

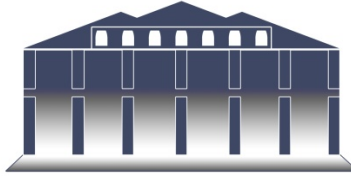
# **Measurability Assessment of Transforming Principal Preparation Program**

**Conducted by Independent Assessor  
Vangaard Evidence-Based Consulting, LLC**



**Program Evaluation Division  
North Carolina General Assembly**

**April 9, 2018**



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North Carolina General Assembly  
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*John W. Turcotte*  
Director

April 9, 2018

Members of the Joint Legislative Program Evaluation Oversight Committee

North Carolina General Assembly  
Legislative Building  
16 West Jones Street  
Raleigh, NC 27601

Honorable Members:

North Carolina General Statutes Chapter 143E, the North Carolina Measurability Assessment Act of 2016, directs the Program Evaluation Division to administer measurability assessments. As a result of this directive, the Program Evaluation Division now provides two means of examining state programs.

- **Evaluations.** Since 2007, the Program Evaluation Division has conducted in-depth studies of existing state programs to determine whether they are effective and efficient and operate in accordance with the law.
- **Measurability Assessments.** In 2017, the Program Evaluation Division began administering brief assessments of new and existing state programs to determine whether they are well-designed and collect the performance information necessary to inform any future inquiries into their effectiveness and efficiency.

Session Law 2017-57, Section 10A.5.(b) directed the Program Evaluation Division to administer a measurability assessment of the Transforming Principal Preparation Program. Pursuant to Chapter 143E, the Division contracted with an independent assessor to perform the assessment. The Division selected Vangaard Evidence-Based Consulting, LLC from our pool of assessors.

I am pleased to report that the staff administering the Transforming Principal Preparation Program fully cooperated with us and the independent contractor and were at all times courteous during the assessment. For more information on this assessment, please contact Kiernan McGorty, at [kiernan.mcgorty@ncleg.net](mailto:kiernan.mcgorty@ncleg.net).

Sincerely,

A handwritten signature in black ink, appearing to read "John W. Turcotte".

