

POLICY EVALUATION: TOOLS TO IMPROVE GOVERNMENT AND/OR TO SHRINK IT?

THE GOAL OF POLICY EVALUATION: TO CHANGE POLICYMAKING

- parties
- interest groups
- public opinion
- **FACTS AND EVIDENCE**

POLICY EVALUATION: A “LOBBY” FOR FACTS

“Evaluation is itself a political act.” – Carol Weiss

<u>Japanese Term</u>	<u>American Term</u>	<u>When Started?</u>	<u>Unit of Focus</u>	<u>Key Question</u>
"ex ante evaluation"	policy development regulatory analysis	1930's (public works), 1970's (reg review)	Decision	What decision should we make?
"comprehensive evaluation"	program evaluation	1960's	Program	Does program work?
"performance evaluation"	performance management	1990's	Operating organization	How can program work better?

POLICY DEVELOPMENT

- ad hoc: simply part of policy development process (e.g. Clinton health care proposal 1993)
- public works: Rivers and Harbors Act (1936) requires cost-benefit analysis of water projects (such as dams) constructed by the Army Corps of Engineers and the Bureau of Reclamation
- regulatory review:
 - agency review: required by many statutes
 - central review: starts in 1976, expanded by successive presidents, located in White House

INFLUENCE OF STUDIES IN POLICY DEVELOPMENT

- objectivity?
 - public works projects: pro-project bias (exclusion of costs from cost-benefit analyses)
 - regulatory review: outsiders, economists, outside veto/negotiations
- influence culture of policymaking
- can be tool for shrinking programs (like evaluation)

EVALUATION

- in areas where programs are **controversial** (often recent expansion of government role) – poverty, health, education, **not** Defense Department or Department of Agriculture.

U.S. Department of Agriculture Office of Budget and Program Analysis

“Office of Budget and Program Analysis provides direction and administration of the Department's budgetary functions; reviews program and legislative proposals for program and budget related implications; analyzes program and resource issues and alternatives; and provides department wide coordination for and participation in the presentation of budget related matters to the committees of Congress, the press and publics. OBPA also provides department wide coordination of the preparation and processing of the legislative program and legislative reports, and department wide coordination and processing of regulations.”

U.S. Department of Health and Human Services Assistant Secretary for Policy and Evaluation

“The Assistant Secretary for Planning and Evaluation (ASPE) is the principal advisor to the Secretary of the U.S. Department of Health and Human Services on policy development, and is responsible for major activities in policy coordination, legislation development, strategic planning, policy research, evaluation, and economic analysis.”

EVALUATION

- in areas where programs are **controversial** (often recent expansion of government role) – poverty, health, education, **not** Defense Department or Department of Agriculture.
- Challenge is **objectivity**

"Evaluative man...must reduce his commitments to the organizations in which he works, the programs he carries out, and the clientele he serves."

-- Aaron Wildavsky

RELATIONSHIP BETWEEN AFFILIATION OF INVESTIGATOR TO THE PROGRAM EVALUATED AND HIS ASSESSMENT

	Success	Qualified	Failure	<i>N^c</i>
	(%)	(%)	(%)	(%)
Affiliated	58	28	14	36
Nonaffiliated	14	57	29	42

Source: Gordon, G. and E.V. Morse. "Evaluation Research," *Annual Review of Sociology*, 1975

EVALUATION

- in areas where programs are **controversial**
- Challenge is **objectivity**
- Independent status within agency and professional norms are tools for objectivity
- Role of Government Accountability Office (GAO) for management evaluations
- Significant use of outsiders, even if funded by government
- View of some: evaluation a way to counteract tendency of established programs to become entrenched
- Evaluations most influential where leaders want to change existing programs

INFLUENCE OF EVALUATION ON POLICYMAKING

- Partisan evaluations (“Evaluations as ammunition”)
- Gradual accumulation of knowledge, rather than individual studies.

