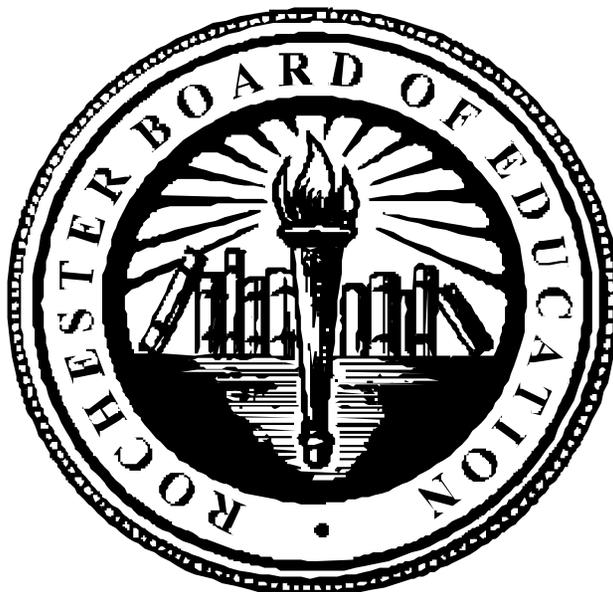


OFFICE OF AUDITOR GENERAL



Human Capital Administration Substitute Management

February 10, 2011



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Substitute Management Executive Summary

OBJECTIVE

To evaluate the operating control environment of the Substitute Management Division including per diem employee acquisition, assignment and monitoring.

BACKGROUND

The Office of Human Capital Initiatives has implemented a Substitute Management Division (SMD), an all-inclusive resource for applicants and per diem employees to access per diem oriented guidelines and materials. The SMD workforce is composed of Per Diem Teachers, Per Diem Paraprofessionals and Per Diem Administrators.

SCOPE

We will collaborate with management and staff to obtain an understanding of the processes and controls in place for the hiring and management of per diem employees. We will assess the sufficiency of the hiring process for per diem employees. We will obtain an understanding of the SmartFind Express system and evaluate the District's application of the system. We will evaluate the adequacy of the monitoring activities of the Substitute Management Division. We will determine whether proper controls exist over the payroll processing for per diem employees. Compliance with the Regulations of the Commissioner of Education will be assessed.

CONCLUSION

The Substitute Management Division is responsible for supplying the District with a viable Per Diem workforce. To do so, the Office of Human Capital Initiatives must ensure there are adequate resources to fulfill day to day operations as well as provide sufficient monitoring and oversight for the various Substitute Management Division obligations. Comprehensive written protocols and procedures should exist for all pertinent areas of the division. The hiring processes should be formalized to ensure proper screening of applicants and defined criteria should exist to identify hiring needs. The District should ensure compliance with the Regulations of the Commissioner of Education in regards to Per Diem teacher certification requirements. Pay rates should be monitored for accuracy and an automated pay rate structure should be considered. SmartFindExpress should be utilized to its full functionality, remain current and ensure only active employees are receiving calls for job assignments. All absences for Teachers and job assignments for Per Diems should be reported in SmartFindExpress and PeopleSoft.

Our audit process determined that the District has been historically overpaying Personal Absence Bank (PAB) days paid to RTA. For the 2009-10 school year, 330 days, estimated at approximately \$65K to \$174K, was overpaid to RTA.



