

# THE 3<sup>RD</sup> DIMENSION: THE ROLE OF PROGRAM EVALUATION

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THE CITY OF NEW ORLEANS OFFICE OF INSPECTOR GENERAL

# PURPOSE & DUTIES OF THE MASSACHUSETTS OFFICE OF INSPECTOR GENERAL

To prevent and detect  
fraud, waste and abuse in the  
expenditure of public funds

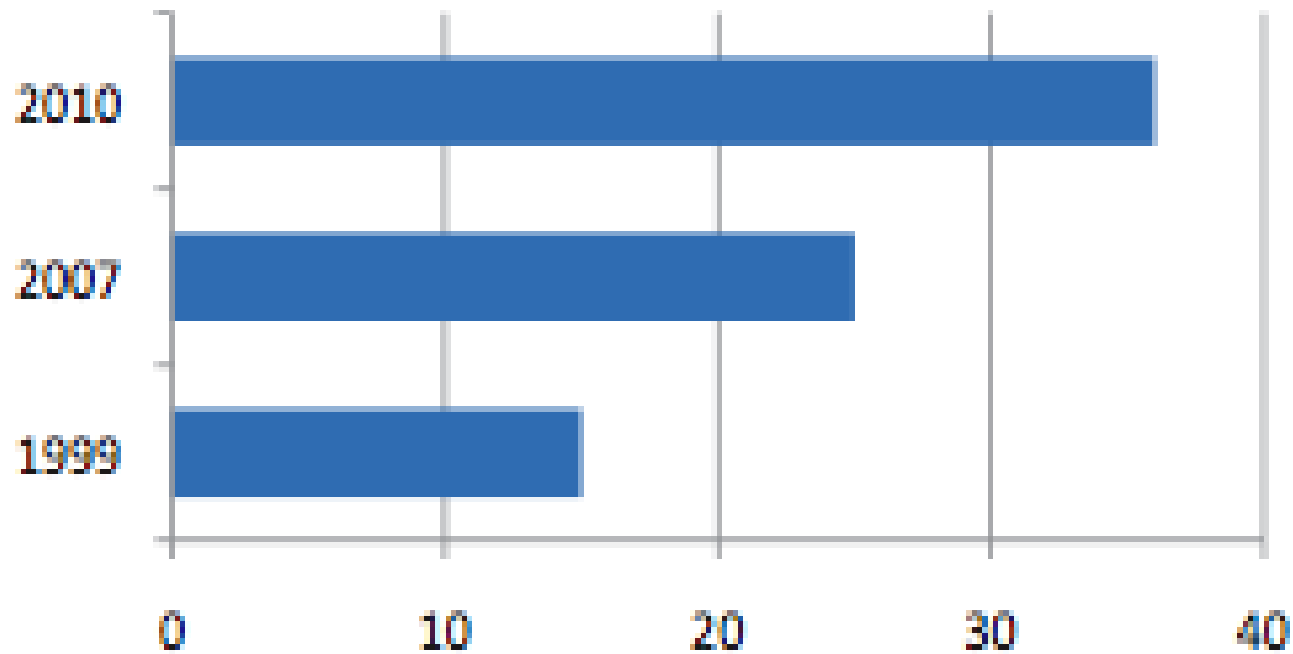
OIGs may have responsibilities that go beyond audits and investigations. This additional work includes inspecting, evaluating, reviewing, studying, and/or analyzing government operations and programs for the purposes of providing information for decision-making, and of making recommendations to improve programs, policies, or procedures.

AIG Greenbook



# CIGIE SURVEY

**Figure 2. I&E Unit Growth**



# I & E WORK PRODUCTS

Evaluation - An Evaluation is an in-depth review of a Program, which may include analysis of the Program's need, merit and worth, design, implementation and service delivery, impact or outcomes, and efficiency.

Inspection - An Inspection is more narrowly focused than an Evaluation, and typically examines a specific function or aspect of a Program.

Public Letter - A Public Letter is a communication directed at public officials and the public to convey important information relating to an urgent issue or an imminent government action.

Technical Assistance - Technical Assistance refers to consultation services provided to public officials in an area of I & E expertise, such as performance measurement or methodologies for data collection and analysis.

