

OSPR Audit Protocols

Chapter 4

Facilities Use and Management

This chapter will cover facilities use and management and includes a section on safety and security.

I. Facilities Management

Facility planning and management of construction and renovation projects are significant activities for most districts. Planning for facilities based on student growth, programmatic needs, and legislative requirements are essential to provide for student needs without overcrowding, use of substandard facilities, or use of costly portable alternatives. Active management of construction projects can provide cost control, ensure quality of workmanship, and help ensure timely completion. Facilities also must be maintained and cleaned on a routine basis to insure a safe and healthy environment for students, teachers and staff.

This section provides the basis for assessing the facilities management program in the district. The focus is on long-term projects and not day to day maintenance and operation activities. Facilities management and construction can be extremely expensive and wasteful if not properly managed.

Data Needs

- Facilities Master Plan
- Student Enrollment and student project information
- Budgets and reports on bond programs
- Master planning procedures
- Internal management practices and procedures of construction projects
- Long range financial planning for facility improvement
- Roles/responsibilities of outside architects and contractors
- Staff input into facility planning
- Contracts
- A list of new schools or major renovations completed in the last three years

- Description of energy use and management

Staff to Interview

Superintendent
 Board members (as appropriate)
 Assistant superintendent with assigned responsibility
 District construction supervisor
 District architect

Others to possibly interview or survey:

Community leaders
 Contractors
 Parents
 Students
 Taxpayers

I.A. Plans, Policies and Procedures

Activities to Perform

- I. Prepare a chart showing the permanent current square footage of each facility in the district, the number and square footage of temporary or portable facilities, the acreage of each facility site, and any special amenities at each location like stadiums, swimming pools, theaters, and the like. Compare the per pupil square footage for facilities and the amenities to industry standards or guidelines and, if inequities exist, examine and document, to the extent possible, the reason for the differences.
- I. Compile and examine all plans, policies, procedures and published standards that deal with the facility management function.
 - .2
 - I. Compare district planning documents (facility master plan is available) to guidelines and determine whether the district long-range facility master plan contains a five (5) year projection of needs with a corresponding financial plans follows:
 - .3 financial plans follows:
 - The history and five year projection of student enrollment by grade and site (including special education)?
 - The history and five-year projection of campus capacities by grade?
 - The history and five year projection of community growth?
 - A demographic study and projection of community and school population (minority analysis, etc.)?
 - A five-year projection of additional school sites required?
 - A five year projection of excess sites or facilities?
 - A five-year projection of special facilities required for special education students?
 - A five year projection of classroom furniture and equipment (replacement and growth) requirements?
 - A five-year projection of special service and support service furniture and equipment requirements? (Administration facility, food service maintenance, warehousing, data processing, operation and grounds, transportation, health facilities, guidance and counseling facilities, etc.)
 - A five-year projection of available revenue sources?
 - A five-year priority listing of facility needs?
 - A five year assignment of funds in accordance with the priority listing?
 - Facility projects budgeted and accounted for by project including all direct and indirect costs?
 - Facility expenditures coordinated with district investment and cash management programs?

Questions to Ask

Does the district have board approved facilities management policies? Does board policy provide for a board approved facilities master plan?

Does the master plan, board policy or other facility planning documents identify short term and long term facilities needs, which are included in the district's master plan? What provisions exist for the publication and dissemination of policies and the facilities master plan to staff and community members?

Do guidelines for determining the priority needs for facilities include but are not limited to:

- health and safety of students (are restroom facilities equipped to promote high levels of hygiene, especially in low income areas)?
- health and safety of employees?
- instructional needs?
- efficiency of operation?
- cost effectiveness?

Does the district policy provide a methodology that addresses emergency facility needs? Does the district conduct an annual review and revision of the facilities master plan?

Does policy stipulate procedures for the authorization and methodology for selection of architects and other professional service firms required in facilities planning and construction?

Does the district have approved facilities management procedures that are published and disseminated to appropriate staff and community members? Were plans developed with input from Teachers? Principals? Clerical staff? Operation staff? Maintenance staff? District administrators? Community members? Board of Education?

Is the district facilities master plan reviewed, evaluated and revised annually? Is there a published time line for review and evaluation of the facilities master plan annually?

How are staff/community involved in the review and evaluation of district's progress in implementing and updating the facility master plan?

Does the district have a board approved facilities management financial plan? Are funds budgeted for short term and long term projects on an annual basis in accordance with an approved facilities master plan? Are funds budgeted for contingency or emergency facility needs? What, if any, external sources of financing have been identified to meet facility needs?

Do facility plans recognize the importance of selecting material and equipment that contribute to efficiency in custodial operations as well as low maintenance costs? Do plans include standardized building components such as wall covering, tile, etc.? Standardized equipment such as HVAC units? Do plans address the quality of equipment and material used in construction projects while complying with state competitive procurement laws?

