.

Based on district information, the district's total custodial staffing is 123.00 FTE, which is 102% of the recommended staffing level of 121.00 FTE generated by practical application of the CASBO formula. These results suggest that the district is overstaffed by 2.00 FTE custodians. However, the CASBO Custodial formula does not consider childcare and/or administrative facilities, so the district must manually adjust the formula to account for custodial staffing at these locations. In addition, at the time of FCMAT's review, several schools had vacant custodial positions totaling 9.375 FTE. However, FCMAT's calculations are based on each school site being fully staffed.

The district's current overall custodial staffing is adequate, but the CASBO formula indicates significant discrepancies in staffing from school to school. For example, some schools were significantly overstaffed compared to the CASBO formula, including Ayers Elementary at 125.79%, while other schools were significantly understaffed, including Mountain View Elementary at 75.88%. A side by side comparison of the CASBO formula's recommended custodial staffing levels with to the district's current custodial staffing levels is included in Appendix B of this report.

A key performance indicator in measuring the effective use of facilities is the number of teachers compared to the number of classrooms. Current data provided shows, of the school sites included in FCMAT's analyses, there are 1369 teachers and 1709 classrooms being used. Of the remaining 340 classrooms, 137 are identified as vacant. That means that 203 classrooms are used for other purposes. FCMAT's observation is that many school site administrators may be choosing to use extra space in their assigned facility without regard to how the decision affects maintenance and operations, or overall costs to the district, such as for utilities and staff custodial time.

To assess the time needed for a daytime custodian (who works at a school while students are present), the analysis should consider each school's needs and available cleaning time. These time standards allot sufficient time to clean all areas at the school and follow the cleaning standards of the CASBO Custodial Handbook. Assigning the custodial staff to tasks not assigned in the CASBO formula will result in necessary cleaning being postponed or ignored.

## Custodial Substitutes

The district frequently relies on custodial substitutes because it has many vacant custodial positions throughout the district; however, it has a complex approach to hiring substitutes and for their advancement into permanent positions.

The district's current collective bargaining agreement requires the district to select new permanent custodians from a pool of substitute custodians who have accrued the most seniority in the district. The collective bargaining agreement states in part the following:

2. Substitute Custodians as defined in Article 2, B (2), shall be offered probationary positions in the following manner. When a vacancy occurs the hiring supervisor shall interview the three (3) most senior Substitute Custodians and select the candidate that in his/her judgment would be the best qualified for the position. If the most senior Substitute Custodian is not selected, and upon written request from the employee, reasons shall be provided to him/her in writing. This written response shall not be subject to the grievance process.

For purposes of this paragraph, Substitute Custodian seniority shall be based on his/her total hours of paid substitute service. If two or more substitutes have the same number of total hours, seniority shall be determined by lot.



No Substitute Custodian shall work more than 194 days in a school year.

Subsequent to the exhaustion of the names on the current Substitute Custodian list as of the date of Board of Education ratification on February 23, 1999, the following process and procedures shall be used in the placement and advancement of Substitute Custodians.

- a. The Substitute Custodian group shall be designated in an ascending order of achievement as follows: Substitute Custodian I and Substitute Custodian II. Substitute Custodian I is defined as a substitute who has completed the Custodial Trainee program or has through his/her verified training, experience and proficiency been determined to possess the necessary technical and personal skills to perform independently as a Substitute Custodian I. Substitute Custodian II is defined as a substitute who has met the requirements of a Substitute Custodian I and is eligible to be considered for a probationary custodial position.
  - b. No more than five (5) substitutes may be at the Substitute Custodian II level at any one time. There is no similar restriction on the number of Substitute Custodian I's that may be employed at any one time.
  - c. Seniority for advancement within a particular substitute designation shall be based on the greater hours worked within that substitute level. If, based on his/her performance assessments, a Substitute Custodian II is reassigned to a Substitute Custodian I, then he/she will forfeit those hours earned as a Substitute Custodian II in that placement.
  - d. The five Substitute Custodian II's shall be interviewed for probationary positions as they become available in the Custodial Department. No more than five (5) outside (non-unit) applicants may be interviewed for the same position. Each outside (non-unit) applicant must be qualified by the Personnel Office to meet all of the criteria as identified in both the job announcement and job description. A candidate certification team consisting of two District and two Teamsters representatives shall interview all candidates. One of the District representatives shall be the District Custodial Supervisor. A non-voting representative from the Personnel Office shall chair the team. A majority vote of the team is required to qualify a candidate. A tie vote by the certification team on any candidate shall be referred to the Executive Director of Human Resources for resolution. He/she shall confer with the Teamsters Unit President prior to his/her making a final determination. The final decision by the Executive Director, Human Resources is not subject to the grievance procedure.
  - e. The hiring supervisor shall select a candidate from among those candidates qualified by the certification team or the Executive Director, Human Resources. All things being equivalent, a Substitute Custodian II shall be selected over any outside (non-unit) candidate. If the most senior Substitute Custodian II is not selected, and upon written request, reason(s) shall be given in writing to both the employee and the Union. The written response shall not be subject to the grievance process.
  - f. Based on performance assessments Custodial Trainees shall be advanced to the position of Custodian Substitute I by the completion of one hundred and eighty (180) calendar days.
- C The District Custodial Supervisor shall be responsible for the initial placement and advancement through each substitute level. Effective on the date of Board ratification, February 23, 1999, he/she shall base the promotion/demotion of all Substitute Custodians

on a standard performance assessment with advisement from a committee comprised of one (1) Teamsters representative and the Executive Director of Human Resources. These substitute assessments shall be conducted on a quarterly basis, or if deemed individually necessary, more frequently. During each assessment meeting, all substitutes shall be reviewed in areas of attendance/dependability and performance and any written commendations/observations of areas where improvement is needed shall be made by Supervisory personnel. Substitute evaluations and the review process shall not be subject to the grievance process. Effective on the date of Board ratification, February 23, 1999, the assessment process shall be used by the District Custodial Supervisor in determining the need for intervention, commendation, coaching, discipline, etc. for all Substitute Custodians.

- D. Vacant Custodial Positions – The District shall provide the Union with a list, on a monthly basis, of vacant custodial positions which are available to substitutes.
- E. Substitute Custodians List – The District shall provide the Union with a monthly list of Substitute Custodians and Custodial Trainees, by seniority, and the names and locations of those substitutes hired in a permanent status.
- F. Seniority Credit

Any substitute<sup>1</sup> who takes a permanent position will be granted their original substitute seniority date as long as they worked 75% of each 194-day substitute work, year they worked as a substitute. (Example: Substitute works 75% year one and 50% year two then hired year three in permanent position = 1-year seniority when hired.)

Most custodians who enter the district start as 194-day substitutes with no benefits. It usually takes a substitute six months on average before they move into a probationary permanent position. This requirement effectively negates the potential for a custodian with significant experience outside the district from applying for an entry level custodial position. It would benefit the district to negotiate for new language that acknowledges custodial experience in other districts when considering applicants for entry level custodial positions.

## Recommendations

*The district should:*

1. Consider placing custodians under the direct supervision of school principals, and making principals responsible for the evaluation and discipline of custodians.
2. Have school principals collaborate with the facilities area administrator on the expectations for custodians at each school to ensure custodians are not required to perform tasks outside their job descriptions, such as traffic control, yard duty or other miscellaneous duties.
3. Use the CASBO custodial formula or alternative formula to redistribute the number of custodians among schools equitably based on objective criteria, such as the number of students, number of teachers, and/or building square footage at each school.
4. Negotiate language that acknowledges custodial experience outside the district when considering applicants for entry level custodial positions.
5. Work diligently to fill vacant custodial positions.

# Custodial Processes and Procedures

## Cleanliness Standards

Any discussion of custodial operations and appropriate staffing levels must first establish expected cleanliness standards. Although there is no nationwide standard for describing standards of cleanliness, the United States Department of Education has established five levels of cleaning. For each level of cleaning, the standard estimates the square footage of a building that a custodian working an eight-hour shift (with two 15-minute breaks, which are paid and part of the shift, and a 30-minute lunch break, which is not paid and is in addition to the shift time) can reasonably be expected to complete.

- Level 1 cleaning results in a spotless and germ-free facility, as might normally be found in a hospital environment or corporate suite. A custodian with proper supplies and tools can clean approximately 10,000 to 11,000 square feet to this level in eight hours.
- Level 2 cleaning is the uppermost standard for most school cleaning and is usually reserved for restrooms, special education areas, kindergarten areas, or food service areas. This service level includes vacuuming or mopping floors daily, and sanitizing all surfaces. A custodian can clean approximately 18,000 to 20,000 square feet to this level in an eight-hour shift.
- Level 3 cleaning is the norm for most school facilities (COVID-19 aside). It is acceptable to most parties and does not pose any health issues. Classrooms are cleaned daily, which includes emptying trash and cleaning common area surfaces such as sinks and door handles. Carpets are vacuumed and surfaces students use are sanitized every other day on a schedule that alternates days for these two tasks. A custodian can clean approximately 28,000 to 31,000 square feet to this level in eight hours.
- Level 4 cleaning is not normally acceptable in a school environment. Classrooms would be cleaned every other day, carpets would be vacuumed every third day, and dusting would occur once a month. A custodian can clean 45,000 to 50,000 square feet to this level in eight hours.
- Level 5 cleaning can rapidly lead to an unhealthy situation. Trash cans might be emptied and carpets vacuumed only weekly. One custodian can clean 85,000 to 90,000 square feet to this level in eight hours.

