
3B

Information

Fiscal Policy and Planning Committee

Update on the Proposed 2012 – 13 Governor's Budget

AGENDA INSERT

Executive Summary: This agenda item provides the salient points of the Commission's portion of the proposed 2012-13 Governor's Budget, as well as an analysis of the impact for the Commission's operations.

Policy Question: What are the policy and workload implications of the Governor's proposed 2012-13 budget?

Recommended Action: For information only

Presenter: Crista Hill, Director, Administrative Services Division - Fiscal and Business Services Section

Strategic Plan Goal:

Continue to refine the coordination between Commissioners and staff in carrying out the Commission's duties, roles and responsibilities.

- ◆ Conduct periodic review of the efficiency of the day-to-day operations and financial accountability of the Commission

March 2012

Update on the Proposed 2012-13 Governor's Budget

Introduction

The Governor's Budget includes various policy decisions that align with some of the Commission's adopted guiding budget development principles. Since the budget was released in January 2012, Commission staff has had an opportunity to work with the Administration and analyze the proposal to determine the impact on the Commission's operations.

On the next several pages Commission staff has outlined the specific impacts to the agency with this proposal.

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Commission Vision

Ensuring high quality educators for California's diverse students, schools and communities.

Mission

The purpose of the Commission is to ensure integrity and high quality in the preparation, conduct and professional growth of the educators who serve California's public schools. Its work shall reflect both statutory mandates that govern the Commission and research on professional practices.

Executive Summary

The 2012-13 Governor's Budget proposes to decrease state operations by \$1.5 million in 2012-13 as a result of eliminating 13 vacant positions, eliminating four positions to reflect operational efficiencies generated by streamlining the teacher preparation and credentialing processes, and achieving operational savings from reduced information technology costs.

With any proposal it is important to analyze the impact on agency operations. The proposal to balance the Commission's budget will have an impact on the Commission's ability to accomplish the Mission of the organization.

In the last 10 years the Commission has undergone a 20% reduction in workforce, requiring the agency to tighten its procedures considerably and identify efficiencies throughout the organization. During this time period, the Commission has experienced an ebb and flow in the volume of applications, which drives its revenue base, but overall, there has been a downward trend representing a 14% decline overall. Declining revenues and application volume have enabled the Commission to reduce the amount of time it takes to process credentials, but most of the agency's other statutorily mandated activities are not sensitive to application volume. In addition, although demand for educators in the schools may be temporarily in decline, needed services that are provided to existing stakeholders have not changed. For example, teacher preparation programs are reporting a decline in the number of individuals entering their programs. However the number of institutions that prepare teachers has remained constant. The Commission is still responsible for accrediting 261 sponsors of educator preparation, and these numbers continue to increase slowly.

As credential processing volume declines, the Commission is able to reduce the time it takes to process credentials and redirect staff to answer the telephone and respond to emails in an effort to reduce response times. In 2005-06, there was a shift in responsibility for the initial review and submission of credential applications to program sponsors, and their need for access to Commission staff for technical support does not diminish with reduction in credential volume. The Commission's ability to work with the larger community of credential preparation programs to ensure accuracy in the processing of credentials represents a critical safeguard in the overall licensing system.

Since 2000-01 the Commission has reduced its state government footprint by 41 positions or 20%. With a state hiring freeze and furloughs in recent years, the Commission has been challenged to maintain its current mandate with the existing staffing levels (165.4 authorized

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positions 2011-12, currently 142.4 filled). Reducing the workforce by another 17 positions represents an overall 28% reduction since 2000. Reductions of this magnitude will require that the Commission re-examine its core mission and mandates and identify areas of work that will and will not get done. Provided below is a summary by Division of the specific impacts with the proposed workforce reductions.

2012-13 Governor's Budget Proposal

The Budget proposes to decrease state operations by \$1.5 million in 2012-13 as a result of eliminating 13 vacant positions, eliminating four positions to reflect operational efficiencies generated by streamlining the teacher preparation and credentialing processes, and achieving operational savings from reduced information technology costs. The proposed budget language directs the Commission to work with the State Board of Education to identify ways to streamline the teacher preparation and credentialing processes. Proposed staffing changes reflect a proposed reduction of 7 positions in the Certification, Assignment, and Waivers Division, 9 positions in the Professional Services Division, and 1 position in the Administration Division.