Is the director of maintenance a member of the facility planning committee (or building committee) to provide input on material and equipment and provide review of architectural plans and specifications?

I.B. Management and Organization

Activities to Perform

- I. Examine the organization and staffing charts and job descriptions for all facility related functions including the
- B. reporting relationship for contractors and architects and interview staff to determine reporting arrangements,
 1. whether the organizational structure depicted on the chart reflects the actual organization of the department, and document if it has been changed recently or repeatedly in the recent past or is anticipated to change in the near future and document the reasons for any changes made.
- I. Examine the staffing and budgets of facility and facility related functions and determine the ratio of total staff
- B. to staffing within the function. Determine whether the budget and staffing levels compare favorably to industry
 2. standards.

Questions to Ask

Has the district assigned specific staff to manage the facilities management program? How is management and control of the district facilities management program accomplished? How are construction and renovation projects coordinated with maintenance and other related departments? What internal resources are available to support staff, such as an in-house architect or construction supervisor?

How are the roles and reporting relationships of any outside architects and contractors defined and documented? Does the organization structure support the monitoring of contracts and contractors?

Is the reporting relationship of facility and facility related staff aligned? Are there departments or functions that have duplicative roles or responsibilities? How does communication flow between the various departments and the campus staff to prevent conflicting schedules or projects (i.e., installing carpet in an office that is scheduled for tile during renovation, scheduling major renovations or maintenance during test weeks, etc.)

Are specific staff assigned responsibility for various functions to develop and review the district facility master plan on an annual basis including:

- Enrollment projection by grades for each school for a period of five years?
- Class size requirements by school?
- Special education special facility requirements?

- Federal, state and local construction requirements?
- Assessed evaluation projections (for a minimum of five years)?
- Projected bonding capacities?
- School capacity projections?

Is training provided to facilities management staff on an annual basis? Are staff cross-trained so that tasks are completed even when specific staff are absent? Is in-service training provided to staff regarding changing laws, regulations, and procedures (federal, state and local)? What budget funds are available to ensure staff can attend state and local seminars on facilities planning, construction and financing? How is district staff (principals, site administrators, custodians, and maintenance staff) provided in-service training on inspection, evaluation and identification of facility needs on a regular basis? How is analysis of facilities aligned with advancements in effective use of facilities to promote academic performance?

I.C. Construction Management

Activity to Perform

- I. Review all contracts for new construction or renovations and list major terms and conditions of the contracts
 - C especially as these contracts may deviate from standard contracts, note any terms or conditions that could
 - .1 impact the price positively or negatively, and any performance related assurances to the district that the terms of the contract will be completed timely and within guidelines.
 - I. Examine all change orders to contracts. Are change orders signed and approved by the architect, superintendent,
 - C and board? Does the original contract limit change orders? Are all change orders in compliance with terms of
 - .2 the original contract? Are all change orders fully documented with all reasons for any increase/decrease in costs clearly specified?

Questions to Ask

If terms and conditions of the contracts deviate from standard, did the district seek legal advice on those deviations? How were the contract deviations determined to be in the best interest of the district? How were contracts negotiated? Did negotiations result in positive gains for the district? Savings? Better terms? Etc.?

Are facility projects scheduled to ensure coordination with the campus administrator? Are projects scheduled to coincide with the availability of financial resources and the investment schedule? If district employees are being used to complete projects, how does the district ensure staff availability?

What process or procedures are in place to ensure standardization of materials, as feasible? Does the district publish a set of material standards? Does the district balance the price of new equipment and materials with the long-term maintainability of the product (life-cycle costing)? Does the district participate in any quality engineering practices? How were projects impacted by the use of quality engineering?

Does the district's management program for construction/renovation include a complete review of all plans and specifications to ensure compliance with relevant local construction code requirements? Statutory requirements? District standards?

Does the project architect and/or assigned district personnel conduct a thorough check of references of the general contractor and subcontractors? How does the district ensure that inspections are coordinated by the architect to provide quality control? Who ensures that comprehensive status reports are provided in a timely manner by the architect and district staff? How are formal communications with the general contractor directed through the project architect?

What are the established procedures for monitoring the project budgets? Who approves progress payments? Who monitors contractor insurance coverage and all bonding requirements? Are monthly project progress reports containing budget, expenditures, encumbrances, and balances prepared and presented to the board? Is there current and accurate budget data available to the board and administration upon request?

Is there any evidence that the original contract price was artificially low in anticipation of change orders? How are change orders controlled? Are all changes coordinated through the project architect?