The figures above are estimates and do not take into consideration the additional cleaning and sanitation requirement currently in place due to the COVID-19 pandemic. The actual number of square feet a custodian can clean per shift will depend on additional variables, including the employee's abilities and training, type of facilities, flooring, wall covering, number of windows, restroom layouts, gymnasium and other athletic facilities, and offices, all of which must be considered when determining workload expectations. In addition, partial shifts, such as when one eight-hour-per-day custodian is shared by two schools, require time for travel between schools, which also reduces the square footage an employee can clean in eight hours. There are also intermediate levels of cleanliness. For example, a level between Level 3 and Level 4 would include daily emptying of trash from each classroom and cleaning common area surfaces such as sinks and door handles (Level 3 requirements). However, classroom might be cleaned more thoroughly every other day and carpets vacuumed less frequently — a Level 4 characteristic.

The district's custodians are allotted 15 minutes to clean each classroom and 15 to 30 minutes to clean restrooms, depending on size and configuration. The district's custodial manual prescribes the level of

cleaning to be performed both daily and weekly. However, because there are often vacant positions and an inadequate supply of substitute custodians, not every task identified on the following list, except cleaning restrooms, may be performed daily. The additional sanitizing required under COVID-19 protocols has only exacerbated this situation. The following cleaning standards are defined in the district's custodial manual:

#### RESTROOMS – CLEAN DAILY

1. Clean and disinfect hand basins, urinals, commodes, mirrors where existing.
2. Replace hand towels, toilet tissue, and fill soap dispensers.
3. Sweep and mop floor.
4. Dump trash.

#### CLASSROOMS – CLEAN DAILY

1. Empty wastebaskets and pencil sharpeners.
2. Straighten up furniture.
3. Sweep entire floor with dust mop.
4. If carpeted, vacuum entire floor.
5. Spot mop floors, remove gum.
6. Spot clean carpets, remove gum.
7. Refill dispensers as needed.
8. Clean sinks and drinking fountains.
9. Keep wastebaskets clean inside and out, clean if needed.
10. Close curtains and/or shades.
11. Secure all windows and inside doors. Turn off lights, lock doors ... twist knobs and pull doors to make sure they are secure.

#### GRAFFITI

1. All graffiti is to be removed daily.

#### HALLWAYS

1. All inside hallways are to be dust mopped and wet mopped daily.
2. Any splashes of food or soda is to be washed off daily.
3. Glass on entrance doors is to be cleaned daily using a window cleaner.

#### CLASSROOMS – WEEKLY

1. Clean all chalk trays and erasers.
2. Dust counters from one end to the other.
3. Dust off 'TV's, 'CR's and rolling carts.
4. Remove all cobwebs-top to bottom.

## 5. Clean small glass in doors.

Based on visual inspections of the district's facilities and on interviews with both school administrators and custodial staff, the district's normal cleaning standard is between Level 3 and Level 4. The district is staffed adequately to perform at Level 3; however, the additional sanitization required under the district's COVID-19 protocols, the inequitable allocation of custodial staff among sites, and the lack of an adequate substitute custodial pool to draw on when regular employees are absent, have negatively affected the district's ability to perform at Level 3.

## Custodial Tools and Equipment

Most of the custodians interviewed indicated that they had adequate tools and equipment. Head custodians have been given toolboxes with small tools to allow them to perform minor maintenance. A common complaint, however, was that when equipment did break, the process for equipment repair was lengthy and the repairs were often ineffective. Most of the repairs are performed in house, and the district does not have sufficient staffing to keep pace with the number of repairs required. Another complaint was that the district often tries to repair equipment when it should be replaced. It would benefit the district to consider using an outside vendor or vendors to increase its capacity for tool repair. It would also be of benefit for the district to use an objective standard to determine if equipment should be replaced rather than repaired (e.g., replace an item if repairs would cost more than 50% of its value).

Some custodians indicated that tools are borrowed but never returned and/or lost but never replaced. Staff indicate that an annual tool inventory has been discussed but never implemented. Implementing an annual tool inventory would help the district determine whether custodians have the small tools needed to do their jobs.

## Custodial Manual

The district has an extensive custodial manual. However, much of the content in the manual is outdated. For example, the manual states that the custodians at each school jointly report to the custodial supervisor and the school principal. However, the current practice is to have all custodians report directly to the area facilities administrator. The manual also includes the job descriptions for each of the district's custodial positions, but these job descriptions do not match those posted on the district's website; further, neither set of job descriptions includes the essential functions of each job. To comply with the American's with Disabilities Act (ADA), job descriptions must include the essential functions of the job. The manual also needs to be updated to include the district's current expectations for custodial staff.

## Training

Most of the training for new custodians is provided when custodians are substitutes and they are assigned to a lead custodian. The lead custodian trains the substitute about how tasks are accomplished at that school. Although all custodians received training on implementing COVID-19 sanitization protocols, the district lacks a districtwide training program for maintenance and operations staff and is out of compliance with many health and safety requirements. In addition, FCMAT found few written policies or procedures regarding training, safety issues, or departmental protocols. Mandated safety training for maintenance and operations staff needs to be provided and documented. Training should include the areas listed in the maintenance and operations safety training matrix in Appendix C of this report. The district will need to contract for these services if they cannot be provided internally. The district also does not hold month-

ly safety meetings for all maintenance and operations staff; doing so would help improve communication, education, and the ability to resolve any outstanding safety issues.

## Recommendations

*The district should:*

1. Use outside vendors when possible to supplement its own efforts to repair tools.
2. Use objective standards to determine when a tool should be replaced rather than repaired.
3. Update the custodial manual to accurately show lines of supervision, current cleaning standards, and the most up-to-date job descriptions for custodial positions.
4. Update custodial job descriptions to include the essential functions of the job. Ensure the job descriptions in the custodial manual and on the district's website are current and up to date.
5. Implement an annual custodian tool inventory to identify missing tools at each school, and plan to fund their replacement.
6. Implement regular safety training for maintenance, operations and grounds staff using a matrix substantially similar to one in Appendix C of this report. Contract for this safety training if necessary.
7. Hold monthly safety meetings for maintenance and operations staff.

# Grounds Staffing and Operations

The Association of Physical Plant Administrators (APPA) provides a formula for determining appropriate grounds staffing based on the desired level of service, as follows:

- Level 1 – State of the Art (the highest standard)
- Level 2 – High Level (this is the recommended level for schools)
- Level 3 – Moderate Level
- Level 4 – Moderately Low-Level
- Level 5 – Minimum Level

As noted earlier in this report, the MOF departments were unable to supply facilities data that was complete or that passed simple data validation tests for the reliability of the information. After multiple data requests from FCMAT, the CBO used outside resources to gather data on facilities and grounds square footage. However, the facilities data on grounds supplied to FCMAT did not differentiate different types of grounds areas sufficiently for a standard grounds staffing analysis.

To analyze the data provided as effectively as possible, FCMAT used a combination of a modified APPA grounds staffing formula and industry standard staffing allocations per acre to offer the following staffing FTE estimation for each level of service.

Level of Service	Number of FTE Required
Level 1 — State of the Art	52.8
Level 2 — High Level	45.0
Level 3 — Moderate Level	37.5
Level 4 — Moderately Low-Level	30.0
Level 5 — Minimum Level	23.4

According to documents provided to FCMAT, the grounds department is staffed at 24.0 FTE, including 3.0 FTE positions that were vacant at the time of FCMAT’s fieldwork. Even if the insufficient grounds data provided by the district resulted in FCMAT’s analysis recommending a staffing level that is 25% too high, the district would still be staffed at only Level 4, which is insufficient to maintain safe, attractive grounds conditions.

The photographs on the following page are representative of many of the district’s grounds areas. Turf areas have extensive gopher or mole damage; irrigation systems are not functioning properly in many areas; turf is spotty; planters contain large weeds that appear to be several months old; and trees are overgrown and show no signs of having been pruned for safety.



***Turf area.***



***Overgrown tree.***



***Weeds in landscape.***

These substandard grounds conditions are indicative of insufficient staffing and a lack of proper supervision. One school leader stated that the grass is mowed so infrequently that they thought it was only mowed when they specifically entered a work order requesting mowing.

Because the district was unable to provide FCMAT with the detailed data required for a staffing needs analysis for grounds personnel, only general recommendations can be provided in this area. The district will need to continue to review and update school site data so staffing needs can be considered based on the composition of each school and the personnel needed to maintain at least safe and healthy school grounds.



Compounding the issue of understaffing is arbitrary scheduling that appears to assume that all schools have the same amount of grounds needs. In reality, the need often depends on school design; two schools with similar student populations can have significantly different grounds maintenance needs based on site size, size of playing fields, number of planters, type of plant material, and other factors.

Scheduling needs to be task-based, matching resources to actual needs. As a result of the district's arbitrary scheduling, a few sites have overallocations of staff time that results in well-kept grounds areas, while the majority of the district is underserved. The district needs to use task-based or needs-based scheduling to match staff time with each school site's needs. This will require accurate, detailed data about the school sites, which the department seems to lack.

## Pesticide Use

The district uses outside contractors for most pest control. In fiscal year 2020-21, the district reports it spent more than \$224,000 on pest control services. The decision about whether to perform pest control in house or contract out for it varies from district to district; however, the decision is one that should be reviewed periodically to ensure the best use of resources. Important factors in this decision are the training and licensing requirements for in-house staff, and equivalency of FTE and other resources expended. It would benefit the district to consider how many FTE could be added to the grounds department for \$224,000 per year and determine if the contracted service is providing more or less time than that FTE equivalent.

Contracting out for pest control services does not absolve the district from reports and documentation to ensure compliance with the Healthy Schools Act of 2000, California Department of Pesticide Regulation, and county agricultural commission rules.

Information from interviews and document review indicates that the district is in substantial compliance with Healthy Schools Act requirements. However, during interviews with FCMAT, some leaders expressed an inconsistent understanding of Healthy Schools Act requirements. The department director will need to take Healthy Schools Act training and ensure that all employees who report directly to her sufficiently understand compliance requirements.

