Program Name: Commission of Indian Affairs

Measurability Assessment Conducted by Program Evaluation Division

Overall Indicator Ratings and Table of Contents

	Overall Indicator Rating			Page Number
	Meets	Partially Meets	Does Not Meet	
1. Program does not duplicate other related programs.		✓		3
2. Program has a problem definition.	✓			4
3. Program has a logic model.		✓		5
4. Program is evidence-based.			✓	6
5. Program has conducted a scalability analysis.			✓	7
6. Program has a strategic plan.		✓		8
7. Program has performance measures.		✓		9
8. Program has a quality improvement system.			✓	11
9. Program has a risk assessment.		✓		12
10. Program has a financial forecast.		✓		13
11. Program has cost sharing documents.	✓			14
12. Program has conducted a staffing analysis.			✓	15
13. Program has an accounting system.	✓			16
14. Program is audited.	✓			17

Commission of Indian Affairs

The Commission of Indian Affairs is a division within the Department of Administration.

- **Mission:** To advocate for cultural, educational, social, political, and economic opportunities for American Indians in North Carolina

- **Statutory Authority:** N.C. Gen. Stat. §§ 143B-404, 143B-405, and 143B-406

- **Service Population:** State and federally recognized tribal and urban Indian communities

Fiscal Snapshot

	FY 2016–17	FY 2017–18	FY 2018–19
Total Requirements	$4,878,467	$5,425,033	$5,075,033
Total Receipts	($4,575,851)	($4,742,931)	($4,742,931)
Appropriation	$302,850	$682,336	$332,336
Total Positions	17.91	16	16

Notes: For Fiscal Year 2016–17, BEACON shows the Commission having 17.75 positions as of June 30, 2017, instead of 17.91. Total Requirements minus Total Receipts does not equal Appropriation because receipts include positive fund balances from some special funds (i.e., Indian Talent Search, Energy Assistance Program). In addition, receipts represent funds associated with the HUD Section 8 Voucher Program.

Source: Program Evaluation Division based on OSBM's 2015–17 and 2017–19 Certified Budgets.

Logic Model Created by PED
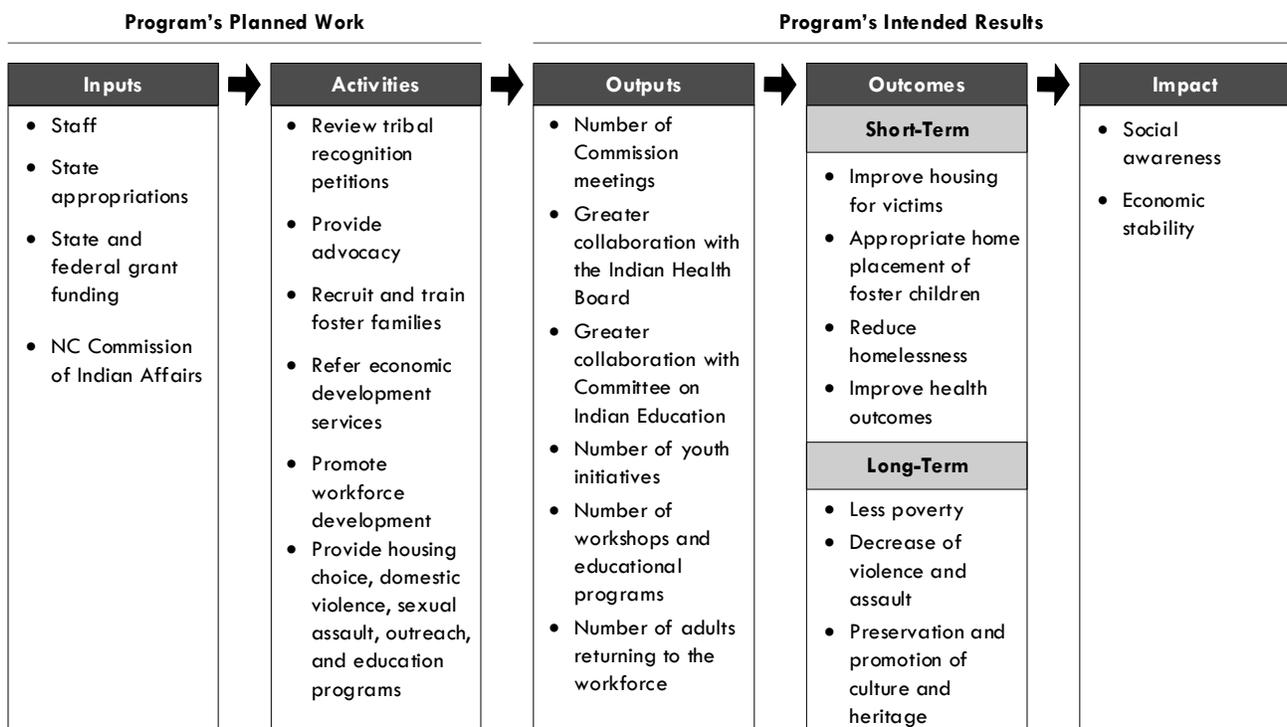
Source: Program Evaluation Division based on information from the Commission of Indian Affairs.