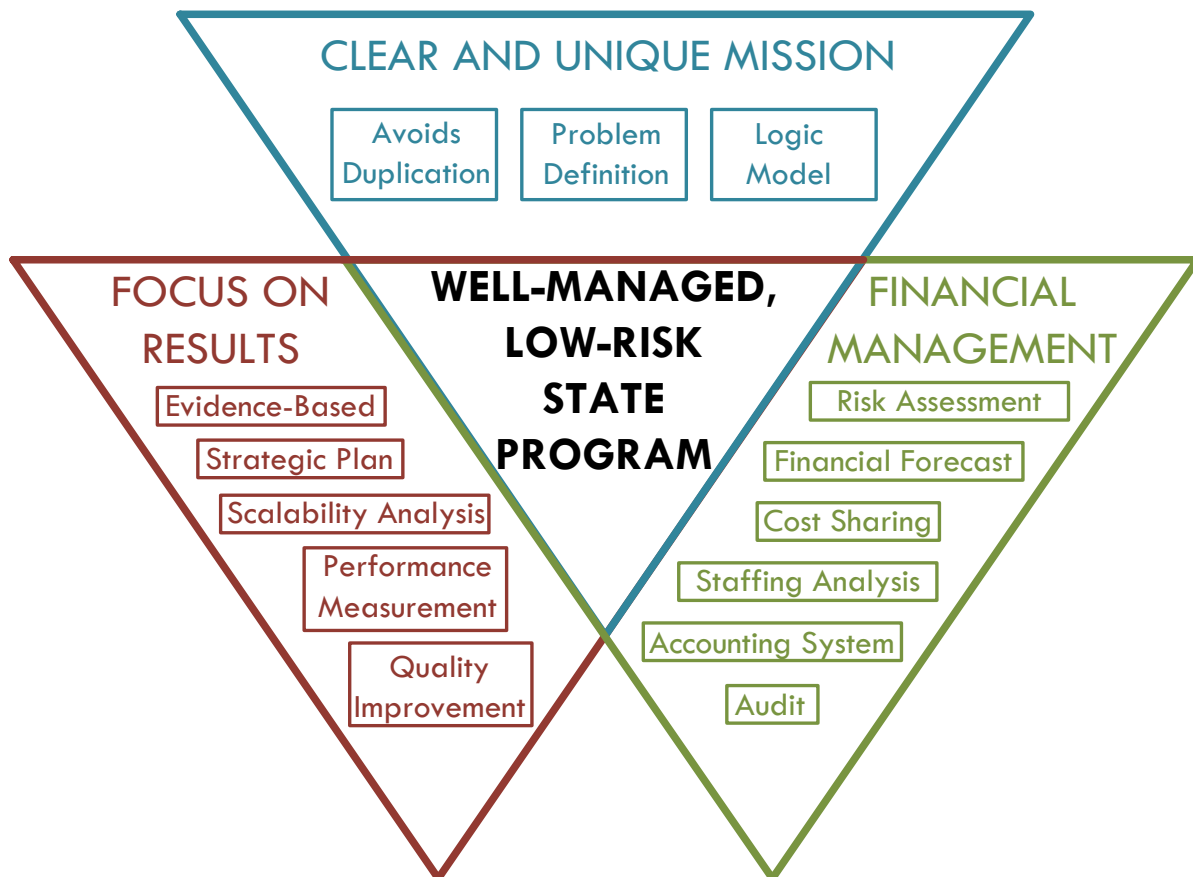
John W. Turcotte  
Director

## Measurability Assessment Framework

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 diagram below shows how each of the 14 measurability assessment indicators fall under these three attributes of well-managed, low-risk programs.



### **Indicators of a Clear and Unique Mission**

1. **Avoids duplication** – the program should have a program inventory to demonstrate whether and to what degree it is unique and does not duplicate the results of other public or private programs
2. **Problem definition** – describes the local, regional, or statewide problems or needs that the program is intended to address
3. **Logic model** – a systematic and visual way to analyze and communicate a program's understanding of the relationships among its resources and activities and the results it seeks to achieve

### **Indicators of a Focus on Results**

4. **Evidence-based** – the program has been tested and found to be effective by multiple evaluations that used rigorous research methods
5. **Scalability analysis** – determines if a program that has been successful on a small pilot scale or under controlled conditions can be expanded under real-world conditions
6. **Strategic plan** – defines what a program will do during the next three to five years and how it will achieve its desired results
7. **Performance measurement** – the ongoing monitoring and reporting of program accomplishments
8. **Quality improvement system** – enables programs to use data to track their progress towards organizational goals and take corrective actions if performance shortfalls occur

### **Indicators of Sound Financial Management**

9. **Risk assessment** – identifies potential financial, fraudulent, and legal hazards a program may face and analyzes methods of response if exposure occurs
10. **Financial forecast** – estimates a program's future finances based on past, current, and projected financial conditions over a long-term period
11. **Cost sharing** – requires beneficiaries of a service to provide contributions to offset federal and/or state funding of the program
12. **Staffing analysis** – determines if a program's staffing levels are appropriate based on the volume of work it is required to perform
13. **Accounting system** – analyzes, records, summarizes, reports, and interprets financial transactions of a program
14. **Audit** – an independent review, examination, or evaluation of a program

# Transforming Principal Preparation Program

The Transforming Principal Preparation (TPP) Program is a competitive grant program administered by the North Carolina State Education Assistance Authority (SEAA).

- **Mission:** To elevate educators in North Carolina public schools by transforming the preparation of principals across the State
- **Statutory Authority:** Session Law 2017-57, Section 10A.5.(a)
- **Service Population:** Individuals in graduate-level school administrator training programs.