Even with extensive contracting, district staff perform some pesticide applications. Staff report that the district has a "no Roundup" rule and stated that alternative herbicides have been ineffective. The alternative products mentioned are in use by a number of other districts with ongoing success. It would benefit the district to have department leaders train staff in the proper use of these products to ensure proper weed control.

## Turf Care Plan

The grounds department maintains a variety of turf areas including ornamental lawns, athletic practice fields, and fields used for competitive sports and community events. Many of the turf areas are in poor condition and do not meet the community's expectations. Maintenance, Operations and Facilities departments' leaders reported no systematic approach to turf maintenance or plan to restore degraded areas.

The district needs to solicit the development of a turf care plan from an outside provider for each type of turf area maintained. A well-developed turf care plan will include all of the following components:

- Turf area
- Grass species

- Intended use (light athletics, heavy athletics, ornamental only, etc.)
- Appearance requirements
- Irrigation requirements (in inches of water per week, per season)
- Seasonal mowing heights
- Aeration schedules
- Overseeding schedules
- Soil testing protocol
- Soil amendment schedules
- Fertilization schedules
- Use limitations

In addition to the written components of the plan, the district will need a map that identifies which turf areas are subject to which turf care plan. A plan like this may sound aspirational to a district that is struggling with understaffing. However, the district's understaffing only heightens the need for a turf care plan, because such a plan will enable the district to focus its limited resources. The alternative to a well-defined plan is the current situation: haphazard response and degrading conditions.

## Irrigation System

Maintenance, Operations and Facilities departments' staff reported that only five to seven school sites are on a centralized irrigation controller. The remainder of the district's 55 facilities have irrigation controllers that require a visit to the facility to adjust or program. With only one allocated sprinkler technician across 55 school sites, the result is no seasonal adjustments to irrigation controllers and no ability to consistently turn off irrigation when rain is expected. This lack of seasonal adjustment likely results in a significant and ongoing waste of water.

Centralized irrigation controller systems use cellular data transmission so do not require network or phone line connections, meaning that upgraded controllers can be installed in place of additional controllers without additional wiring, conduit runs or trenching. Such a system would enable ongoing adjustments of the irrigation system based on weather forecasts. For many districts, the water savings offsets the cost of the controller upgrade. These systems are widely recognized for water savings, and local water districts often subsidize the cost of the equipment. To save water and improve grounds conditions, the district needs to consider this type of upgrade.

## Tree Care Plan

Maintenance, Operations and Facilities departments' leaders reported no system for planning tree care or safety pruning. The district's schools have many trees, some of which are large and many of which are in close proximity to students. The district needs to solicit the development of a tree care plan from a certified arborist. A comprehensive tree care plan will catalog and map the locations of all trees taller than six feet or greater than 1.5" in trunk diameter at chest height; and it will document and make recommendations for all of the following parameters: tree species, irrigation needs (if any), pest control needs (if any), fertilization needs, frequency of inspection need, frequency and type of trimming work needed, and potential safety concerns. For any trees the size, age, or condition of which indicates a safety risk, an ANSI A300 (Part 9)

Tree Risk Assessment will need to be completed by a certified arborist. Having a tree care plan in place will improve campus safety and aesthetics and facilitate budget planning.

## Recommendations

*The district should:*

1. Continue gathering and compiling detailed data on school site grounds composition to aid in evaluating staffing needs and assignments based on the composition of each school in order to maintain at least safe and healthy school grounds.
2. Use task-based or needs-based scheduling for grounds staffing based on accurate, detailed data for each school site, and allocate adequate staffing to support those identified needs.
3. Evaluate the cost and benefit of contracting with external vendors for pest control services versus an in-house staffing equivalent.
4. Ensure the department director attends Healthy Schools Act training, and ensure all direct reports to the director have a sufficient understanding of compliance requirements.
5. Have department leaders train staff in the proper use of weed control products
6. Solicit the development of a turf care plan that addresses all of the key elements for proper maintenance for each type of turf area maintained, and that is accompanied by site maps that identify all turf areas subject to the plan.
7. Consider investing in a centralized irrigation controller system that uses cellular data transmission.
8. Solicit the development of a tree care plan by a certified arborist.

# Ongoing and Preventive Maintenance

## Work Order System

The MOF departments use an online work order system and equip staff members with electronic devices for receiving and documenting work orders. When properly used, this work order system can provide accountability of staff, work order tracking for those who requested the work, and important data for budget and repair planning. However, because of a variety of problems, the district's work order system is not a reliable source of information.

The need for timely, reliable information from the work order system is not merely academic. At the time of FCMAT's fieldwork, the information in the work order system could not provide reliable data for HVAC filter upgrades, which the district considered to be an important safety initiative.

Under the configuration reported at the time of fieldwork, the work order system was used separately from the chain of command. The planner position in the Facilities and Bonds Department was overseeing the work order system. Although it is common for a nonmanagement employee to help with work order processing, maintenance leaders need to have some role in the work order system for it to be an accountability tool for staff.

The district needs to implement practices to ensure that maintenance staff are using the work order system properly, and that department leaders are involved in using the work order system as an accountability tool. One suggested system is a six-week report, wherein the maintenance manager is required to print a report monthly of all work orders that are incomplete six weeks or more after the date of work order entry. The maintenance manager and the director of maintenance and operations should present that report to the CBO, with a plan for how to resolve each of these longstanding issues and a communications plan to update those who requested the work on the progress of these issues. For most districts that implement this practice, the time frame for reporting is thirty days after work order entry. The suggested change to six weeks is because of how backlogged the district's maintenance department is. In addition to providing an accountability tool, this process can help the district develop a system for identifying the need for larger projects as well as routine maintenance.

## Recommendations

*The district should:*

1. Implement practices to ensure that maintenance staff are using the work order system properly and that department leaders are involved in using the work order system as an accountability tool.
2. Establish a system for the maintenance manager and the director of maintenance and operations to present to the CBO monthly a six-week work order report that includes a plan for how to resolve each outstanding issue
3. Establish a plan for communicating with and updating those who requested the work on the progress of outstanding work orders.

## Preventive Maintenance Planning

According to department leaders, the MOF departments do not have a preventive maintenance plan. In practice this means that the department is waiting for things to break and then reacting, with no proactive effort to prevent system failures. The district needs to create, or commission the creation of, a comprehensive preventive maintenance plan.

An effective preventive maintenance plan usually starts with a list of all facilities, the structures at each facility, and the building components and systems for each structure. Examples of building components and systems include roofs, gutters, floors, doors, plumbing valves, HVAC units, bleachers, and other items.<sup>3</sup> For each building system or building component listed, the plan will note the monthly, quarterly, semiannual, seasonal, and yearly tasks needed to proactively maintain that system or component, and whether the work will be completed by district staff or contractors. The plan will also note costs associated with each task. A comprehensive preventive maintenance plan will prevent many emergency response situations, improve facilities' functionality, and aid in budget planning.

For any plan to be effective, the MOF departments must use it. The district's work order system has the capacity to automate preventive maintenance work orders. This feature should be implemented. If used properly, each preventive maintenance assignment will need to be configured only once. The system will automatically generate the work orders at the intervals prescribed in the preventive maintenance plan and track the completion of the work.

At the time of this report, the department lacked sufficient staffing to perform preventive maintenance work. The district should use the following strategy to change from reactive to more preventive maintenance: when hiring new maintenance staff members, dedicate half of the new employees to focus primarily on preventive maintenance work.

## Recommendations

*The district should:*

1. Create, or commission the creation of, a comprehensive preventive maintenance plan that includes all facilities for each site. Ensure the plan describes all building components and systems, the maintenance requirements and timing for each, and whether district staff or a vendor will perform each task.
2. Use the work order system to manage preventive maintenance work assignments
3. Develop a proactive preventive maintenance strategy

<sup>3</sup> The Uniformat II Classification for Building Elements, Level 3 "individual elements" is a helpful starting point for cataloging the various building components and systems that require preventive maintenance.

# Deferred and Major Maintenance Plan

Beginning with fiscal year 2013-14, deferred maintenance program funding was incorporated into the Local Control Funding Formula (LCFF) base funding. At that same time, Education Code (EC) 17584, relating to the required district matching contribution, was repealed. Although specific funding for deferred maintenance no longer exists, the California Department of Education (CDE) allowed districts to continue using the Deferred Maintenance Fund (Fund 14) to account for district-funded deferred maintenance programs. The district does not maintain Fund 14 to track district funds used for deferred maintenance projects, despite its significant deferred maintenance needs.

Deferred maintenance can be defined as follows:

The practice of postponing maintenance activities such as repairs on both real property (i.e. infrastructure) and personal property (i.e. machinery) in order to save costs, meet budget funding levels, or realign available budget monies.

Source: [Wikipedia](#)

It also has been defined as the total dollar amount of existing maintenance repairs and required replacements (capital renewal) not accomplished when they should have been, not funded in the current fiscal year, or otherwise delayed to the future (see the [Dude Solutions](#), [APPA](#) and the [International Facilities Management Association](#) websites for more information).

Implicit in both of these definitions is the notion that postponed maintenance will invariably cost more in the future. As a result, a resource allocation plan is needed to plan for large dollar maintenance items that require repair or replacement in the future. Education Code Section 17582 defines deferred maintenance expenditure as follows:

. . . major repair or replacement of plumbing, heating, air-conditioning, electrical, roofing, and floor systems; the exterior and interior painting of school buildings; the inspection, sampling, and analysis of building materials to determine the presence of asbestos-containing materials; the encapsulation or removal of asbestos-containing materials; the inspection, identification, sampling, and analysis of building materials to determine the presence of lead-containing materials; and the control, management, and removal of lead-containing materials.

