

Ministry of Education

**Dufferin-Peel Catholic District School
Board
Follow-up Report to the Operational
Review**

June 2011

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1. Introduction

The Ministry is in the process of conducting Operational Reviews of the 72 district school boards across the province. The Ministry's goal is to enhance management capacity within school boards by encouraging good stewardship of public resources and by the leveraging and sharing of best practices. By identifying opportunities for continual improvement, school board administration and operations will be aligned to support the government's highest priority: student achievement.

In accordance with the stated objectives of the Operational Reviews, the Ministry has also engaged school boards to participate in a status and implementation update as part of the Operational Review cycle. Occurring approximately 12 months after the issuance of the final Operational Review report, the purpose of the update is to discuss with each school board the progress made in implementing the recommendations contained in the final report. It will also provide school boards with an opportunity to communicate to the Ministry their thoughts on the process, benefits that have been derived, and areas where some adjustments to the process would be beneficial.

As the recommendations vary between school boards, both in terms of quantity and scope, the following criteria were developed to help focus the review team, and the school board, on specific recommendations:

- Is the recommendation linked to the 12 Areas of Opportunity identified in the 2008 Sector Summary Report (seven) and the 2009 Sector Summary Report (five)?
- Does the recommendation represent a move toward more Strategic Planning on the part of Boards?
 - The departments that are responsible for the business functions perform significant activities in support of Student Success. The update should profile whether or not the school board is establishing links between the academic and non-academic functions through its strategic goals and priorities.
- Does the recommendation represent an area of potential risk to the board?
 - As an example, financial systems that are antiquated and require staff with very specialized knowledge could potentially disrupt the operations of the school board should those business skills be lost.
- Is the recommendation deemed to have positive Return on Investment?

- For example, implementation of an attendance management system may have greater potential for savings to the school board than introducing an electronic funds transfer system.
- Does the recommendation reflect updates to the Leading Practices?

For each of the selected recommendations, the school board was asked to provide the following information to the Operational Review team:

- Description of action(s) taken/not taken by the board to address recommendation(s).
- Supporting documentation
- If implemented, describe benefits derived, if possible, and date of implementation.

Details of the prioritization of the recommendations can be found in Appendix A of this report.

The scope of the follow up review also includes high-level consideration of whether the school board demonstrates adoption of those leading practices that were added to the fourth edition of the Operational Review Guide, released to the sector in September 2010. These were not part of the original review process.

2. Status and Implementation Update

Introduction

The Dufferin-Peel Catholic District School Board Operational Review follow-up review took place on February 23, 2011, approximately 12 months after the release of the initial Operational Review report. The PricewaterhouseCoopers Operational Review team conducted a teleconference with a senior administrative official of the school board. In advance of the teleconference, the PricewaterhouseCoopers team selected several key recommendations from the Operation Review Report and asked the board to provide an implementation status along with any related supporting material.

Summary of Recommendation Status

The school board has made significant progress in implementing the recommendations since the completion of its original Operational Review in February 2010. Of particular note are the steps taken to clarify the governance model, implement an attendance support program, and enhance the interim financial reporting processes and multi-year maintenance plans.

Following the Operational Review, management reported the findings of the Operational Review report to the Board of Trustees.

There were 19 recommendations made in the original report. The Operational Review team focused on 9 of the recommendations in the follow-up review. The opportunities presented a cross section of strategic planning initiatives, some from 12 areas of opportunity identified in the sector reports as well as those that were of specific risks to the Dufferin-Peel Catholic District School Board. The selected recommendations and the corresponding criteria are listed in Appendix A.

Overall, senior administration has either fully implemented or has made some progress on most of the recommendations chosen for follow-up.

3. Governance and School Board Administration

#1 Governance Model

Operational Review Recommendation	Implementation Update
The Board should finalize and document its governance model with clear delineation of the division of duties and responsibilities between the board of trustees and the director of education.	Implemented

#2 Strategic Planning

Operational Review Recommendation	Implementation Update
The school board should finalize the development of a multi- year strategic plan and continue establishing an annual operating plan, incorporating both academic and non-academic departments. The plan should contain goals that are specific, measurable, achievable, relevant, and timely. The annual board-wide operating plan should be aligned with the strategic directions, and serve as a framework for annual departmental planning.	Implemented

#3 Succession Planning

Operational Review Recommendation	Implementation Update
The school board should continue aligning its leadership development programs and activities with the Ministry leadership initiatives. It should continue developing a formal Succession and Talent Development Plan, in line with the Leadership Succession Planning and Talent Development - Ministry Expectations and Implementation Continuum.	In Progress

#1 Governance Model

The Board has approved a Policy Review and Development Policy on November 23, 2010. The policy clearly defines the responsibilities of trustees in accordance with the *Student Achievement and School Board Governance Act*, Bill 177. The Policy also reflects the goals and priorities of the board as set out in the school board's mission statement. The policy describes a process for policy development and policy review and is intended to provide for thoroughness and consistency in the Board's policies. The policy stipulates that all policies, by-laws and regulations shall be broad enough to allow discretionary action by senior staff in meeting day-to-day operations, yet specific enough to provide clear guidance to the school board and its staff.