Program Name: Commission of Indian Affairs

Indicators of a Clear and Unique Mission

Key Elements of Indicator 1: Avoids Duplication	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
1.1 Program has an inventory that identifies other current programs active in the policy area that address the same goal.	✓		
1.2 Inventory demonstrates how the examined program is unique from the other related programs.	✓		
1.3 Inventory identifies the purpose of each program.	✓		
1.4 Inventory identifies the services, products, or functions each program is providing.	✓		
1.5 Inventory identifies the target population served by each program.	✓		
1.6 Inventory identifies how the program coordinates with other related programs to avoid wasteful competition and duplication.		✓	
1.7 Inventory is updated periodically.			✓
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
1. Program does not duplicate other related programs.		✓	

Description: The Commission of Indian Affairs has a program inventory that identifies other state and federal programs that either serve the American Indian population specifically (i.e., American Indian Workforce Development, Indian Child Welfare, Supporting Undergraduate Native Students, State Recognition, Federal Acknowledgement/ Recognition) or provide services to the general population that are similar to services provided by the Commission (i.e., Community Services, Domestic Violence and Sexual Assault, Economic Development, Low Income Energy Assistance Program, Section 8 Housing Choice Voucher, NC National Farmworker Jobs).

The Commission is unique because the programs that provide services to the general population rarely provide services to American Indians or their communities. The Commission attempts to avoid wasteful competition and duplication by tracking recipients' Social Security numbers, but it does not coordinate with other programs. The inventory identifies the purpose of each program; the services, products, or functions each program is providing; and the target population served by each program. The Commission did not provide documentation demonstrating it updates its program inventory periodically.

Suggestions: The Commission should reach out to similar programs and individually describe its efforts to coordinate with them. The Commission should update its program inventory periodically and indicate on the document when it was last updated. In addition, the Commission's inventory could be strengthened in the following ways:

- including the Commission itself in the inventory so that it is clear which services the Commission provides that no other programs provide;
- crafting more succinct purpose statements; and
- separating programs' purposes from their services, products, or functions and from their target populations for ease of comparison.

Program Name: Commission of Indian Affairs

Indicators of a Clear and Unique Mission (continued)

Key Elements of Indicator 2: Problem Definition	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
2.1 Problem definition is based on supportive evidence that clearly describes the nature and extent of the problem facing the individuals the program serves.	✓		
2.2 Problem definition identifies the major factors contributing to the problem.	✓		
2.3 Problem definition identifies current gaps in services or programs.	✓		
2.4 If program is based on a "promising approach" or "best practice," problem definition provides a rationale for the transferability of the approach to the population the program serves. *If program is not based on a "promising approach" or "best practice," enter N/A.*	N/A		
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
2. Program has a problem definition.	✓		

Description: The Commission of Indian Affairs has a problem definition based on the following supportive evidence:

- US Census data (2010) shows that North Carolina American Indians have a lower median age, have lower median household incomes, and are less likely to own their home than the general North Carolina population and/or US population.
- A survey (2017) by the NC Native American Youth Organization of American Indian students found the most common problems facing them included substance abuse, discrimination, education, and bullying.

The problem definition identifies the major factor contributing to the problem is the historical displacement and treatment of the American Indian population. The problem definition identifies the current gaps in services because programs for the general population (i.e., Community Services, Domestic Violence and Sexual Assault, Economic Development, Low Income Energy Assistance Program, Section 8 Housing Choice Voucher, NC National Farmworker Jobs) rarely provide services to American Indians or their communities.