# PROJECT PLANNING RESEARCH

*Program Theory*

*History and Context*

*Legal Framework and Rules*

*Existing Relevant Research, Audits, or Reports*

*Informational Interviews and/or Document Review*

*Relevant Media Reports*

*Performance Standards and Best Practices*

# QUESTIONS TO BE ANSWERED

- Compliance:** *Is the Program operating in compliance with laws and policies?*
- Effectiveness:** *Is the Program accomplishing the intended objectives?*
- Efficiency :** *Is the Program making efficient use of public resources?*
- Controls:** *Does Program have policies/procedures to safeguard assets from theft or misuse; prevent fraud and abuse; identify and avoid conflicts of interest; ensure sound financial management; and protect confidential information?*
- Accountability:** *Does Program operate in a manner that is fair, transparent, and serves the public interest?*
- Performance:** *Does Program assess own performance and set goals for improvement?*

# KNOWLEDGE & SKILLS REQUIRED FOR INSPECTIONS & EVALUATIONS

- ◉ Knowledge of evaluation methodologies;
- ◉ Familiarity with concepts and processes of government programs;
- ◉ Capacity to conduct a broad, interdisciplinary inquiry;
- ◉ Writing skills;
- ◉ Information technology skills;
- ◉ Knowledge of inspector general statutory requirements.

# SPECIALIZED EXPERTISE FOR INSPECTIONS & EVALUATIONS

- ◉ Accounting
- ◉ Law
- ◉ Public Administration
- ◉ Information Technology
- ◉ Economics
- ◉ Engineering
- ◉ Statistics
- ◉ Social Science Research Methods
- ◉ Specialized Scientific or Technical Expertise

# “OUTSIDE THE BOX”



# PERKS OF “OUTSIDE THE BOX” HIRES

- (1) Enhancement of OIG Program Evaluations
- (2) New Inspection Methods
- (3) In-House Technical Assistance
- (4) Consulting Services to Other Agencies

# (1) ENHANCEMENT OF OIG PROGRAM EVALUATIONS

*i.e. Municipal Benchmark as part of the NOLA I&E evaluation: Review of the 2009 Budget Process for City of New Orleans*

## Benchmark Methodology

- Selection of Comparison Cities
- Variables of Interest
- Data Collection
  - \*Reliability and Validity of Data
- Calculation of Per Capita Costs



# BENCHMARK METHODOLOGY

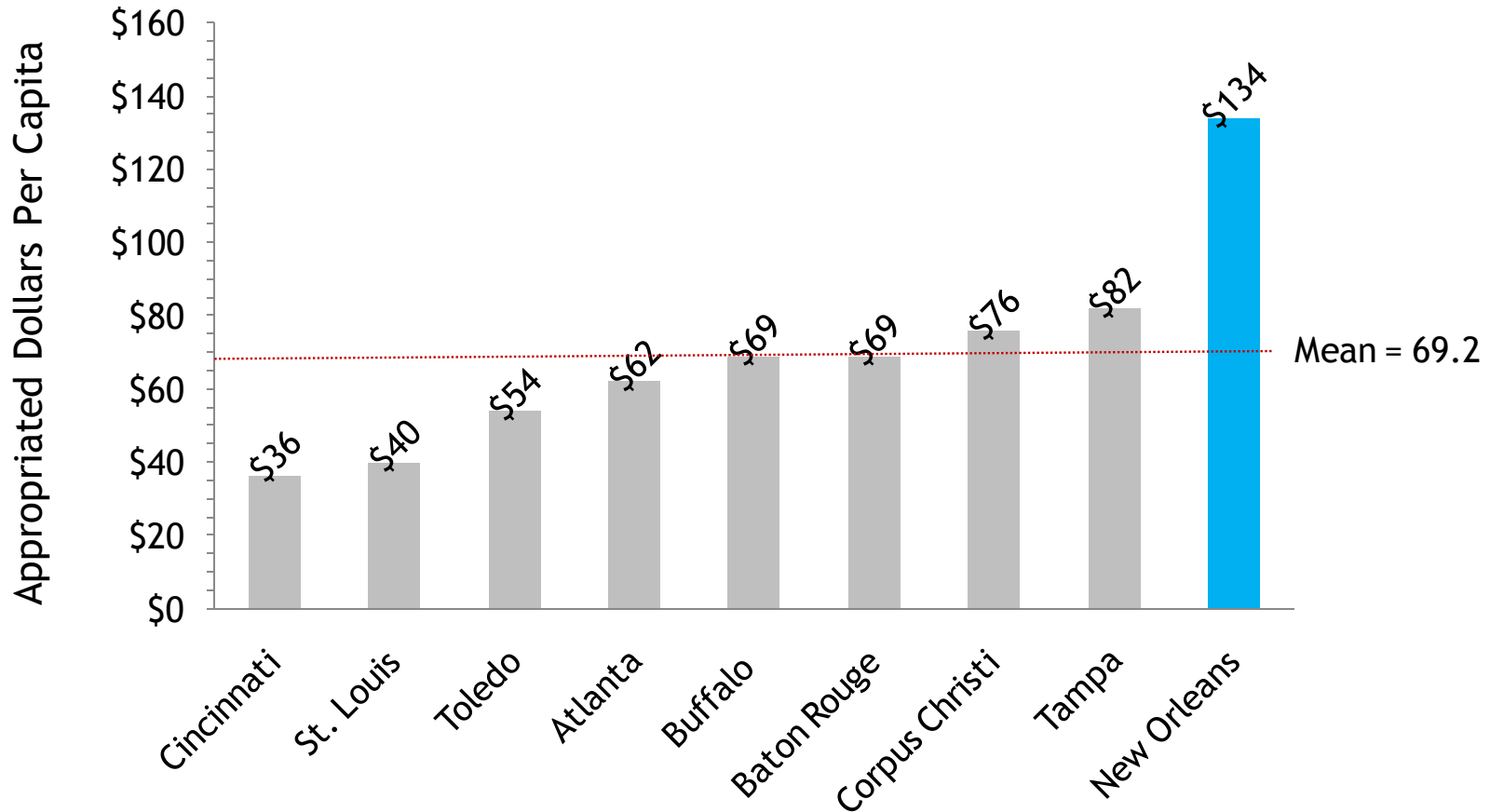
An example of line-item adjustments to the 2009 sanitation costs for New Orleans and Baton Rouge:



