



# Overview of the Program Evaluation Division and the Joint Legislative Program Evaluation Oversight Committee

Program Evaluation Division

August 2015



# Orientation Overview

- Session Overview
- Staff Introductions
- Program Evaluation Division Background
- Process for Determining Report Topics
- Evaluation and Quality Assurance Process
- Joint Legislative Program Evaluation Oversight Committee



# Program Evaluation Division Background



# Introducing PED Staff



# Introducing PED Staff

- John Turcotte, Director
- Chuck Hefren, Principal Evaluator
- Kiernan McGorty, Principal Evaluator
- Carol Shaw, Principal Evaluator
- Larry Yates, Principal Evaluator
- Jeff Grimes, Senior Evaluator
- Sean Hamel, Senior Evaluator
- Jim Horne, Senior Evaluator
- Sara Nienow, Senior Evaluator
- Brent Lucas, Program Evaluator
- Josh Love, Publications Coordinator
- Doris Gilbert, Program Evaluation Technician and Administrative Assistant



# Importance of Independent Program Evaluation

Can't we just rely on what the agencies tell us?

We have enough oversight!

Program evaluation costs too much!

Doesn't the auditor do the same thing?

# Legislative Oversight in North Carolina

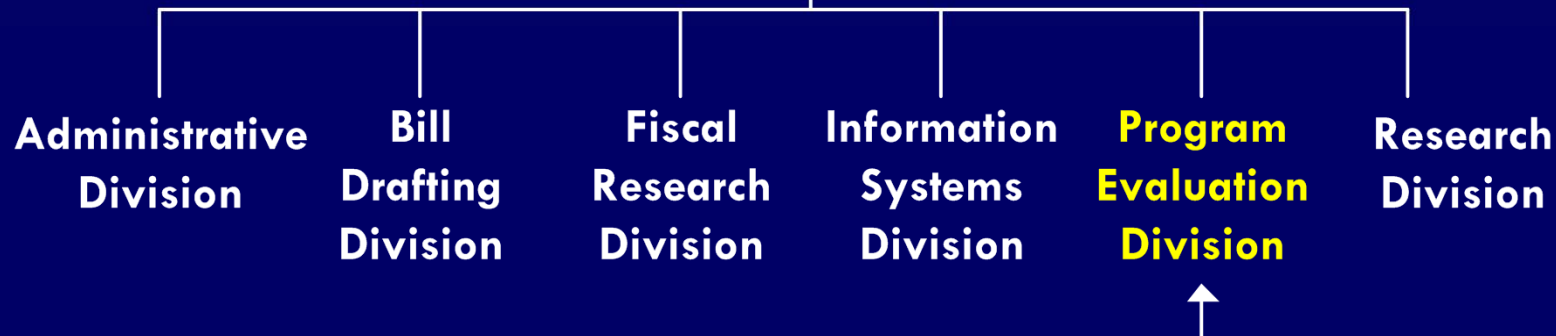


**North Carolina  
General Assembly**



**Joint Legislative  
Program Evaluation  
Oversight Committee**

**Legislative Services Office**

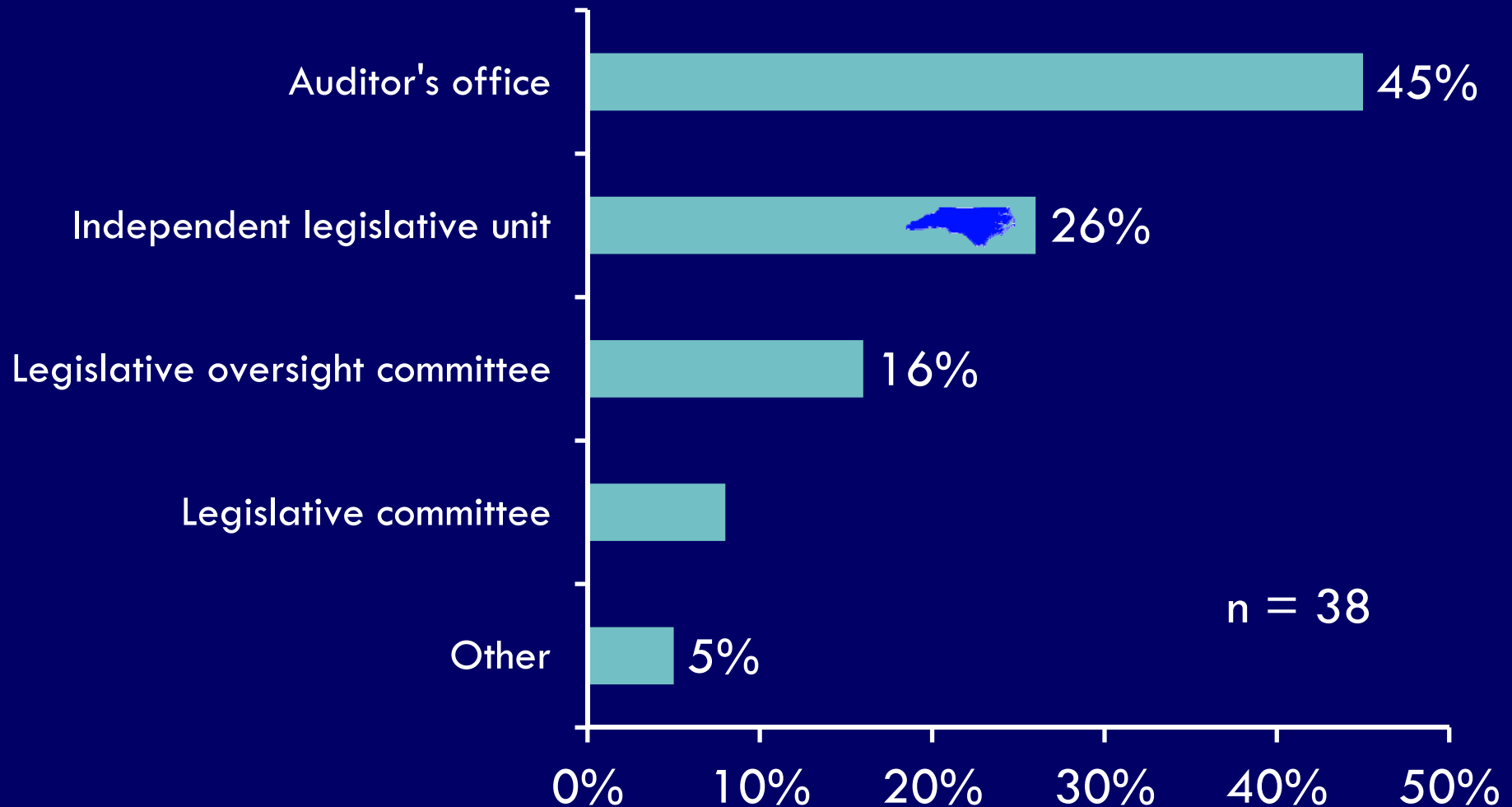




# PED Creation and Authority

- Established June 2007 by statute
- Assist the General Assembly in fulfilling its responsibility to oversee government functions
- Provide an independent, objective source of information
- Evaluate whether public services are delivered in an effective and efficient manner and in accordance with the law