Suggestions: The Commission could use the information it has from multiple sources to create an original document that would be a more concise and effective problem definition. The Commission could collect additional supportive evidence by surveying other American Indian cohorts, in addition to students, to determine the most common problems they face. The Commission could identify contemporary factors contributing to the problems faced by American Indians. To quantify current gaps in services, the Commission could compare how much of the American Indian population is being reached by programs for the general population versus how many should be receiving services based on demographic data.

Program Name: Commission of Indian Affairs

Indicators of a Clear and Unique Mission (continued)

Key Elements of Indicator 3: Logic Model	Key Element Ratings		
	Meets	**Partially Meets**	**Does Not Meet**
3.1 Logic model includes specified inputs.	✓		
3.2 Logic model includes specified activities.	✓		
3.3 Logic model includes specified outputs.			✓
3.4 Logic model includes specified short-term and long-term outcomes.	✓		
3.5 Logic model includes specified impacts.	✓		
3.6 The logic model has been shared with program staff and key stakeholders.			✓
3.7 The logic model is updated periodically.			✓
	Overall Indicator Rating		
	Meets	**Partially Meets**	**Does Not Meet**
3. Program has a logic model.		✓	

Description: The Commission of Indian Affairs has a logic model that includes specified inputs, such as state and federal grant funding, state appropriations, and the Commission. The logic model includes specified activities, such as providing advocacy, reviewing petitions for tribal recognition, and administering housing, domestic violence, and sexual assault programs. Although the logic model identifies the types of participants in the Commission's activities, it does not include specified outputs. The logic model includes specified short-term outcomes (e.g., improved housing) and long-term outcomes (e.g., decrease violence and assault). The logic model includes specified impacts, such as social awareness and economic stability.

The Commission did not provide documentation demonstrating it shares its logic model with staff and key stakeholders. The Commission did not provide documentation demonstrating it updates its logic model periodically.

Suggestions: The Commission should include specified outputs in its logic model. For example, outputs might include the number of Commission meetings, number of youth initiatives, number of workshops and educational programs, and number of adults returning to the workforce. The Commission should share its logic model with staff and key stakeholders. The Commission should update its logic model periodically and indicate on the document when it was last updated. In addition, the Commission's logic model could be strengthened in the following ways:

- include all key inputs, such as staff;
- describe activities in a parallel format;
- phrase outcomes in terms of the direction of change expected (e.g., increased, decreased); and
- differentiate long-term outcomes from impacts.

Program Name: Commission of Indian Affairs

Indicators of a Focus on Results

Key Elements of Indicator 4: Evidence-Based	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
4.1 Program can demonstrate that its outcomes in North Carolina have been tested by a rigorous impact evaluation or that it uses a design that has been tested and found to be successful through multiple rigorous impact evaluations in other jurisdictions.			✓
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
4. Program is evidence-based.			✓

Description: Although the Commission of Indian Affairs provided a financial audit of its Housing Choice Vouchers Program (2016), this financial audit is not an impact evaluation. Therefore, the Commission did not provide documentation demonstrating its outcomes in North Carolina have been tested by a rigorous impact evaluation or that it uses a design that has been tested and found to be successful through multiple rigorous impact evaluations in other jurisdictions.

Suggestions: The Commission should identify the primary services it offers, and each service should be subject to an impact evaluation. Impact evaluations determine the extent to which a program produces desired outcomes and intended improvements in the social conditions it was intended to ameliorate. Impact evaluations produce an estimate of the net effects of a program—the changes brought about by the intervention above and beyond those resulting from other processes and events affecting the targeted social conditions.

Program Name: Commission of Indian Affairs

Indicators of a Focus on Results (continued)

Key Elements of Indicator 5: Scalability Analysis	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
5.1 Scalability documents determine whether the program has robust evidence of its effectiveness.			✓
5.2 Scalability documents determine whether the program has the potential for substantially expanded reach and system adoption.			✓
5.3 Scalability documents determine whether an expanded program is acceptable to target groups and settings.			✓
5.4 Scalability documents determine whether an expanded program can be delivered at an acceptable cost.			✓
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
5. Program has conducted a scalability analysis.			✓

Description: Although the Commission of Indian Affairs is a statewide program established in statute, it could still conduct a scalability analysis to determine whether it could have a greater impact if it had more resources such as more staff or newer technology. The Commission did not provide documentation demonstrating it has conducted a scalability analysis.