Are there established procedures for accepting completed facility projects that includes approval by the construction supervisor? Approval by the architect? Approval by appropriate inspector(s)? Approval by administration? Monitoring of timely completion of any "punch list" items? Procedures for holding a retainage (portions of final payment) until final acceptance of the project? Ensuring complete "as-built" plans are delivered to the district? What are the district's strategies for actively managing contracts, especially of construction managers? Review and inspect the financial record for each construction project that are maintained by construction managers.

How are facilities management services evaluated to determine effectiveness and efficiency? What type of analysis of planning, scheduling, and completion of facilities projects is completed on an annual basis for the purpose of increasing efficiency and cost effectiveness? Are facility project costs in relation to budget projections evaluated? What evaluations are completed of the performance of contractors, subcontractors, architects, etc.? What historic records are retained for future reference?

How does the district evaluate the use of in-house versus contracted construction projects? Are there some projects that, in retrospect, should have been done in-house or by contractors? What circumstances should have been considered in reaching those decisions? Did the evaluation of the true cost of in-house construction projects include indirect costs such as employee benefits, administrative expenses, etc.?

II. Maintenance and Custodial Operations

Maintenance operations in Oklahoma school districts generally include repair and renovation services, grounds care, and custodial functions. Efficient maintenance programs provide routine, preventive and emergency maintenance services for all school

facilities. The range of services provided may vary from minor tasks such as hanging chalkboards to more skilled tasks such as replacement of plumbing or electrical fixtures. Staffing patterns may include skilled artisans as well as general and grounds maintenance personnel. Custodial services usually include cleaning services, minor maintenance functions, and performing special tasks as assigned by the building staff.

This module encompasses operational aspects including work order system, time reporting, inventory control, control of tools and equipment, and purchasing procedures. Also examined are staffing levels, training programs, and coordination of new construction activities.

Data Needs

- Policies and procedures
- Work order reports
- Organization and staffing charts
- Maintenance records
- Information system reports
- Purchase orders and invoices
- Walk through schools
- Staff training reports

Staff to Interview

Superintendent
Assistant superintendent with assigned responsibility
Maintenance director
Custodial supervisor
Custodians
Principals/campus-based personnel

Others to possibly interview:

Community leaders
Contractors
Parents
Students
Taxpayers

II.A. Maintenance Operations

Activities to Perform

- II. Examine the organization and staffing charts and job descriptions for maintenance to determine reporting
 - A. arrangements, whether the organizational structure depicted on the chart reflects the actual organization of the
 - 1 department, and document if it has been changed recently or repeatedly in the recent past or is anticipated to change in the near future and why. If some or all of the functions are contracted for, show the reporting relationships established for contract management.
 - II. Examine the staffing and budgets of maintenance functions and determine the ratio of total staff to staffing
 - A. within the maintenance function. Determine whether the budget and staffing levels compare favorably to
 - 2 industry standards.
 - II. Diagram the maintenance process by conducting campus site visits, riding along with maintenance crews, and
 - A. interviewing maintenance and campus staff.
 - 3 Differentiate between processes used for emergencies, preventive maintenance activities, capital projects and normal workorders.
 - II. Prepare a table of sample workorders and determine average completion times for emergencies, preventive
 - A. maintenance activities, capital projects and normal workorders.
 - 4

Questions to Ask

Management

Does the organizational structure of the maintenance department have a structure that is clearly defined? Does every position have a written job description? Does the structure provide for effective supervision without unnecessary layers of management? Is the span of control or ratio of supervisors to workers appropriate? Does the structure provide for use of crews on a centralized district-wide basis or decentralized site basis as appropriate?

Do the personnel procedures for the maintenance department:

- Provide for the selection process to include personal interviews with line managers who determine technical competence?
- Provide a competitive compensation program to attract skilled employees with special training and qualifications?
- Require personnel to participate in in-service programs on a regular basis?
- Limit overtime to 5-10 percent of total maintenance work hours available?
- Provide for maintenance personnel to have identification as district employees such as badges and/or uniforms?
- Provide for recognition of personnel for their accomplishments (such as employee of the month, perfect attendance for the year)?
- Designate employees who will perform emergency repairs and define the basis for additional compensation to be paid for these call-outs?

Does the district budget provide the necessary resources to carry on a planned program of maintenance services? Does the budget support the annual objectives of the maintenance department? the approved staffing levels? a reserve fund or insurance coverages for

catastrophic or unforeseen needs? normal and preventive maintenance activities and all planned replacement programs? Does district compare per capita maintenance costs with other comparable districts and document the district methodology used in the comparison?

How does the maintenance department control costs? Do purchasing procedures for the maintenance department:

- Require purchases to be made through the central purchasing system of the district?
- Limit petty cash purchases in dollar volume (e.g. \$50.00) and number?
- Limit open purchase orders by designating time and monetary limitations?
- Stress bulk purchasing for volume discounts?
- Provide for proper security of all items that are purchased and expensed?