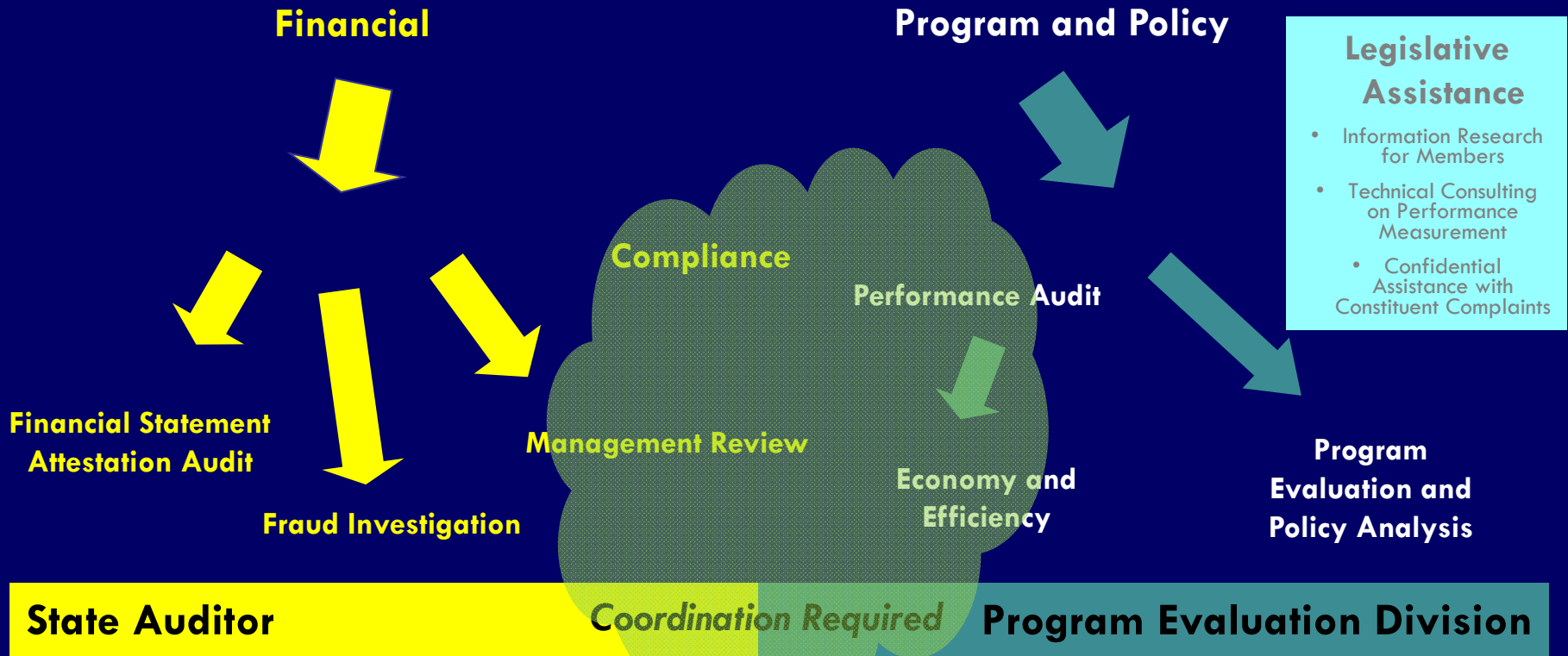
# Program Evaluation Division Peers



Source: NCSL Ensuring the Public Trust 2012



# State Auditor and PED Work Cooperatively



**Joint Legislative Program Evaluation Oversight Committee**



# PED Administration and Finance

- PED Director has limited administrative and budget authority
- Legislative Services Officer must approve
  - Hiring decisions
  - Promotions
  - Project travel
  - Professional development
  - Purchases over \$250
  - Contracts