Substitute Management Summary of Recommendations

Rec#	Recommendations
1	<i>Develop and implement comprehensive, written policies and procedures for the entire Substitute Management Division. Communicate and enforce compliance with the policies and procedures.</i>
2	<i>Establish and implement formal interviewing or standard screening procedures to ensure all Per Diem employees receive similar treatment to determine hiring eligibility.</i>
3	<i>Establish, document, and implement defined criteria to identify when additional substitute staffing is warranted. Formally evaluate historical trends, at least monthly to ensure the staffing pool is adequate. Perform regular monitoring of unfilled substitute assignments to ensure that the staffing levels are adequate to meet daily needs.</i>
4	<i>Develop and implement a process for verifying that Certified Per Diem employees have valid certifications throughout the school year. In addition, develop and implement procedures to ensure that uncertified substitutes have completed the annual education requirement to work towards certification.</i>
5	<i>Develop and implement a process for verifying Per Diem employee certifications prior to assigning substitute assignments.</i>
6	<i>Comply with the reporting requirements for the employment of uncertified substitute teachers, as prescribed in the Regulations of the Commissioner of Education Section 80-5.4 Substitute Teachers.</i>
7	<i>Develop and implement monitoring procedures to verify the accuracy of Per Diem employee's pay rates based on job code, job assignment and the number of days worked as stipulated in the contract.</i>
8	<i>Evaluate the feasibility of automating pay rate changes in PeopleSoft to minimize the manual adjustment and opportunity for human error.</i>
9	<i>Comply with the RTA contract and calculate Paid Absence Bank days based upon unfilled teacher absences for illness or injury as prescribed in the RTA contract. Recalculate PAB Days reported for prior periods and recoup overages.</i>
10	<i>Reconcile teacher absences reported in SmartFind to PeopleSoft to ensure all absences taken are reported for payroll processing.</i>



Substitute Management Summary of Recommendations

Rec#	Recommendations
11	<i>Monitor the Per Diem roster in SmartFind to ensure it is current and the employees are actively seeking and accepting job assignments. Reconcile SmartFind to PeopleSoft to ensure terminated employees are no longer active within SmartFind.</i>
12	<i>Ensure all teacher, administrator and paraprofessional absences are recorded in SmartFind Express. Reconcile SmartFind to PeopleSoft to ensure data accuracy.</i>
13	<i>Evaluate the functionality of SmartFindExpress and determine additional functionality that could simplify the District's substitute management process. Implement additional functionality to utilize SmartFindExpress to its full functionality.</i>



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #1

Protocols and Procedures

There is a lack of comprehensive protocols and procedures for the Substitute Management Division. The Substitute Management Division has compiled some protocols and procedures, but they are not all inclusive or complete. Desk procedures, which communicate how to perform daily responsibilities in compliance with protocols, are also incomplete. A protocol and procedures manual for Substitute Management should be detailed, comprehensive and up to date to ensure consistent application and compliance with Substitute Management protocols. Written and communicated protocols would enhance the consistency of recorded data, consistency in the handling of transactions, and aid in holding employees accountable for the work performed.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Develop and implement comprehensive, written protocols and procedures for the entire Substitute Management Division. Communicate and enforce compliance with the protocols and procedures.

Management Responses: The recommendation as identified in Observation #1 is feasible. The SMD has begun to develop and implement comprehensive, written protocol and procedures for the entire Substitute Management Division. The following detailed protocols were developed.

1. New Hire Data Entry Work Procedures for Per Diem Teachers and Per Diem Administrators (**Completed 02.25.11**)
2. Work Procedures Time Entry for Per Diem Teachers and Per Diem Administrators (**Completed 02.25.11**)
3. Work Procedures Time Entry for Per Diem Paraprofessionals (**Completed 02.25.11**)

Subsequent protocols will be developed for the following content areas.

1. New Hire Data Entry Work Procedures for Per Diem Sentries
2. New Hire Data Entry Work Procedures for Per Diem Cleaners
3. New Hire Data Entry Work Procedures for Per Diem Paraprofessionals
4. Per Diem Pay Rate Changes
5. Rehire Data Entry Work Procedures
6. Per Diem Termination Process
7. Per Diem Unemployment Insurance Process

Additional, revisions were made to the Substitute Management Division Website at www.rcsdk12.org/smd. All HCI support staff received training on New Hire and Rehire Data Entry Work Procedures for Per Diem Employees on Friday, February 25, 2011.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: June 30, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #2

Hiring

Substitute Interview Process

A formal interview is not required prior to hiring Per Diem employees. When a Per Diem candidate submits their application and required supporting information, the hiring decision is generally based on the documentation submitted during the application process. There is also a procedure to rely on Administrator referrals as a means to identify potential candidates for hire. If applicants are not formally screened through a standard interview process prior to hire, there is a risk that an unsuitable candidate could be hired as a substitute. All per diem employees should be interviewed prior to hire to assist in evaluating whether the applicant is suitable for the position.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Establish and implement formal interviewing or standard screening procedures to ensure all Per Diem employees receive similar treatment to determine hiring eligibility.