#2 Strategic Planning

The school board has completed a three-year Strategic System Plan for 2010-2015 in June 2010. Both academic and administrative functions are covered by the plan. The plan is used to develop annual board-wide and department level goals that are specific, measurable, achievable, relevant, and timely. Individual departments use the multi-year strategic plan to develop their annual department level goals which are tracked and monitored over time.

#3 Succession Planning

The school board has established a Leadership, Mentoring and Coaching Committee which is chaired by the Director of Education. The committee has since initiated plans that focus on leadership development and succession planning and the scope covers all staff including senior administration. The school board and its Leadership, Mentoring and Coaching Committee should continue aligning its leadership development programs and activities with the Ministry leadership initiatives. It should continue developing a formal Succession and Talent Development Plan, in line with the Leadership Succession Planning and Talent Development - Ministry Expectations and Implementation Continuum.

4. Human Resource Management and School Staffing/Allocations

#1 Attendance Support

Operational Review Recommendation	Implementation Update
Management should finalize its attendance support program, and develop a mechanism to assess and report on the effectiveness of the attendance support process/programs to senior administration and the Board.	Implemented

#2 Pay Equity Plan

Operational Review Recommendation	Implementation Update
Management should continue updating the pay equity plan for all employee groups of the school board.	Implemented

#1 Attendance Support

The school board has finalized the design and requirements of its attendance support program and is currently implementing the program. An Attendance Support Officer has been hired to support the program. The Attendance Support Officer was hired as part of a restructuring that realigned the Health Promotion & Wellness Department under the responsibility of the Superintendent of Human Resources. The Employee Relations Research Officer continues to be part of the working group along with the Human Resources, Health Promotion & Wellness Departments. The scope of the attendance support program includes all staff.

#2 Pay Equity Plan

The Board has updated the pay equity plans for all employee groups of the school board. An amended Mid-Management Pay Equity Plan was posted in 2010. The Board and the CUPE 2026 group are in the process of concluding discussions on a Pay Equity Order. During the past year, the school board and the union, with the assistance of an external advisor, commenced discussions on a new job evaluation system and tool to evaluate all CUPE 2026 positions. The parties have also agreed that negotiations for a new comparator will occur with the Dufferin-Peel Education Resource Workers once a new CUPE 2026 tool is established.

5. Financial Management

#1 Interim Financial Reporting

Operational Review Recommendation	Implementation Update
Management should continue finalizing the format of interim financial reporting based on recommendations provided by the Interim Financial Reporting Committee (IFRC).	Implemented

#2 Audit Committee

Operational Review Recommendation	Implementation Update
In accordance with the Ministry's internal audit and audit committee strategy, the Board should include two external advisors in its audit committee.	Implemented

#1 Interim Financial Reporting

The Finance department has finalized the format of interim financial reporting based on IFRC recommendations and templates. The first report using the new format will go to the Administration and Finance Committee in the first quarter of 2011.

#2 Audit Committee

The Board appointed two external advisors in February 2011. The Board reported a high level of interest for the volunteer position from the community and received 50 applications. Eight applicants were interviewed, all of whom were well-qualified. The newly appointed advisors are both professional accountants and will have a three-year term.

6. School Operations and Facilities Management

#1 Multiyear Maintenance and Renewal Plan

Operational Review Recommendation	Implementation Update
<p>The planning and operations department should consolidate its planning activities and establish a multi-year maintenance and renewal plan that includes the funding available to support it.</p> <p>This would provide the senior administration, the Board and its stakeholders with a clear forecast of the school board's critical needs over the next several years.</p>	<p>In progress</p>

#2 Energy Management Strategy

Operational Review Recommendation	Implementation Update
<p>Using the results of the energy audits, the school board should establish a multi-year energy management plan that incorporates quantifiable measures and the tools to monitor and manage the plan. In line with the Green Energy Act, 2009, energy management planning should include the development of policies, guidelines, goals (conservation targets), and priorities for energy management and resource conservation.</p> <p>The plan should include short-term and long-term opportunities with milestones, roles, responsibilities and budgets with a process for ensuring community support.</p>	<p>In progress</p>

#3 Environmental Policy

Operational Review Recommendation	Implementation Update
<p>The school board should develop an environmental policy that would provide framework for the school board's activities in the area of environmental management and education and increase the communication opportunities.</p>	<p>In progress</p>

#1 Multiyear Maintenance and Renewal Plan

The Facilities function has drafted a new report that contains a two-year maintenance and renewal plan. The report forecasts projects for the Board encompassing funding and priorities related to facility renewal, energy efficiency, maintenance, and retrofit projects such as facilities and washrooms for PIP students. The two-year maintenance and renewal plan will also be coordinated with the capital projects identified on the Board's Long-Term Plan and Full Day Kindergarten retrofit projects. The report will be presented to Executive Council in March 2011.