Certification, Assignment and Waivers (CAW) Division

67.4 total positions (10 vacancies)

- Certification Branch – 34.7 positions (7 vacancies)
- Technology and Operations Branch – 29 positions (3 vacancies)
- Administration and Policy – 4 positions (no vacancies)
 - (Redirected 1 position in 2011-12 to DPP to address workload demands)

Certification: A permanent reduction of seven (7) positions or 10% in CAW Division will impact service levels associated with application processing and information access. As the Commission continues to automate its application systems, the agency has been able to shorten the time for credential processing from 75 days to 50 days, as mandated by Assembly Bill 469 (Chap. 133, Stats. 2007). In addition, CAW added an extra hour of phone coverage per day, and reinstated the employer liaison position that allowed county office of education credentialing staff to call in directly for high priority employment issues.

In 2005-06, due to workforce reductions, the CAW Division eliminated the dedicated Employer Liaison position which had been providing direct services to county offices. This position was responsible for providing direct/immediate access to Commission staff for emergency questions that involved urgent matters such as employment. In 2008-09, the Commission was able to redirect staff to add this service back for county offices. With a reduction in positions this position would need to be redirected to address workload demands. In an effort to maintain reasonable credential processing times, the CAW Division has had to use overtime and reduce available services elsewhere, resulting in increased response time to emails from 3 to 5 days to 7 days and longer telephone average wait times of 7.5 minutes+. Proposed reductions will either increase the time it takes to process credential applications or reduce availability of staff time in response to calls for technical assistance or credential applicant support on the phone or email.

With the implementation of Credential Web Interface Project (CWIP) CAW intended to add additional quality control oversight to the recommendation process in an effort to ensure

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accuracy in the automated credential application system. Currently, the CAW Division does do some oversight of the automated recommendation system now; but the new CWIP system will offer additional features and more options for credential processing through an online system; therefore, increasing the potential for errors. With reduced staffing levels the CAW Division will have difficulty auditing these credentials prior to them being issued. This could result in more inaccurate credentials being issued.

Reduced service levels will have an impact on the Commission's stakeholders, including the inability to obtain timely and accurate information on credentialing requirements, delays in application processing and hiring, and could add additional pressure at the Governor and Legislative offices from constituent complaints.

Assignment Monitoring: This workload is currently housed in the Administration and Policy Branch of CAW and has been understaffed and therefore requires redistributing credential staff to this workload during peak times. In the past, CAW Division has had some flexibility in this area, but as Certification resources decrease there is no longer an opportunity to shift resources as needed. If CAW is unable to properly address assignment monitoring inquiries, or process district and county mis-assignment reports, the Commission will be unable to report to the legislature as mandated and interested organizations such as Public Advocates could voice serious concerns.

Technology and Operational Support (TOSB): This section of the Division is responsible for support services functions and the technical support to Credentialing Application System Enterprise (CASE) system. The Division, in partnership with the other program Division is currently in the process implementing CWIP which will update the existing CASE system. Once the project is complete it will provide additional security and web interface enhancements currently not available. The CAW Division has had plans to continue to reduce the paper at the Commission and one project that has been put on hold is the up-front scanning all paper credential documents that are received by the Commission. This project would allow TOSB to electronically route documents to the Sections/Divisions that need the information immediately including Certification and the Division of Professional Practices (DPP). The up-front scanning project will provide the Commission the ability to do simultaneous review in both CAW and DPP and prevent lost documents, as well as time spent looking for documents. Because of the inability to fill three (3) positions in this Branch, TOSB has been unable to move forward with this project.

CWIP and Siebel System Maintenance: The current project to upgrade the Commission's credential application automation system involves a significant number of staff from all Divisions of the agency. It is anticipated that ongoing support will be needed to maintain the automated systems. Every time there is a legislative or regulatory change, CAW Division is required to incorporate those changes into the CASE system. Staff must analyze the change, design, test and implement the changes. As CAW loses critical staff it will be difficult to make changes in a timely manner and legislatively mandated time frames may slip.

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CAW Summary Statement

With existing vacancies the division has been focused on maintaining core service levels for critical functions such as processing applications, and answering telephone, email and correspondence related inquiries. Long-term, if the proposed workforce reduction plan is implemented, stakeholders will see declines in the Commission's ability to meet the needs of the credential processing mandates and Assignment Monitoring workload. The CAW Division currently has resources focused on the implementation of CWIP, and expects those resources to be needed for ongoing implementation of this automation project. The CAW Division is currently maintaining service levels through the use of overtime, which can be expensive and has an impact on employee morale when used, as a long-term solution to a workforce shortage.