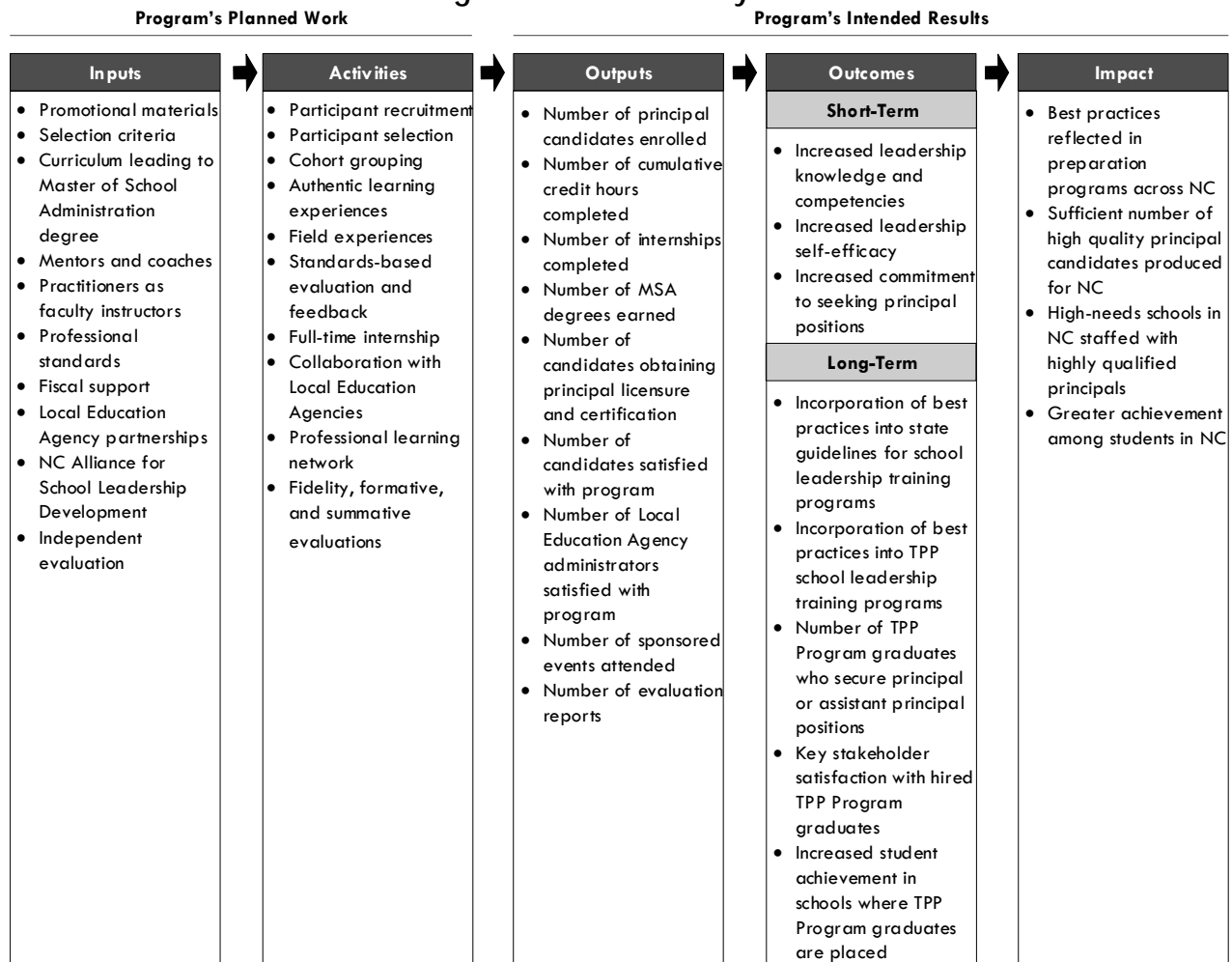
## Fiscal Snapshot

	FY 2016-17	FY 2017-18	FY 2018-19
Total State Appropriation	\$4,500,000	\$4,580,000	\$4,580,000
Total SEAA State-Funded Positions	0.35 FTE	0.35 FTE	0.35 FTE

Note: FTE stands for full-time equivalent. This table only reflects state funding and positions. If a program is receiving any other funds (e.g., federal grant funds), those amounts are not reflected here.