Has the district engaged in any inter-local agreements or memorandums of understanding agreements for providing service to or obtaining services from neighboring school districts? Universities or colleges? City or county governments?

How does the department determine whether a good or service can be delivered by businesses outside the district at a lower cost and/or at a higher quality? Are cost comparisons made with fully-loaded costs for providing the services in-house, such as salaries, benefits, overhead or indirect costs, materials and supplies, and the like?

What input does the maintenance director in the budget preparation and administration processes?

Is there a differentiation between maintenance and capital outlay projects with maximum monetary limits set for construction of new facilities by the maintenance department (e.g. \$50,000 - \$75,000)? A clear definition of capital outlay expenses versus normal operating expenses? Indirect cost allocation to aid in determining the full cost of all capital projects?

Training and educational programs

Are personnel sufficiently trained through staff development programs? Is staff given opportunities for participation in a planned program of in-service training to enhance functional skills? How are staff trained on or informed of employees of policies, procedures, and operating practices? Does staff participate in a comprehensive safety training program? How much is budgeted for internal and external training for staff? Is staff cross-trained to promote job enrichment and ensure that daily tasks continue when staff is absent?

Do the district's educational programs encourage students to respect school facilities? How is vandalism by students and others dealt with? How are student government or clubs encouraged to assume a role in the care of facilities?

Community use of facilities

Are written rules and regulations regarding the use of school facilities by community groups uniform and effectively enforced? Is one person designated to be responsible for assigning and monitoring the use of school facilities or is this left to individual campus administrators? Who is responsible for recovering costs for damages to facilities by outside groups from the user? How are after-hour custodians scheduled for cleaning and monitoring facilities when community groups use facilities? How are costs recovered for use of facilities that were not related to public education purposes, such as rental charge for use by religious organizations?

Tools, equipment and vehicles

How does the district maintain its inventory of vehicles, equipment, and tools? How are truck inventories maintained? Who maintains maintenance equipment and vehicles? For supply inventories? How is personal use of tools or equipment monitored? When equipment or tools are missing, how does the district deal with the loss? How are employees held accountable for the safekeeping of tools, machinery and equipment?

Does the district have established procedures regarding vehicles, tools and equipment including:

- Budget allocation for purchases of tools and equipment that support operational needs?
- A policy prohibiting use of tools or equipment for personal projects?
- A replacement policy for lost or broken tools?
- A full inventory of all tools with periodic "spot" checks?
- A regular schedule of maintenance for equipment such as mowers, edgers, compressors, etc. and for all vehicles?
- A regular planned replacement schedule for equipment and vehicles?
- Vehicle usage policy limiting personal use of school vehicles and the number of take home vehicles?

Preventive maintenance

Is there a planned or preventive maintenance program that provides schedules for servicing all equipment including heating, ventilation and air conditioning? Are periodic and documented evaluations made of the condition of buildings and grounds of each school? How often? By whom? Is a physical inventory and periodic updates of the

condition and age of roofs, HVAC equipment, etc? used to develop a planned replacement program?

Does the district use maintenance agreements for some equipment? How does the district ensure that warranty repairs are not inadvertently charged to the district? Are parts charges included in the contracts? How are non-covered charges controlled?

Workorders

Is there a system of workorders that provides complete cost data on labor and material costs for each job? Reports all time of each employee including unassigned time and travel time? Requires work orders to be completed accurately and in accordance with written standards? Allows for prioritization of projects? Defines initiators of work orders and provides complete instructions on requests for service? Allows timely communication with the initiator regarding status of work order and/or quality of work completed? Tracks timely completion and any backlog of work?

Has the district developed a record of all maintenance performed by location and within the school district? Does the district have computerized programs to track workorders by location and type of work performed? How does the district use this information to budget for future repairs? To plan for equipment replacement? Etc.?

Does the district have maintenance management procedures? Are there clear instructions and site-maps for emergency utility cutoffs? Does the district have clearly defined operational methods for each craft or function, including custodians and grounds? Are there guidelines defining the types of construction/reconstruction projects which can and should be completed by the staff? How does management ensure that projects are completed in a timely manner and according to the standards established by the department? What minor repairs or maintenance do custodians perform?

Is maintenance scheduled to avoid excessive peaks in the workload and disruption to the educational process by scheduling a majority of inside activities, such as painting, when school is not in session? Scheduling major roofing, flooring, ceiling, etc. repairs when school is not in session or the facility is vacant?