Professional Services Division (PSD)

35 total positions (9 vacancies)

- Accreditation - 11 positions (0 vacancies)
- Standards Development - 8 positions (5 vacancies)
- Examinations and Data - 9 positions (2 vacancies)
- Funded Programs - 3 positions (2 vacancies)
- Management - 4 positions (0 vacancies)

PSD is current allocated 35 full-time staff members. This number includes administrators, consultants and support staff. Due to state hiring freezes, staff retirements, state budget reductions and the agency's budget, PSD currently has 26 staff members. Several staff members report working at 120-160% of the normal workday. Three (3) retired annuitants and one (1) graduate student assistant are assisting with the work in PSD on a part-time basis.

The division's work involves bringing educators together to advise the Commission on the variety of educator credential areas, and then moving that work forward via agenda items for the Commission's information, potential action, or implementation. Specific tasks associated with the standards development and implementation work include:

- gathering and analyzing stakeholder feedback on policy issues and moving that work forward to the Commission for review and potential action;
- organizing and facilitating the meetings and work of content and other expert advisors to make recommendations on new or revised standards or in other areas identified by the Commission;
- developing agenda items for the Commission and the Committee on Accreditation and implementing any action arising from Commission or Committee decisions;
- providing technical assistance to prospective and currently approved program sponsors;
- implementing and evaluating the effectiveness of the Commission's accreditation system;
- developing and administering the Commission's examination system;
- implementing performance assessment requirements for general education teachers and supporting the development and implementation of the CalTPA;
- developing and presenting reports on credentialing data, responding to requests for data, and general requests from legislators, institutions and constituents; and
- maintaining the web pages related to the division's work.

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Major categories of PSD's work are identified below with estimates of the **staffing needed for each category of work**. At this time, support staff, consultants and administrators are working in more than one category and the majority of staff is working more than full-time. The proposed 2012-13 Governor's Budget includes a reduction of nine (9) positions (26% workforce reduction) in PSD which would require identifying and prioritizing core functions.

Standards Development, Review and Revision: At the direction of the Commission, PSD reviews and revises each set of the Commission's standards on a 10 year cycle and focuses on additional topics as directed by the Legislature, Governor, and the Commission (8-10 staff members, varies depending on content area(s) of focus). The work includes:

- **Convening Advisory Panels** — e.g. Teaching English Learners, Principal Preparation, Aligning the Commission's Preparation Standards to the Common Core Standards, Teacher Preparation Advisory Panel, Early Childhood Education, Designated Subjects, Pupil Personnel Services
- **Gathering Feedback From Stakeholders** — draft standards on how teachers are prepared to teach English Learners
- **Providing Technical Assistance to Program Sponsors** — once standards have been revised and adopted, support programs as they transition to the new or revised standards as the Education Specialist, Reading Certificate and Credential and Teacher Librarian credentials have recently.

Accreditation: The Commission currently accredits 261 approved sponsors of educator preparation programs (CSU: 23 institutions; UC: 8 institutions; private colleges and universities: 55 institutions; LEAs: 172 institutions; Other Sponsors: 3 institutions). Each sponsor is assigned to one of seven cohorts. Cohorts range from 28 to 42 institutions. Fourteen (14) Commission staff members are needed to support the accreditation function of the agency, which involves the following annual activities:

- **Initial Program Review** — facilitate the review of new program proposals: 81 approved by the COA in 2010-11
- **Biennial Reports** — from 3 cohorts (~112 institutions annually with ~500 program reports) read by staff and response developed for each program at each approved institution
- **Program Assessment** — 170 programs annually reviewed by members of the Board of Institutional Reviewers. Staff facilitates 2 BIR members reading each institution's documentation and communicates readers' findings to the institution
- **Accreditation Site visits** — staff facilitates site visits by the Board of Institutional Reviewers (28-42 annually) to all program sponsors within a given cohort
- **Committee on Accreditation** — meets 7 times annually, usually 12 days per year to hear and take action upon these activities.

Teaching Performance Assessment (TPA): PSD provides ongoing support for the teaching performance assessment models and the MS/SS programs which must implement a TPA. (2 staff members needed to complete this work). Annual activities include:

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- **Convening TPA Users Advisory Committee** - a group of stakeholders and psychometricians representing each of the three approved TPA models that provides technical assistance to the Commission regarding TPA implementation and oversight
- **Convening TPA Technical Advisory Committee** - a group of independent evaluation and psychometric experts who advise the Commission regarding approval of TPA models submitted to the Commission for review and approval
- **Maintaining the CalTPA**—training assessors, developing and replacing on a regular basis benchmark and independent score cases for assessor calibration and recalibration purposes; maintaining an online recalibration site for assessors, maintaining and updating the TPA Implementation Manual and the Candidate Handbook; identifying needed areas for CalTPA improvement and/or development
- Assist in TPA related accreditation activities.