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 Transforming Principal Preparation Program.

# Program Name: Transforming Principal Preparation

Measurability Assessment Conducted by: Vangaard Evidence-Based Consulting, LLC

## 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.		✓		1
2. Program has a problem definition.	✓			2
3. Program has a logic model.	✓			3
4. Program is evidence-based.		✓		4
5. Program has conducted a scalability analysis.		✓		5
6. Program has a strategic plan.		✓		6
7. Program has performance measures.	✓			7
8. Program has a quality improvement system.		✓		8
9. Program has a risk assessment.	✓			9
10. Program has a financial forecast.		✓		10
11. Program has cost sharing documents.	✓			11
12. Program has conducted a staffing analysis.	✓			12
13. Program has an accounting system.	✓			13
14. Program is audited.	✓			14

# Program Name: Transforming Principal Preparation

## 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
<b>1. Program does not duplicate other related programs.</b>		✓	

Description: The Transforming Principal Preparation Program is intended to be a transformative program that demonstrates the impact of using evidence-based practices to train school principals, and it has identified a set of nine specific evidence-based features that are core components of its project sites. It has developed an inventory of the State's 19 traditional graduate-level school administrator training programs and this inventory profiles each program using information from their websites. This information generally supports the conclusion that the Transforming Principal Preparation Program is unique in that it is significantly more focused on incorporating evidence-based practices than are the State's traditional school administrator training programs.

Suggestions: As the Program matures, it will be important to identify best practices in incorporating the nine evidence-based features and to determine whether specific features are critical to achieving positive outcomes. This information is important as the Program is intended to demonstrate the transformative impact of using evidence-based practices, which ideally would then be incorporated throughout the State's other school administrator training programs.

- In future iterations of its program inventory, the Program should try to collect more detailed information on the State's traditional graduate-level school administrator training programs, including their target populations, per-participant costs, and use of evidence-based practices. This information would enable the Program to assess the range of variation among the State's school administrator training programs and to gauge the adoption of evidence-based practices by these programs.
- The Program should develop protocols for coordinating its activities with the other programs, such as forming a coordinating committee of representatives from each of the State's graduate-level school administrator training programs to discuss common issues, avoid wasteful competition, and facilitate the dissemination of the evidence-based features that it is demonstrating.



## 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. <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
<b>2. Program has a problem definition.</b>	✓		
<p>Description: The Transforming Principal Preparation Program and its enabling legislation clearly identify the problems facing the State’s traditional principal training programs. The Program has reviewed the extensive research on this issue to identify a set of evidence-based best practices for addressing these weaknesses, and it has incorporated the evidence-based practices as core features of the projects it has funded.</p>			
<p>Suggestions: The Program is intended to serve as a testbed for evidence-based practices. Accordingly, as the Program matures, it will be important that the Program periodically updates its literature review to identify new evidence-based practices and assesses whether to incorporate new evidence-based practices into its ongoing training programs.</p>			

## 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
<b>3. Program has a logic model.</b>	✓		

Description: The Transforming Principal Preparation Program has created a detailed logic model that conforms to the guidelines established by the W.K Kellogg Foundation. The model includes all required key elements and accurately portrays the Program's design and its intended long-term outcomes and overall impacts. The Program has shared the model with its staff and a set of key stakeholders, and it intends to periodically update the model as the Program matures.

Suggestions: As part of the coordination mechanisms recommended for Indicator 1, the Program should share its logic model with other graduate-level school administrator training programs to help create a shared sense of mission and accountability throughout the State's school administrator training programs.