#2 Energy Management Plan

The facilities function has moved forward to create a multi-year energy management plan that incorporates quantifiable measures and tools to monitor energy consumption. An Energy Management Engineer has been retained by the Board to coordinate the development and implementation of the Energy Management Plan. Staff is currently processing applications for energy rebate programs, where feasible. There are approximately 30 additional incentive programs for energy efficiency rebates which can be pursued for older schools, in conjunction with the installation of energy efficient equipment. Furthermore, work is underway on the development of preventative maintenance programs to ensure energy efficiency, install energy efficient equipment, monitor energy consumption and track energy reductions. Finally, analyses are being undertaken to further develop standardized temperature and control settings to generate cost savings. The school board should continue with their development and implementation of a multi-year energy management plan and their energy management and conservation initiatives.

#3 Environmental Policy

A proposed Environmental Policy has been drafted. Senior administration anticipates that the draft will be approved at the Bylaw and Policy meeting by the end of the school year. The Board's Strategic System Plan for 2010-2015 has delineated the "good stewardship of resources" as one of its goals which aligns with in the Board's commitment to maintaining a clean, healthy and safe school environment. The Board is initiating a number of activities in the area of environmental management and education, including expanding the number of schools with an Ontario Eco Certification, outdoor education programs, the Virtues Program and continued development of Environment Education course offerings and curriculum. The school board should finalize their proposed Environmental Policy and continue in their environmental management and education initiatives.

7. School Board Adoption of New Leading Practices

The following leading practices were added to the Fourth Edition of the Operational Review Guide that was released to the sector. Some of these leading practices are a result of the observations and learning from earlier waves of reviews.

School boards that were reviewed prior to September 2010 were not assessed against the new leading practices identified below. During this follow-up review process, the Operational Review team asked those school boards to comment on the extent to which they demonstrate adoption of these practices.

Governance and School Board Administration

New Leading Practice	Adopted?
The governance model reflects the roles and responsibilities mandated by the Student Achievement and School Board Governance Act, Bill 177.	Yes

The board has updated its governance model to ensure that it reflects the roles and responsibilities mandated by Bill 177 after a thorough review process.

HR Management and School Staffing/Allocation

New Leading Practice	Adopted?
Trustees do not sit on hiring panels (exception hiring the director of education) but provide policies to govern staffing and recruitment.	Yes
Processes are in place to identify and remove discriminatory biases and systemic barriers in staff recruitment, selection, hiring, mentoring, promotion and succession planning processes. The school board conducts employment system reviews and works towards broadening the diversity of recruitment pools.	Yes
Trustees provide the school board's policy and priority framework within which bargaining takes place.	Yes

Senior administration reports that the school board has been adopting all three additional new leading practices under the HR function.

Trustees restrict their hiring decisions to that of the recruitment of the Director of Education and provide policy direction to govern the staffing and recruitment for the rest of the administration and school board's staff. As part of the Board's Leadership and Training programs, the board develops a pool of potential candidates for Superintendent positions from qualified principals. Trustees are not involved in the selection of Superintendents or other senior administration staff.

The board has a diversity and equity officer who reports to the Director. There is continuous in-service on this topic to identify and remove discriminatory biases and systemic barriers in staff recruitment, selection, hiring, mentoring, promotion and succession planning processes. The board's current policies and practices also adhere to these principles.

The Board of Trustees, through the Contract Negotiations Committee, has provided the school board with a policy and priority framework within which bargaining takes place. In line with the new Bill 177, trustees should not have a direct role in labour negotiations. Trustees should continue to provide the school board's policy and priority framework within which bargaining takes place and should not play a direct role in future negotiations.

Financial Management

New Leading Practice	Adopted?
The established policies and procedures that govern all aspects of supply chain management, including both planned (recurring) and unplanned (non-recurring/emergency purchases, comply with the Supply Chain Guideline (SCG) v.1.0.	Yes
In line with the SCG, purchasing authorization levels are commensurate to job roles and responsibilities, and are monitored for compliance by a supervisor or department head.	Yes

The school board is in compliance with SCG v1.0 and is prepared to make further amendments to its supply chain policies, procedures and processes to ensure compliance to the new Broader Public Sector (BPS) Procurement Directive, released in April 2011.