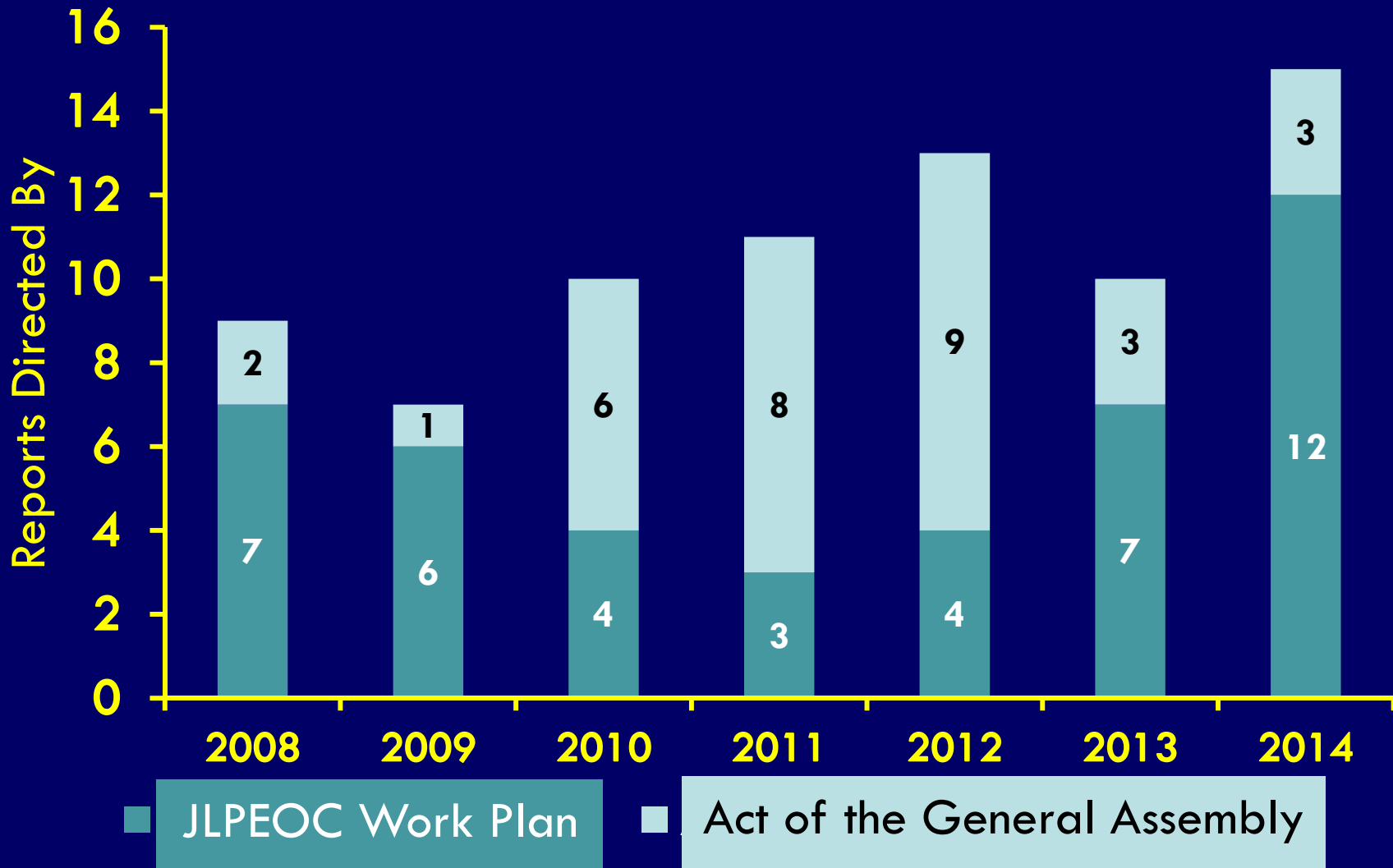
# Process for Determining PED Report Topics



# Process for Determining Report Topics



# Summary of PED Released Reports



# PED Impact Statement

- Legislation proposing a PED evaluation must have a PED impact statement, which includes
  - number of personnel required
  - total number of hours required
  - estimated costs
  - determination of whether proposed evaluation can be completed under the annual work plan
  - Indication of the timeframe that the proposed study or evaluation can be completed
- Recent legislation has requested that the JLPEOC **consider** including an evaluation in the annual work plan



# Legislator Assistance and Special Projects

- Preliminary project reviews
  - Drivers Education program
  - Department of Transportation's road widening process
  - Award process for re-tread tire contract
- Confidential assistance with constituent complaints
  - Department of Health and Human Services NCTRACKS provider reimbursement system
- Information research
- Technical consulting on performance measurement