Examination System: PSD's work involves designing and overseeing the development of examinations to meet statutory and Commission directed requirements (6 staff members needed to complete this work). Annual activities include:

- Developing and conducting competitive bid processes to obtain contractors for the Commission's examination system, and developing contracts resulting from bid processes;
- Identifying expert panels to work with contractors on examination development and validation processes;
- Monitoring the ongoing work of the contractor(s), including examinations development, validation, and administration
- Reviewing and responding to inquiries, correspondence, and complaints from candidates; and
- Reviewing, analyzing and reporting annually on examinations outcomes data.

Data Collection, Analysis and Reporting: Respond to data requests, analyze data and prepare reports for the Commission, legislature, Governor and other entities (3 staff members needed to complete this work)

- Teacher Supply Report
- Title II Report
- Paraprofessional Report
- Intern/Alternative Certification Report
- Examinations: volume and pass rates
- Services Credentials
- TPA data collection and analysis

Funded Programs: PSD oversees three (3) funded programs and provides funding letters to sponsors, operates and maintains a participant consent database, collects retention data, surveys and analyzes responses to a program completer survey, provides technical assistance to funded programs, and maintains the web pages for the programs (3 staff members needed to complete this work)

- Paraprofessional Teacher Training Program
- Intern/Alternative Certification

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- BTSA Induction (Co-administered with Department of Education)

PSD Administrators and Managers: Work with staff to allocate work, support and guide staff in the division's work, conduct performance appraisals, assure staff timekeeping, review professional development plans, develop division budget, and serve on agency leadership team. In addition to supporting, guiding, and managing staff, each administrator and manager works in one or more of the content areas described above and are included in the staffing totals. (4 staff members: Director, 2 administrators, 1 manager)

Support Staff: Supports the policy work of the division, the COA and the volunteers who work with the Commission (8 staff members needed to complete this work)

- Travel claims
- Contract development relating to travel and accreditation visits
- Invoice payments
- Database management
- Filing and Mail
- Supply ordering
- Accruals
- Monitoring budget
- Support for broadcasting webinars, COA meetings, and videoconferences

The work of the support staff focuses on the content areas described above and the support staff is included in the staffing totals provided above.

PSD Summary Statement

With the current staffing in PSD, the division has been focusing on continuing the administration of the Commission's examination system and implementing the Commission's accreditation system. The implementation of the accreditation system is supported by the work of the BTSA cluster region directors who facilitate the majority of the site visits to local education agencies (the BTSA CRDs are staffing 14 of the 38 site visits in 2011-12 and the CRDs facilitated 14 of the 31 site visits in 2010-11).

The Teacher Preparation Advisory Panel (TAP) is starting to meet and staff is working overtime to prepare for and facilitate this advisory panel. Other work (e.g. convening a panel to develop the standards that will define Induction for administrators, work focusing on the teaching performance assessment, intern programs, pupil personnel services standards, special education teacher preparation, reviewing and aligning with the Common Core standards, Designated Subjects credentials, support for programs transitioning to new or revised standards such as the Teacher Librarian, the Mathematics Instructional Added Authorization and the Mathematics Instructional Leadership Specialist, and technical assistance for prospective and approved programs) is being postponed due to workforce considerations.

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Administrative Services Division (ASD)

10 total positions (1 vacancy)

- Fiscal and Business Services Section - 6 positions (no vacancies)
- Office of Human Resources - 4 positions (1 vacancy)
 - (redirected 3 positions to PSD and DPP to address workload demands)

The Administrative Services Division is responsible for overseeing all personnel and staffing activities, procurement, contracting, travel, accounting, business services, and budget development and monitoring for the department. In addition the Division is the liaison with the various control agencies that oversee each of these areas.

The various tasks within an Administrative Division are generally standard from department to department. However, depending on the size of the organization the various tasks accomplished may vary. The Commission is considered a “small department” and as a result administrative division staff is responsible for several different subject areas. The position identified for elimination in the Governor's Budget is responsible for the civil service examinations administered for Commission staff. A loss of one (1) position will make it difficult for the Commission to address upward mobility issues for staff at the Commission. Per the various Bargaining Unit contracts, each department is required to have upward mobility options available for staff. The loss of this position would require the Commission to contract with another state agency to complete the civil service examination responsibilities.