Senior administration reported that all purchasing authorization levels are commensurate to job roles and responsibilities, and are monitored for compliance by a supervisor or department head.

Operations and Facilities Management

New Leading Practice	Adopted?
The school board has an approved facility partnership policy.	Yes
A Project Manager is appointed to oversee all aspects of the project including monitoring the budget and project timelines and ensuring management processes are in place for issues such as change orders and other internal approvals. This includes periodic project status updates and post-construction project evaluation.	Yes
An independent Cost Consultant is retained by the school board to review the design, provide objective costing analysis and advice, and report to the	Yes

New Leading Practice	Adopted?
school board on options to ensure that the proposed capital expenditure is within the approved budget, prior to tendering a project.	

The school board has a Facility Partnership Policy under Policy # 704, which addresses facility partnerships at the board.

The Facilities department has a dedicated project manager to oversee major construction and maintenance projects. The role of the project manager is to be the single point of contact for individual, large-scale construction and maintenance projects. This individual is responsible for overseeing and monitoring the progress of the project, working with the architect and general contractor to ensure the on-time and on-budget delivery of each project.

The school board has retained the services of an independent cost consultant for school construction projects in the past and for current projects as well. The decision of whether a cost consultant is retained depends on the size and complexity of the project. For major construction projects the school board has engaged the services of cost consultants to obtain a third-party perspective on the financial proposals from vendors, and to track and monitor developments in the market.

Appendix A – Selection of Recommendations

- **SP** - Strategic Planning (SP)
- **AR** - Areas of Risk Categories
 - AR 1 - Undue reliance on specific human and / or non-human resources
 - AR 2 - Reputational risk in the community from not acting on the recommendation
 - AR 3 - Financial risk impacting school board’s financial position
- **ROI** - Potential for material Return on Investment
- **TAO** - Twelve Areas of Opportunity from 2008 sector report (seven) and the 2009 sector report (five)
- **NLP** – New leading practices introduced in Wave 5 through the Fourth Edition of the Operational Review Guide.

Governance and School Board Administration

Ref.	Recommendation	Follow-up Yes/No	Criteria
1.	The Board should finalize and document its governance model with clear delineation of the division of duties and responsibilities between the board of trustees and the director of education.	Yes	NLP
2.	The school board should finalize the development of a multi-year strategic plan and continue establishing an annual operating plan, incorporating both academic and non-academic departments. The plan should contain goals that are specific, measurable, achievable, relevant, and timely. The annual board-wide operating plan should be aligned with the strategic directions, and serve as a framework for annual departmental planning.	Yes	SP
3.	The school board should continue aligning its leadership development programs and activities with the Ministry leadership initiatives. It should continue developing a formal Succession and Talent Development Plan, in line with the Leadership Succession Planning and Talent Development - Ministry Expectations and Implementation Continuum.	Yes	TAO

HR Management and School Staffing/Allocation

Ref.	Recommendation	Follow-up Yes/No	Criteria
4.	Management should finalize its attendance support program, and develop a mechanism to assess and report on the effectiveness of the attendance support process/programs to senior administration and the Board.	Yes	TAO

Financial Management

Ref.	Recommendation	Follow-up Yes/No	Criteria
5.	Management should continue finalizing the format of interim financial reporting based on recommendations provided by the Interim Financial Reporting Committee (IFRC).	Yes	TAO
6.	In accordance with the Ministry's internal audit and audit committee strategy, the Board should include two external advisors in its audit committee.	Yes	TAO

School Operations and Facilities Management

Ref.	Recommendation	Follow-up Yes/No	Criteria
7.	The planning and operations department should consolidate its planning activities and establish a multi-year maintenance and renewal plan that includes the funding available to support it. This would provide the senior administration, the Board and its stakeholders with a clear forecast of the school board's critical needs over the next several years.	Yes	TAO
8.	Using the results of the energy audits, the school board should establish a multi-year energy management plan that incorporates quantifiable measures and the tools to monitor and manage the plan. In line with the Green Energy Act, 2009, energy management planning should include the development of policies, guidelines, goals (conservation targets), and priorities for energy management and resource conservation. The plan should include short-term and long-term opportunities with milestones, roles, responsibilities and budgets with a process for ensuring community support.	Yes	NLP
9.	The school board should develop an environmental policy that would provide framework for the school board's activities in the	Yes	NLP

Ref.	Recommendation	Follow-up Yes/No	Criteria
	area of environmental management and education and increase the communication opportunities.		