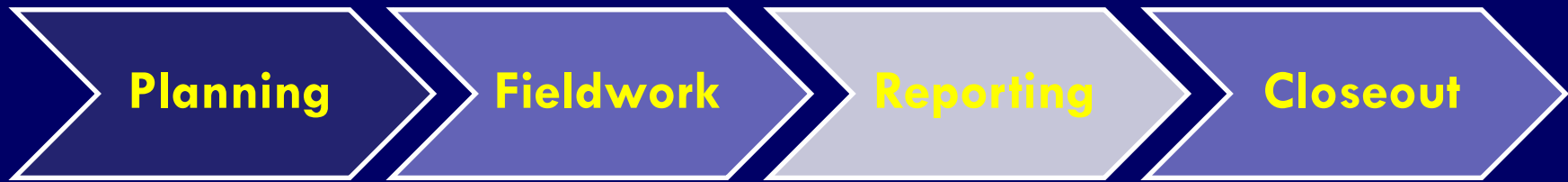
# Questions?



# Evaluation and Quality Assurance Process



# Four Phases for Evaluation Projects



<b>Hours</b>	15%	40%	40%	5%
<b>Weeks</b>	4-6 weeks	6-20 weeks	6-15 weeks	2-4 weeks

# Four Internal Quality Assurance Mechanisms



## Concurrent Reviewer

- Assigned to each project
- Assures a fair and balanced approach
- Assures consistency and integrity of evaluation



## Report Review

- Reviews all report outlines
- Reviews all report drafts
- Consults with teams on messaging



## Methods Review

- Reviews all evaluation plans
- Reviews all data collection tools
- Consults with teams on analysis



## Director Review

- Oversees all projects
- Reviews and approves the content of all reports

# Planning



- Conduct background research
- Develop evaluation plan & project schedule
- Schedule entrance conference with affected agency
- Identify key stakeholders

# Planning

- Determine the data and information needed for the project  
*(not evaluation by the pound)*



- Solicit expertise on similar topics and methods



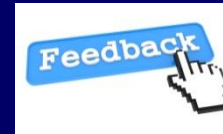
- Peer-reviewed



Evaluators Forum



# Fieldwork



- Complete data collection
- Conduct data analysis
- Draft report outline

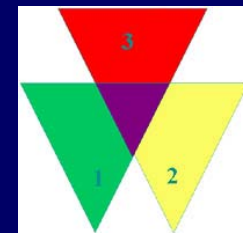




# Fieldwork

- Use a variety of methods to collect data and information
  - *Review agency documents, interviews, surveys, focus groups, administrative query, analyze data from agency and other sources, site visits, inspections, other state research, review statutes, literature review, consult with legal and subject matter experts*

- Verify data and results



Triangulating  
Your Evidence

# Fieldwork Example: NC Railroad

## NC Railroad Documents

- List of 65 properties provided to the Legislature
- 2006 internal analysis of non-operating real estate inventory

## PED Analysis and Approach

- Used county property records to verify list
- Visually inspected property during site visits
- Consulted tax attorneys

## What we found

- Inaccuracies in the property list, including one parcel not listed
- 14 properties that could be transferred to the State for disposal (\$6 million total tax value)

