

EXECUTIVE SUMMARY

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EVIDENCE OF COMPLIANCE FCPS OPERATIONAL EXPECTATION MONITORING REPORT

PERIOD COVERED: February 2007 – September 2007 (8 Months)

Function: Accountability and Audit

Operational Expectation: maintain a system that tracks, measures, and evaluates FCPS effectiveness in realizing student achievement and business processes, including both benefits and costs, in a timely manner

1. Evaluate all new programs and any identified by the Audit Committee and/or the School Board. That evaluation should recommend whether a program should be continued, modified, or discontinued based on its effectiveness and cost.

Highlights –Evidence of Compliance:

- Completed development and adoption of a new process to identify existing programs/services for evaluation
- Completed draft of a new manual guiding the conduct of program and service evaluations
- Completed box score ratings for 3 programs
- Identified program/service evaluations for School Board consideration during 2007-2008

2. Cultivate an environment committed to continuous improvement.

Highlights –Evidence of Compliance:

Application of the PDSA Model

- Streamlined the school improvement planning process and aligned it more clearly with the PDSA model
- Built the new program evaluation model around the principles of PDSA continuous improvement
- Followed the PDSA model in supporting MSAOC's completion of a Hispanic/Black student dropout rate report¹

School Improvement Planning

- Cluster & DA expert teams trained school planning teams on using the refined school improvement plan model
- Also aided school planning teams' development of aligned school improvement plans
- Published a resource guide to further support the work of school planning teams (See: http://fcpsnet.fcps.edu/accountability/off_edu_plan/sip_plan_tools.htm)

Continuous Improvement Collaboration and Consultation

- Provided technical assistance aiding Teacher Leadership Grant school teams' improvement of grant outcomes
- Supported Instructional Services staff development of action plans implementing the Academic Goals
- Collaborated with leadership teams of modified calendar schools in developing required State evaluation reports

Best Continuous Improvement Practices

- Collaborated with Middle School Principals' Association to sponsor continuous improvement training

¹ Minority Student Achievement Oversight Committee

3. Conduct a regular fiscal and performance audit of business functions.

Highlights –Evidence of Compliance:

- Audit committee members were appointed at the July 26, 2007 regular School Board Meeting. The responsibilities of the committee, and its relationship with the Internal Audit Office, are described in the Internal Audit Charter, Regulation 1420.1, effective 10-03-06.
- The Audit Committee approved the fiscal year 2008 audit plan on June 21, 2007. The plan was approved by the School Board on July 26, 2007 (see audit plan Attachment 5).
- The status of fiscal year 2007 audit projects was presented to the Audit Committee on June 21, 2007 (see status reports Attachments 6A, 6B, 6C).

4. Provide public access to audit results.

Highlights –Evidence of Compliance:

- Audit reports are posted to the Internal Audit web site approximately two weeks following issuance to the Audit Committee. In addition, all past audit reports have been posted (see copy of posted reports Attachment 7).
- The day a report is posted to the Internal Audit website, an announcement is made on the FCPS public website under “New Today,” indicating report availability and a brief statement regarding the audit coverage.

Fairfax County School Board
Operational Expectations Monitoring Report

A = acceptable condition U = unacceptable condition

ACCOUNTABILITY AND AUDIT

Period covered: February 2007 – September 2007 (8 Months)

The Superintendent will maintain a system that tracks, measures, and evaluates FCPS effectiveness in realizing student achievement and business processes, including both benefits and costs, in a timely manner. The Superintendent will:

1. Evaluate all new programs and any programs identified by the Audit Committee and/or the School Board. That evaluation should recommend whether a program should be continued, modified, or discontinued based on its effectiveness and cost.

Superintendent:	A	<input checked="" type="checkbox"/>	U	<input type="checkbox"/>
School Board:	A	<input checked="" type="checkbox"/>	U	<input type="checkbox"/>

Reasonable Interpretation:

The Department of Accountability (DA) will typically use a three-year formal evaluation process to evaluate instructional programs identified by the Audit Committee and/or School Board. A three-year evaluation cycle will include two annual interim reports and a final report at the end of the third year. The reports will provide the School Board, program managers, and the public with information, interpretations, and judgments on program objectives, implementation, and outcomes. Evaluations will adhere to a formalized evaluation system to achieve the goal of the School Board for effective and efficient operation. Finally, this process will provide evidence to continue, modify, or discontinue programs.

