

**Fairfax County School Board**  
**Operational Expectations Monitoring Report**  
A = acceptable condition    U = unacceptable condition

**ACCOUNTABILITY AND AUDIT**

Period covered: July 1, 2008 – June 30, 2009

**The Superintendent will maintain a system of continuous improvement 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:**

**Reasonable Interpretation:**

The Superintendent and staff understand “continuous improvement” to be the systematic, sustained, and objective assessment and refinement of processes and outcomes in order to maximize performance. The Superintendent will assure the provision of resources and technical support for understanding, implementing, and monitoring continuous improvement within departments, offices, and schools.

The system for continuous improvement will be based on the Plan, Do, Study, Act (PDSA) model, which will assist departments, offices, schools, and individuals to improve student achievement. The PDSA model will provide an overarching framework for defining continuous improvement and guiding the conduct of continuous improvement cycles:

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

The Superintendent and designated staff will model and facilitate the development, integration, refinement, and incorporation of the PDSA continuous improvement model into divisionwide work. They will help departments, offices, schools, and individuals use the PDSA model and appropriate quality tools to direct and inform decision-making, with the goal of improving student academic performance and operating efficiency/effectiveness.

The Superintendent will provide the systems, procedures, tools, and incentives required to assure that divisionwide planning, implementation, measurement, and refinement activities are aligned and integrated both with each other, and with School Board Goals and Expectations.

The Superintendent will:

**1. Establish a multi-year plan for program evaluation that identifies evaluation criteria and the relationship to student achievement goals. New program proposals shall include an evaluation plan that assures its evaluation within the first three years. All evaluations should recommend whether a program should be continued, modified, or discontinued based on its effectiveness and cost.**

**Superintendent:**    A     U   
**School Board:**     A      U

The Superintendent and staff understand the School Board's program evaluation expectations as follows:

**Program Evaluation and Evaluation Criteria:** Program evaluation is the systematic investigation of a particular instructional program (or service) to make critical judgments in response to calls for accountability, assistance with program development, and/or information for decisions about program effectiveness. Criteria for selecting programs to be evaluated include: 1) relationship to School Board student achievement goals; 2) scope of the program (i.e., number of students, number of sites); 3) cost; and 4) extent to which further information about the program is needed (i.e., how much information exists about current program outcomes and impact, versus that required).

Three levels of program evaluation are used to provide relevant information about a program:

*Exploratory Evaluation* of all programs considered for comprehensive evaluation – an initial month-long process that results in a technical report that recommends the program for either program development or comprehensive evaluation. Readiness for comprehensive evaluation is based on how developed a program's purpose, resources, activities, outcomes, and program components are defined and linked.

*Program Development* of underdeveloped programs – a process that includes up to a year of technical support to program staff. Program development results in a technical report that indicates whether a program is ready for comprehensive evaluation.

*Comprehensive Evaluation* of sufficiently developed programs – a process that employs scientific procedures and professional-based criteria to measure the quality of program definition (design and intents), fidelity of implementation, outcomes, costs, and a variety of other program specific issues.

**Relationship to Student Achievement Goals:** Criteria for identifying program and services for evaluation focus all evaluation efforts on programs that have potential to directly support realization of School Board goals for student academic achievement, essential life skills, and responsibility to the community.

**Evaluation Recommendations:** Each phase of the evaluation process will result in specific recommendations as identified below:

**Evaluation Process:**

**Possible Recommendations:**

Exploratory Evaluation

Designate the program to Program Development or Comprehensive Evaluation

Program Development

Resubmit to Comprehensive Evaluation or discontinue the program

Comprehensive Evaluation

Continue the program as is  
Continue the program with modifications  
Discontinue the program

**Multi-Year Evaluation Plan:** A process and document that identifies programs (and services) that are planned for evaluation over a three-year period. The plan shows the specific accountability process (Exploratory Evaluation, Program Development, or Comprehensive Evaluation) for each targeted program or service and for each year.

**New Program Proposals:** Division-level program proposals (versus those of individual schools) are submitted to the Superintendent and Leadership Team for consideration by such FCPS departments as Instructional Services, Special Services, and Professional Learning and Training.

