

Alexandria City Public Schools Internal Audit Report Presentation

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Presented By:

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AN EDUCATION CONSULTING & RESEARCH GROUP

Agenda

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- Introductions
- Audit Approach and Methodology
- Commendations
- Recommendations
- Questions

Introductions

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- Keri Munkwitz, Project Director
- Not here today:
 - Greg Gibson, Gibson President
 - Cheyanne Rolf, Program Manager
 - Paul Tate, Subcontractor

Approach and Methodology

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- Project was initiated in January 2018 as part of ACPS' internal audit program.
- Audit objective is to evaluate overall efficiency and effectiveness of ACPS' human resources function, including compliance.
- Collected and analyzed data from ACPS and VADOE.
- Benchmarked ACPS to WABE school divisions and industry standards.
- Conducted audit tests to corroborate key HR processes, obtain evidence of documentation maintenance, and/or validate compliance with board policy.
- Conducted interviews with department administrators, staff and other stakeholders.

Approach and Methodology

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- Identified 9 commendations and 25 recommendations related to:
 - HR Department Organization and Management
 - Information Technology and Business Processes
 - Strategic Human Resource Management
 - Compensation and Benefits Management
 - Compliance and Audit Testing

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Commendations

Commendations

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- ACPS has a more diverse teaching force than the State average particularly with respect to African American teachers.
- ACPS' average teacher and principal salaries are competitive with neighboring school systems.
- ACPS offers incentives such as additional pay step increases to recruit and retain hard to fill special education teacher positions.
- ACPS offers a tuition assistance program for licensed staff in the priority areas of ELL, Special Education, Math, Reading, Honors/Talented and Gifted, and Educational Leadership.
- ACPS supports teachers pursuing National Board Certification.

Commendations

- ACPS recently implemented an employee wellness program to encourage a healthy lifestyle and weight loss and offers a variety of other benefits to employees.
- Recent implementation of a new on-line applicant tracking system has streamlined the hiring process, reduced paper, and improved communications to hiring managers and applicants.
- The HR Department recently implemented an on-line performance evaluation system, *Perform*, and is currently implementing evaluation processes for non-licensed staff.
- ACPS appears to have effective workers' compensation management practices.

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Recommendations

Audit Recommendations

No.	Priority	Recommendation
1	High	Develop a comprehensive HR plan that establishes departmental goals and objectives aligned to the long-term human capital needs of ACPS.
2	Medium	Enhance a performance measurement system for all core functions of HR.
3	Medium	Develop and maintain operational guidelines and SOPs for all major functions of the Human Resources Department.
4	Medium	Enhance the professional development program to meet the on-going training needs of HR staff.
5	Medium	Expand the use of customer satisfaction surveys and send them to customers after every interaction with the HR Department.
6	High	Streamline HR business processes either through implementation of an integrated time and attendance scheduling software or by developing interfaces between existing systems.

Audit Recommendations

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No.	Priority	Recommendation
7	Medium	Establish a plan to digitize all personnel files and budget accordingly.
8	Medium	Implement MUNIS Workflow to automate approval processes.
9	Medium	Implement practices to proactively identify and address the root causes of employee turnover and use this data to inform recruit and retention strategies.
10	Medium	Review teacher assignment strategies that place the most inexperienced teachers in the highest need schools and classrooms.
11	Medium	Implement strategies to more competitively recruit and hire Hispanic teachers.
12	Medium	Establish processes for systematically reviewing and updating job descriptions to ensure that they accurately reflect assigned roles, responsibilities, reporting relationships, and position qualifications.
13	Medium	Ensure that all required forms and relevant documentation and communications are also available in Spanish, Arabic and Amharic.

Audit Recommendations

No.	Priority	Recommendation
14	High	Develop and coordinate an employee onboarding program that supports all new employees through their first year on the job.
15	Medium	Enhance the Teacher Mentor Program to more effectively support new teachers and veteran teachers new to the school, school division, or teaching assignment.
16	Low	Establish a schedule for conducting salary surveys for the different classifications of employees.
17	High	Shift responsibility for processing manual time sheets from HR to Payroll.
18	Medium	Continue to routinely monitor benefit programs to manage costs.
19	Low	Update the ACPS Employee Handbook to include the names and contact information of the Compliance Officer and the Alternate Compliance Officer.
20	Medium	Purchase 2018 labor law posters and distribute to all ACPS schools and facilities.