II.B. Custodial Operations

Activity to Perform

- II.B Examine the organization and staffing charts and job descriptions for custodians to determine reporting arrangements, whether the organizational structure depicted on the chart reflects the actual organization of the department, and document if it has been changed recently or repeatedly in the recent past or is anticipated to change in the near future and the reasons for any changes.
- II.B Examine the custodial budget for supplies and determine if it compares favorably to industry standards.
- II.B Prepare a chart listing the number of custodians employed at each location in the district and calculate the square footage cleaned based upon the information compiled in Activity I.A.1 above. Compare the square footage cleaned per custodian to district guidelines or industry standards and note deviations.

Questions To Ask

Do custodians report to maintenance or custodial supervisors, or do they report to campus principals? What are the pros and cons of this reporting relationship? What support activities such as training are provided centrally? What is provided at the campus level?

What type of supervision is provided to custodians, especially custodians that works after hours? How do principals provide feedback to or evaluate custodians assigned to their campus? Who has authority to hire or terminate a custodian? Who trains custodians? Is there a mentorship or internship program for new custodians to train them on specific procedures? Specific campus layouts and needs?

Given the age and use rates of the facilities, are custodians assigned to clean a standard square footage? Is a staffing formula approved and adopted by the district? Does the district approved formula mirror state and national standards? Is staffing equitably distributed throughout the district? Are deviations directly linked to special needs?

Are custodial schedules split so that some custodians work during the day to handle spills and spot clean-ups, while the majority are assigned to clean facilities during the evening hours when staff and students are out of the building?

Are custodial supplies and equipment adequate to ensure efficient and effective cleaning? How are cleaning supplies and equipment controlled? Who does the ordering and who determines what supplies are ordered? Are supplies delivered to a central warehouse or just in time to the campuses or other sites? Are cleaning supplies ordered and delivered to facilities in a timely manner? In a quantity that can be easily stored on the campus?

How do custodians communicate concerns or preferences to management? Are there incentives for custodians submitting cost saving suggestions?

II.C. Energy Management

Activity to Perform

- II. Interview key operating personnel to establish operating characteristics of the facilities, energy systems
- C. specifications, operating and maintenance procedures, preliminary areas of investigation, unusual operating
- 1 constraints, and other concerns related to facilities operations.
- II. Examine all district utility bills for the last year and create a chart showing the facilities square footage,
- C. location, utility use rates and charges. Determine the facility's energy use per square foot and energy cost per
- 2 square foot. Compare the charges against industry standards and note deviations.
- II. Compile information regarding all district energy management activities including any energy retrofits, energy
- C. conservation programs, thermostat setback schedules, or utility rate reduction programs. Determine what
- 3 benefits or savings have been achieved as a result of participation. Also note any programs approved by the
- board or planned for implementation in the near future.
- II. Conduct a site visit of district facilities, particularly those that are experiencing higher than average utility use
- C. rates, and note the primary reasons discovered as the cost drivers on those campuses such as inefficient
- 4 lighting, inefficient HVAC equipment, etc.
- II. Develop list of any applicable/feasible energy conservation measures (ECMs) and create chart that shows
- C. implementation cost, energy savings, and a simple payback schedule for each ECM being considered.
- 5

Questions to Ask

Who is assigned to review district utility bills on a monthly basis? Have significant errors or discrepancies been noted and adjustments sought? Does the energy or maintenance department maintain a spreadsheet of utility use rates so that spikes in service or notable deviations can be researched? How does the district encourage energy conservation? Are rewards given to campuses or facilities that actively pursue energy conservation activities? Does the district have a board approved Energy Conservation Plan? Has the district obtained a utility billing audit--some companies work on commission and if no errors are found the district pays nothing? Are the audits done every five years?

Does the district conduct energy conservation training programs for campus staff and students? Does the district have stated policies or procedures for temperature controls? Does the district have programmable thermostats or other energy controlling devices that ensure that district policies or procedures are adhered to?

Has the district identified high-energy use equipment and systematically targeted it for replacement? Have cost benefit analyses been given to the board or administration to show how expenditures for new equipment will save money and improve operations? Does the district have a procurement policy requiring that new equipment must be energy efficient?

Does the district participate in cost-saving programs, etc.? Have energy retrofits ever been done using low interest loans through the state or external vendors? What current deferred facility improvements could be accomplished as part of an energy saving program? Has the district received grant funds for energy retrofits?

III. Security

The safety of students, school district personnel, and physical assets are of vital concern to school districts and their patrons. A good safety and security program provides for a balanced approach of prevention, intervention and enforcement. Proper safeguards must be in place, which include hardware and equipment, security personnel, and plans for preventative measures to deter crime. Materials from the Oklahoma State Department of Education and other state and national agencies dealing with safety and security should be given careful consideration during the review.