Indicator(s):

- Completion of interim and final evaluation report ratings of programs

Superintendent Statement of Condition:

The staff has focused evaluation-related effort since the previous monitoring report in two broad areas:

- building the systematic procedures and guidance documentation necessary to support consistent and effective implementation of the evaluation model
- expanding application and refinement of the evaluation model, especially of the "Box Score" component

Evaluation Procedure and Guidance Development

Major accomplishments in evaluation procedure and guidance development include:

- *Development and adoption of a new process to identify existing programs/services for evaluation*

The process adopted engages the expertise and practical experience of principals and central office educational administrators to nominate existing programs and services for evaluation, and to determine evaluation priorities among those nominated. Participants use specified criteria and a rating scale as aids in determining which program nominees should be assigned the highest evaluation priorities. The resulting recommendations are then reviewed and approved, with appropriate modification, by the Leadership Team. Details of this process are provided in Attachment 1.

- *Draft of a new manual guiding the conduct of program and service evaluations*

The Evaluation Process Manual is based on the standards of the American Education Research Association and American Evaluation Association. It specifies step-by-step procedures to be employed to ensure valid and reliable outcomes for program selection, exploratory evaluation, program development, and comprehensive evaluation (the box score outcome ratings). The current third draft of the manual includes:

- a graphical display and timeline of the evaluation process
- separate chapters detailing steps and products associated with each component
- extensive appendices with definitions of terms, report templates, and guidance for evaluators, administrators, and program staff in using the manual and understanding the evaluation process

The current draft of the manual is included in this report as Attachment 2.

Evaluation Model Application and Refinement

Accomplishments in applying and refining the evaluation model include:

- *Completion of box score ratings for three programs*

“Interim Reports” incorporating box scores according to the evaluation model have been completed on the QUEST and Young Scholars programs. A “Final Report” with box scores has been completed for Positive Behavioral Support. More detailed information on the status and outcome of all evaluations and other related work is provided in Attachment 3.

- *Identification of program/service evaluations for School Board consideration during 2007-2008*

Programs and procedures identified for evaluation according to the new process described above are specified in Attachment 4, as is the planned schedule for their completion.

Board Comments: See summary statement of the Board.

2. Cultivate an environment committed to continuous improvement.

Superintendent:	A	<input checked="" type="checkbox"/>	U	<input type="checkbox"/>
School Board:	A	<input checked="" type="checkbox"/>	U	<input type="checkbox"/>

Reasonable Interpretation:

DA will provide resources and technical support for understanding, implementing, and monitoring continuous improvement within departments, offices, and schools.

A system for continuous improvement will be based on the Plan, Do, Study, Act (PDSA) model, which will assist departments, offices, and schools to improve student achievement. The PDSA model will provide an overarching framework for how to go about conducting continuous improvement cycles:

- PLAN – What are we trying to accomplish?
- DO – How did we do it?
- STUDY – What did we accomplish?
- ACT – How can we improve?

DA will serve as a model and catalyst to develop, integrate, and refine the incorporation of the PDSA continuous improvement model into daily work. DA will help departments, offices, and schools use the PDSA model to direct and inform decision-making, with the goal of improving student academic performance.

Indicator(s):

- Qualitative and quantitative evidence of resources and support provided for continuous improvement

Superintendent's Statement of Condition:

Since the last Accountability and Audit Operational Expectations Monitoring Report approved by the School Board in February 2007, staff has continued to focus on establishing the foundation for consistent division-wide use of PDSA as the framework for continuous improvement. Activity has focused in five broad areas discussed below in greater detail. They are: application of the PDSA model itself; refining school improvement planning; collaboration and consultation with clusters, departments, and

schools on projects supporting the division's continuous improvement; developing and supporting adoption of the program evaluation schedule for 2007-2008; and encouraging the use of best practices for continuous improvement. The details are:

Application of the PDSA Model

- *School Improvement Plan Model* – During the past year, supported the work of a division-wide task force, composed of principals, cluster, and central office instructional staff, who streamlined the school improvement planning process and aligned it more clearly with the PDSA model.
- *Program Evaluation Framework* – Built the new program evaluation model (approved by the School Board during the previous monitoring cycle) around the principles of PDSA continuous improvement. The model guides program managers to:
 - define clear, measurable program objectives, supported by concrete implementation processes and milestones (Plan)
 - implement planned processes while monitoring for both fidelity to the implementation design, and for progress toward defined milestones (Do)
 - analyze results for process fidelity and progress, as well as for realization of outcome objectives (Study)
 - identify any required refinements in process and/or objectives and make adjustments accordingly (Act)

The staff has been working with selected program administrators to align program management with this model and to begin scheduled evaluations accordingly.