**New Program Proposal Evaluation Plans:** Each new instructional program introduced in FCPS requires a proposal that includes an evaluation plan. Evaluation plans are developed by the Office of Program Evaluation upon request by the program's supervising assistant superintendent. The evaluation plan engages programs within the first three years of implementation in the Exploratory Evaluation, followed by either comprehensive evaluation or program development that leads to comprehensive evaluation.

**Indicator 1.a:** Annual list of programs identified for the evaluation process and evidence that the identification was based on criteria that include the program's relationship to School Board Student Achievement Goals.

**Superintendent Statement of Condition:**

**Multi-Year Plan for Program Evaluation**

The [Multi-Year Plan for Program Evaluation](#) lists twelve (12) programs identified for evaluation and the deliverable dates for reports scheduled in SY 2007-08 and SY 2008-09. The table also shows the primary Student Achievement Goal (SAG) each program supports. These programs were identified using the criteria specified above, and were selected by the Superintendent with input from Instructional Services, Special Services, and Professional Learning and Training (now Professional Learning and Accountability), Cluster Offices, and principals. During SY 2008-09, eCART and the Modified School Calendar Program were added to the Multi-Year Evaluation Plan, but will require additional discussion about information needs before moving forward with these evaluations.

The Multi-Year Plan covers evaluation efforts between SY 2007-08 and SY 2012-13, covering a period of six years. The process in which these twelve programs have been (or will be) engaged and the related evaluation products are shown in the [Flowchart of Evaluation Processes and Products](#). The process includes: Program Identification, Exploratory Evaluation, Program Development, and Comprehensive Evaluation. It should be noted that one program, After School Remediation, in the Multi-Year Plan was removed from the evaluation process. This occurred because it was merged into Summer School and will be evaluated in that broader context; Modified School Calendar is in question because of fiscal issues.

**Indicator 1.b:** Annual completion of all scheduled reports with appropriate recommendations, as identified below:

**Evaluation Reports:**

Comprehensive Evaluation

Program Development

Exploratory Evaluation

**Possible Recommendations:**

Continue the program as is, continue with modifications, or discontinue the program

Resubmit to Comprehensive Evaluation or discontinue the program

Designate the program to Program Development or Comprehensive Evaluation

## Superintendent Statement of Condition:

### Summary Exploratory Evaluation Report (SEER)

The [Summary Exploratory Evaluation Report \(SEER\)](#) provides the decision and rationale about whether or not to move forward in SY 2009-10 with a comprehensive evaluation for the following additional programs:

<u>Program</u>	<u>Recommendation</u>
• Great Beginnings (Beginning Teachers)	Comprehensive Evaluation
• Elementary Science Kits	Comprehensive Evaluation
• Career and Transition Services	Comprehensive Evaluation
• Homebound/Home-based Instruction	Program Development

The SEER is based on SY 2008-09 Program Exploratory Evaluation Reports (PEERs) completed for each of the four programs. PEERs include descriptions of program strengths and challenges, recommendations, and ratings of the readiness for Comprehensive Evaluation based on evaluability standards.

### Program Evaluation Designs for Comprehensive Evaluations

The Program Evaluation Designs for Comprehensive Evaluations for SY 2009-10 are descriptions of how three of the four programs that underwent exploratory evaluations in SY 2008-09 will be examined in SY 2009-10. The initial designs were completed by the Office of Program Evaluation and will be refined by evaluation teams, representing staff from across the division. See the linked Comprehensive Evaluation Designs for the following programs:

- [Great Beginnings \(Beginning Teachers\)](#)
- [Elementary Science Kits](#)
- [Career and Transition Services](#)

### Program Development Plan

The [Program Development Plan for Homebound/Home-based Instruction](#) is a description of the technical assistance that will be provided to this program. Based on the SY 2008-09 Exploratory Evaluation, this program, which is under redesign, was judged by the Office of Program Evaluation as not sufficiently developed to engage in comprehensive program evaluation. Therefore, the program was recommended to undergo Program Development. The Office of Program Evaluation will provide up to one year of technical support to this program, helping staff define resources, activities, and outcomes, as well as articulating the linkages among these program components and alignment of components to the overall program purpose. As a result, it is expected that the program will be ready for Comprehensive Evaluation.