## 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
<b>4. Program is evidence-based.</b>		✓	

**Description:** Although the Transforming Principal Preparation Program is based on evidence-based practices, it has not yet undergone a rigorous impact evaluation. However, the Program has hired an independent evaluation firm that is currently conducting a developmental and fidelity evaluation to monitor the Program's ongoing implementation, and the evaluator is planning to conduct an impact evaluation to be completed in 2021. This planned evaluation is a notable accomplishment as many new programs are implemented without such independent oversight.

**Suggestions:** The mixed methods impact evaluation design planned by the independent evaluator has notable strengths and will require the collection and analysis of data from many sources.

- The evaluator should, within the next year, identify the specific performance indicators that it will use to carry out its impact evaluation and secure access to the needed data sources. The planned evaluation will utilize a time series that covers a six-year period, including the three years prior to the implementation of the Program in 2016. Thus, the evaluator should begin testing the existence, validity, and reliability of data for the pre-intervention period to ensure that the data are available and sufficient to carry out the planned time-series analyses.

The evaluation design indicates that outcomes for the principals trained by the Program will be compared to the overall outcomes for the State. Although the design appears to be reasonable, there are several considerations that should be taken into account. First, the six project sites are preparing graduates to serve in high-need schools, which generally have lower educational performance than other schools. Accordingly, the evaluation design and data analysis should control for this variable. Second, the experience levels of principals should be taken into account in the analysis, as there is likely a time effect such that new principals' leadership skills, regardless of their training, will improve over their first years of service. Accordingly, the length of time that principals have served in a school also should be a control variable in the evaluation design. Third, if data is available, it would be helpful to compare the performance of schools led by the Program's graduates to the performance of new principals prepared by the State's traditional school administrator training programs, which would test the impact of differential training programs. Fourth, the evaluation design should make note of any limitations due to a likely selection effect relating to the Program's participants. In addition to using an evidence-based training approach, the Transforming Principal Preparation Program offers more benefits (i.e., free tuition and fees as well as a stipend) to its participants than the State's other school administrator training programs. The Program attracted three times more applicants than available slots in its first cohort and used a highly competitive process to select its participants. These factors likely resulted in the selection of a more qualified and skilled set of participants than those who are served by the State's traditional graduate-level school administrator training programs. Accordingly, variations in school performance found by the evaluation could be the effect of both the Program's selection process—which likely could not be replicated if the Program were taken to statewide scale—as well as the Program's use of evidence-based training practices.

## 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
<b>5. Program has conducted a scalability analysis.</b>		✓	
<p>Description: The Transforming Principal Preparation Program is based on evidence-based practices identified through a review of relevant evaluative literature, and its ongoing developmental and fidelity evaluations are verifying that its six project sites are implementing the Program as intended. The Program is still in its initial phase and has not yet graduated its first cohort of participants. Accordingly, robust evidence of its effectiveness in strengthening principal and school performance is not yet available. The Program's initial scalability analysis has considered the State's projected future need for school principals and the number of persons who applied for its first training cohorts.</p>			
<p>Suggestions: In future years, the Program should try to extend its scalability analysis to consider the potential to extend its reach through the adoption of its core evidence-based practices by the State's other 19 graduate-level school administrator training programs. This effort would align with the Program's purpose of demonstrating the impact of reforming the State's system for training school principals, which will only happen at scale if the Program's evidence-based practices become widely adopted throughout the postsecondary school administrator training system. The Program should also try to compare its per-participant costs to those of the State's other school administrator training programs.</p>			

## 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
<b>6. Program has a strategic plan.</b>		✓	

Description: The Transforming Principal Preparation Program is currently operating under the overall five-year strategic plan of its operating entity, the North Carolina Alliance for School Leadership Development (NCASLD), for the period 2017–2022. This strategic plan includes all of the required elements. Because NCASLD, created in 2015, is a relatively new organization, the strategic plan has not yet been updated, but the organization indicates that it intends to do so regularly in coming years. The mission and vision stated in the strategic plan apply to the overall activities of NCASLD and are generally compatible with the Transforming Principal Preparation Program. This broad mission and vision is reasonable given that the Program is in its start-up phase. However, the goals, objectives, and performance measures of the strategic plan are only indirectly relevant for the Transforming Principal Preparation Program and do not fully reflect its specific statutory charge to transform the State’s system for preparing school principals. This omission should be corrected in future versions of the strategic plan.