- *Black and Hispanic Student Dropout Study* – Followed the PDSA model in supporting the Minority Student Achievement Oversight Committee's completion of a Hispanic and Black student dropout rate report, delivered to the School Board in June 2007.¹

School Improvement Planning

- *Training* – Clusters and DA jointly staffed expert action teams that trained school planning teams on effective and efficient use of the refined school improvement plan model.
- *Planning Technical Assistance* – Cluster/DA action teams also worked with individual school planning teams to aid their development of updated school improvement plans aligned with the refined model.

¹ Minority Student Achievement Oversight Committee

- *Planning Guide* – Published a resource guide to further support the work of school planning teams.

Continuous Improvement Collaboration and Consultation

- *Teacher Leadership Grant* – Worked with Teacher Leadership Grant school teams to help them define clear, measurable objectives and concrete implementation strategies, aiding their monitoring and improvement of grant activities and outcomes.
- *Strategic Goals (Instructional Services)* – Provided technical support to Instructional Services staff as they developed action plans and outcome measures implementing the School Board's Academic Goals.
- *Modified School Calendar* – Collaborated with leadership teams of modified calendar schools as they developed required State evaluation reports. Evaluations were guided by a continuous improvement model requiring documentation of accomplishments relative to objectives, and definition of further improvements to be implemented under extended calendars.

Best Continuous Improvement Practices

- *Quality Tools* – Collaborated with the Middle School Principals' Association to sponsor continuous improvement training. The training was delivered by Baldrige Award-winning staff from Illinois Consolidated School District 15 (Palatine). They provided quality tool training to approximately 70 middle school principals, directors of student services, and staff members from the Offices of Middle School Instruction and Educational Planning. DA continues to assist central office, cluster, and school staffs in their use of quality tools and continuous improvement techniques, by providing reference resources, model tools, and technical support/consultation.

In summary, the superintendent's efforts over the past eight months have focused on reinforcing the division's basic knowledge of the continuous improvement approach and its supporting tools and techniques. More recent efforts have employed a wide variety of training, collaboration, and technical support activities aimed at institutionalizing these concepts and practices at the cluster and school levels. The current focus is on broadening the practice of disciplined continuous improvement throughout the division, aiming at establishing a broad and clear commitment to shared accountability for each individual.

Board Comments:

See summary statement of the Board.

3. Conduct a regular fiscal and performance audit of business functions.

Superintendent: A U
School Board: A U

Reasonable Interpretation:

The division will establish an audit committee consisting of two School Board members, the Superintendent, deputy superintendent, and the chief financial officer (as a non-voting member) to oversee the Office of Internal Audit. The Audit Committee will serve to promote, maintain, and enhance the independence and objectivity of the internal audit function of the school division by ensuring broad audit coverage, adequate consideration of audit or review reports, and appropriate action on recommendations. To this end, the committee shall review the annual audit plan, budget, and staffing needs of the Office of Internal Audit and shall make recommendations to the School Board as necessary.

Indicator(s):

- Establishment of the Audit Committee
- Committee's approval of the annual audit plan
- Quarterly status reports to the Audit Committee

Superintendent Statement of Condition:

Indicator 3.a.: The Fairfax County Superintendent of Schools and the Leadership Team are responsible for the effective and efficient administration of FCPS. This responsibility encompasses the requirements for accomplishing sound financial management, carrying out adequate reporting, maintaining an effective system of internal controls, complying with applicable rules and regulations, and maintaining the highest standards of ethical conduct. The School Board is responsible for ensuring compliance with laws and regulations, by visitation or other means, and for ensuring efficient operations. The School Board directs the Superintendent in these matters by adopting the budget and establishing School Board policy. Together the Superintendent and the School Board are responsible for attaining the school division's mission. To aid them in fulfilling their responsibilities, the School Board has formed an Audit Committee and has established the Office of Internal Audit, whose reporting responsibility is to the Audit Committee. The Audit Committee shall be composed of two School Board members appointed by the chair and confirmed by the entire School Board. The Superintendent and the deputy superintendent also shall be voting members of the committee. One of the School Board members will serve as chair. The chief financial officer will act as a nonvoting participant, and others may observe or participate as needed. In addition, the responsibilities of the Audit Committee, and its relationship with the Office of Internal Audit, are outlined in the Internal Audit Charter, Regulation 1420.1, effective 10-03-06.