Management Responses: The recommendation as identified in Observation #2 is feasible. The Substitute Management Division has collaborated with the Recruitment Department to identify a standard Pre-screener/Guideline tool to ascertain viable per diem candidates. Screening tools of interest include:

1. The Star Teacher Pre-screener: This test will evaluate applicant's knowledge and skills when it comes to teaching lower income students. This online questionnaire contains 50 multiple-choice questions. The cost for 1,000 screeners is \$5,000 (\$5 each).
2. STEDI Assessment: The STEDI Assessment is a highly interactive training system specifically designed to help per diem teachers become more effective in the classroom. The assessment includes a 25 minute SubOrientation Course that covers - SubSkills - Substitute Teacher Training, Classroom Management, Teaching Strategies; how to be a Professional Substitute Teacher; and familiarity in working with students with special needs. Applicants that successfully complete the SubSkills assessment will receive a SubDiploma (Printable PDF certificate) as proof of successfully passing the assessment. The cost for the assessment can be charged to the application at up to \$39.95 per assessment.

Substitute Management Division and Office of Recruitment creates a prescreening tool distributed District wide. Referring administrators would be asked to complete the District Pre-screener/Guideline prior to referral. Substitute Management Division and the Office of Recruitment will collaborate to screen non-referred applicants

3. The Labor Relations department will be consulted to ensure that using a Pre-screener/Guideline is not a violation of the Per Diem Teachers Collective Bargaining Agreement

The Pre-Screener/Guideline will be selected by **August 1, 2011** in order to be used in the 2011-2012 school year.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: August 1, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #3

Hiring

Substitute Staffing Levels

Standard procedures have not been established to identify the appropriate substitute staffing levels to meet district needs. Substitute employees are utilized to supplement and backfill district positions for school related absences. If adequate substitute staffing levels do not exist, there will not be adequate personnel available to backfill absences. It was communicated that substitute-staffing levels are determined based upon unfilled hiring trends in the SmartFind system. Our statistical evaluation comparing hiring to unfilled assignments did not identify a direct relationship between the staffing need and hiring. The district lacks defined criteria or thresholds to identify when to initiate hiring Per Diem employees. There should be a defined threshold to initiate hiring Per Diem employees, including the percentage or number of unfilled job assignments over a defined period. Unfilled jobs should be monitored regularly to ensure that the impact of staff absences on education is minimized.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Establish, document, and implement defined criteria to identify when additional substitute staffing is warranted. Formally evaluate historical trends, at least monthly to ensure the staffing pool is adequate. Perform regular monitoring of unfilled substitute assignments to ensure that the staffing levels are adequate to meet daily needs.

Management Responses: The recommendation as identified in Observation #3 is feasible. Historical and trend data is currently used to predict teacher absences and per diem teacher use. The analysis is based on the Districts climate (staff reductions/retirements); student teacher interest; vacancies, reasonable assurance responses; and per diem availability. SmartFindExpress is used to assess per diem teacher usage for both absences filled and unfilled. Warranted is the establishment of a documented guideline that demonstrates how to forecast per diem need based on the above-mentioned variable entities. A guideline document will be created providing clear criteria used to determine per diem teacher staffing needs for the 2011 – 2012 school year.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: June 30, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #4

Certification

Certification Monitoring Process

Certification monitoring procedures are not in place to ensure Per Diem teacher certifications are current. There is also a lack of monitoring to ensure that uncertified substitutes are working toward a certification in compliance with NYSED guidelines and the Regulations of the Commissioner of Education. NYSED and the Regulations of the Commissioner of Education Section 80-5.4 Substitute Teachers require substitutes who work more than 40 days in one school district in any given school year to hold a current certificate for the substitute position or be working toward certification in that specific field or area. Substitutes that are working toward certification are required to complete at least six semester hours per year. The district does not actively monitor either of these criteria prior to offering substitute assignments. The District should immediately comply with these requirements.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Develop and implement a process for verifying that Certified Per Diem employees have valid certifications throughout the school year. In addition, develop and implement procedures to ensure that uncertified substitutes have completed the annual education requirement to work towards certification.