Suggestions: NCASLD should either incorporate specific goals, objectives, and performance measures into its next strategic plan that reflect the Transforming Principal Preparation Program’s specific mission, or it should create a separate strategic plan for the Program.

## 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
<b>7. Program has performance measures.</b>	✓		
<p>Description: The Transforming Principal Preparation Program, through its independent evaluator, has established a detailed logic model, evaluation plan, and set of performance measures that have been validated and are reported in multiple formats including the annual evaluation report prepared by its independent evaluator, quarterly reports, and briefings.</p>			
<p>Suggestions: The Program's performance measures are currently identified and listed in multiple documents. It should develop a consolidated set of measures along with operational definitions and identified data sources to aid communication with stakeholders, and it should report these data in an annual accountability report to key stakeholders. It should also operationalize measures that it intends to use in its planned impact evaluation.</p>			

## 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
<b>8. Program has a quality improvement system.</b>		✓	

Description: The Transforming Principal Preparation Program established quality improvement objectives in the North Carolina Alliance for School Leadership Development's bid document for the Transforming Principal Preparation Grant Oversight program to the University of North Carolina General Administration for the State Education Assistance Authority and in the evaluation plan developed by its third-party evaluator. These documents identify quality indicators and reporting dates but did not specify performance targets. The Program is undertaking an ongoing formative evaluation of its operations through its independent third-party evaluator to help ensure that its project sites are complying with program requirements and to identify and resolve issues.

Suggestions: The Program should incorporate specific quality improvement targets in its future quality improvement plans.

## 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
<b>9. Program has a risk assessment.</b>	✓		
<p>Description: The Transforming Principal Preparation Program has identified and assessed the major risks facing its operations, their probability of occurrence, and their potential impact. To manage these risks, the Program has created contingency plans to mitigate each risk and assigned responsibility to specified individuals and groups to manage the risks and take mitigating actions as needed.</p>			
<p>Suggestions: None</p>			



## 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
<b>10. Program has a financial forecast.</b>		✓	

Description: The Transforming Principal Preparation Program has developed a five-year financial forecast for the portion of its expenses that are allocated to the North Carolina Alliance for School Leadership Development using a hybrid forecast model. This forecast, updated annually, breaks out revenues and expenditures into general categories, and it explains trends and provides rationales for expected changes over time. However, the forecast does not cover the revenues and expenditures of its project sites, which represent an important part of total program costs.

Suggestions: The Program's financial forecast should incorporate all funding appropriated to the Program by the General Assembly, including predicted revenues and expenditures of its project sites, which represent an important part of allocated funds.

## 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 <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>		N/A	
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>		N/A	
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>		N/A	
	Overall Indicator Rating		
	Meets	Partially Meets	Does Not Meet
<b>11. Program has cost sharing documents.</b>	✓		

Description: The Transforming Principal Preparation Program does not require cost sharing, as all program costs, including tuition and participant stipends, are paid through funds appropriated by the General Assembly. The Program interprets its statutory charge as directing it “to increase the pool of highly effective principals *by providing as much support as possible* (emphasis added) to allow rigorously selected candidates to participate in non-traditional preparation programs designed to produce principals who are ready to assume the responsibilities of school leadership in challenging school environments.” The italicized language does not appear in its enacting legislation (Session Law 2015-241, Section 11.9).

Suggestions: Fully funding all program costs of participants is reasonable given that the Program is intended to be a demonstration program to test innovative evidence-based practices that can be disseminated throughout the State’s graduate-level school administrator training programs and thus transform the State’s system of training persons to become school principals. However, the Program should consult with the General Assembly to determine at what point, if any, it intends to begin requiring participants to share in program costs as persons seeking graduate-level school administrator training through the State’s other programs must do.