In this respect, deferred maintenance addresses specific building components and evaluates life cycle costs for each to determine when the components should be replaced. In contrast, modernization looks at school site holistically (including aesthetics), and may or may not include deferred maintenance items. Often a deferred maintenance plan can be integrated with a district's facilities maintenance plan or with plans for modernization.

During fieldwork, FCMAT observed deferred maintenance items at almost every school visited. These needs include worn carpeting; hardwood floors that need to be refinished; asbestos-containing floor tile; worn interior and exterior paint on buildings; obsolete lighting and lighting fixtures; missing or damaged ceiling tiles and evidence of leaking roofs; antiquated heating, ventilation, and air conditioning systems; broken door closers; cracked concrete; and crumbling asphalt.

The district commissioned an external consulting firm to prepare a facilities needs assessment and facilities master plan, which was completed in December 2018. However, the product provided to the district did not contain any indication of priority for the projects listed and did not address maintenance cycles in any systematic way. As a result, the district has no actionable plan for addressing deferred maintenance or major maintenance needs. The district needs to develop, or solicit the development of, a comprehensive deferred maintenance plan. The State Allocation Board's (SAB's) form 40-20, titled Five Year Plan, Deferred Maintenance

nance Program, is not in itself a comprehensive deferred maintenance plan. The SAB 40-20 is a summary output of a complete deferred maintenance plan and was formerly used by the SAB to establish program eligibility. A complete deferred maintenance plan is far more extensive and contains, at a minimum, the following components:

- A list of all facilities
- A list of all building systems for each facility (this list will likely mirror the building systems list noted above and used to develop the preventive maintenance plan)
- The original construction or reconstruction date of the building system
- The typical life expectancy of the building system
- The current condition of the building system
- The restoration or replacement tasks needed to ensure the facility functions as designed, along with the timing intervals for each

Although the district does not maintain a deferred maintenance fund, it has established a routine restricted maintenance account (RRMA) within the general fund, pursuant to Education Code Section 17070.75 (2).

## **Recommendations**

*The district should:*

1. Develop a comprehensive five-year deferred maintenance plan and allocate funds in its annual budget to address its most significant deferred maintenance needs.
2. Identify funding sources, including RRMA funding and other sources, to address ongoing maintenance needs.

# Routine Restricted Maintenance Account

The district participates in the state School Facilities Program. Under this program, Education Code Section 17070.75 (2) requires a routine restricted maintenance account (RRMA) resource to be established within the general fund.

Education Code Section 17070.75 requires school districts that participate in the state School Facilities Program to make all necessary repairs, renewals and replacements to ensure a project is at all times maintained in good repair and working order. This is accomplished by establishing a restricted account within a district's general fund that is used only for ongoing and major maintenance of school buildings. Education Code Section 17070.75 requires a district to deposit a specified amount each fiscal year for 20 years from the date School Facilities Program funds are received.

The district contributes 3% of its total general fund budget expenditures, including other financing uses, to maintain its school facilities. Any amounts unexpended from the RRMA at year's end are designated as a restricted ending balance and must remain in the account unless expended for routine or major maintenance.

Education Code Section 17070.77(b) defines "major maintenance" as follows:

. . . all actions necessary to keep roofing, siding, painting, floor and window coverings, fixtures, cabinets, heating and cooling systems, landscaping, fences, and other items designated by the governing board of the school district in good repair.

Maintenance is further defined in the California School Accounting Manual (CSAM) Procedure 325 Function (Activity) Classification, 8110 Maintenance:

Activities involved with repairing, restoring, or renovating school property, including grounds, buildings, site improvements, building fixtures, and service systems.

The activities referenced involve major maintenance such as renovation of the grounds or replacement of a sprinkler system, not day-to-day activities such as lawn mowing. FCMAT's interpretation of these codes and regulations is that the district can charge any costs associated with the maintenance of the facilities or grounds to the RRMA, including indirect costs.

The CSAM defines indirect cost rate as follows:

. . . those costs of general management [i.e., activities that are for the direction and control of the local educational agency's (LEA's) affairs] that are agencywide. General management costs consist of expenditures for administrative activities necessary for the general operation of the LEA (e.g., accounting, budgeting, payroll preparation, personnel management, purchasing, and data processing).

The CSAM further states that a proportionate share of plant maintenance and operations and facilities rents and leases attributable to the administrative activities on the basis of space occupied is also included in the calculation of indirect costs.

The district budgets the required 3% of its total general fund expenditures and transfers in the RRMA. However, review of the historical spending from this resource indicates that the district underutilizes these resources. In fiscal year 2018-19, the RRMA ended the year with a restricted ending balance of \$2,486,732.03. Similarly, in fiscal year 2019-20, the RRMA ended the year with a restricted ending balance of \$3,608,179.71. In fiscal year 2020-21, the RRMA ended the year with a restricted ending balance of \$5,024,259.01. Given that the district's maintenance staffing is at Great Recession levels, and there are demonstrable deferred maintenance issues districtwide, the district needs to immediately develop a plan to increase maintenance



staffing and/or undertake critical deferred maintenance projects to align expenditures with revenues in the RRMA.

It is common for LEAs to fully exhaust the 3% contribution, often due to staffing costs. FCMAT's observation of the district's expenditures in comparison to the contribution is consistent with the fact that the district's staffing levels for maintenance are lower than those in districts of like type and size.

### **RRMA Contributions and Expenditures, 2018-19 through 2020-21**

Major Object	Description	2018-19	2019-20	Increase / (Decrease) over Prior Year	% Increase / (Decrease) over Prior Year	2020-21 (As of 6/30/21)*	Increase / (Decrease) over Prior Year	% Increase / (Decrease) over Prior Year
8	Contributions	11,621,251.79	10,968,105.00	(653,146.79)	-5.6%	10,601,395.00	(366,710.00)	-3.3%
1	Certificated Salaries	-	-				-	100%
2	Classified Salaries	4,009,944.42	3,536,448.04	(473,496.38)	-11.8%			0.0%
3	Benefits	1,906,045.92	1,757,766.98	(148,278.94)	-7.8%			0.0%
4	Supplies & Materials	1,463,160.64	1,269,261.55	(193,899.09)	-13.3%			0.0%
5	Services	5,981,176.34	2,856,232.15	(3,124,944.19)	-52.2%			0.0%
6		97,037.64	92,548.81	(4,488.83)	-4.6%			0.0%
7	Direct Support/ Indirect Costs	531,941.48	334,399.79	(197,541.69)	-37.1%			0.0%
		13,989,306.44	9,846,657.32	(4,142,649.12)	-29.6%	9,185,315.70	(661,341.62)	-6.7%
	Net Increase/(Decrease)	(2,368,054.65)	1,121,447.68	3,489,502.33	-147.4%	1,416,079.30	294,631.62	26.3%
	Beginning Balance	4,854,786.68	2,486,732.03	(2,368,054.65)	-48.8%	3,608,179.71	1,121,447.68	45.1%
	Ending Balance	2,486,732.03	3,608,179.71	1,121,447.68	45.1%	5,024,259.01	1,416,079.30	39.2%

\*\* Source: 2020-21 Unaudited Actuals printed 9-13-21

A high level review of expenditures from the 2018-19 fiscal year revealed a \$3.7 million expenditure in object 5719 Other Interprogram Expenditures, resulting from a reclassification journal entry from the unrestricted general fund resource 0000 to the restricted routine repair and maintenance resource 8150. Review of this the district's documents supporting this transaction indicated that the intent of the entry was to recover excess contributions made into the resource in fiscal years 2016-17 and 2017-18. However, because the RRMA ending fund balance is restricted for the purposes of routine and major maintenance, it is questionable whether funds can be transferred back to the unrestricted general fund, even if the unrestricted general fund overcontributed to the account in prior years.

Although this account is dedicated to maintenance of existing facilities, FCMAT noticed significant repair needs during school site visits. The lack of a deferred maintenance plan only compounds this problem. The administrative and clerical staff need be trained to monitor year-to-date expenditures, open purchase orders, future expenditure commitments, and projected funding shortfalls. Expending all funds in the routine restricted maintenance account in a systematic and well prioritized manner each fiscal year would help preserve the district's investment in capital facilities.

Although it may be difficult for the district to predict the amount of expenditures that will be required in any given fiscal year, it needs to develop a budget that is based on historical expenditures and its facilities' needs. Any funds remaining at fiscal year end are restricted for maintenance and cannot be transferred back to the unrestricted general fund. Funds in the RRMA should be fully expended each year, unless they are being carried over to fund deferred (major) maintenance projects.

Since 1980, the district's custodians' job descriptions have included responsibilities for minor maintenance items, including the following:

1. Fix loose screws in tables, chairs, doors, equipment, light fixtures, etc.
2. Install pencil sharpeners and map rail or frames.
3. Repair leaky faucets. This includes replacing washers, adjusting drinking fountains, etc.
4. Remove glass from broken windows. Secure by boarding.
5. Replace floor tiles where safety is involved.
6. Paint to remove obscene words on painted portion of campus. (All paint to be provided by Maintenance only.)
7. Water lawns and shrubs within 50 feet of buildings.
8. Repair or reattach coving base where needed.
9. Replace window: screens.
10. Make minor repairs to drapery and shade hardware.
11. Replace light fixture tubes and screen/louvers/diffusers.
12. Replace ground-level heating system filters.
13. Replace closer arms, doorstops, and kick plates.
14. Replace missing acoustical tile.
15. Unplug door locks.
16. Replace switch plates and plastic light covers.
17. Prune where safety hazards are involved.
18. Replace glides and casters.

Because custodians have the responsibility for performing minor maintenance, the district charges 5% of each custodian position to the RRMA. FCMAT believes this is appropriate; however, FCMAT was unable to determine if all custodians are performing these duties. If the district implements the school administrator supervision model recommended above, each school administrator will need to ensure that the custodians at their site perform the minor maintenance tasks listed above.