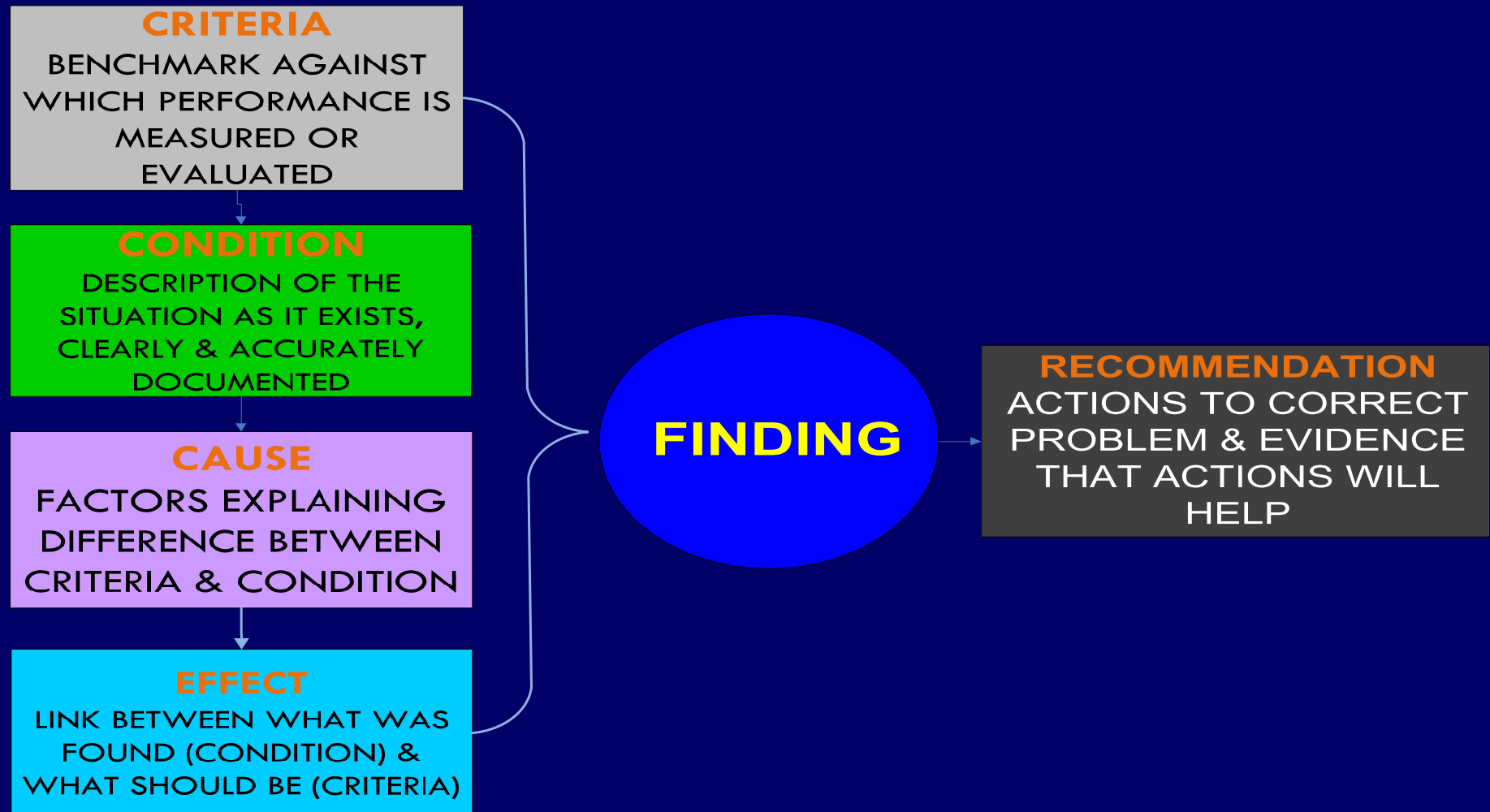
# Fieldwork Example: NC Railroad



## Waterfront & Riparian Rights

(\$1 million tax value; \$32,721 annual income)

# Elements of a Finding



# Reporting



- Draft preliminary report
- Verify data
- Conduct preliminary draft and exit conferences
- Document and complete final report
- Prepare presentation for JLPEOC

# Reporting

- PED Reporting Formats
  - Findings and recommendations or question and answer reports
  - Consistent format with an executive summary
  - Emphasis on graphical display of information
- Data Verification
  - Report data sources and analysis are documented
  - All information in reports is verified by project teams and the concurrent reviewer



# Agency Review

- Preliminary draft conference
  - Agency receives confidential preliminary draft to review
- Exit conference
  - Agency provides a technical and formal response to the report
- PED finalizes report and may revise the report based on the agency response
  - Agency formal response included in final report

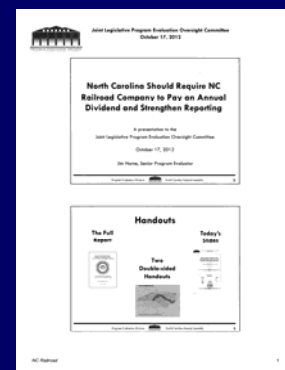
# Report Publication

- JLPEOC members receive confidential report prior to committee meeting
- Chairs of legislative standing and oversight committees related to report topic invited to attend meeting and receive a copy of the report when released
- Legislators can request a briefing of the report
- Report published on [PED website](#) on the morning of the JLPEOC meeting



# Presenting PED Reports

- Presentations follow a uniform format
  - Report preview
  - Report details
  - Report summary
  - Legislative options
  - Committee questions
- Agency representatives available to respond to the report and answer questions
- PED reports presented to other legislative committees and outside the General Assembly



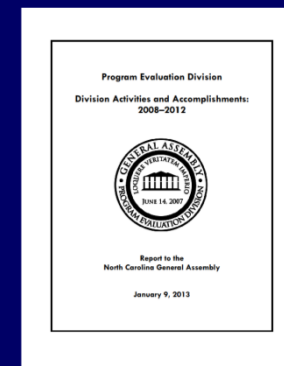
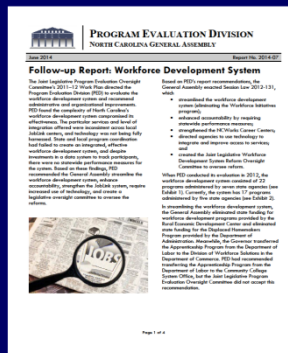
# Closeout



- Finalize documented report and work papers
- Prepare summary of project hours
- Archive project folder

# Other Publications

- Follow-up reports
- How North Carolina Compares
- Division Activities and Accomplishments



# Status of Current Evaluations

- Status of current evaluations available [online](#)
- Track progress by evaluation phase
  - Planning
  - Fieldwork
  - Writing
- Project activities updated weekly by the project lead

PROGRAM EVALUATION DIVISION  
NORTH CAROLINA GENERAL ASSEMBLY

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Current Evaluations

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Current Evaluations (Week of January 23, 2015) Printer Friendly Version

The status of evaluations is updated on a weekly basis. Scheduled completion dates are subject to change.

Evaluation	Mandate	Planning	Fieldwork	Writing	Weekly Update	Presentation
Overview of School Choice Options Provided by Colorado's Douglas County	2013-15 Work Plan	■	■	■	Click for Report	Completed
UNC System Administration	2013-15 Work Plan	■	■	■	Click for Report	Completed
Fire, Rescue, EMS 1-Relief Funds	2013-15 Work Plan	■	■	■	Click for Report	Completed
Fire, Rescue, EMS 2-Workers Compensation	2013-15 Work Plan	■	■	■	Click for Report	Completed
Fire, Rescue, EMS 3-Pension	2013-15 Work Plan	■	■	■	Click for Report	Completed
Fire, Rescue, EMS 4-Department Grants	2013-15 Work Plan	■	■	■	Click for Report	Completed
Driver Education	2013-15 Work Plan	■	■	■	Click for Report	Completed
Department of Public Instruction Operations	2013-15 Work Plan	■	■	■	Click for Report	Completed
Local Child Support Enforcement Programs	2013-15 Work Plan	■	■	■	Click for Report	Completed
Alcohol and Drug Abuse Programs 1-Prescription Drugs	2013-15 Work Plan	■	■	■	Click for Report	Completed
Alcohol and Drug Abuse Programs 2-Veterans Programs	2013-15 Work Plan	■	■	■	Click for Report	Completed
Alcohol and Drug Abuse Programs 3-Inpatient Treatment Programs	Session Law 2013-360, Section 12F.7.(b)	■	■	■	Click for Report	Completed
Pilot Program for Overnight Respite Services Provided by Adult Day Care Facilities	Session Law 2011-104	■	■	■	Click for Report	Completed
Feasibility of a Single Occupational Licensing Agency	Session Law 2013-413	■	■	■	Click for Report	Completed
Non-Insurance Activities of the Department of Insurance	Session Law 2013-360, Section 22.6.(a)	■	■	■	Click for Report	Completed
Personal Services Contracts	2013-15 Work Plan	■	■	□	Click for Current Status	February 2015
Alcohol and Substance Abuse Education and Prevention Initiative	Session Law 2014-100, Section 12I.3.(a) and (b)	■	■	□	Click for Current Status	February 2015
Management of Real Property	2013-15 Work Plan	■	□	□	Click for Current Status	May 2015
Review of State Agency Supplemental Post-Tax Benefits	2013-15 Work Plan	□	□	□	Click for Current Status	July 2015
Review of the Retiree Health Benefit Fund	2013-15 Work Plan	□	□	□		TBD
Privatization Potential of State Government Programs	2013-15 Work Plan	□	□	□		TBD
Passenger Rail in North Carolina	2013-15 Work Plan	□	□	□		TBD
State IT Life Cycle Process	2013-15 Work Plan	□	□	□		TBD
Analysis of Sales, Proceeds, and Expenses of the North Carolina State Lottery Commission	2013-15 Work Plan	□	□	□		TBD
Duplicative IT Projects	2013-15 Work Plan	□	□	□		TBD
Community Care of North Carolina Review	2013-15 Work Plan	□	□	□		TBD

<http://www.ncleg.net/PED/CurrentEvaluations.html>



# Joint Legislative Program Evaluation Oversight Committee



# JLPEOC Powers and Duties

1. Receive and review requests for evaluations
2. Establish an annual work plan in consultation with the PED Director
3. Receive PED reports
4. Consult with other legislative committees about reports
5. Recommend to the General Assembly any changes needed to implement recommendations from PED reports that are endorsed by the Committee

# Typical JLPEOC Agenda Topics

- PED reports
- Committee-initiated projects (Contracts [example](#))
- State Auditor reports (as requested)
- Agency response and follow-up
- Review and approve proposed legislation
- Work Plan development (biennially)
- PED Work Plan updates (quarterly)

# JLPEOC Options for PED Reports

- No action
- Receive the report
- Refer report to other legislative committees
- Appoint JLPEOC subcommittee for further review
- Approve all or some report recommendations
- Request legislation
  - Approve legislation with or without changes
  - Sponsorship of JLPEOC legislation



# Program Evaluation Division Impact

Savings Recommended by PED Reports	2008–2014 Values	
	Recommended	Achieved
Recurring Savings	\$ 79,600,989	\$ 25,169,995
Non-Recurring Savings	100,960,710	30,900,000
Totals	\$ 180,561,699	\$ 56,069,665

## Cost Benefit Analysis

- PED Certified Budget= **\$1,435,195**
- Cost benefit ratio for recurring savings = **17.5**

## Legislation

- The General Assembly has enacted legislation based on **29** PED reports

# Program Evaluation Division

## National Recognition

- National Legislative Program Evaluation Society (NLPEs) 2014 Excellence in Evaluation Award
- NLPEs Impact Awards for 2010–2014
- Hosted NLPEs Professional Development Seminar in October 2014
- NCSL Notable Document Awards for 2010–2014

# Notable PED Reports

- NC Railroad
- Workforce Development
- Fire, Rescue and EMS Funds
- High School Graduation
- State Aircraft
- Community Colleges



# Questions?