## 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
<b>12. Program has conducted a staffing analysis.</b>	✓		
<p>Description: The North Carolina Alliance for School Leadership Development has analyzed its workload and staffing needs for administering the Transforming Principal Preparation Program, including the workload of its independent evaluator, by analyzing its needs based on workload rather than benchmarks, which is appropriate given its small size.</p>			
<p>Suggestions: In the future, the Program should expand its analysis to assess the administrative staffing of its project sites and develop benchmarks for these costs, which represent an important part of allocated funds.</p>			

## 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
<b>13. Program has an accounting system.</b>	✓		

Description: The North Carolina Alliance for School Leadership Development (NCASLD), the administrative agent for the Transforming Principal Preparation Program, uses Quickbooks Accounting Software for its accounting system, and this system tracks the Program's assets, liabilities, fund equity/credits, revenues, and expenditures and generates a balance sheet and profit/loss statement. The Quickbooks system tracks financial information on an accrual basis and is capable of producing GASB-compliant financial statements, although the NCASLD is not classified as a government entity and thus the grant funds it receives to administer the Program are not classified as government funds.

Program funds held by the North Carolina State Education Assistance Authority, which manages all Program funds and disburses grant funds to NCASLD and the Program's project sites, are held by University of North Carolina General Administration, which uses the PeopleSoft Carolina Connect accounting system to track Program funds. This system tracks assets, liabilities, fund equity/credits, revenues, and expenditures and generates balance sheets and profit/loss statements. The system tracks financial information on an accrual basis and is capable of producing GASB-compliant financial statements.

Suggestions: None

## 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
<b>14. Program is audited.</b>	✓		
<p>Description: The North Carolina Alliance for School Leadership Development (NCASLD) and the North Carolina State Education Assistance Authority (NCSEAA) both undergo annual financial audits that describe audit requirements. NCSEAA also may undergo internal audits performed by University of North Carolina General Administration, although no reports of internal audits were provided. Financial audit reports provided by both organizations indicated that the auditor's selected audit procedures were based on the auditor's judgement of the risks of material misstatement of the financial statements, including considerations of internal controls relevant to the financial statements. The audits did not express an opinion on the effectiveness of the NCASLD's internal controls. Both organizations maintain records of prior audits, examinations, and evaluations. No adverse findings or recommendations were contained in the audit reports of either organization and thus no corrective actions were needed.</p>			
<p>Suggestions: None</p>			



March 23, 2018

John Turcotte  
Director, Principal Program Evaluator  
Program Evaluation Division  
NC General Assembly  
100K Legislative Office Building  
Raleigh, NC 27603

Dear Mr. Turcotte:

The North Carolina State Education Assistance Authority (NCSEAA) and the North Carolina Alliance for School Leadership Development (NCASLD) would like to thank the Program Evaluation Division and the independent assessor for their thorough review of the materials we submitted for the Measurability Assessment of the Transforming Principal Preparation (TPP) program. NCASLD is pleased to provide this formal response to the Measurability Assessment and its contained suggestions with consent of the NCSEAA.

**Expanding Program and Evaluation Scope (Indicators 1 and 5)**

We agree that the suggestions under Indicators 1 (Avoids Duplication) and 5 (Scalability Analysis) have merit. In Indicator 1, it is suggested that NCASLD try to collect information about North Carolina's other 19 graduate-level school administrator training programs (non-TPP) including target population, per-participant cost, and use of evidence-based practices. At present, NCASLD is exploring this possibility; however, this will require gathering data from non-TPP programs on their graduates, and it is presently unknown if such data are readily accessible or if they would be voluntarily shared. Indicator 1 also suggests NCASLD should develop protocols for coordinating its activities with the non-TPP programs in order to discuss common issues, avoid wasteful competition, and facilitate dissemination of the program's evidence-based features. Likewise, in Indicator 5 it is suggested that NCASLD extend its scalability analysis to consider the potential to extend its reach through the adoption of its core evidence-based practices by the non-TPP programs.