Suggestions: The Commission should conduct a scalability analysis to determine whether it has robust evidence of its effectiveness and has the potential for substantially expanded reach and system adoption. The scalability analysis should determine whether an expanded program would be acceptable to target groups and settings and could be delivered at an acceptable cost.

Program Name: Commission of Indian Affairs

Indicators of a Focus on Results (continued)

Key Elements of Indicator 6: Strategic Plan	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
6.1 Strategic plan includes a mission statement.	✓		
6.2 Strategic plan includes a vision statement.	✓		
6.3 Strategic plan includes a values statement.	✓		
6.4 Strategic plan includes identified goals.		✓	
6.5 Strategic plan includes identified objectives.		✓	
6.6 Strategic plan includes performance measures.		✓	
6.7 Strategic plan is updated periodically.	✓		
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
6. Program has a strategic plan.		✓	

Description: The Commission of Indian Affairs has a mission statement: "to advocate for cultural, educational, social, political, and economic opportunities for American Indians in North Carolina." The Commission has a vision statement: "The American Indian communities in our State are located in predominately low wealth counties that are plagued by a high percentage of unemployment, lack of economic opportunities, higher than average high school dropout rates, and increased rates of violence. The Commission will continue its ongoing efforts to coordinate opportunities through local, state, and federal programs to improve the quality of life of the American Indian population in the State." The Commission has a values statement: "quality, safety and health, accountability, continuous improvement and development, innovation and creativity, customer service, diversity and inclusion, excellence, and integrity."

The Commission updates its strategic plan every two years in accordance with biennium budgets. The Commission is in the process of updating its strategic plan to include goals, objectives, and performance measures.

Suggestions: The Commission should update its strategic plan, in one document, to identify program-specific goals, objectives, and performance measures.

Program Name: Commission of Indian Affairs

Indicators of a Focus on Results (continued)

Key Elements of Indicator 7: Performance Measurement	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
7.1 Performance measures assess key inputs.		✓	
7.2 Performance measures assess key outputs.	✓		
7.3 Performance measures assess efficiency/process.			✓
7.4 Performance measures assess quality.			✓
7.5 Performance measures assess key outcomes.	✓		
7.6 Program has a defined method for collecting performance data.			✓
7.7 Program has a standard format for reporting performance data.	✓		
7.8 Program validates performance measures periodically.			✓
7.9 Performance measures are regularly reported to managers, staff, and key stakeholders.			✓
7.10 Performance measures provide the level and type of data needed to conduct a rigorous evaluation of program impacts.	✓		
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
7. Program has performance measures.		✓	

Description: The Commission of Indian Affairs has performance measures that assess key outputs, such as

- number of tobacco prevention and cessation activities sponsored in target communities,
- number of elderly/disabled clients served by the Community Services Program in target counties, and
- number of low-income American Indian students participating in the Supporting Undergraduate Native Students program.

The Commission has performance measures that assess key outcomes, such as

- percentage of Workforce Investment Act program participants exiting the program and entering unsubsidized employment,
- number of Section 8 Housing Vouchers allocated to qualified low-income families, and
- number of low-income American Indian students participating in the Supporting Undergraduate Native Students program who experience education achievement at the post-high school level.

Therefore, the Commission has performance measures that provide the level and type of data needed to conduct a rigorous evaluation of program impacts. In addition, the Commission has a standard format for reporting performance data.

Although the Commission has performance measures that assess certain key inputs, such as funding, the Commission did not provide documentation demonstrating it has performance measures for other key inputs, such as staff. In addition, the Commission did not provide documentation demonstrating it has performance measures that assess efficiency/process or quality. The Commission did not provide documentation demonstrating it has a defined method for collecting performance data, validates its

Program Name: Commission of Indian Affairs

performance measures periodically, or regularly reports its performance measures to managers, staff, and key stakeholders.

Suggestions: The Commission should have performance measures that assess all of its key inputs, such as staff, and it should report input data in the same document that it reports output and outcome data. The Commission should have performance measures that assess efficiency/process (i.e., the inputs used per unit of output) and quality (i.e., the degree to which services are delivered in accordance with pre-determined standards and/or whether customers are satisfied with the services they receive).

The Commission should have a defined method for collecting performance data that explains what it is going to collect and how (e.g., who will be surveyed and how often). The Commission should periodically validate the information that is being reported by reviewing data collection protocols and comparing reported information to a sample of source data. The Commission also should ensure that performance data are regularly reported to managers, staff, and key stakeholders in formats that are user-friendly and meet their information needs.