Internal Audit met the indicator 3.a. when at the July 26, 2007, regular School Board meeting, two School Board Members, Stephen Hunt and Catherine Belter, were appointed to the Audit Committee with Mr. Hunt serving as chair and with the establishment of the *Internal Audit Charter* on 10-03-06.

Indicator 3.b.: In accordance with Regulation 1420.1, *Internal Audit Charter*, the audit director shall submit an annual work plan reflecting scheduled audits and nonaudit activities to the Audit Committee for review and approval. The work plan shall be developed after consultation with the Audit Committee and acquisition of input from the Superintendent and other Leadership Team members and shall be based on an organizational risk assessment of the school division. Any additions, deletions, or deferrals to the approved audit plan shall be approved by the Audit Committee. The approved plan shall be submitted to the School Board for final approval. The audit director may initiate and conduct any other audit or review deemed necessary for potential illegal acts, fraud, abuse, or misuse of funds. Reasonable notice shall be given to appropriate personnel of intent to audit in their areas except when conditions warrant an unannounced audit.

Changes to the 2007 annual audit plan were discussed and approved by the Audit Committee on an as needed basis during fiscal year 2007. The attached fiscal year 2008 annual audit plan (Attachment 5) was presented to the Leadership Team on June 19, 2007, received final approval from the Audit Committee on June 21, 2007, and was approved by the School Board on July 26, 2007. The plan was subsequently posted to the Office of Internal Audit internet site.

Indicator 3.c.: The Audit Committee meets monthly, prior to the second regular School Board meeting, with the director of the Office of Internal Audit, to ascertain the current status of audit projects, review the results of internal audits, and discuss and approve changes to the approved audit plan. Internal Audit prepared and presented a quarterly status report to the Audit Committee on June 21, 2007. The report includes a summary of the reports issued since the last report, the status of current audits, the status of the fiscal year 2007 annual audit plan, follow-up work on past audit findings, and assistance provided to others. A copy of the status report and accompanying documents are attached (Attachments 6A, 6B, and 6C).

Board Comments:

See summary statement of the Board.

4. Provide public access to audit results.

Superintendent:	A	<input checked="" type="checkbox"/>	U	<input type="checkbox"/>
School Board:	A	<input checked="" type="checkbox"/>	U	<input type="checkbox"/>

Reasonable Interpretation:

A written report will be prepared and issued by the audit director following the conclusion of each audit. The head of the audited activity or department will provide a written response which will become an integral part of the final report. The final audit report will be addressed to the Audit Committee. Copies will be provided to the affected department head, the Superintendent, applicable Leadership Team members, and School Board members after presentation to the Audit Committee. No earlier than two weeks following the report issuance a copy of the final report will be posted to the internal audit website to promote public access.

Indicator(s):

- Posting of audit reports on the Office of Internal Audit website
- Notification of report availability made via FCPS public website

Superintendent Statement of Condition:

Indicators 4.a. and 4.b.: Audit reports are addressed to the Audit Committee and copies are provided to the affected department head, the Superintendent, and applicable Leadership Team members after presentation to the Audit Committee. In addition, School Board members are provided copies of audit reports via the Superintendent's Friday Memo. Approximately two weeks following report issuance, the audit report is posted on the Internal Audit internet site where it can be accessed in its entirety. On the date the report is posted on the Internal Audit website, an announcement is made on the FCPS public website under "New Today," indicating report availability and a brief statement regarding the audit coverage. In addition, to enhance the transparency of FCPS, the Office of Internal Audit has placed links to all past reports issued by the office on the web site. A list of posted audit reports is attached (Attachment 7).

Board Comments: See summary statement of the Board.

Summary Statement of the Superintendent:

Summary Statement of the Board:

The School board voted to accept the Superintendent's Operational Expectations Monitoring Report for Accountability and Audit at the October 15, 2007, work session as follows:

Motion: The School Board (1) accepts Operational Expectation 1 of the Accountability and Audit Operational Expectation Monitoring Report and finds that it is in compliance; and (2) and the School Board accepts the remainder of the Accountability and Audit Operational Expectations Monitoring Report and finds that each indicator is in compliance.

Areas for Improvement:

Areas of Commendation:

Goal(s) for Instructional Program and Treatment of Students for School Year:

Date for Re-Monitoring: