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| **Background** |

This diagnostic questionnaire is designed to assist the division superintendent and senior school division management in taking a “pulse” of their fiscal wellness and related operations. The use of the questionnaire is strictly voluntary and there is no requirement to provide any responses or related information to the Virginia Department of Education.

This questionnaire is intended to cover high-level strategic questions that would generally be found in a division with a sound fiscal environment and related operations without getting mired into a detailed process-level internal controls questionnaire. It is to be used as a general guide and is not intended to cover all areas and specific circumstances.

A "yes" answer would indicate that a desired safeguard or process is in place while a "no" answer **may** indicate the existence of a control weakness or improvement opportunity. It is recommended that this document be shared with appropriate division staff.

This document consists of **ten sections** with a **total of 150 questions**. A summary of each section is provided below:

1. General Management Environment – (28 questions)
2. Strategic Plan Monitoring-Accomplishment of Goals and Objectives – (6 questions)
3. Budget Monitoring (Operating and Capital) – (36 questions)
4. Annual Audit Performance (16 questions)
5. Grants Accounting and Administration (13 questions)
6. Fraud Awareness and Prevention – (6 questions)
7. Business Continuity Plan – (11 questions)
8. Information Technology Security – (13 questions)
9. Facilities Management – (11 questions)
10. Pupil Transportation – (10 questions)

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| **General Management Environment** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Does the division have a written mission statement that establishes clear operational objectives and goals?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a written code of ethics?
 | ☐ | ☐ | ☐ |  |  |
| 1. If the division has a code of ethics, is this code promoted periodically with the code document displayed in a conspicuous location?
 | ☐ | ☐ | ☐ |  |  |
| 1. If the division has a code of ethics, does it give clear guidance on what type of behaviors and actions are expected of employees consistent with the division’s core values?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have an up-to-date organization chart?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does each full-time employee have an up-to-date job description, provide clear duties, assign appropriate responsibilities for completing needed tasks, and establish clear lines of authority?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are full-time employees subject to written annual performance evaluations?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have an up-to-date financial policies and procedures manual?
 | ☐ | ☐ | ☐ |  |  |

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| **General Management Environment** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. If there is a financial policies and procedures manual, is it readily available to staff, such as posted on the division’s website or a shared internal system?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are division employees properly screened to ensure that they have the knowledge, skills, and abilities to effectively and efficiently perform their job duties?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division conduct a structured orientation process (e.g., new hire checklist) for new hires of relevant school division policies, procedures, and expectations from employees?
 | ☐ | ☐ | ☐ |  |  |
| 1. Do the school division’s hiring and retention policies and procedures support federal requirements for reasonable accommodation, diversity, and being an equal opportunity employer?
 | ☐ | ☐ | ☐ |  |  |
| 1. Has the division reviewed its rate of employee turnover and analyzed underlying data to identify strategies to improve employee satisfaction and retention?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are goods and services procured in accordance with the [*Virginia Public Procurement Act*](http://law.lis.virginia.gov/vacodepopularnames/virginia-public-procurement-act/)?
 | ☐ | ☐ | ☐ |  |  |

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| **General Management Environment** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Does the division have an adopted multi-hazard crisis management plan?
 | ☐ | ☐ | ☐ |  |  |
| 1. If the division has a multi-hazard crisis management plan, does it train and exercise this plan with appropriate staff and public safety partners on an ongoing basis?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the school division have appropriate property and liability insurance or otherwise is the division adequately covered for losses if self-insured?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the school division meet or exceed prescribed surety bonding requirements for staff such as the school board clerk, deputy clerk, and fiscal positions (e.g., petty cash custodians)?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division actively manage and train staff on the proper handling of both paper and electronic records in compliance with the Virginia Public Records Act with regulations issued by the [Library of Virginia](http://www.lva.virginia.gov/agencies/records/)?
 | ☐ | ☐ | ☐ |  |  |