Management Responses: The recommendation as identified in Observation #4 is feasible. A semiannual review can be done to ensure that Per Diem Teachers –Certified (T746) certifications that lapse on August 31 and January 31 are reviewed and reverted in PeopleSoft to Per Diem Teachers – Uncertified (T752). A new job code can be added to monitor Per Diem Teacher – Uncertified (T752) to identify per diem teachers taking courses toward teacher certification. Per Diem Teachers, annually attest to their certification status. Semiannual notices can be mailed to uncertified per diem teachers to confirm certification status. The existing process for managing teacher certification will be used to model a certification tracking process for per diem teachers (see attached). For example, on March 15, uncertified per diem teachers with an email address in PeopleSoft were notified and informed of their uncertified status. Per diems were encouraged to update the Office of Human Capital Initiatives if they were actually certified or taking courses toward certification.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: June 30, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #5

Certification

Job Assignments

Procedures do not exist to ensure that substitute job assignments are aligned with the Per Diem teacher's certification area. Once a substitute teacher works more than 40 days in a school year, substitute assignments must occur within their area of certification, as required by NYSED and Regulations of the Commissioner of Education. During our audit, we noted that the work performed by Per Diem Teachers did not consistently align with their area of certification. Assigning substitutes within their specific certification area is intended to provide a qualified substitute for classroom instruction. The District should promptly comply with the Regulations of the Commissioner of Education 80-5.4 for Substitute Teachers.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Develop and implement a process for verifying Per Diem employee certifications prior to assigning substitute assignments.

Management Responses: The recommendation as identified in Observation #5 is feasible; however, compliance would require a major process change. Currently per diem employees are permitted to select content areas based on individual skill set. The Substitute Management Division does not fill day-to-day assignments; instead, the office is responsible for supplying a viable per diem workforce.

The District's does utilize SmartFindExpress to match contents areas of absence teachers with per diem teachers that hold certification (Math Teacher – Certified Per Diem Teacher). According to MIS, a major overhaul of SmartFindExpress would be needed to match teacher absences with per diem teachers certified in the same content area (Math Teacher – Certified Math Per Diem Teacher). Although all teacher, paraprofessional, and administrator absences should be documented in SmartFindExpress less than 10% of all assignments are filled by SmartFindExpress. Overwhelming, most assignments are preassigned at the building level. Preferential placements are given to per diem teachers with strong classroom management, adaptability, and those capable of working in partnership with staff versus certification status. Although the recommendation is feasible, it may not be in the Districts best interest. Because of the District switching to Equitable Student Funding, schools may elect that it is within their best interest to acquire and maintain a consistent cohort of certified per diem teachers willing and able to meet the pedagogical needs of the school. The Substitute Management Division will continue to partner with Principals and School Chiefs to ensure that the District meet compliance expectations. This includes evaluating the District's capacity to monitor per diem coverage, including certification status, with teacher absences by certification area.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: June 30, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #6

Certification

Uncertified Substitute Reporting

Annual state reporting to the Commissioner of Education regarding the use of uncertified substitute teachers is not currently being performed. According to the Regulations of the Commissioner of Education Section 80-5.4 Substitute Teachers, the Chief School Officer of each school district shall submit an annual report concerning the employment of all uncertified substitute teachers to the Commissioner on forms prescribed by the Commissioner. We were unable to obtain either internal reporting or an annual report to the Commissioner regarding the use of uncertified substitutes. As a result, visibility to the utilization of uncertified substitutes is not appropriately communicated. The district should comply with the reporting requirement of the Regulation of the Commissioner of Education Section 80-5.4 on Substitute Teachers.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Comply with the reporting requirements for the employment of uncertified substitute teachers, as prescribed in the Regulations of the Commissioner of Education Section 80-5.4 Substitute Teachers.

Management Responses: Although the Regulations of the Commissioner of Education Section 80-5.4 Substitute Teachers, requires the Chief School Officer of each school district to submit an annual report concerning the employment of all uncertified substitute teachers to the Commissioner on forms prescribed by the Commissioner, the Substitute Management Division along with the Office of the Audit General were unsuccessful in identifying the required form.

An inquiry was made to Monroe #1 BOCES Regional Certification Office, Cynthia Gonzo, for assistance in complaining with this mandate. Mrs. Gonzo referred the inquiry to the Office of Teacher, Buffalo, Rochester, and Albany representative Bruce Robinson (518-474-4661). I spoke with Mr. Robinson who on behalf of the Assistant Commissioner of Education indicated that the Office of Teaching has never required this information from any school district and confirmed that neither BOCES nor Districts need file this report. Discussions have been made to drop the requirement since the Office of Teaching is not interested in acquiring this information and no one is available to review. If the Commissioner of Education elects to develop, a process to acquire this information the Substitute Management Division will comply.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: COMPLETE



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #7

Pay Rates

Inaccurate Pay Rates

Pay rates in the SmartFind system did not align with the rate structure documentation in the contract. Pay rates for Per Diem employees are based on the Per Diem's job code, the number of days worked and the job assignment. When the Per Diem employee becomes eligible for an increase in their pay rate, or their rate needs to be decreased, it is the Substitute Management Division's responsibility to affect that change in the system. During our testing, we noted that the pay rates assigned to the Per Diem employees did not consistently align with the guidance provided. Some Per Diem employees had rates above and below the documented guidelines. The pay rates for Per Diem employees should align with the pay rates, as stipulated in the contract. Pay rates should be updated as criteria are met to require an adjustment. The risk of overpayment to per diem employees exists that could go undetected.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Develop and implement monitoring procedures to verify the accuracy of Per Diem employee's pay rates based on job code, job assignment and the number of days worked as stipulated in the contract.

Management Responses: Per Diem Teacher, pay rates are not documented in SmartFindExpress. Pay rate information is tracked in PeopleSoft. Based on the transitory nature of the per diem pay rate structure it is difficult to ensure that each per diem employee is paid accurately and on time. The District has multiple reporting tools to monitor and manage per diem pay rates; however, each report can be delayed by two weeks. Better monitoring can be done to ensure that former per diem employees are compensated correctly upon return. Another suggestion is reevaluating the current negotiated per diem pay rate structure that requires manual interpretation and various pay rate changes. As a member of the Per Diem Teachers Negotiations Team, this is a major objective in settling the contract. MIS along with the PeopleSoft 9.1 upgrade team have been consulted as to viable technological enhancements/reporting that may be available to assist in managing per diem pay rates.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: June 30, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #8

Pay Rates

Manual Pay Rate Process

The process for detecting the need for pay rate adjustments is manual. The PeopleSoft system does not automatically adjust pay rates. The Substitute Management Division utilizes PeopleSoft reporting which identifies some of the changes, but the report does not identify all required adjustments. When the need for a pay rate adjustment is determined, the adjustment must be made within PeopleSoft manually. An automated process to ensure proper pay rates for Per Diem employees should exist. The PeopleSoft system should be utilized to determine pay rate changes based on job code, job assignment and the number of days worked. Per Diem employees could be paid an improper pay rate due to the manual nature of this process.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Evaluate the feasibility of automating pay rate changes in PeopleSoft to minimize the manual adjustment and opportunity for human error.

Management Responses: As mentioned in Observation 7, the transitory natures of the per diem pay rate structure makes it difficult to utilize technology to manage per diem pay rates. Reporting has been upgraded consequently over the last few years that increase accuracy. As presented in Observation 7, MIS along with the PeopleSoft 9.1 upgrade team have been consulted as to viable technological enhancements/reporting that may be available to assist in managing per diem pay rates.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: June 30, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #9

Paid Absence Bank Reporting

PAB Days

The Substitute Management Division is overstating the number of Paid Absence Bank days for unfilled vacancies. According to Section 41-16h of the Contractual Agreement between the Rochester City School District and the Rochester Teachers Association, in the event that the District is required and unable to supply a substitute teacher to cover an assignment for a classroom teacher who is absent due to illness or injury, the District shall notify the RTA and .75 day will be added to the paid absence bank (PAB) for each day a substitute teacher has not been supplied. The purpose of the paid absence bank is to provide compensation to bargaining unit members who are absent due to serious personal illness or injury. During our audit, we noted that the Substitute Management Division did not properly calculate PAB days paid to RTA. The PAB days were calculated based on all teacher absences not filled, but should be paid for only unfilled illness and injury absences. It is unclear how long this calculation has been performed in error. For the 2009-10 school year, it appears that the District overpaid 330 PAB days to RTA. Although the cost of the PAB days is dependent on the individual teacher the cost of this error is approximately \$65K-\$174K based the salary range for teachers.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Comply with the RTA contract and calculate Paid Absence Bank days based upon unfilled teacher absences for illness or injury as prescribed in the RTA contract. Recalculate PAB Days reported for prior periods and recoup overages.

Management Responses: Former Directors responsible for substitute supervision were consulted and have verified that the District's practice has always been to award PAB days based on all unfilled teacher absences. Future allocations will be based on the District's inability to supply a per diem teacher to cover an assignment for a classroom teacher who is absent due to illness or injury only. The Department of Labor Relations has been notified and provisions will be established to inform the Rochester Teachers Association accordingly. Additional training will be provided to schools assisting them in documenting teacher absences and per diem use correctly to ensure that unfilled positions are minimized resulting in reduced PAB allocations.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: August 30, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #10

Monitoring

Unreported Teacher Absences

Teachers are not consistently entering their absence time into the PeopleSoft Time and Labor system. During our audit, we noted there were absences, as evidenced by the need for substitute, reflected in SmartFind but no corresponding absence day was reported in PeopleSoft Time and Labor for payroll processing. When a substitute teacher is obtained, they are filling a correlating teacher job. Procedures should be in place to ensure that substitute assignments align with a teacher absence. All employee absences should be recorded in PeopleSoft Time and Labor. Absences taken and not reported in PeopleSoft Time and Labor provide unentitled benefits to the employee and lost funds to the District.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Reconcile teacher absences reported in SmartFind to PeopleSoft to ensure all absences taken are reported for payroll processing.

Management Responses: The Substitute Management Division is not charged with managing and reporting teacher absences. The department provides support to district administrators that document employee absences in SmartFindExpress and assign a per diem as needed. The Substitute Management Division does not receive notification that a teacher is not at work, and did not document their absence. Teachers, as represented by the Rochester Teachers Association have been excluded from reporting absence time in Time and Labor and excluded from acquiring their own per diem. School administrators, primarily school secretaries, have the responsibility of managing teacher absences. As outlined in Observation 12, once identified that a per diem is used but no absence documented in SmartFindExpress, the Substitute Management Division will email the school and remind them that a job number is needed in SmartFindExpress to align with the information reported in PeopleSoft.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: April 30, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #11

SmartFind

Active Employees

The list of Per Diem employees in SmartFind is not effectively being maintained to ensure inactive employees do not receive calls for job assignments. The District has Per Diem employees in SmartFind with an active status who have not worked in the current school year. Some of these Per Diem employees no longer maintain an active status in PeopleSoft as a Per Diem employee, but are active in SmartFind and, therefore, are receiving calls for job assignments. In addition, we noted Per Diem substitutes who have not accepted any job assignments since 2008, but maintain an active status in SmartFind and continue to receive calls. Per Diem employees should be monitored regularly in SmartFind to ensure the District's pool of substitutes is actively seeking and accepting job assignments. Per Diem employees not accepting assignments should be considered for termination. SmartFind should be reconciled to PeopleSoft to ensure terminated employees are no longer active within SmartFind.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Monitor the Per Diem roster in SmartFind to ensure it is current and the employees are actively seeking and accepting job assignments. Reconcile SmartFind to PeopleSoft to ensure terminated employees are no longer active within SmartFind.

Management Responses: Per Diem employees by nature are transient and generally do not work every day. In 2006, the District instituted provisions that per diems must work a minimum of 20 days per school year or removed from the per diem roster. In March, all employees receive notification reminding them of their commitment to work 20 days and informed that they will be terminated if the 20-day commitment is not met. Each June, prior to submitting a letter of assurance, per diem employees that work less than 20 days receive notification of their termination due to limited availability. Once a per diem is terminated in PeopleSoft, an interface application runs overnight and automatically inactivates the per diem in SmartFindExpress. IM&T has been notified of this issue and is currently evaluating the programming changes necessary to prevent this situation from occurring. In the meantime, IM&T will run queries on a regular basis to identify terminated employees active within SmartFind. The Substitute Management Division will continue to work with IM&T to investigate why this is occurring and brainstorm a resolution.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: June 30, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #12

SmartFind

SmartFind Data

During our audit, we noted that the days the Per Diem employees worked in SmartFind did not agree to the reported days worked in PeopleSoft. All teachers, administrative, and paraprofessional absences are required to be recorded in SmartFind Express. This will initiate the call process to obtain a substitute, if required. All absences should be reported in SmartFind and all Per Diem time entered in PeopleSoft should include a job number. Circumventing the SmartFind Express process does not allow the district to effectively manage substitute resources. SmartFind data and reporting is relied upon for union fees and management decisions. Inaccurate data could possibly result in monetary losses to the District.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Ensure all teacher, administrator and paraprofessional absences are recorded in SmartFind Express. Reconcile SmartFind to PeopleSoft to ensure data accuracy.

Management Responses: The recommendation as identified in Observation #12 is feasible. An assertive effort is made to ensure that per diem staff obtained outside of SmartFindExpress is documented in SmartFindExpress. All locations receive a biweekly report informing them that a per diem received compensation without a job number generated. Biannually an all-inclusive report is generated and emailed to all schools informing them of any job numbers not previously generated. During the current school year, less than 5% of absences are undocumented; down from 40 to 50% in prior years.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: Estimated Completion: April 30, 2011



Substitute Management Observations, Recommendations and Action Plans

OBSERVATION: #13

SmartFind

System Utilization

SmartFindExpress is a web-based and telephone interactive voice response system for performing Substitute management. The district has been utilizing SmartFindExpress since 2008. Based on their website, SmartFindExpress has 100 customizable fields and is used across North America in large school districts for managing substitutes. During our audit, we noted significant key attributes are not being managed through the system. The District should obtain a complete understanding of the functionality of SmartFindExpress and utilize the system to its full potential in support of substitute management. Utilizing all functionalities of the system could allow for greater efficiencies in the management of substitutes. The SmartFindExpress system could assist in ensuring compliance with NYSED and the Regulations of the Commissioner of Education.

RECOMMENDATIONS and MANAGEMENT RESPONSES

Evaluate the functionality of SmartFindExpress and determine additional functionality that could simplify the District's substitute management process. Implement additional functionality to utilize SmartFindExpress to its full functionality.

Management Responses: The recommendation as identified in Observation #13 is feasible. SmartFind has a number of features duplicated in PeopleSoft. In the best interest of the District's current payroll process the District elected to have PeopleSoft handle those items. In addition, there are additional SmartFind features we are not using due to district policy. For example, SmartFind is designed to allow teachers to enter their own absences. We specifically turned that feature off. The District's Project Manager, Glenn Nixon and I are intensively familiar with features of SmartFindExpress. We each have attended regional eSchool Solution, purveyors of SmartFindExpress, conferences and have been instrumental in providing advice to get SmartFindExpress enhanced. Discussions have already begun regarding the impact upgrading to SmartFindExpress 2.0 would have on the District. Each upgrade requires significant modifications in PeopleSoft reporting and the Time and Labor interface since the integration is custom and unique to the Rochester City School District. SmartFindExpress 1.5 was upgraded August 2010. Version 2.0 was released at the end of December 2010. We generally schedule an upgrade installation on a day when school is not in session. Also, we first have it installed on our test server so that we can make any necessary changes to the links between PeopleSoft and SmartFind before we go-live on our SmartFind production server. We also consider whether to wait to determine the stability of the SmartFind software, based on the experience in other districts, especially with a major re-write like version 2.0. The District is also evaluating utilizing the Absence Management System module in PeopleSoft 9.1 to assist with monitoring Teacher absences.

Responsibility: Narlene Ragans, Director of Temporary Employee Services; Leslie Boozer, Chief, Human Capital Initiatives

Due Date: August 30, 2011