## Recommendations

*The district should:*

1. Review and carefully evaluate the use of proceeds transferred into the RRMA, and prioritize this funding for this purpose.

2. Determine whether the RRMA can support the cost of hiring additional maintenance personnel.
3. Require school administrators to ensure that the custodians at their school perform the minor maintenance tasks in their job descriptions.
4. Ensure that the RRMA is monitored during the fiscal year and that all funds are expended, unless funds are being accumulated for deferred (major) maintenance projects.

# Bonds and Capital Improvement Division

## Management

The purpose of any organizational structure is to help a district make key decisions to effectively facilitate the flow of information for student learning while balancing its limited financial resources. The organizational design should outline the management process and its specific links to the formal system of communication, authority and responsibility needed to achieve the district's goals and objectives.

- Execution: how well the organization's plans were carried out by employees.
- Leadership: how effectively the organization communicates and translates the goals and objectives to employees.
- Delegation: how well the organization delegates assignments and communicates instructions to employees.
- Resources: how well the organization used its financial and human resources.

During fieldwork, FCMAT used the four principles above in its review to determine whether the facilities department is adequately staffed. The district's governing board's goals and objectives need to be defined clearly and embedded in the organizational chart. The organizational structure should establish the framework from which the district demonstrates leadership and delegation of specific duties and responsibilities.

The district's Facilities and Bonds Department is staffed with a director of facilities and bonds, two construction managers and one secretary. At the time of FCMAT's fieldwork, the director of facilities and bonds position was vacant, and one of the construction manager positions was being eliminated. The current director of maintenance and operations had been with the district since 2011, originally as a member of the Measure C facilities team. She worked as an assistant construction manager from 2011 through 2016 and then left the district to work in the community college system. She returned to the district in June 2018 as the assistant director of maintenance and operations. In November 2020 she became the director of facilities and bonds, and just prior to FCMAT's fieldwork was transferred laterally to the director of maintenance and operations position. The director of maintenance and operations is well liked and respected by school administrators and the maintenance and operations staff. However, she is hampered by an excessive workload, poor channels of communication, and outdated and/or redundant processes that impair efficiency.

Under the leadership of the director of facilities and bonds, the department is responsible for administering the district's general obligation bonds, Measure C and Measure J. At the time of FCMAT's fieldwork, the district had three internal construction managers, who are responsible for all aspects of new construction, modernization, energy management and maintenance projects, from initial scoping of the project to working with design professionals on project design, coordinating the quoting or competitively bidding the projects with purchasing, contract administration, and project closeout. Department staff believe that the use of internal construction managers is more cost effective than using outside consultants. The construction management team points to numerous projects carried out across the district as evidence of their effectiveness. However, interviews with maintenance personnel and school administrators revealed general displeasure with the level of quality control the construction managers exert over outside contractors' work in the field. On more than one occasion, school administrators and/or maintenance personnel complained that substandard work performed by contractors was accepted or work was not completed by contractors, resulting in maintenance personnel having to complete tasks for which the contractor was responsible. The district needs to consider quality as well as quantity of work when evaluating the effectiveness of using internal construction managers.

The Facilities and Bonds Department also employs a full-time planner position. Although the planner is listed under facilities in the department's organizational chart, all of the functions being performed by the position are maintenance, including maintaining the work order system and working on small maintenance projects. This is consistent with the job description for this position. The department's organizational chart needs to be revised to show the role the planner position plays in the maintenance department.

The department is also staffed with one AutoCAD drafter position. This position is responsible for maintaining the department's website, maintaining and updating "as built" drawings for completed projects, and ensuring that the correct paperwork is filed with the Division of the State Architect (DSA) to ensure project closeout.

Following fieldwork, FCMAT began its analysis of the facilities data provided by the district and found significant concerns with reliability of the data provided. The team identified questionable data provided for recorded facilities square footage for school sites. FCMAT had to send numerous follow-up requests for complete data because data templates were routinely returned incomplete. In addition, data provided by the district was not consistent compared to multiple documents providing the same data elements. Further research by district administrators identified incongruencies in the district's recorded data and the data provided by the district's consultant who prepared the most recent facilities master plan. It is clear that the district's records have not been maintained properly and/or updated to reflect changes in facilities over time; however, the reason for this is not clear. The district will need to conduct a task audit for the AutoCAD drafter position to determine whether the job responsibilities fall in line with the job description or if the position has taken on other duties assigned by department supervisors, making it difficult to ensure all facilities documentation is up to date.

Because the district does not have a current project priority list and expenditure plan, FCMAT cannot make a specific recommendation about staffing in this area.

## Recommendations

*The district should:*

1. Consider both the quality and quantity of work when evaluating the effectiveness using of internal construction managers.
2. Revise the department's organizational chart to reflect the role the planner position plays in the maintenance department.
3. Conduct a task audit of the AutoCAD drafter position to gain a better understanding of the daily duties performed in comparison to the district's job description.

# Coordination of Facilities Projects and Available Funding

## State School Facility Program

The district uses an outside consultant (School Facilities Consultants, or SFC) for assistance in filing eligibility applications and other preliminary paperwork with the state Office of Public School Construction (OPSC). The district does not have any applications pending with OPSC; however, SFC recently completed a review of the district's modernization eligibility under the state's School Facility Program and identified eligibility for \$24,291,504 for future modernization projects. Although existing Proposition 51 state bond funds are oversubscribed, it would benefit the district to submit modernization applications to OPSC in case funding become available in the future.

Many school districts use outside consultants to prepare and submit applications to the state School Facility Program; however, it is still incumbent on the district to fully understand all of the program's guidelines and procedures. The district will need to cultivate an in-house expert (e.g., the director of facilities and bonds) who has general working knowledge of OPSC, DSA, CDE and other state agency guidelines. This individual would serve as the main contact with external consultants and would be ultimately responsible for monitoring their work. Building this internal capacity would lessen the district's dependence on external consultants.

## Recommendations

*The district should:*

1. Submit applications for school site modernization to OPSC in case funding becomes available in the future.
2. Cultivate an in-house expert (e.g., the director of facilities and bonds) who has general working knowledge of OPSC, DSA, CDE and other state agency guidelines.

# Capital Facilities (Developer Fee) Fund

The district has Level I Statutory developer fees of \$4.08 per square foot for residential construction, \$0.66 per square foot for commercial or industrial construction, \$0.524 per square foot of hotel or motel construction, and \$0.03 per square foot for self-storage construction. In accordance with Education and Government codes, these funds can be expended only for the following:

1. Construction or reconstruction of school facilities.
2. Costs associated with conducting any study, finding, needs analysis or determination required as part of the process for adopting the fee.
3. Administering the fee, for which 3% of the fees collected may be expended.
4. Costs associated with the meeting(s) for levying a new fee or increasing an existing fee may be recovered by the district from the fee charged.
5. Costs attributable to the increased demand for public facilities reasonably related to the development in order to (1) refurbish existing facilities to maintain the existing level of service or (2) achieve an adopted level of service that is consistent with the general plan (i.e., compliance with a Facilities Master Plan).

Developer fees may not be used for the following:

1. The regular maintenance or routine repair of school buildings or facilities.
2. The inspection, sampling, analysis, encapsulation, or removal of asbestos containing materials, except where incidental to a construction or reconstruction project.
3. The purposes of deferred maintenance described in Education Code Section 17582.

During FCMAT's review, FCMAT found that Fund 25, the Capital Facilities Fund (Developer Fees) Fund was not under the control of the director of facilities and bonds. Rather, the fund was under the control of the district's administrative offices. Although Education Code makes clear that these funds cannot be used for routine maintenance, Government Code expressly authorizes the use of these funds to refurbish existing facilities to maintain the existing level of service. FCMAT believes that these funds can be used to modernize facilities, and that their use should be integrated with a project funding plan that includes the district's general obligation bond proceeds and future state modernization funds to modernize facilities. Because of this, it would make sense to have the director of facilities and bonds coordinate all capital facilities funding sources, including developer fees, to achieve the greatest level of coordination in its capital facilities program.

During its review, FCMAT also found that the balance in Fund 25 exceeded \$13 million. Notwithstanding the fact that these funds can be used on the district's significant modernization needs, it is incumbent on the district to explain why it still needs the unexpended fee to achieve the purpose for which it was originally intended, and that it has a plan for how to use the unexpended balance to accomplish that purpose. When a school district fails to make the required five-year findings, the agency is required to refund the unexpended portion of the fee, and any interest accrued thereon. (*Walker v. City of San Clemente*, 239 Cal. App. 4th 1350, 1371 (2015)).

In *Walker*, the city was ordered to refund approximately \$10.5 million in unexpended fees for failing to make the required five-year findings. Specifically, the city failed to discuss the relationship between the nearly \$10 million balance in the Beach Parking Impact Fee account and the purpose for which the fee was established, and it did not demonstrate a reasonable relationship between the unexpended fees and their

purpose. The *Walker* decision affirms that Section 66001 imposes a duty on the local agency to *reexamine* the need for the unexpended fees.<sup>4</sup>

FCMAT reviewed the district's report titled *Annual Accounting of Development fees for the Capital Facilities Fund (Fund 25) for Fiscal Year 2019-20*. Although the report identifies 54 school sites where developer fees are to be spent, no detail is provided about what improvements are intended for each school. The district needs to identify how developer fees will be spent at each of its school sites listed in this annual document and amend the document accordingly.

The district does not coordinate available facilities funding resources, including unspent RRMA balances, developer fee collections, or bond funds, to maximize the benefits committed to facilities project priorities. It also does not appear that the district captures the allowable 3% for administering the developer fees. This shortcoming is compounded by the fact that the district does not have a structured plan that identifies and prioritizes facility projects in general.

## Recommendations

*The district should:*

1. Have the director of facilities and bonds coordinate all capital facilities funding sources, including developer fees.
2. Identify how developer fees will be spent at each of the school sites listed in the *Annual Accounting of Development Fees for the Capital Facilities Fund (Fund 25)*, and amend the report accordingly.
3. Capture the allowable 3% of collected developer fees for administering the fees.

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<sup>4</sup> Legal Update Memo No. 39-2021 Annual Development Fee Accounting (K-12), School and College Legal Services of California.



# Training and Cross Training

During FCMAT's review, employees shared several concerns about maintenance and operations staff. Chief among these was that staff are not cross trained, so if an employee is absent certain tasks cannot be completed, and that maintenance staff are often heard saying "that's not my job" when asked to help with certain assignments.

In interviews, administrative support staff also indicated a lack of cross training. Cross training has numerous benefits. It allows a second person to perform another employee's duties when the employee who has primary responsibility is unavailable. Having someone else perform the job duties also provides a way to detect any errors or irregularities created by the person primarily responsible for those duties. Cross training also provides continuity during employee transitions.

Inadequate cross training is often a problem even in the largest central offices. To effectively cross train, each employee needs to develop and document, preferably in a desk manual, the standard operating procedures they follow for each major task and responsibility, providing a step-by-step guide for others to perform their required tasks when they are absent or when additional support is needed to ensure timely completion of tasks.

Cross training is not designed to make employees interchangeable and does not replace the need for the appropriate knowledge, skills, and abilities in a position. It does allow a district to continue services in times of crisis and during short-term employee absences.

## Recommendations

*The district should:*

1. Implement cross training for each administrative support position in the MOF office to ensure essential tasks and functions can be completed without interruption when an employee is absent, a position is vacant, or additional support is needed to complete tasks on time.
2. Hold employees accountable using the evaluation process once personnel are appropriately cross trained.

# Organizational Culture and Communication

Organizational culture is a system of shared assumptions, values and beliefs that govern how people behave in school districts. These shared values influence employees and dictate how they dress, act and perform their jobs. Every school district has a unique culture that is not formal but is shaped by its leaders' actions over time. Several school administrators and maintenance, operations and grounds staff have long tenures with the district. However, the district has experienced an unprecedented amount of turnover among its senior administrators during the last decade.

There have been three different superintendents (including acting and interim ) in the position in the last 20 months, and two different CBOs during the same period of time. This constant turnover in the district's leadership has created a culture of complacency among maintenance and operations staff. Maintenance and operations staff believe they can wait out changes made by a current administration, with an expectation that the changes will be superseded by the next administration.

Many staff indicated that the district lacked a clear vision of where it was headed and that many of the decisions made by mid-level administrators were not clearly and openly communicated, resulting in staff misunderstandings about why certain decisions were made. In addition, there is little structured accountability for job responsibilities, and in some cases staffing levels are not ideal, leaving some positions overtaxed. These factors, in combination with the expectation that administrative change will take place, creates complacency for some staff.

Communication is perceived as top down, with stakeholders having little or no input into decisions made by district leaders. One example cited during FCMAT's interviews was the directive to custodial staff to use their accrued vacation by a certain date or risk losing it. The school administrators received an email from the district office informing them that they would have to deliver the directive to their custodial staff. School administrators were given no rationale for this change. Several of the school administrators FCMAT interviewed felt the way this was handled was disrespectful to custodial staff. Staff also expressed frustration regarding this directive, stating that departments were already short staffed, that regular staff often had to fill in for vacancies and absences because of a lack of substitutes, and that in some cases the communications were given on very short notice.

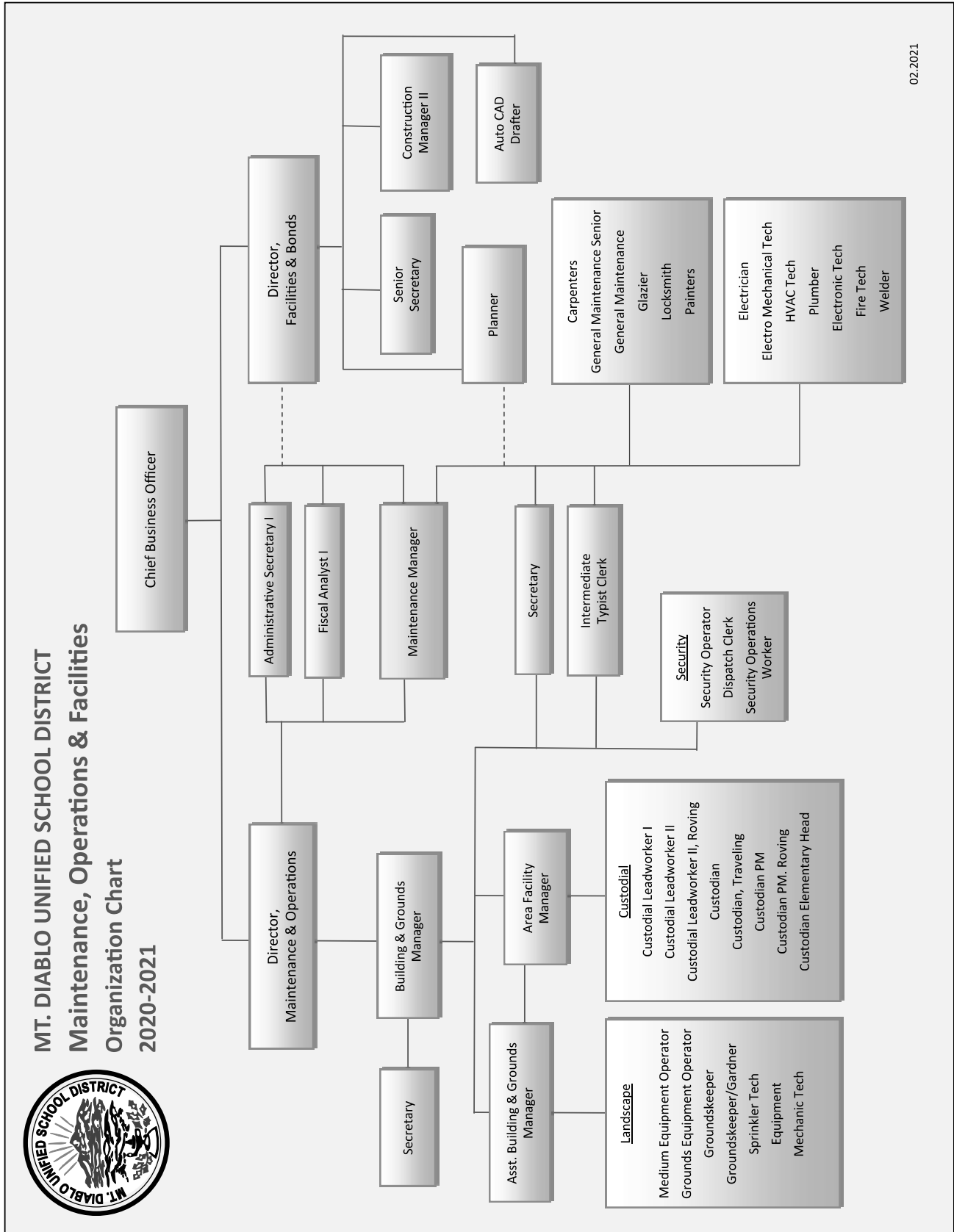
## Recommendations

*The district should:*

1. Continue efforts to establish clear expectations for and communicate these to the Maintenance and Operations, and Facilities departments' personnel.
2. Ensure department leaders communicate effectively to department staff any changes in policy, procedures, or organizational structure. Ensure communications are timely, based on the matter at hand, and move through the appropriate channels, especially when any changes being communicated will have an immediate and significant effect on employees.
3. Hold personnel accountable for deviation from established policies, procedures or supervisory directives.