Program Name: Commission of Indian Affairs

Indicators of a Focus on Results (continued)

Key Elements of Indicator 8: Quality Improvement System	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
8.1 Quality improvement system sets objectives, which have indicators, targets, and dates.			✓
8.2 Objectives are consistent with those set by the program's strategic plan and are updated annually.			✓
8.3 Quality improvement system monitors progress towards objectives through an action plan and milestones.			✓
8.4 Program takes remedial action if there is a performance shortfall.			✓
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
8. Program has a quality improvement system.			✓

Description: Although leadership staff of the Commission of Indian Affairs has weekly meetings to discuss program progress with leadership staff of the Department of Administration, these meetings do not constitute a quality improvement system. Therefore, the Commission did not provide documentation demonstrating it has a quality improvement system.

Suggestions: The Commission should create a quality improvement system that sets annual objectives and then tracks performance towards these objectives on either a quarterly or monthly basis. The objectives should have indicators, targets, and dates, and the objectives should be consistent with the Commission's strategic plan and updated annually. Progress towards objectives should be monitored through an action plan and milestones. The Commission should take remedial action if there is a performance shortfall.

Program Name: Commission of Indian Affairs

Indicators of Sound Financial Management

Key Elements of Indicator 9: Risk Assessment	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
9.1 Risk profile identifies inherent risks, assesses the likelihood and impact of inherent risks, determines risk tolerance, and examines the suitability of existing controls and prioritizes residual risks.		✓	
9.2 Mitigation strategy identifies who is responsible for risk management activities, determines what control activities the program is using, establishes when the program is implementing activities, and determines where the program is focusing its activities.			✓
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
9. Program has a risk assessment.		✓	

Description: In accordance with N.C. Gen. Stat. §143D-7, the Department of Administration certifies to the State Controller that it performs an annual review of its system of internal control. The Department has designed internal controls to provide reasonable assurance regarding the reliability of financial reporting; compliance with certain provisions of law, regulations, contracts, and grant agreements; and the efficiency and effectiveness of its operations. However, the Commission of Indian Affairs did not provide documentation demonstrating it has a program-specific risk profile. The Department's monitoring plan for grantees is not a monitoring plan for the Department or for the Commission.

Suggestions: The Commission should conduct a risk assessment to identify potential financial, fraudulent, and legal hazards. Then, the Commission should create a risk profile that identifies inherent risks, assesses the likelihood and impact of inherent risks, determines risk tolerance, and examines the suitability of existing controls and prioritizes residual risks. In addition, the Commission should create a mitigation strategy that identifies who is responsible for risk management activities, determines what control activities the program is using, establishes when the program is implementing activities, and determines where the program is focusing its activities.

Program Name: Commission of Indian Affairs

Indicators of Sound Financial Management (continued)

Key Elements of Indicator 10: Financial Forecast	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
10.1 Financial forecast is conducted at least annually.	✓		
10.2 Financial forecast projects revenues and expenditures for at least 5 years.		✓	
10.3 Financial forecast breaks down projections into revenue and expenditure categories.	✓		
10.4 Financial forecast is based on a basic model of forecasting.	✓		
10.5 Financial forecast attempts to explain trends by discussing why revenue and expenditures are expected to increase or decrease.			✓
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
10. Program has a financial forecast.		✓	

Description: The Commission of Indian Affairs follows the biennial budget preparation instructions from the Office of State Budget and Management to develop its financial forecast, and therefore the forecast is reviewed annually and breaks down projections into revenue and expenditure categories. Although the Office of State Budget and Management's budget development process requires the Commission to conduct two years of financial forecasting, the Commission did not provide documentation demonstrating it projects revenues and expenditures for at least five years. The financial forecast is based on a basic model of forecasting; it uses extrapolation by reviewing historical revenue and expenditure data to predict the future by projecting the trend forward subject to the restrictions required by the Office of State Budget and Management. The Commission did not provide documentation demonstrating its financial forecast attempts to explain trends by discussing why revenues and expenditures are expected to increase or decrease.

Suggestions: During the budget development process, the Commission should build in a long-term focus by including revenue and expenditure projections for at least five years in its annual plan. The forecasts should attempt to explain the trends they reveal by discussing why revenue and expenditures are expected to increase or decrease.