Service/Program	New Orleans	Baton Rouge
Sanitation Administration Office	\$862,243	\$819,041
Garbage Collection Contracts (Residential Only)	\$31,252,000	\$22,237,441
Hauling, Transfer and Waste Disposal Contract	\$9,000,000	\$6,017,897
<del>Mardi-Gras Clean-Up</del>	\$190,000	N/A
Professional Services (Landfill Closure/ Post Closure)	\$341,250	\$683,710
<del>Special Events Clean-Up</del>	\$216,125	N/A
Manual and Mechanical Street Clean-Up	\$429,083	\$657,700
Debt Service	<u>+\$0</u>	<u><b><span style="color: red;">+(-\$736,080)</span></b></u>
<b>Total Cost (included in Benchmark)</b>	<b>\$41,884,576</b>	<b>\$29,679,709</b>

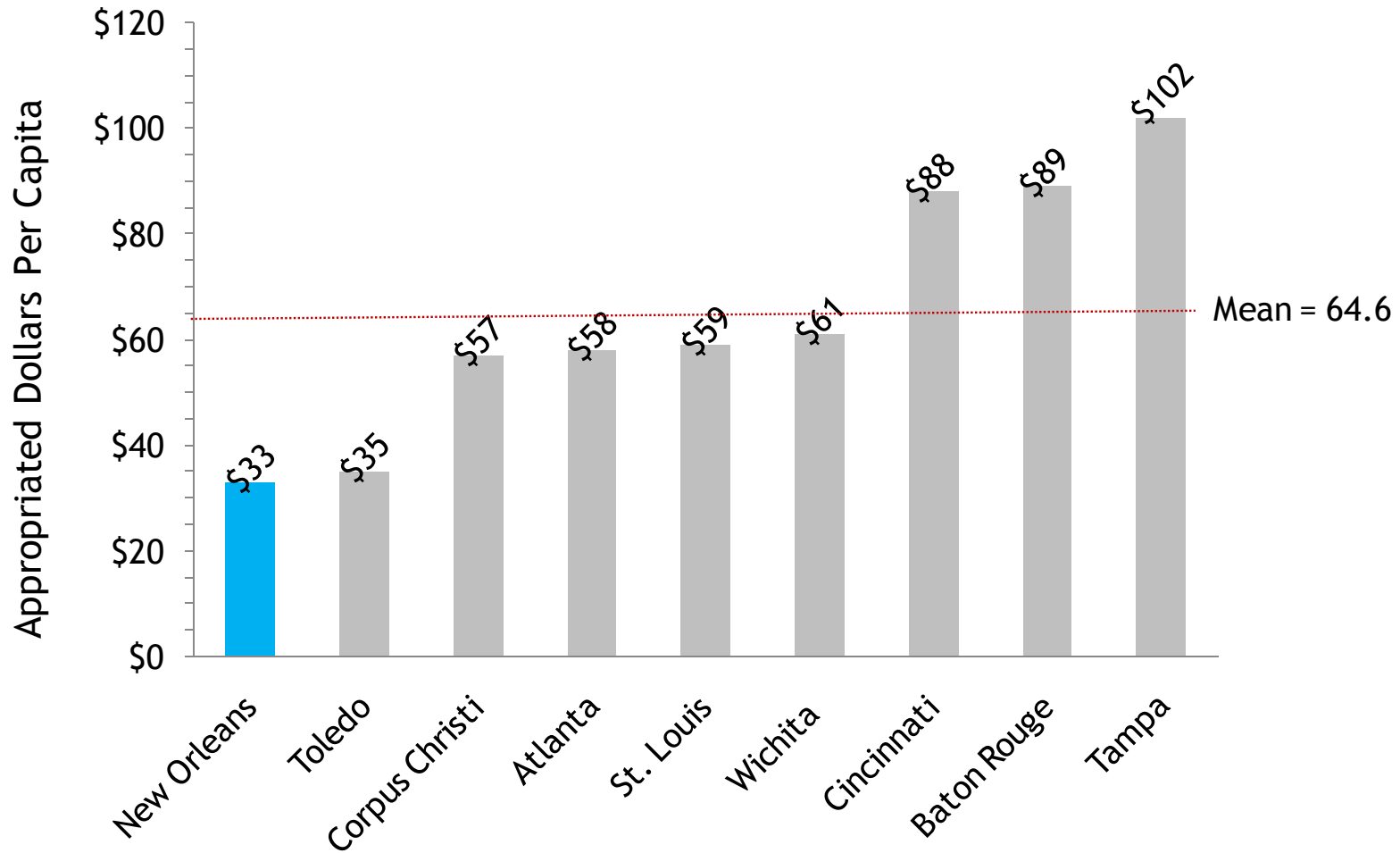
# BENCHMARK RESULTS

## 2009 APPROPRIATIONS FOR SANITATION



# BENCHMARK RESULTS

## 2009 APPROPRIATIONS FOR PARKS & RECREATION



## (2) NEW INSPECTION METHODS

*i.e. Citizen Verification Project: Sanitation Property Survey*

### Innovations of CVPs

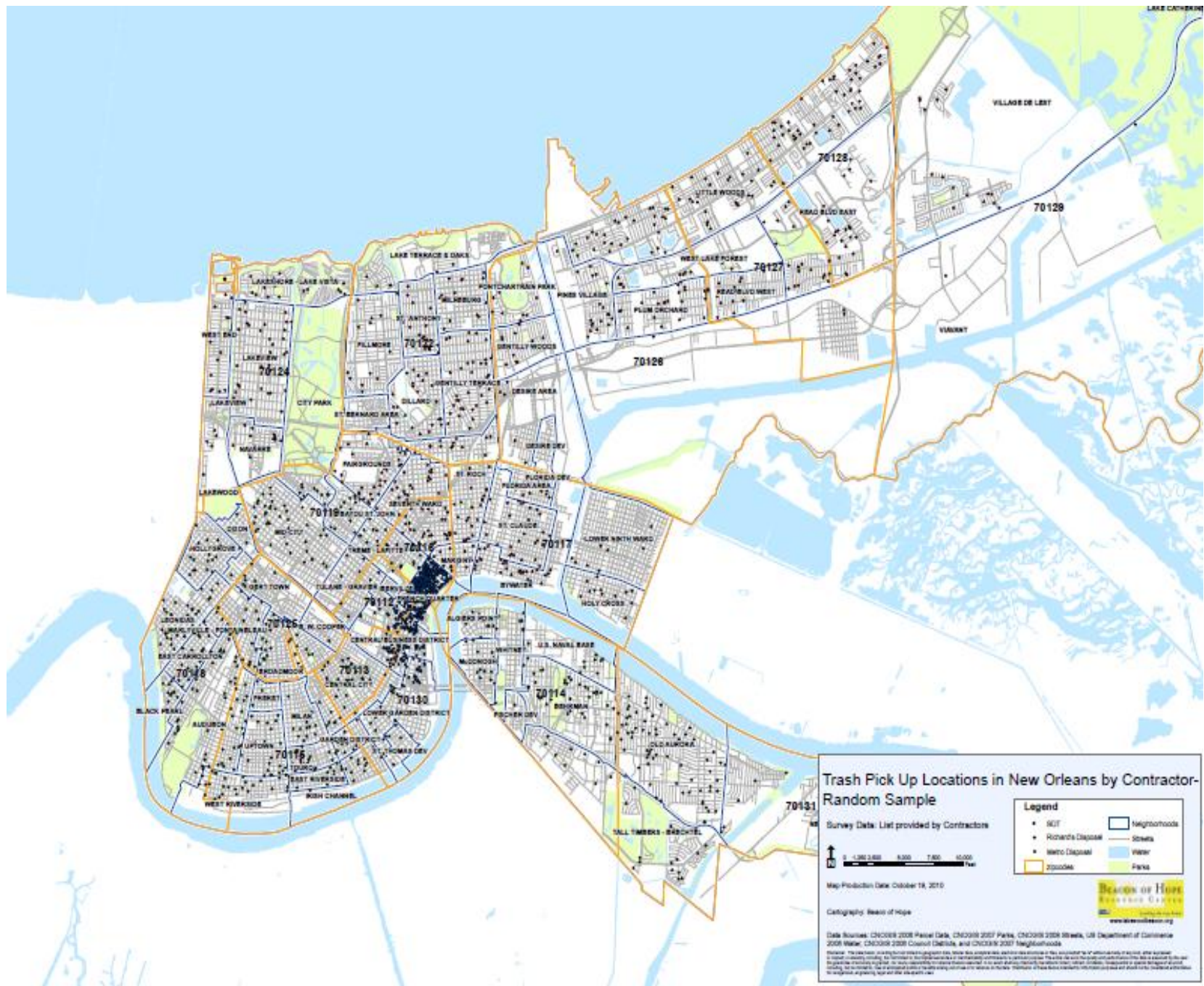
- Collaboration among city agencies
- Citizen volunteers as “inspectors” (data collectors)