A secure school environment requires comprehensive planning and appropriate policies and programs that address the needs of both the district as a whole and the unique situation of each school. In a secure district, schools are made aware of potential security hazards and have mechanisms to respond as necessary. Some districts employ police departments to assist in the security of the district and its stakeholders, as well as use security equipment for the monitoring of potential security hazards.

Data Needs

- Historical crime and violence incident statistics by campus and type

- District Policies and procedures regarding security
- Strategic Plan
- Organization and staffing charts
- Budget for Security Function
- District and Campus Improvement Plans
- Prevention/Intervention program list
- School Safety Audits or Evaluations
- Security logs for maintenance of equipment and vehicles
- Policies for building security
- Security equipment plans
- Security surveillance inventory lists
- Security equipment Purchase Orders
- Staff Development course list
- Security and Safety Surveys conducted by the district or other sources
- District Annual report to the Board
- Program evaluation or other safety or security-related reports
- Copies of Crisis or Disaster Plans

Possible People to Interview

Legal counsel
 Superintendent

Assistant Superintendent
 Safety director or Police Chief
 Safety Resource Officers (SROs)/Security Guards/Police Officers
 Principals/Assistant principals/campus-based personnel
 Site-based Decision -making Committees
 Area/Regional Service Center staff responsible for Safe and Drug Free School Assistance
 Police Trainer/Drug Detection Dog trainer
 District Staff Development Coordinator
 Hall monitors
 Crossing guards
 Facilities Director

Maintenance director
Maintenance staff
Purchasing Director
Attendance Director or attendance clerks

III.A. Organization and Staffing

Activities to Perform

- III. Create or examine an organizational chart of all safety and security functions in the district including the police department, security, alternative education programs, JJAEP, truancy, school resource officers, hall monitors, crossing guards, and the like and show how the campus principals and central office administrators with oversight responsibility for these functions fit into the organizational scheme.
 - A.1 Compare the organization and staffing charts with job descriptions and interview staff to determine reporting arrangements, determine whether the organizational structure depicted on the chart reflects the actual organization of the department, and document if it has been changed recently or repeatedly in the recent past or is anticipated to change in the near future and explain the reasons for changes.
- III. Examine the staffing and budgets of safety and security and related functions and determine the ratio of total students to staffing within each function. Compare the budget and staffing levels to industry standards.
 - A.3 Create a table showing police or security full-time equivalent's (FTE's) assignments by campus, location (if applicable) or patrol area and hours and days worked per week and show how schedules ensure adequate coverage. Include information about extracurricular or other special assignments.
- III. Prepare a chart showing the salary rates and ranges for each position within the safety and security function, the budgeted or actual overtime worked by each position type stated in hours and/or dollars, as appropriate.
 - A.5 Compare salary rates to industry standards and note any areas where consistent of excessive overtime is being used.
- III. Prepare a list by safety and security personnel group of all staff development provided and/or required at orientation, annually, and at other intervals. Show whether that training is provided in-house or by contract and the approximate contract cost.
 - A.6

Questions to Ask

Who heads the safety and security function in the district?

Are functions that relate to safety and security such as attendance or truancy officers and hall monitors efficiently aligned within the overall district organization?

What is the staffing pattern of the safety and security division?

What are the functions supported by the safety and security division?

How are related functions coordinated within the district?

What training does staff in the safety and security division receive to better understand current and emerging developments in the safety and security function?

How does safety and security staff serve as resources to other administrators in safety and security matters?

Are employees in the division cross-trained?

To what extent do safety and security staff participate in workshops, conferences, seminars, read professional literature and interact with safety and security administrators in both public and private sectors to improve job performance?

If the district uses a drug detection dog, who is responsible for training the handlers? The dogs? Is it a contracted service?

Does the district establish procedures for training staff such as hall monitors, SRO's, police officers, principals, and teachers regarding security issues?

Who trains new personnel accessing security equipment such as cell phones, safety locks, police radios?

Who is in charge of building security?

What is the role of the principal and assistant principals in the safety and security function?

Are there organizational obstacles that prevent the safety and security function from operating smoothly?

How is security provided at extracurricular events?

Is security at extracurricular events conducted as part of the regular security operations of the district or is there a separate contract for these services?

Does the staffing pattern for extracurricular events typically result in overtime payments to security personnel?

How does the district control costs for extracurricular security?

Is the cost for extracurricular security charged to the safety and security budget or to the cost of extracurricular activities?

How is overtime controlled?

Who must approve overtime before it is worked?

What situations would have to exist to prevent the need for overtime?

Who hires security staff?

Are there any unique security checks performed for security personnel that are not done for the rest of the district's employees?

How does the district ensure that individuals performing safety and security activities are capable of dealing with the needs of children?

What special certifications are required at each level of safety and security staffing?

How does the district recruit or train individuals to fill positions requiring special certifications?