# Appendices

# Appendix A - Organizational Chart



02.2021

# Appendix B – Custodial Staffing Analysis

MT. DIABLO CUSTODIAL STAFFING BASED ON CASBO FORMULAS

SCHOOLS	ENROLLMENT			CLASSROOMS			BUILDING AREA			TEACHERS/STAFF			CASBO Recommended vs. Actual FTE		
	Students	Formula Divisor	FTE	Classroom Equivalents	Formula Divisor	FTE	SQ FEET	Formula Divisor	FTE	TEACHERS/ STAFF	Formula Divisor	FTE	CASBO Recommended FTE	2020-21 STAFFING	District Staffing As A % of CASBO
(112) Ayers Elementary	378	325	1.16	23	13	1.77	35,386	18,000	1.97	19	13	1.46	1.59	2.00	125.79%
(114) Bancroft Elementary	595	325	1.83	24	13	1.85	38,970	18,000	2.17	28	13	2.15	2.00	2.00	100.05%
(115) Bel Air Elementary	385	325	1.18	30	13	2.31	36,678	18,000	2.04	19	13	1.46	1.75	2.00	114.42%
(119) Cambridge Elementary	498	325	1.53	38	13	2.92	45,247	18,000	2.51	24	13	1.85	2.20	2.00	90.75%
(175) Delta View Elementary	569	325	1.75	31	13	2.38	47,117	18,000	2.62	26	13	2.00	2.19	2.38	108.53%
(132) El Monte Elementary	403	325	1.24	30	13	2.31	41,393	18,000	2.30	22	13	1.69	1.88	2.00	106.11%
(134) Fair Oaks Elementary	307	325	0.94	22	13	1.69	35,924	18,000	2.00	18	13	1.38	1.50	2.00	132.95%
(140) Gregory Gardens Elementary	350	325	1.08	33	13	2.54	46,699	18,000	2.59	17	13	1.31	1.88	2.00	106.42%
(142) Hidden Valley Elementary	769	325	2.37	48	13	3.69	59,516	18,000	3.31	37	13	2.85	3.05	2.00	65.51%
(143) Highlands Elementary	482	325	1.48	37	13	2.85	52,731	18,000	2.93	24	13	1.85	2.28	2.00	87.86%
(145) Holbrook Elementary	413	325	1.27	27	13	2.08	37,955	18,000	2.11	25	13	1.92	1.84	2.00	108.41%
(152) Meadow Homes Elementary	725	325	2.23	46	13	3.54	58,373	18,000	3.24	34	13	2.62	2.91	3.00	103.20%
(153) Monte Gardens Elementary	485	325	1.49	28	13	2.15	38,515	18,000	2.14	27	13	2.08	1.97	2.00	101.74%
(154) Mt. Diablo Elementary	668	325	2.06	39	13	3.00	43,484	18,000	2.42	28	13	2.15	2.41	2.00	83.12%
(166) Mountain View Elementary	243	325	0.75	28	13	2.15	114,006	18,000	6.33	17	13	1.31	2.64	2.00	75.88%
(168) Pleasant Hill Elementary	569	325	1.75	30	13	2.31	42,290	18,000	2.35	34	13	2.62	2.26	2.00	88.66%
(174) Rio Vista Elementary	446	325	1.37	30	13	2.31	42,930	18,000	2.39	23	13	1.77	1.96	2.00	102.12%
(176) Sequoia Elementary	593	325	1.82	27	13	2.08	38,852	18,000	2.16	28	13	2.15	2.05	2.00	97.40%
(178) Shore Acres Elementary	416	325	1.28	31	13	2.38	41,282	18,000	2.29	23	13	1.77	1.93	2.20	113.88%
(179) Silverwood Elementary	524	325	1.61	22	13	1.69	33,845	18,000	1.88	27	13	2.08	1.82	2.00	110.17%
(181) Strandwood Elementary	552	325	1.70	30	13	2.31	48,251	18,000	2.68	29	13	2.23	2.23	2.00	89.71%
(182) Sun Terrace Elementary	383	325	1.18	34	13	2.62	46,157	18,000	2.56	21	13	1.62	1.99	2.00	100.33%
(187) Vaihalla Elementary	577	325	1.78	30	13	2.31	38,209	18,000	2.12	29	13	2.23	2.11	2.00	94.83%
(188) Valle Verde Elementary	463	325	1.42	30	13	2.31	47,112	18,000	2.62	20	13	1.54	1.97	2.00	101.42%
(191) Walnut Acres Elementary	668	325	2.06	30	13	2.31	41,172	18,000	2.29	30	13	2.31	2.24	2.00	89.30%
(192) Westwood Elementary	254	325	0.78	31	13	2.38	34,629	18,000	1.92	18	13	1.38	1.62	2.00	123.56%
(196) Woodside Elementary	282	325	0.87	28	13	2.15	41,889	18,000	2.33	16	13	1.23	1.64	2.00	121.59%
(197) Wren Avenue Elementary	311	325	0.96	27	13	2.08	37,757	18,000	2.10	18	13	1.38	1.63	2.00	122.77%
(198) Ygnacio Valley Elementary	424	325	1.30	27	13	2.08	41,082	18,000	2.28	23	13	1.77	1.86	2.00	107.63%
(222) Diablo View Middle School	535	325	1.65	29	13	2.23	82,021	18,000	4.56	25	13	1.92	2.59	3.00	115.87%
(231) El Dorado Middle School	810	325	2.49	48	13	3.69	77,731	18,000	4.32	35	13	2.69	3.30	3.00	90.94%
(235) Foothill Middle School	786	325	2.42	41	13	3.15	80,638	18,000	4.48	34	13	2.62	3.17	3.00	94.73%
(260) Oak Grove Middle School	736	325	2.26	42	13	3.23	66,350	18,000	3.69	31	13	2.38	2.89	3.00	103.75%
(267) Pine Hollow Middle School	577	325	1.78	36	13	2.77	65,402	18,000	3.63	27	13	2.08	2.86	3.00	117.02%
(273) Riverview Middle School	715	325	2.20	52	13	4.00	122,335	18,000	6.80	31	13	2.38	3.85	4.80	124.83%
(280) Sequoia Middle School	886	325	2.73	37	13	2.85	67,962	18,000	3.78	34	13	2.62	2.99	3.00	100.31%
(289) Valley View Middle School	734	325	2.26	42	13	3.23	62,876	18,000	3.49	34	13	2.62	2.90	3.00	103.47%
(324) College Park High School	1977	325	6.08	81	13	6.23	150,170	18,000	8.34	85	13	6.54	6.80	6.00	88.25%
(326) Concord High School	1167	325	3.59	93	13	7.15	143,093	18,000	7.95	69	13	5.31	6.00	6.00	99.99%
(355) Mt. Diablo High School	1519	325	4.67	85	13	6.54	143,072	18,000	7.95	78	13	6.00	6.29	6.00	95.39%
(388) Northgate High School	1495	325	4.60	60	13	4.62	175,605	18,000	9.76	67	13	5.15	6.03	6.00	98.48%
(399) Ygnacio Valley High School	1229	325	3.78	72	13	5.54	165,123	18,000	9.17	68	13	5.23	5.93	6.00	101.16%
(462) Olympic Continuation HS	293	325	0.90	38	13	2.92	48,292	18,000	2.68	18	13	1.38	1.97	2.62	132.79%
(271) Pleasant Hill Middle School/Inid Study	706	325	2.17	62	13	4.77	112,562	18,000	6.25	29	13	2.23	3.86	5.00	129.64%
<b>TOTAL</b>	<b>27897</b>		<b>85.84</b>	<b>1709</b>		<b>131.46</b>	<b>2,870,703</b>		<b>159.48</b>	<b>1369</b>		<b>105.31</b>	<b>120.52</b>	<b>123.00</b>	<b>102.05%</b>

Notes on variations and exclusions from the CASBO formula

- 1.) Calculations are solely provided for school site campuses and exclude, charter schools, preschools, adult educational campuses due to lack of detailed data elements required for accurate estimates.
- 2.) Calculations were not prepared for administrative areas.
- 3.) Enrollment data for Pleasant Hill Middle School/Independent Study exclude independent study students as this figure is likely artificially impacted by the Covid 19 pandemic and distance learning.

# Appendix C - Safety Training Matrix Sample

Applies to (Job Types)	Subject (A-Z)	Legal Reference	Training Frequency	Length	Date of Last Training
M&O, Industrial Arts	Acetylene & Fuel Gas Safety	Title 8-1740	Initial Hire	Discretionary	
Custodians, Nurses, Health Clerks, Food Service	Antimicrobial Pesticides	Title 8-3203, 5194	Prior to Use	Discretionary	
M&O, Grounds, Custodial, Mechanics, Technology	Asbestos General Awareness Class IV Work	Title 8-1529, 5208, AHERA, Ed. Code 49410	Initial Hire & Annually	2 Hours	
M&O Disturbing ACM or PACM	Asbestos Class III Work	Title 8-1529, 5208, AHERA, Ed. Code 49410	Initial Hire & Annually	16 Hours	
M&O, Grounds	Back Injury Prevention / Lifting	Risk Management Practices, Title 8-3203, 5110	Employees who Lift	Discretionary	
M&O, Grounds, Auto Shop, Golf Cart Operators, Mechanics	Battery Charging/Handling	Title 8-5185	Initial Hire	Discretionary	
All employees or employees who are exposed to human blood or blood containing fluids	Bloodborne Pathogens	Title 8-5193	Initial Hire & Annually	Discretionary	
M&O, Grounds	Carcinogens as Listed	Title 8-5209	Initial Hire	Discretionary	
M&O, Custodial, Warehouse	Compaction Equipment	Title 8-4355	Prior to Use	Discretionary	
M&O, Industrial Arts, ASB	Compressed Air & Gas	Title 8-3301 & 4650	Prior to Use	Discretionary	
M&O or employees entering vaults, tanks, sewers, manholes, etc.	Confined Spaces	Title 8-5156 thru 5159	Prior to Entry / Annually	Discretionary	
M&O, Grounds	Cranes & Hoists	Title 8-5006	Prior to Use	Discretionary	
Custodians	Custodial Safety	Risk Management Practices, Title 8-3203	Initial Hire	Discretionary	
M&O, Industrial Art/Technology Teachers, Aides	Demolition	Title 8-1734, 1735, 1736	Prior to Demo	Discretionary	
M&O, Grounds	Electrical Safety	Title 8-2320.2, 2940	Initial Hire	Discretionary	
M&O or employees working on an unguarded surface more than 7 1/2' off the ground	Fall Protection	Title 8-1671, 1670, 3209, 3210, 3212	Initial Hire	Discretionary	
All employees or designated users	Fire Extinguishers	Title 8-6151	Initial Hire & Annually for Designated Users	Discretionary	
M&O, Grounds, Warehouse	Forklifts	Title 8-3664, 3657, 3664, 3668	Prior to Use & Every 3 Years	Discretionary	
Grounds	Grounds Safety	Risk Management Practices, Title 8-3203	Initial Hire	Discretionary	