# CVP SURVEY: SAMPLE SIZE

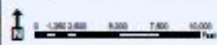
- Sample Size Determination for each of the three Serviced Locations lists considered:
  - Population size (Determined from lists provided by contractors to justify billings to the City for July/August 2010)
  - Desired Confidence Level (99%)
  - Desired Confidence Interval or Margin of Error (5%)
  - Expected proportion of one result versus another (Most conservative at .5)
- The three samples were randomly selected by the computer program Active Data.

CONTRACTOR	SERVICED LOCATIONS ON CONTRACTOR'S LIST	SERVICED LOCATIONS IN SAMPLE
1	55,943	706
2	66,525	698
3	3,437	606
<b>Total</b>	<b>125,905</b>	<b>2,010</b>



### Trash Pick Up Locations in New Orleans by Contractor-Random Sample

Survey Data: List provided by Contractors



Map Projection Date: October 18, 2010

Cartography: Beas of Hope

Date Sources: CNOIS 2008 Parcel Data, CNOIS 2007 Parks, CNOIS 2008 Streets, US Department of Commerce 2008 Water, CNOIS 2008 Canal Districts, and CNOIS 2007 Neighborhoods

Disclaimer: The data was analyzed and mapped using ArcGIS. While the contractor data was provided to the contractor by the contractor, the contractor is not responsible for the accuracy of the data. The contractor is not responsible for the accuracy of the data. The contractor is not responsible for the accuracy of the data. The contractor is not responsible for the accuracy of the data.

**Legend**

- RCIT
- Richards Disposal
- Metro Disposal
- ZIPCODE
- ▭ Neighborhoods
- ▭ Streets
- ▭ Water
- ▭ Parks

## CVP SURVEY METHODOLOGY: VOLUNTEER TRAINING

- ◉ 65 Citizen Volunteers were systematically trained to conduct property inspections, which included instruction on how to accurately complete Survey Forms for assigned addresses.
- ◉ The training presentation included visual aids to improve the validity and reliability of the volunteer inspections.
- ◉ Citizen volunteers were given all of the materials needed to successfully complete the inspections (except a car!).
- ◉ Citizens were asked to return the completed forms to a drop box at the training site by a specified date.

# CVP TRAINING: SURVEY FORM

Please check **ALL** boxes that apply for categories A-C, & F and write in responses for categories D, E, & as needed in \*G.