III.B. Policies and Procedures

Activities to Perform

- III. Compile copies of and prepare a list of all safety and security related board policies and any procedural manuals
B.1 that implement or explain board policy including any student discipline or employee handbooks that contain policy or procedural information. Examine the content to determine if they are consistent and comprehensive; note any discrepancies.

Questions to Ask

Does the district have board approved policies for the operations of the safety and security program regarding:

- student discipline
- truancy and student attendance programs
- "open" or "closed" campuses
- building access
- zero tolerance programs
- data reporting/reporting of threats, crime statistics, drugs, gangs, weapons
- safety plans/goals and objectives

Does the district have established procedures regarding:

- safety during natural or operational disasters or from criminal behavior occurring on school property?
- evacuation plans for all types of emergencies including checklists.
- deployment and guidelines for crisis teams.
- counseling procedures for posttraumatic stress.
- debriefing and media guidelines.
- dealing with school support community specialists (i. e. Local law enforcement, Hotline centers, Poison centers, Fire departments,).

Are there day-to-day operating procedures in place for the safety and security function?

Do procedures define the roles of safety and security personnel, building principals, assistant principals, teachers, and other district staff?

Does the district have procedures for building security?

- Is there a key control system?
- Who issues keys?
- Who has master keys?
- How often does the district issue new alarm codes? Who is issued access codes?

Are there established procedures for the annual evaluation of the safety and security programs?

Do security personnel or police officers wear guns?

Are there policies and procedures in place to stipulate who can and should carry fire arms?

Are there policies regarding staff other than security staff carrying concealed weapons?

When and where are concealed weapons inappropriate?

Are there established policies or procedures in dealing with other safety and security related organizations in the community such as local law enforcement; hotline centers for child abuse, rape, run away, suicide prevention, etc.; poison control centers; fire departments, etc.).

How is district policy enforced?

III.C. Safety and Security Planning

Activities to Perform

- III.C.1 Examine the last three years of incident statistics reported as part of the Safe and Drug Free Schools program, collected locally as part of the district's internal programs, and/or maintained in cooperation with local law enforcement offices. Prepare a table by campus showing the type and frequency of incidents. Note any major or defining incidents, giving a brief description of the event, date, location and show how programs have evolved as a result of the events. For example, the injury of a child exiting a bus may result in all buses being equipped with stopping arms.
- III.C.2 Compile copies of all safety and security related planning and budget documents or documents containing security plans such as a long-range security master plan or elements of the district's strategic planning documents and/or the district and campus improvement plans . Determine the nature and scope of each plan, the time frame of the plan, and the process by which the plan was developed. In addition, evaluate how the goals, objectives and strategies of each plan are linked to each other and the budget, the assignment of responsibility for implementation, and the process by which the plan's implementation is monitored.
- III.C.3 Examine plans containing emergency shut-offs and any material safety data sheets. Determine if these documents exist, if they have been updated, and who has access to them.

Questions to Ask

Does the district use incident statistics to plan for the allocation of resources to campuses?

How are the needs of the safety and security function determined?

Are the budgets for the safety and security programs allocated based upon identified need?

How has district planning been guided by single events rather than documented need?

How are teachers, administrators, the community or site-based decision-making committees involved in the planning of safety or security programs?

How are parents and students involved in planning ?

Does the district provide prevention and intervention programs?

Are they addressed in their Comprehensive Local Education Plan (CLEP)?

How does the district evaluate the effectiveness of the safety and security function?

What performance measures are attached to the planning documents to ensure that goals and objectives are met?

How are decisions reached to dedicate additional budget funds to expanding or enhancing the safety or security programs?

Does the district survey its stakeholders (i.e. teachers, administrators, students community support staff, contracted services) to receive feedback on current programs and practices in place that address safety and security for staff and students?

How are the concepts of prevention, intervention and enforcement reflected in planning?

How does the staffing of the district's safety and security program reflect a balanced approach of prevention, intervention and enforcement?

Crisis Management

Does the district have an established Crisis Management Plan: emergency procedures focusing on safety for students and school personnel that can be implemented on short notice?

Does this plan include emergency shut-offs for electric, water, gas, etc.? Has it been updated? Who has access to it?

Does the administration or custodial staff have safety concerns that should be addressed?

Are material safety data sheets (MSDS) posted at the room, site, and district level? Have they been updated? Who has access to them?

Does the district have a parent liaison/volunteer to be a connection with the community during crisis situations?

What are their duties?

Are plans in effect for the following :Evacuation Procedures, Fire Drills, School Emergency Shelter Disaster Plan, Severe Weather, Crowd Control Policy, Gang Policy, Searches Policy, and Traffic Control?

Does the district include the community in planning for disasters?

Does the district have any prevention or intervention programs currently in place regarding crisis management?