Applies to (Job Types)	Subject (A-Z)	Legal Reference	Training Frequency	Length	Date of Last Training
M&O, Custodial, Industrial Tech, Technology	Hand Tools	Title 8-3310, 3426, 3556	Prior to Use	Discretionary	
Potentially all employees, employees using or exposed to chemicals in the workplace	Hazard Communication/ Right to Know	Title 8-5194	Initial Hire & Annually	Discretionary	
M&O, Custodial, Science, Photography, Health Clerks, Nurses	Hazardous Waste Management	Ed. Code 49340, Title 8-5164, 5194	Initial Hire	Discretionary	
M&O or employee exposed to excessive noise over the TWA	Hearing Protection & Conservation	Title 8-5097, 5098, 5099	Initial Hire & Annually if Program in Place	Discretionary	
M&O or employees exposed to heat sources	Heat Illness Prevention	Title 8-3395	Prior to Working in Heat	Discretionary	
M&O, Grounds	Housekeeping	Title 8-3203, 3362, 3364, 3321, 5551, 5552	Initial Hire	Discretionary	
M&O, Grounds	Injury & Illness Prevention Program (IIPP) Workplace Injury & Illness Prevention	Title 8-3203	Initial Hire	Discretionary	
M&O, Grounds	Indoor Air Quality	Title 8-5142	Initial Hire	Discretionary	
M&O, Grounds	Job Hazard(s)	Title 8-3203	Before Job Assignment, New Hazards	Discretionary	
M&O, Grounds	Ladders	Title 8-1675, 3276	Prior to Use / As Needed	Discretionary	
M&O, Industrial Technology	Laser Equipment	Title 8-1801	Initial Hire	Discretionary	
M&O	Lead & Lead Standard	Title 8-1532, 5198	Annually	2 hour awareness	
M&O, Custodial, Industrial Tech or employees performing maintenance on electrical circuits or machinery	Lockout/Tagout Control of Hazardous Energy	Title 8-3314	Initial Hire / As Needed	Discretionary	
M&O, Custodial, Industrial Tech	Machine Safeguarding	Title 8-3203	Initial Hire / As Needed	Discretionary	
M&O, Custodial, Industrial Tech	Material Handling & Storage	Title 8-3203, 5541	Initial Hire	Discretionary	
Custodial, Nurses, Health Clerks	Medical Waste Management	Title 8-5193 H & S Code 117600-118360	Annually	Discretionary	
M&O, Industrial Technology	Metal Working (forging) Machines	Title 8-4243	Initial Hire	Discretionary	
M&O, Grounds, Custodial, Industrial Technology	Miter Saws	Title 8-4307	Initial Hire	Discretionary	
All employees that operate vehicles on district business	Mobile Communications	Vehicle Codes	As Needed	Discretionary	
M&O, Auto Shops, Mechanics, Bus Drivers	Natural Gas Fuel Tanks on Vehicles	Title 8-544	Initial Hire	Discretionary	

Applies to (Job Types)	Subject (A-Z)	Legal Reference	Training Frequency	Length	Date of Last Training
All Employees	New Employee Safety Orientation	Title 8-3203	Initial Hire	Discretionary	
M&O, Grounds, Custodial, Industrial Tech, Technology, Science, Nurses, Health Clerks	Personal Protective Equipment	Title 8-3380 - 3387	Prior to Use	Discretionary	
Grounds, Custodial, Pool Maintenance	Pesticide Safety	Title 8-5194, AB 2260, Dept. of Ag.	Annually	Discretionary	
M&O, Grounds, Mechanics, Industrial Tech	Pneumatic Tools	Risk Management Practices, Title 8-3203, 3300, 3559	Prior to Use	Discretionary	
M&O, Grounds	Poisonous Plants and Harmful Animals	Title 8-3421	Initial Hire	Discretionary	
M&O, Custodial, Industrial Tech, Technology	Portable Power Tools	Title 8-3310, 3425, 3556	Prior to Use	Discretionary	
M&O, Industrial Technology	Powder-Actuated Tools	Title 8-1685, 1689	Initial Hire	Discretionary	
M&O, Industrial Technology	Power Presses	Title 8-4203, 4208	Initial Hire/ Annually	Discretionary	
M&O or users of any type of respiratory protection other than dusks masks	Respiratory Protection	Title 8-5144, 1531	Prior to Use / Annually	Discretionary	
M&O, Industrial Technology	Roofing Operations	Title 8-1509, 1730	Initial Hire	Discretionary	
M&O, Grounds, Ag Technology	Seat Belts (In vehicles with ROPS)	Title 8-3653, 6309	Initial Hire	Discretionary	
M&O, Industrial Technology, Performing Arts	Scaffolds	Title 8-1637, 1658	Initial Hire	Discretionary	
M&O, Grounds	Slips, Trips and Fall Prevention	Risk Management Practices, Title 8-3203	As Needed	Discretionary	
M&O, Transportation, Facilities	Storm Water Pollution Prevention	State Water Resources Control Board	As Needed	Discretionary	
M&O, Industrial Technology	Structural Wood Framing	Title 8-1716	Initial Hire	Discretionary	
Transportation, M&O	Transportation Drug Testing	CFR Title 49, CVC 12517	Initial Hire / As Needed	Discretionary	
Grounds	Tree Maintenance	Title 8-3420 thru 3428	Initial Hire / As Needed	Discretionary	
M&O, Grounds	Trenching & Shoring	Title 8-1540, 1541	Prior to Digging / As Needed	Discretionary	
Custodial, M&O	Universal Waste Management	Title 22	Initial Hire / As Needed	Discretionary	
M&O, Grounds, Custodial, Administration or employees that operate utility carts, etc.	Utility Vehicles & Golf Carts	Risk Management Practices, Title 8-3203	Prior to Use / As Needed	Discretionary	



Applies to (Job Types)	Subject (A-Z)	Legal Reference	Training Frequency	Length	Date of Last Training
M&O, Industrial Tech	Welding	Title 8-4799, 4848, 8357, 4850, 4853	Prior to Use	Discretionary	
M&O, Industrial Tech	Woodworking Machines	Title 8-Article 59,	Prior to Use	Discretionary	
M&O, Grounds, Custodial	Work Platforms (elevating) and Aerial Devices	Title 8 -3636, 3648, 3646, 3638, 3294	Prior to Use	Discretionary	

# Appendix D - Study Agreement



**FISCAL CRISIS & MANAGEMENT ASSISTANCE TEAM  
STUDY AGREEMENT  
March 26, 2021  
AMENDED STUDY AGREEMENT  
June 4, 2021**

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

**1. BASIS OF AGREEMENT**

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

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

**2. SCOPE OF THE WORK**

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

1. Conduct an organizational and staffing review of the Maintenance and Operations Department (including maintenance, grounds, custodial) and make recommendations for staffing improvements or reductions, if any.
2. Evaluate the current workflow and distribution of functions in the Maintenance and Operations and Facilities departments and make recommendations for improved efficiency, if any.
3. Review the operational processes and procedures for the Maintenance and Operations and Facilities departments and make recommendations for improved efficiency, if any.
4. Conduct an organizational and staffing review of the Facilities Department and make recommendations for staffing improvements or reductions, if any.

5. Review the coordination of bond funded/Office of Public School Construction eligible projects with Routine Restricted Maintenance Account and other locally funded facilities projects and make recommendations for improvements, if any.

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

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

**3. PROJECT PERSONNEL**

The FCMAT study team may include:

- |           |                         |                         |
|-----------|-------------------------|-------------------------|
| <i>A.</i> | <i>To be determined</i> | <i>FCMAT Staff</i>      |
| <i>B.</i> | <i>To be determined</i> | <i>FCMAT Consultant</i> |
| <i>C.</i> | <i>To be determined</i> | <i>FCMAT Consultant</i> |

**4. PROJECT COSTS**

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

follows:

- A. \$800 per day for each staff member while on site, conducting fieldwork at other locations, preparing or presenting reports and participating in meetings. The cost of independent FCMAT consultants will be billed at their actual daily rate for all work performed.
- B. All out-of-pocket expenses, including travel, meals and lodging.
- C. The district will be invoiced at actual costs, with 50% of the estimated cost due following the completion of the on-site review and the remaining amount due upon the district's acceptance of the final report.

**Based on the elements noted in section 2A, the total not-to-exceed cost of the study will be \$36,600.**

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

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

## 5. RESPONSIBILITIES OF THE DISTRICT

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

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

## 6. **PROJECT SCHEDULE**

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

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

## 7. **COMMENCEMENT, TERMINATION AND COMPLETION OF WORK**

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

## 8. **INDEPENDENT CONTRACTOR**

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

9. **INSURANCE**

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

10. **HOLD HARMLESS**

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

11. **COVID-19 PANDEMIC**

Because of the existence of COVID-19 and the resulting shelter-at-home orders, local educational agency closures and other related considerations, at FCMAT's sole discretion, the Scope of Work, Project Costs, Responsibilities of the District (Sections I, IV and V herein) and other provisions herein may be revised. Examples of such revisions may include, but not be limited to, the following:

- A. Orientation and exit meetings, interviews and other information-gathering activities may be conducted remotely via telephone, videoconferencing, etc. References to on-site work or fieldwork shall be interpreted appropriately given the circumstances.
- B. Activities performed remotely that are normally performed in the field shall be billed hourly as provided as if performed in the field (excluding out-of-pocket costs).
- C. The district may be relieved of its duty to provide conference and other work area facilities for the team.

**12. FORCE MAJEURE**

Neither party will be liable for any failure of or delay in the performance of this study agreement due to causes beyond the reasonable control of the party, except for payment obligations by the district.

**13. CONTACT PERSON**

Name: Lisa Gonzales, Chief Business Official  
Telephone: (925) 682-8000  
E-mail: [gonzaleslm@mdusd.org](mailto:gonzaleslm@mdusd.org)

SIGNED BY LISA GONZALES ON BEHALF  
OF ADAM CLARK ED. D. APRIL 19, 2021  
Adam Clark, Ed.D., Superintendent Date  
Mt. Diablo Unified School District

 MARCH 26, 2021  
Michael H. Fine, Date  
Chief Executive Officer  
Fiscal Crisis and Management Assistance Team

AMENDED STUDY AGREEMENT

  
Adam Clark, Ed.D., Superintendent Date  
Mt. Diablo Unified School District

 JUNE 4, 2021  
Michael H. Fine, Date  
Chief Executive Officer  
Fiscal Crisis and Management Assistance Team