#	Address	A. Property Type:					B. If Commercial, what type?					C. Property Appearance				D. Please write the number of visible:		E. If Residence, write the # of units:		F. Observation Verification			*G. Use this space to elaborate if you checked "Other" or "Don't Know" for any categories and/or to add details about your observation.	OIG
		Commercial	Residential	Vacant Lot	Other*	Don't Know*	Bar	Restaurant	Hotel	Other*	Don't Know*	Occupied	Abandoned	Construction	Don't Know*	Mailboxes	Electricity Meters	Number	Don't Know*	Spoke w/Resident	Spoke w/Neighbor	Photo Attached		
1	1511 N Claiborne Ave																							
2	1933 N Claiborne Ave																							
3	2029 N Claiborne Ave																							
4	1477 N Derbigny St																							
5	1554 N Johnson St																							
6	1654 N Johnson St																							
7	1500 N Prieur St																							
8	1417 N Roman St																							
9	1531 N Roman St																							
10	1826 N Roman St																							

P002-70116

\_\_\_\_\_  
Volunteer Signature

\_\_\_\_\_  
Date

# CVP TRAINING: USE OF PICTURES



# CVP SURVEY DATA ANALYSIS & RESULTS

- Property Eligibility Status Determination and Inter-rater Reliability
- Results for one contractor:

CLASSIFICATION	NUMBER OF SAMPLED LOCATIONS	PERCENTAGE OF TOTAL (+/- 5%)
<i>Eligible</i>	265	44% (39 - 49%)
<i>Not Eligible</i>	123	20% (15 - 25%)
<i>Unknown</i>	217	36% (31 - 41%)

(n = 606, Confidence Level of 99% and Margin of Error of 5%)

Potential Savings	15% (516)	20% (687)	25% (859)
<i>Monthly Savings</i>	\$11,858	\$15,810	\$19,763
<i>Annual Savings</i>	\$142,296	\$189,722	\$237,153

*Potential City Savings Based on the Range of Ineligible Addresses Billed by Contractor*

## (3) IN-HOUSE TECHNICAL ASSISTANCE

*i.e. Statistical Sampling Presentation made to NOLA  
OIG Audit Division*

### Review of the following:

- The Sampling Process
- Determining Sample Size
- Sample Selection
- Error due to Sampling and Non-Response

### Reconciliation of Terminology Discrepancies across Divisions

- E.g. Tolerable Rate versus Confidence Interval

## (4) CONSULTING SERVICES TO OTHER AGENCIES

### *i.e. NOPD Citizen Satisfaction Survey*

- Basics of Survey Research
- Survey Design and Development
- Statistical Sample Size Determination
- Impact of Consultation

### *i.e. Analysis of CDC Case Allotment Report*

- Generally accepted principles of case allotment
- Analysis of the Case Designation Matrix
  - Statistical analysis of case allotment
    - *i.e. Chi-Square Goodness-of-Fit Test*
- Analysis of the report and methodologies applied
- Conclusions

# SOCIAL SCIENCE RESEARCH METHODOLOGY AND STATISTICS

- ◎ Some program evaluation practices may be enhanced by social science research methodologies and statistics.
- ◎ Accredited Ph. D. programs with an emphasis on social science research methodologies and statistics provide good training of knowledge and skills applied in program evaluation.

# GRAD STUDENTS



# SERIOUSLY...DIVERSITY IS KEY

- ◉ While hiring graduate students well versed in social science research methodologies and statistics can be very useful, there are also others to consider.
- ◉ Program Evaluators come in all “shapes and sizes” and their specialized skills should reflect the needs or potential needs of the office.

# 2010 CIGIE SURVEY

Federal OIG	Sampling of I&E Staff Expertise
AMTRAK	Engineers Procurement Specialists Safety Professionals
Department of Commerce	Statistician IT Specialist Public Policy Professional Program Evaluator
Environmental Protection Agency	Public Policy Professionals Auditors Physical & Environmental Scientists Engineers Chemists
Department of Veterans Affairs	Statisticians Doctors & Nurses Health Specialists

# THE OIG TOOLBOX

- ◎ IGs can improve their function by diversifying their “toolboxes”
- ◎ A useful and flexible tool that is being increasingly added to the “toolboxes” of many OIGs is a unit dedicated to program evaluations.
- ◎ Dedicated I&E units should be comprised of professionals from a multitude of disciplines and areas of expertise.

# REFERENCES & CONTACT INFORMATION

NOLA OIG website: [www.nolaoig.org](http://www.nolaoig.org)

To request copies of the presentation slides, or if you have any questions, please contact us.

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