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| **General Management Environment** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Does the division periodically survey employees on a variety of workplace topics such as their work environment, communications, staffing, resources, ethics, etc.?
 | ☐ | ☐ | ☐ |  |  |
| 1. If a workplace survey is conducted, are the results communicated to staff and actionable items addressed by management?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a mechanism in place to accept and review employee and public suggestions for improvement?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division superintendent have frequent and open communications with the division’s finance director/CFO and include this individual in all important decision making meetings?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a process in place along with assigned staff to identify new/changed laws or statutory requirements that could affect the division’s operations?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there any pending litigation that would have material financial consequences to the division (e.g., special education, due process or employee grievance claims, etc.)?
 | ☐ | ☐ | ☐ |  |  |

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| **General Management Environment** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Is there an internal process for targeted dissemination of VDOE communications such as Superintendent’s Memos and Emails?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are division employees participating in professional development to ensure that they are aware of current and future changes that affect the division in the financial area?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is the division using technology to promote financial transparency such as posting approved budgets, budget progress reports, checkbook transactions, audit reports, etc. on its website?
 | ☐ | ☐ | ☐ |  |  |

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| **Strategic Plan Monitoring – Accomplishment of Goals and Objectives** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Does the division have a strategic plan with measurable goals and objectives?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are the objectives prioritized according to importance?
 | ☐ | ☐ | ☐ |  |  |
| 1. Have goals and objectives been formally approved and documented?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are there written status reports issued to monitor accomplishment of the strategic plan’s goals and objectives?
 | ☐ | ☐ | ☐ |  |  |
| 1. Has the division’s management established operating benchmarks that can be used to measure departmental performance and their contribution to the overall plan?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is the division’s strategic plan reviewed at least annually and updated as needed?
 | ☐ | ☐ | ☐ |  |  |

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| **Budget Monitoring** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| **Operating Budget** |
| 1. Does the school division meet the required deadlines as prescribed by the *Code of Virginia* for development, public hearing, publication, and approval of the proposed school board budget?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have procedures and processes in place to ensure the proper use of funds for local, state, and federal funds?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have an established process to monitor and anticipate changes to key factors affecting state education funding such as average daily membership (ADM), per pupil funding, local composite index, sales tax, and other local revenue forecasts?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are student enrollment trends monitored year-round? Potential changes in the community affecting enrollment include, but are not limited to new/departing employers, layoffs, new subdivisions, etc.
 | ☐ | ☐ | ☐ |  |  |
| 1. Is the current financial system up to date and meeting the needs of the division for transaction processing, budget monitoring, and financial reporting?
 | ☐ | ☐ | ☐ |  |  |

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| **Budget Monitoring** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| **Operating Budget** |
| 1. Are monthly financial statements and cash balances of all funds (local, state, and federal) presented to the local school board as an agenda item at the monthly board meeting?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are explanations sought for significant or unusual variances (surplus or deficit) and corrective action taken as appropriate?
 | ☐ | ☐ | ☐ |  |  |
| 1. Since payroll and benefits expenditures generally represent approximately 80% of school budgets, is there a detailed monitoring process in place to track any salary scale increases, inflation, cost of living adjustments, social security, health insurance, and VRS?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there a process in place that will prevent the expenditure of funds without a corresponding appropriation?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there a direct and clear correlation of the division’s comprehensive goals to the specific areas of the budget?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are there periodic joint meetings between the governing body (e.g., city council or board of supervisors) and the school board during the year to discuss strategic issues including budget needs?
 | ☐ | ☐ | ☐ |  |  |

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| **Budget Monitoring** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| **Operating Budget** |
| 1. Is there an ongoing budget monitoring process that includes monthly or frequent operating and capital budget comparison of actual spending to budgeted amounts?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are critical components of the personnel services budget such as position control, fringe benefits (health insurance, workers’ compensation, retirement, etc., actively monitored?
 | ☐ | ☐ | ☐ |  |  |
| 1. Prior to approving a position for recruitment, has a specific and continuing funding source been identified to financially support the position?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are cafeteria operations of the division financially self-supporting?
 | ☐ | ☐ | ☐ |  |  |
| 1. If cafeteria operations are not financially self-supporting, is there a plan to return it to independent financial stability?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are cafeteria food and supply orders reviewed against planned menus and inventory reports prior to ordering to verify need?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the school division perform periodic unannounced inspections and inventories at school cafeterias?
 | ☐ | ☐ | ☐ |  |  |

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| **Budget Monitoring** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| **Operating Budget** |
| 1. Are actual expenditures compared to budgeted amounts in detail and significant variances explained?
 | ☐ | ☐ | ☐ |  |  |
| 1. Has the division recently performed an efficiency review to determine the need for the following:
* Overtime
* Stipends
* Extended contracts (specified number of days beyond 180-day school term)
* Other administrative costs such as vehicles, copiers, cell phones, pagers, etc.?
 | ☐ | ☐ | ☐ |  |  |
| 1. Has the division reviewed the [Matrix of School Review Best Practices and Recommendations](http://www.dpb.virginia.gov/school/Matrix.cfm) available on the Department of Planning and Budget’s (DPB) website?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division actively monitor and maximize their [e-rate](http://www.doe.virginia.gov/support/technology/erate/) and [Medicaid](http://www.doe.virginia.gov/support/health_medical/medicaid/index.shtml) reimbursements?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a monitoring process in place to ensure available balances, including operating funds and grants, are fully utilized and do not inappropriately revert to the originating funding agency?
 | ☐ | ☐ | ☐ |  |  |

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| **Budget Monitoring** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| **Operating Budget** |
| 1. In the last five years, has the school division held vendor invoices near the end of the fiscal year due to lack of funds and delayed these payments until the next fiscal year?
 | ☐ | ☐ | ☐ |  |  |
| 1. In the last five years, has the school division written checks in June for goods and services not yet received by the end of the fiscal year (e.g., June 30)?
 | ☐ | ☐ | ☐ |  |  |
| 1. In the last five years, has the school division prepaid expenses (other than customary dues, subscriptions, insurance, etc.) due to a budget surplus?
 | ☐ | ☐ | ☐ |  |  |
| 1. For 10-month teacher contracts paid over a 12-month period, are all expenditures recorded in the current fiscal year since no further contractual services are required by the teachers until the next school year?
 | ☐ | ☐ | ☐ |  |  |

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| **Budget Monitoring** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| **Capital Budget** |
| 1. Is there an up-to-date 5-year capital improvement plan addressing the following:
* Real property
* Buildings and grounds
* Buses
* Vehicles
* Cafeteria equipment
* Technology
* Textbooks?
 | ☐ | ☐ | ☐ |  |  |
| 1. If there is a capital improvement plan, is there a detailed inventory of the age and condition of school buses/division vehicles and related capital expenditures (e.g., radios, cameras, etc.) along with corresponding funding for their replacement?
 | ☐ | ☐ | ☐ |  |  |
| 1. If there is a capital improvement plan, is there a detailed technology plan covering both classroom and administrative needs along with their corresponding refresh cycles for all devices and the mechanism to fund their replacement?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there a complete and accurate list of planned renovations and a corresponding funding plan?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division update capital outlay plans to reflect approved change orders affecting the original budget?
 | ☐ | ☐ | ☐ |  |  |

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| **Budget Monitoring** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| **Capital Budget** |
| 1. Are there safeguards in place to prevent the total budgeted items from exceeding the amount established for the project plus approved change order adjustments?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the school board anticipate issuing debt for capital school improvements through the governing body in the commercial bond market rather than through the Virginia Public School Authority (VPSA), Qualified Zone Academy Bonds (QZAB) Program, or a loan from the Virginia Literary Fund?
 | ☐ | ☐ | ☐ |  |  |
| 1. If issuance of debt is planned in the commercial bond market, are the division and local governing body comfortable that the costs associated with this issuance are fair when compared with other funding avenues including the school-related channels mentioned above?
 | ☐ | ☐ | ☐ |  |  |
| 1. If applicable, does the division have adequate current and out-year funding for obligations under existing debt service and/or capital leases?
 | ☐ | ☐ | ☐ |  |  |

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| **Annual Audit Performance** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Did the school division receive an unmodified “clean” audit opinion in the Comprehensive Annual Financial Report (CAFR)?
 | ☐ | ☐ | ☐ |  |  |
| 1. Did the division adopt, implement, and maintain a balanced budget without an additional mid-cycle supplemental appropriation from the governing body?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are there any *material* audit findings, weaknesses in internal control, or non-compliance findings for the school division?
 | ☐ | ☐ | ☐ |  |  |
| 1. Did the division receive any education-related *repeat* audit finding(s)
 | ☐ | ☐ | ☐ |  |  |
| 1. Did the division receive a segregation of duties audit finding?
 | ☐ | ☐ | ☐ |  |  |
| 1. If there is no practical corrective action for a segregation of duties finding, has the division contacted the auditing firm for guidance and recommendations on implementing compensating controls to address the finding?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is the submission of the Annual School Report – Financial Section (ASRFIN), done on a timely basis? (The deadline for submission to VDOE is Sept. 15, or Sept. 30 with an approved VDOE extension).
 | ☐ | ☐ | ☐ |  |  |

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| **Annual Audit Performance** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Is there a process in place for appropriate management in the central office to review school activity fund (SAF) reports and the results of their annual audit?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are there any unresolved audit-related issues with the school activity funds?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a comprehensive SAF procedures manual that specifically details the responsibilities of the principal and bookkeeper?
 | ☐ | ☐ | ☐ |  |  |
| 1. If the division has a SAF procedures manual, have the principal and bookkeeper been trained on these procedures?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there an individual responsible for tracking compliance with economic interest/conflict of interest filing of designated officials?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is the division responsive to recommended internal control improvements identified by internal auditors, consultants, and external auditors, etc., and are these recommendations implemented?
 | ☐ | ☐ | ☐ |  |  |

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| **Annual Audit Performance** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Is the division aware that a copy of the local government’s comprehensive annual financial report (CAFR) including component units such as schools and economic development authority, if applicable, is due to the Auditor of Public Accounts (APA) no later than November 30 annually per §[15.2-2510](http://law.lis.virginia.gov/vacode/title15.2/chapter25/section15.2-2510/), and a public session held by the governing body on the results of the audit by December 31st per §[15.2-2511](http://law.lis.virginia.gov/vacode/title15.2/chapter25/section15.2-2511/), is required under the *Code of Virginia?*
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division receive a copy of the final audit report, the Auditor’s Letter – “Communication with Those Charged with Governance,” and if issued by the auditing firm, the management (suggestion) letter?
 | ☐ | ☐ | ☐ |  |  |
| 1. If applicable, does the division attend an exit conference with the external auditors upon the completion of the audit?
 | ☐ | ☐ | ☐ |  |  |

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| **Grants Accounting and Administration** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Are the division’s federal grant policies and procedures compliant with current federal and state regulations?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are federal grant requirements clearly stated and systematically communicated through the division in manuals, handbooks, or other media?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are individuals responsible for federal grants provided with ongoing training on compliance with federal grant regulations?
 | ☐ | ☐ | ☐ |  |  |
| 1. When planning for the use of federal funding, does the division consider and document the four pillars of federal cost principals – are expenditures: (1) allowable, (2) reasonable, (3) necessary, and (4) advisable?
 | ☐ | ☐ | ☐ |  |  |
| 1. For salaries and fringe expenditures charged to federal funds, are semi-annual certifications (single cost objective) or monthly payroll activity reports (PARs) for split funding, maintained on file?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is the division submitting timely federal grant reimbursement with VDOE on a monthly or at least a quarterly basis?
 | ☐ | ☐ | ☐ |  |  |

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| **Grants Accounting and Administration** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Does the division actively monitor grant opportunities and apply for them as appropriate?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there collaboration between finance and grant administrative staff to ensure that grant applications are submitted on time and that all funding is spent on approved items within established timelines?
 | ☐ | ☐ | ☐ |  |  |
| 1. If a grant is awarded after the commencement of the fiscal year, is the appropriate school board and governing body approval obtained to appropriate these funds into an updated final budget prior to spending?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are backup personnel trained on the use of the OMEGA system in the event of the primary employee’s absence?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are federal funding applications and reports accurately prepared, reviewed, and submitted by the required due date?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division meet the special education maintenance of effort (MOE) in both the budget adoption (eligibility) and compliance (spending) categories under the Individuals with Disabilities Education Act (IDEA)?
 | ☐ | ☐ | ☐ |  |  |

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| **Grants Accounting and Administration** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. If the division has been non-compliant for MOE, has action been taken to restore compliance in the future and identify funds that may be required for payment of the MOE shortfall?
 | ☐ | ☐ | ☐ |  |  |

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| **Fraud Awareness and Prevention** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Does the division have a written policy requiring employees to report suspected instances of fraud, waste, and abuse?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division periodically remind and urge employees to report suspected fraud, waste or abuse to management?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have an anonymous reporting channel to report potential fraud, waste, or abuse?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there an independent party tasked with investigating reported allegations?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a policy that prohibits retaliatory actions against employees who provide information in good faith on suspected fraud, waste, and abuse, or violations of school policy?
 | ☐ | ☐ | ☐ |  |  |
| 1. If the school division issues p-cards to staff, are the p-card holder’s records reviewed periodically (e.g., monthly) for compliance with the school division’s purchasing policies and procedures?
 | ☐ | ☐ | ☐ |  |  |

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| **Business Continuity Plan** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Has the division identified critical administrative duties and taken steps to ensure their continuity under adverse operating conditions?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a written contingency plan to ensure continuity of mission critical functions and services?
 | ☐ | ☐ | ☐ |  |  |
| 1. If the division has a continuity plan, has it been communicated to division personnel and is it accessible both on/off site?
 | ☐ | ☐ | ☐ |  |  |
| 1. Has the contingency plan been updated and tested at a frequency commensurate with the risk (e.g., annually)?
 | ☐ | ☐ | ☐ |  |  |
| 1. Once invoked, does the contingency plan identify the chain of command, channels of communication, and address alternative business continuity procedures?
 | ☐ | ☐ | ☐ |  |  |
| 1. Has the division developed up-to-date written procedures for critical administrative duties?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division encourage cross-training of employees for critical administrative duties?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there a backup and recovery plan for essential information technology systems?
 | ☐ | ☐ | ☐ |  |  |

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| **Business Continuity Plan** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. If there is a backup and recovery plan, is this plan periodically updated, tested, and lessons learned are used as input to update the plan?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are data backed up and maintained in a secure off-site location for financial and other critical systems?
 | ☐ | ☐ | ☐ |  |  |
| 1. Have backup and recovery systems been tested periodically to ensure that they work as intended?
 | ☐ | ☐ | ☐ |  |  |

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| **Information Technology Security** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Does the division have a written acceptable use policy including, but not limited to electronic communications and social media?
 | ☐ | ☐ | ☐ |  |  |
| 1. If the division has an acceptable use policy, do employees acknowledge their review and receipt of this policy along with a written certification to be bound by it?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a written IT security breach policy?
 | ☐ | ☐ | ☐ |  |  |
| 1. Has the division considered cyber insurance as a risk mitigation strategy in the event of a cyber-breach or attack?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a Bring Your Own Device (BYOD) Policy?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a MOU with its IT security vendor(s) with appropriate addressing data security and data ownership language?
 | ☐ | ☐ | ☐ |  |  |
| 1. Do policies and procedures address the handling of confidential or sensitive information such as social security numbers, Family Educational Rights and Privacy Act (FERPA) and the Health Insurance Portability and Accountability Act (HIPAA)?
 | ☐ | ☐ | ☐ |  |  |

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| **Information Technology Security** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Is a complete and up-to date IT inventory maintained that includes all hardware, software, and other controllable devices with their location and individual assignment?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are employees periodically trained on division IT security policies including, but not limited to, social engineering and ransom ware threats?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there a documented process to issue, track, and surplus technology devices including a periodic inventory of these assets?
 | ☐ | ☐ | ☐ |  |  |
| 1. Has division management established a security awareness training program to ensure that all individuals are aware of the following: a) what should be protected, b) required employee actions and security responsibilities, and c) procedures to follow when a problem is discovered?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division update employees on revisions to policies and/or procedures related to information security including emerging threats?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are all newly hired employees required to attend security awareness training?
 | ☐ | ☐ | ☐ |  |  |