Program Name: Commission of Indian Affairs

Indicators of Sound Financial Management (continued)

Key Elements of Indicator 11: Cost Sharing	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
11.1 If program does not require cost sharing, documents include a description of why program does not require cost sharing. *If program does require cost sharing, enter N/A.*	✓		
11.2 If program does require cost sharing, documents include a description of cost sharing requirements. *If program does not require cost sharing, enter N/A.*	N/A		
11.3 If program does require cost sharing, documents describe the method used to set charges. *If program does not require cost sharing, enter N/A.*	N/A		
11.4 If program does require cost sharing, documents review cost sharing levels and recommend modifications as appropriate. *If program does not require cost sharing, enter N/A.*	N/A		
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
11. Program has cost sharing documents.	✓		

Description: The Commission of Indian Affairs does not require program participants to pay for its services. Generally, participation costs are funded by the federal government or nonprofits.

Suggestions: None.

Program Name: Commission of Indian Affairs

Indicators of Sound Financial Management (continued)

Key Elements of Indicator 12: Staffing Analysis	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
12.1 Staffing analysis measures caseload and workload.			✓
12.2 Staffing analysis identifies trends and establishes internal benchmarks for efficient operations.			✓
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
12. Program has conducted a staffing analysis.			✓

Description: The Department of Administration is participating in the Office of State Human Resources's Statewide Compensation System Project, which reviewed job descriptions to streamline job classifications, but this project is not a staffing analysis with measures of caseload and workload. Therefore, the Commission of Indian Affairs did not provide documentation demonstrating it has conducted a staffing analysis that measures caseload and workload or that identifies trends and establishes internal benchmarks for efficient operations.

Suggestions: The Commission should conduct a staffing analysis to determine if its staffing levels are appropriate based on the volume of work it is required to perform. The staffing analysis should measure caseload (i.e., the number of cases that staff are assigned in a given time period) and workload (i.e., the amount of work required to manage assigned cases or perform certain tasks). The staffing analysis should identify trends and establish internal benchmarks for efficient operations by using historical data analysis, benchmarking, or business process mapping.

Program Name: Commission of Indian Affairs

Indicators of Sound Financial Management (continued)

Key Elements of Indicator 13: Accounting System	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
13.1 Accounting system includes assets, liabilities, fund equity and other credits, revenues, and expenditures.	✓		
13.2 Accounting system tracks financial information on a cash and accrual basis.	✓		
13.3 Accounting system is capable of producing financial statements required by the Governmental Accounting Standards Board.	✓		
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
13. Program has an accounting system.	✓		

Description: The Commission of Indian Affairs uses the North Carolina Accounting System. Therefore, its accounting system includes assets, liabilities, fund equity and other credits, revenues, and expenditures; tracks financial information on a cash and accrual basis; and is capable of producing financial statements required by the Governmental Accounting Standards Board.

Suggestions: None.

Program Name: Commission of Indian Affairs

Indicators of Sound Financial Management (continued)

Key Elements of Indicator 14: Audit	Key Element Ratings		
	Meets	Partially Meets	Does Not Meet
14.1 Audit documents include a description of audit requirements.	✓		
14.2 Audit documents demonstrate accessibility of persons involved with the program; books, records, reports, vouchers, correspondence, files, personnel files, investments, and any other documentation of the program; and property, equipment, and facilities of the program.	✓		
14.3 Program maintains a record of prior audits, examinations, and evaluations.	✓		
14.4 Program maintains a record of corrective actions taken in response to audit findings and recommendations.	✓		
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
14. Program is audited.	✓		

Description: The Commission of Indian Affairs has audit documents that include a description of audit requirements and that demonstrate accessibility of persons, documents, and property. In accordance with N.C. Gen. Stat. §143-746, the Department of Administration has an internal auditing program that audits the agency's major systems and controls periodically. The Department's internal auditor works in conjunction with the Secretary and senior staff to determine the audit schedule and reports findings to the Secretary and responsible managers for action. In addition, the Department complies with the Office of the State Auditor as required. The Commission provided a financial audit, which was conducted by the State Auditor, of its Housing Choice Vouchers Program (2016) to demonstrate it has a record of prior audits. The Commission provided documentation demonstrating it has not had any findings in recent years to enter into its record of corrective actions taken in response to audit findings and recommendations.

Suggestions: The Commission could improve its record of prior audits by listing key aspects of them (e.g., subject of audit, date completed, major findings, corrective actions) in a separate document from the audits themselves.