

North Carolina Measurability Assessment Self-Assessment Form

Pursuant to N.C. General Statutes Chapter 143E, a measurability assessment is an independent evaluation of a state program's progress on 14 indicators. The purpose of this self-assessment form is for programs to document their standing on these 14 indicators and the key elements of each indicator, as defined by the North Carolina Measurability Assessment Guidebook. Programs' self-assessment forms will be provided to their assigned independent assessors before the assessors begin their review.

Step 1: Key Element Ratings. Determine if your program meets, partially meets, or does not meet each key element of an indicator and put a check mark (✓) in the appropriate column. For any element that you check as meets or partially meets, you must provide documentation speaking to that element. Please note that your program's statute alone does not constitute sufficient documentation for any indicator.

- **Documentation.** All documentation must be electronic (PDF, Word, Excel, etc.). Name each file with the number and label of the indicator (e.g., 01 – Avoids Duplication). If an indicator has more than one supporting document, add letters to the file labels (i.e., 01a – Avoids Duplication, 01b – Avoids Duplication). In the column labeled “Document Name and Page Number(s),” enter the document name and the page number(s) on which the element appears. If a document has to be scanned in, you can submit only the relevant excerpt as long as the document's title page is included. If the same file serves as documentation for more than one indicator, duplicate the file and rename it for each indicator.
- **Partially Meets.** Partially meets is meant to capture when your program does not fully meet a key element (e.g., program's financial forecast projects revenues and expenditures for 2 years but not for the 5 years required by Key Element 10.2) or when your program is working toward meeting a key element. If your program claims to be working on a key element, the following information needs to be provided to receive a rating of partially meets:
 - description of completed activities;
 - description of planned activities;
 - position title(s) of program staff member(s) responsible for implementation; and
 - expected timeframe for completion.
- **Missing Responses.** If you leave a column blank or enter “N/A” when “N/A” is not provided as an option, your response will be recoded as does not meet.

Step 2: Indicator Ratings. Put a check mark (✓) in the meets, partially meets, or does not meet column based on the following system:

- **Meets indicator.** All key elements have check marks in the meets column.
- **Partially meets indicator.** At least one key element has a check mark in the meets column OR at least half of the key elements have check marks in the partially meets column (e.g., if there are 7 key elements, 4 have check marks in the partially meets column; if there are 6 key elements, 3 have check marks in the partially meets column).

- **Does not meet indicator.** None of the key elements have check marks in the meets column AND less than half of the key elements have check marks in the partially meets column (e.g., if there are 7 key elements, 3 have check marks in the partially meets column; if there are 6 key elements, 2 have check marks in the partially meets column).

Step 3: Submission. Deliver a thumb drive with a Word version of this form along with all supporting documentation to Kiernan McGorty (100 Legislative Office Building) by **DATE**. The thumb drive will be returned. If you have any questions, please contact Kiernan McGorty (919-301-1393; kiernan.mcgorty@ncleg.net).

The 14 indicators specified by the Measurability Assessment Act collectively represent characteristics of well-managed, low-risk programs, which share common attributes.

- **They have a unique and clearly defined mission**, meaning they (1) do not duplicate other programs; (2) have clearly defined the problem they are intended to address; and (3) have developed logic models that describe the linkages between their resources, activities, and the results they seek to achieve.
- **They focus on results**, meaning (4) the program design has been tested by rigorous evaluation; (5) the program’s scalability has been determined; and management takes a number of specific steps to (6) establish the program’s long-range direction, (7) collect performance data, and (8) use data to track progress towards organizational goals.
- **They have established sound financial management systems**, meaning they (9) assess risks, (10) forecast future funding needs, (11) consider cost-sharing options, (12) analyze staffing needs, (13) track spending, and (14) have undergone audit and taken steps to correct any negative audit findings.

The table below shows how each of the 14 indicators fall under these three attributes of well-managed, low-risk programs. The remainder of this Self-Assessment Form is divided into these three sections. The indicator labels shown below are the ones that should be used for labeling supporting documents for key elements (e.g., 01 – Avoids Duplication.docx).

Indicators of a Clear and Unique Mission	Indicators of a Focus on Results	Indicators of Sound Financial Management
01 – Avoids Duplication	04 – Evidence-Based	09 – Risk Assessment
02 – Problem Definition	05 – Scalability Analysis	10 – Financial Forecast
03 – Logic Model	06 – Strategic Plan	11 – Cost Sharing
	07 – Performance Measurement	12 – Staffing Analysis
	08 – Quality Improvement	13 – Accounting System
		14 – Audit

Program Name: (ENTER YOUR PROGRAM'S NAME HERE)

Indicators of a Clear and Unique Mission

Key Elements of Indicator 1: Avoids Duplication	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 15 of the Measurability Assessment Guidebook for more information about Indicator 1.

Comments on Indicator 1 (optional):

Key Elements of Indicator 2: Problem Definition	Key Element Ratings			Document Name and Page Number(s)
	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. <i>If program is not based on a “promising approach” or “best practice,” enter N/A.</i>				
	Overall Indicator Rating			
	Meets	Partially Meets	Does Not Meet	
2. Program has a problem definition.				

See page 17 of the Measurability Assessment Guidebook for more information about Indicator 2.

Comments on Indicator 2 (optional):

Key Elements of Indicator 3: Logic Model	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 19 of the Measurability Assessment Guidebook for more information about Indicator 3.

Comments on Indicator 3 (optional):

Indicators of a Focus on Results

Key Elements of Indicator 4: Evidence-Based	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 23 of the Measurability Assessment Guidebook for more information about Indicator 4.

Comments on Indicator 4 (optional):

Key Elements of Indicator 5: Scalability Analysis	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 26 of the Measurability Assessment Guidebook for more information about Indicator 5.

Comments on Indicator 5 (optional):

Key Elements of Indicator 6: Strategic Plan	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 29 of the Measurability Assessment Guidebook for more information about Indicator 6.

Comments on Indicator 6 (optional):

Key Elements of Indicator 7: Performance Measurement	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 34 of the Measurability Assessment Guidebook for more information about Indicator 7.

Comments on Indicator 7 (optional):

Key Elements of Indicator 8: Quality Improvement System	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 39 of the Measurability Assessment Guidebook for more information about Indicator 8.

Comments on Indicator 8 (optional):

Indicators of Sound Financial Management

Key Elements of Indicator 9: Risk Assessment	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 43 of the Measurability Assessment Guidebook for more information about Indicator 9.

Comments on Indicator 9 (optional):

Key Elements of Indicator 10: Financial Forecast	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 45 of the Measurability Assessment Guidebook for more information about Indicator 10.

Comments on Indicator 10 (optional):

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

See page 48 of the Measurability Assessment Guidebook for more information about Indicator 11.

Comments on Indicator 11 (optional):

Key Elements of Indicator 12: Staffing Analysis	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 50 of the Measurability Assessment Guidebook for more information about Indicator 12.

Comments on Indicator 12 (optional):

Key Elements of Indicator 13: Accounting System	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 52 of the Measurability Assessment Guidebook for more information about Indicator 13.

Comments on Indicator 13 (optional):

Key Elements of Indicator 14: Audit	Key Element Ratings			Document Name and Page Number(s)
	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.				

See page 55 of the Measurability Assessment Guidebook for more information about Indicator 14.

Comments on Indicator 14 (optional):