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| **Facilities Management** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Is there a comprehensive and up-to-date inventory of the division’s facilities? This listing would include, but is not limited to, an assessment of the structure’s age, condition, and status of major building systems such as the roof, HVAC, plumbing, and electrical systems.
 | ☐ | ☐ | ☐ |  |  |
| 1. Has a list of capital facility needs been developed and discussed with the governing body to develop an ongoing action plan to meet future needs of the division?
 | ☐ | ☐ | ☐ |  |  |
| 1. In the event of a sudden facility or system failure, such as the HVAC, is there an emergency response protocol in place that will sustain operations until a repair/replacement decision can be made?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is the division contemplating or currently bound by an energy savings contract for upgrading facilities?
 | ☐ | ☐ | ☐ |  |  |
| 1. If applicable, has the division consulted with legal counsel and a professional engineer regarding any proposed contract requirements in the Energy and Operational Efficiency Performance-Based Contracting Act (*Code of Virginia* § [11-34.3](http://law.lis.virginia.gov/vacode/title11/chapter6.1/section11-34.3/))?
 | ☐ | ☐ | ☐ |  |  |

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| **Facilities Management** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. If applicable, is the current status of the energy savings contract and associated work on time and within budget?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have a designed person and process in place to ensure compliance with OSHA regulations and related documentation?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division have any outstanding corrective actions relating to an OSHA review or audit?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are worker compensation claims reviewed to determine the potential need for facility improvements and/or additional safety training?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there a structured process in place to control the issuance and timely return of keys, key FOBs, access cards, etc.?
 | ☐ | ☐ | ☐ |  |  |
| 1. Does the division use an automated work order system for facility repair and if applicable, are school and department staff trained in the use of the system?
 | ☐ | ☐ | ☐ |  |  |

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| **Pupil Transportation** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Does the division use an automated fleet management system?
 | ☐ | ☐ | ☐ |  |  |
| 1. If the division has a fleet management system, does it:
* Assist in routing and scheduling bus routes while reducing deadhead miles and increasing ridership;
* Track fleet maintenance costs including costs per mile;
* Ensure that fleet assets are being serviced as required;
* Collect data necessary to complete the [Annual Transportation Report](http://www.doe.virginia.gov/support/transportation/data_collection/index.shtml) and,
* Provide data necessary for decision making such as purchasing replacement buses and vehicles?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is there adequate staffing of bus drivers and mechanics to support pupil transportation?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is documentation up- to-date for bus driver training/certifications, DMV license checks, and physicals?
 | ☐ | ☐ | ☐ |  |  |
| 1. Are daily bus driver pre-trip assessment checklists and related documentation accurate and complete?
 | ☐ | ☐ | ☐ |  |  |

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| **Pupil Transportation** |
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| **Question** | **Yes** | **No** | **N/A** | **Comments** | **Follow-Up Action** |
| 1. Is driver and bus-related documentation periodically reviewed by central office staff for key factors including, but not limited to, on-time driver performance with adjustments made as needed?
 | ☐ | ☐ | ☐ |  |  |
| 1. Have there been any crash incidents that lead to a transportation records audit by the Virginia State Police (VSP)?
 | ☐ | ☐ | ☐ |  |  |
| 1. If applicable, are there any open corrective actions to bring pupil transportation operations into compliance?
 | ☐ | ☐ | ☐ |  |  |
| 1. If bus driver data is captured electronically (e.g., GPS system), is this data periodically reviewed by a responsible official with action taken for inappropriate or unsafe behavior?
 | ☐ | ☐ | ☐ |  |  |
| 1. Is each vehicle (school bus, activity bus, car, or van) that is used to transport students equipped with one or more digital cameras and if applicable, is video routinely used for reviewing student discipline and/or driver actions when necessary?
 | ☐ | ☐ | ☐ |  |  |