We fully recognize the desirability of supporting non-TPP programs interested in adopting TPP practices once proven effective. NCASLD will widely share best practices and models that prove successful with both TPP and non-TPP programs throughout the state via a variety of reports and our Professional Learning Network (PLN). We will also invite and encourage participation of non-TPP program providers in collaborative activities as suggested. Although we are optimistic that non-TPP program providers will be interested in voluntarily participating in collaborative activities, we cannot require their participation, nor can we require that non-TPP programs adopt recommended practices. Additionally, the inclusion of all non-TPP programs in the program's evaluation and support system would considerably expand the current project's scope and objectives, stretching available resources currently being used to assess and further develop the TPP model and study the efficacy of each of the grant-funded TPP programs.

**Disseminating Best Practices Literature Summary and Logic Model (Indicators 2 and 3)**

We agree with the suggestions for Indicators 2 (Problem Definition) and 3 (Logic Model), and plan to regularly update our literature review and share it and our logic model through the NCASLD website and various reports.

**Modified Evaluation Design (Indicator 4)**

The Measurability Assessment made several suggestions in regard to Indicator 4 (Evidence-Based). The first two suggestions (controlling for educational performance of schools and principal experience level) will be addressed in our multi-year evaluation design. The third suggestion is to try to add comparison of the performance of TPP graduates with the performance of new graduates of non-TPP programs. NCASLD is presently exploring the possibility of drawing such comparisons for student achievement data; however, this will require gathering data from non-TPP programs on their graduates and, as mentioned above, it is presently unknown if such data are readily accessible or if they would be voluntarily shared. The fourth suggestion is to make note of any selection effects in the evaluation which we plan to do.

**Expanded Strategic Plan, Consolidated Performance Measures, Modified Quality Improvement Plan, and Expanded Staffing Analysis (Indicators 6, 7, 8, 9, 12, 13, 14)**

We appreciate the suggestions provided for Indicators 6 (Strategic Plan), 7 (Performance Measurement), 8 (Quality Improvement System), and 12 (Staffing Analysis), which are consistent with NCASLD’s intent and future plans. These suggestions will be incorporated into our future work by 1) modifying the strategic plan to include TPP specific goals, objectives, and performance measures; 2) consolidating performance measures to aid communication with stakeholders; 3) adding performance targets to the quality improvement plan; and 4) expanding the staffing analysis to include project sites. No suggestions were made for Indicators 9, 13 and 14.

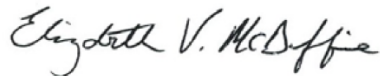
**Expanding Funding Forecast (Indicator 10)**

NCASLD agrees with and will act on the suggestion for Indicator 10 (Financial Forecast) in the Measurability Assessment to expand the existing 5-year funding forecast to include the revenues and expenditures of all of the project sites.

**Participant Sharing of Program Costs (Indicator 11)**

With regards to Indicator 11 (Cost Sharing), it is important to note the appropriated State money does not currently cover all program participant costs, a variety of which are being covered through other sources. For example, some school districts are contributing to the salary costs for their participants, while others are contributing by paying for participant health insurance. School districts are also contributing in-kind resources such as facilities and mentors. Participants themselves are paying some fees and, in some cases, accepting a lower salary during their internship period. NCASLD believes that the best candidates are attracted by high levels of financial support that allow them to pursue a degree in school leadership, especially in under-served areas. As suggested, we will continue to consult with the General Assembly on this point and follow directives in any amended legislation.

Thank you for the opportunity to provide this formal response to the Measurability Assessment. We are committed to and already working closely together to amend our work to reflect these recommendations and, therefore, do not believe there is a need for the General Assembly to take legislative action to mandate them.



Elizabeth V. McDuffie  
Executive Director  
NCSEAA



Dr. Shirley Prince  
Executive Director  
NCASLD, TPP Program Director