ASD Impact Summary

Assuming another state agency would be able to absorb the additional workload, a reduction of one (1) position would potentially increase costs to CTC and add additional pressure on the Commission's budget. The most significant impact is the limited opportunities for staff to advance within State Government.

Provided below are additional divisions within the agency that do not have proposed reductions included the Governor's Budget, but do play a vital role in the operations of the agency.

Division of Professional Practices (DPP)

31 total positions (3 vacancies)

- DPP Management – 3 positions (1 vacancy)
- Intake – 18 positions (2 vacancies)
- Investigations - 5 positions
- Legal Unit – 5 positions

The Division of Professional Practices is responsible for the discipline of credential applicants and holders, and the legal activities of the Commission. The Division supports the Committee of Credentials, a statutory body that is responsible for investigations of alleged misconduct against credential holders and applicants. The investigations generally begin based on criminal charges, misconduct disclosed on an application, or reports from employing school districts. The Division's legal staff provides legal counsel and advice to the Commission, the Committee of Credentials, and the Commission's management team. DPP currently has 29.0 authorized

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positions. Three (3) additional positions are being transferred, as of March 1, 2012, to create a management team with an appropriate span of control to complete the work of the division.

On April 7, 2011 the Bureau of State Audits (BSA) issued a report entitled *Despite Delays in Discipline of Teacher Misconduct, the Division of Professional Practices has not Developed an Adequate Strategy or Implemented Processes That Will Safeguard Against Future Backlogs*. As new management was brought in to solve issues identified in the report the Department of Finance waived the hiring freeze in this division and CTC began hiring to fill seven vacancies. As of March 1, 2012, all existing positions will be filled. The three positions transferred to DPP as of March 1, 2012, began the recruitment process in late February. These positions were required to meet the BSA's recommendation for better oversight of data, cases and workload.

In addition to dealing with the existing backlog of cases, DPP faces additional challenges from the well-publicized issues of teacher misconduct in the Los Angeles Unified School District (LAUSD). The Superintendent of LAUSD announced a major effort to ensure that all reported teacher misconduct is reported to the Commission. From 2/22/12 to 3/2/12 LAUSD filed approximately 110 reports of educator misconduct with DPP. In comparison, during FY 2010-2011, DPP opened 210 investigations based on reports from school districts.

Executive Office (Exec)

3 total positions (no vacancies)

The Executive Office is responsible for general oversight and management of the Commission. The Executive Office is responsible for working directly with the Chair and appointed members to carry-out the mission of the Commission. The Executive Office is the primary conduit between the Commission and other state bodies, control agencies, and the Administration, and stakeholder organizations.

Office of Governmental Relations (OGR)

3 total positions (1 vacancy)

The Office of Governmental Relations is responsible for developing Commission-sponsored legislation, informing the Commission of proposed legislation affecting the preparation and certification of professional educators, working with legislators and their staff to provide accurate information and conveying the Commission's positions on bills, sustaining productive relations with key policy makers and staff, and responding to policymaker's constituent cases. In addition, this office acts as the Commission's representative to the media including preparing and distributing press releases and directly communicating with reporters. Workload in this Office varies and follows the rhythms of the legislative cycle. It is also impacted by high interest news stories, like the LAUSD teacher misconduct series of reports which has resulted in more media calls in the first two months of 2012, than the agency received in total for 2011.

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Enterprise Technology Services Section (ETSS)

16 total positions (no vacancies)

(2 - Positions redirected from CAW and DPP to assist with workload demands).

ETSS is responsible for all information technology functions to support the business functions of the Commission. The Commission is using technology to streamline and automate business processes where possible. Currently, ETSS is managing an agency-wide CWIP project designed to provide additional security and web interface enhancements that are currently not available. With the use of automation, the Commission receives approximately 80% of its credential applications electronically. ETSS is working to further automate and streamline business processes, especially in DPP, to help address some of the issues that were raised by the Bureau of State Audits in 2011. Currently, ETSS personnel is stretched very thin by trying to address the BSA audit, lead the CWIP, and maintain all of the workstations, servers, computer programs and databases of existing systems. The business divisions are often competing for information technology personnel resources, as a result the Commission is continuing to hire consultants to augment ETSS staff.

Two (2) positions were recently redirected to ETSS, one from CAW to support the new online system (CWIP) administration duties, and one from DPP to support Information Technology purchasing and Project Management Administration.