### Completed SY 2008-09 Comprehensive Evaluation Report

Each evaluation report consists of three parts: the Box Score Report, the Executive Report, and the Comprehensive Evaluation Report. [Foreign Language in the Elementary School \(FLES\)](#) is the only program scheduled for a completed evaluation by the time of this report. The three components of this year one evaluation report were completed in September

2009 and address three of the four evaluation core components: program definition, fidelity of implementation, and costs (description only). Outcome data are not yet available so neither this component, nor the cost component (which depends on outcomes), could be rated in this report. The year two report will address all four components.

Comprehensive Evaluation Reports for Advancement Via Individual Determination (AVID), Online Campus, and Teacher Leadership Model Development (TLMD) will be completed during December 2009 and January 2010.

The FLES report also reflects updates to the evaluation process including a revised [Box Score Report](#), which is a one-page graphic representation of the strengths and weaknesses of the program, and refined [Quality Standard Elements and Benchmarks for Judging Program Components](#).

**Superintendent Statement of Condition:**

**Board Comments:**

See Summary Statement of the Board.

**2. Conduct a regular fiscal and performance audit of business functions.**

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

**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 2.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 2.a. when at the July 23, 2009, regular School Board meeting, two School Board Members, Tessie Wilson and James Raney, were reappointed to the Audit Committee with Mr. Raney serving as chair and with the establishment of the *Internal Audit Charter* ([Internal Audit Charter](#)) on 10-03-06.

**Indicator 2.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 2009 annual audit plan were discussed and approved by the Audit Committee on an as needed basis during fiscal year 2009. The [FY 2010 Annual Audit Plan](#) was presented to the Leadership Team on June 23, 2009, received approval from the Audit Committee on July 23, 2009, and was approved by the School Board on July 23, 2009. The plan was subsequently posted to the Office of Internal Audit internet site.

**Indicator 2.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 the [Quarterly Status Report](#) to the Audit Committee on July 23, 2009. The report includes a summary of the reports issued since the last report, the status of current audits, the status of the fiscal year 2009 annual audit plan, follow-up work on past audit findings, and assistance provided to others.

**Board Comments:** See Summary Statement of the Board

**3. Provide public access to audit results.**

<b>Superintendent:</b>	<b>A</b>	<input checked="" type="checkbox"/>	<b>U</b>	<input type="checkbox"/>
<b>School Board:</b>	<b>A</b>	<input checked="" type="checkbox"/>	<b>U</b>	<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 web site to promote public access.

**Indicator(s):**

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

**Superintendent Statement of Condition:**

**Indicators 3.a. and 3.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 web site, an announcement is made on the FCPS public web site 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](#).

**Board Comments:** See Summary Statement of the Board

**Summary Statement of the Superintendent:**

Accountability and Audit have met all of their 2008-2009 operational expectations and recommend the Board accept this report.

### **Challenges Facing Accountability:**

The Department of Professional Learning and Accountability is a primary source for research, instrument design and analysis, and technical assistance on Student Achievement Goals reporting, Project Management Oversight Committee projects, research screening, and other division projects. The Office of Program Evaluation is constantly faced with requests for technical assistance that far exceed the available man hours. How can the Office of Program Evaluation preserve sufficient time to conduct all evaluations in a timely and effective manner in light of competing requests?

### **Challenges Facing Internal Audit:**

Internal Audit has been charged by management and the School Board with the responsibility for continually examining and evaluating the adequacy and effectiveness of our systems of internal control and the quality of program performance. This responsibility only increases in tough economic times. How can Audit maintain its level of effectiveness when current requests for assistance far exceed the available man hours in the Audit Office?

### **Summary Statement of the Board:**

The motion to accept the Accountability and Audit Operational Expectations monitoring report and find that each indicator is acceptable and to commend the Professional Learning and Accountability Department. for the usefulness of their exemplary report **passed 7-0**: Ms. Bradsher, Mr. Gibson, Mr. Raney, Mrs. Smith, Mr. Storck, Mrs. Strauss, and Mrs. Wilson voted "aye"; Mr. Center, Ms. Hone, Mrs. Kory and Mr. Moon were absent; with the Providence district seat vacant.

### **Areas for Improvement:**

### **Areas of Commendation:**

### **Goal(s) for Accountability and Audit for School Year:**

**Date for Re-Monitoring:** October 2010