Audit Recommendations

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No.	Priority	Recommendation
21	High	Ensure all personnel files are complete and implement processes to collect all required documentation that are missing from personnel files.
22	Medium	Improve monitoring of appraisal compliance and hold supervisors accountable.
23	High	Ensure a proper segregation of duties by limiting the access of some HR staff in MUNIS.
24	Low	Implement more robust monitoring of workers compensation claims for compliance.
25	Low	Redesign the process for editing a timesheet by a supervisor.

Priority Recommendations

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Develop a comprehensive HR plan that establishes departmental goals and objectives aligned to the long-term human capital needs of ACPS. (1- High)

- Develop through a collaborative process that includes the HR Department management and staff, with input from division leadership and other stakeholders
- Ensure that it addresses immediate and long-term goals and objectives for all major areas of responsibility

Enhance a performance measurement system for all core functions of HR. (2-Medium)

- Will better enable management to evaluate the efficiency and effectiveness of operations over time

Priority Recommendations

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Enhance the professional development program to meet the on-going training needs of HR staff. (4-Medium)

- Needed to maintain or advance employee knowledge/skills, increase job satisfaction, attract new talent
- Identify training needs of HR department and individual staff, determine how needs can be met, and budget accordingly

Expand the use of customer satisfaction surveys and send them to customers after every interaction with the HR Department. (5-Medium)

- Proactive way to ensure customer needs are being met

Priority Recommendations

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Streamline HR business processes either through implementation of an integrated time and attendance scheduling software or by developing interfaces between existing systems. (6-High)

- Key business processes are inefficient, require manual/duplicate data entry and/or use of spreadsheets to transfer data between systems
- Evaluate if *ExecuTime* software application will meet the business requirements of the Finance and HR departments

Establish a plan to digitize all personnel files and budget accordingly. (7-Medium)

- Audit testing validated missing required documentation from employee files
- Utilize *Records* for electronic storage of all employee files, not just those hired since April, 2018; Implement in phases that are manageable in terms of resources and budget

Priority Recommendations

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Implement MUNIS Workflow to automate approval processes. (8-Medium)

- Needed to streamline approval processes, improve communications, and increase productivity
- Implement in collaboration with IT and Finance; ensure staff are appropriately trained

Priority Recommendations

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Implement practices to proactively identify and address the root causes of employee turnover and use this data to inform recruit and retention strategies. (9-Medium)

- 50% of teachers that terminated last year did so within first 3 years at ACPS; 70% of teachers resigned for “personal reasons”
- Disaggregate exit survey data in ways that would give a clearer picture of employee turnover and mobility
- Implement “Stay” interviews, a more positive approach to solicit feedback from valuable employees *before* they leave

Priority Recommendations

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Review teacher assignment strategies that place the most inexperienced teachers in the highest need schools and classrooms. (10-Medium)

- Create incentives (e.g., stipends) to attract/retain highly effective teachers/principals in the neediest schools; preferential treatment to TI schools in hiring; collaborate with HR and C&I

Implement strategies to more effectively recruit, hire and retain Hispanic teachers. (11-Medium)

- Expand social media platforms; review interviewing/hiring procedures to ensure racial/cultural sensitivity; market “Refer a Teacher” program to minority teachers

Priority Recommendations

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Develop and coordinate an employee onboarding program that supports all new employees through their first year on the job. (14-High)

- Develop and coordinate a comprehensive onboarding program that is coordinated and seamlessly integrated with the goals and objectives of all departments

Enhance the Teacher Mentor Program to more effectively support new teachers and veteran teachers new to the school, school division, or teaching assignment. (15-Medium)

- Extend partnerships beyond one year; require coordinators to attend training; review assignment strategies

Priority Recommendations

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Shift responsibility for processing manual time sheets from HR to Payroll. (17-High)

- Needed to improve internal controls
- Eliminate manual timesheets in the long-term

Continue to routinely monitor benefit programs to manage costs. (18-Medium)

- ACPS has a higher benefit percentage than most neighboring school divisions

Priority Recommendations

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Improve monitoring of appraisal compliance and hold supervisors accountable. (22-Medium)

- Licensed staff are not always evaluated in accordance with Board policy, evidenced by auditing employee files
- Set clear expectations; provide additional training for supervisors and staff; hold supervisors accountable; require all documentation to be archived in *TalentEd*

Ensure a proper segregation of duties by limiting the access of some HR staff in MUNIS. (23-High)

- Needed to improve internal controls

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Questions