Describe the programs.

When are they used?

By who?

How are students made aware of these programs or processes?

How does the district ensure that crisis plans are regularly reviewed, updated, and tested?

Who is responsible for this?

How Often?

Does the regional service center provide training for administration or staff in the area of crisis management?

What staff attends these sessions?

Who covers their fees?

III.D. Safety and Security Operations

Activities to Perform

- III. Prepare a table showing what district or contract staff are involved in each aspect of the district's prevention, intervention and enforcement activities as well as any special programs or activities that the district uses to address prevention, intervention and enforcement (i.e., police officers may be used primarily for enforcement, SROs used for prevention, truancy and attendance officers used for intervention, assistant superintendents with responsibility for discipline management may be used for prevention and intervention, etc.).
- D.1
- III. Identify external services provided by local governments in the community such as fire, police, sheriff, etc., and show how the district interacts with each. Note any areas where there is an overlap or gap.
- D.2
- III. Prepare a list of all safety and security-related training provided to campus staff, students, parents or community groups.
- D.3
- III. Prepare a table showing the current fleet inventory by year, make and model; date of purchase; purchase price (if available); and current mileage.
- D.4
- III. Prepare a table showing all major equipment used in the safety and security function such as communication devices, alarm systems, and the like. Show the date of purchase, condition, and type and source of maintenance required. For example, the district may do routine maintenance or the district could have a maintenance contract.
- D.5

Questions to Ask

Is the district in compliance with all current state laws regarding reporting of violence incidents in their Annual District report to the board?

Does the district report their violence incident statistics to the state to access Safe and Drug Free Communities Act funding for programs such as DARE?

Does the district participate in any national programs such as DARE?

Does the district conduct any type of student drug testing? What are the policies? Has it been effective?

How are students involved?

Does the district deploy security guards, officers, drug dogs, and drug searches based upon district or campus needs?

Does the district do any shared services with the local law enforcement entities (i.e. city police departments, county sheriff departments)?

Does the district regularly conduct searches for drugs, bombs, and weapons?

How does it accomplish this?

Does the district own its own dog or contract for the services of a drug dog?

Does the district obtain any services like drug dogs through other local law enforcement groups?

How does the district secure its buildings?

Does the district use hall monitors? Are visitors required to sign in or wear a visitor badge?

Are surveillance cameras used in key locations?

Who monitors the surveillance cameras? Are exterior doors locked after the beginning of school to control entry?

Are doors equipped with panic hardware so that individuals inside the building can leave, in the event of an emergency, but visitors cannot enter?

Does the district establish procedures regarding the control of combinations to locks, distribution and access to keys or alarm codes?

What is the role of the local law enforcement or emergency response groups in responding to alarms?

What is the role of district staff when responding to alarms?

How does the district handle after hours calls?

What system of communication is used to connect security personnel with other security personnel?

With local law enforcement?

With teachers and administrators?

What communication gaps exist and how is the district addressing these gaps?

Do students and staff wear identification badges so that non-students are easy to identify?

Are student uniforms used to improve security?

Are there any identification cards issued to staff or students?

Is there a sign in policy at all campuses?

Who monitors entryways and halls?

What kinds of plans are in place for the provision of safety equipment (i.e. surveillance cameras, radios, monitors, safety locks, and special access cards...)?

Who orders this equipment, services it, and pays for it?

Does the district contract out for the repair and maintenance of security equipment (i.e. surveillance cameras, monitors, safety locks, police vehicles, guns, radios, cell phones?)

Are vehicles replaced on a cycle that takes into account the age, mileage, and condition of the vehicles? Does the district transportation function service these vehicles regularly? Are employees allowed to take vehicles home? What types of insurance coverages are carried on district vehicles?

Who is responsible for purchasing or leasing safety equipment?

Does the attorney review contracts for lease equipment?

Does the purchasing department ensure that all leases and purchases are made in compliance with purchasing laws and district policies?

Does the district evaluate the effectiveness of alarm system equipment, cameras and monitors?

What training does the district provide regarding safety and security to students and staff?

How does this training reinforce the district's goals and objectives for safety and security?

Are there any notable results that have occurred because of these training activities?

IV. Review and Evaluation of Contracting Process

There are numerous opportunities within the facility management area for contracting, not the least of which is construction contracting. But, some or all of the several other facility operations such as maintenance and custodial operations could be purchased or contracted for through private companies or interlocal agreements with neighboring districts or other governmental entities. It is important to regularly evaluate whether there are goods or services that can be obtained from the private sector at a lower cost, higher quality or both. It is equally important to continually evaluate existing contracts to determine if the district is getting the best value possible through the contracting arrangement. In other words, do the district's facilities use and management functions and services meet industry standards?