“Much research use involves the gradual assimilation of social science research into decision makers’ understanding of issues” --Carol Weiss

- John Kingdon: policy stream/political stream/“window of opportunity”

EVALUATION: OFTEN A TOOL TO **SHRINK** GOVERNMENT

PERFORMANCE MEASUREMENT

- For all programs, often uncontroversial ones, e.g. police, parks
- Where goal is “accountability,” done by...
 - staff offices inside organization
 - outside evaluators (budget office, Congress)
- Where goal is performance improvement, use line/program organizations, not outside staff

PERFORMANCE MEASUREMENT AS A MANAGEMENT TOOL

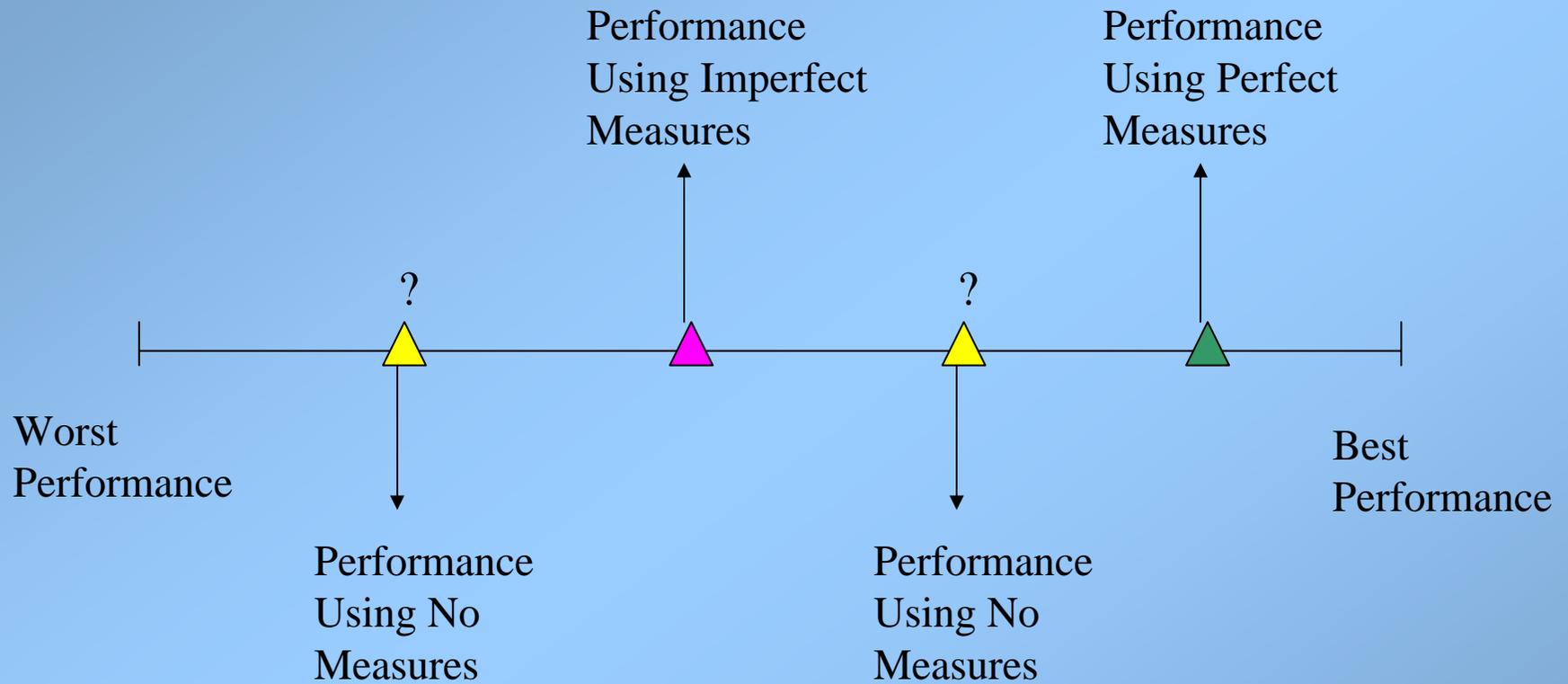
- Focus – “What gets measured gets noticed”
- Motivation
- Learning
- Internal Resource Allocation

INFLUENCE OF PERFORMANCE MEASURES

- Crime reduction in New York City
- Increased seat belt use in the U.S.
- Improved emergency room performance in England

PROBLEMS DON'T NECESSARILY MEAN DON'T USE PERFORMANCE MEASURES

- Every measure distorts
- Don't let the perfect be the enemy of the good



PERFORMANCE MEASUREMENT: OFTEN A TOOL TO **IMPROVE** GOVERNMENT

PROGRAM ASSESSMENT RATING TOOL (PART) – LINKING PERFORMANCE MEASUREMENT/ EVALUATION AND BUDGET

- Introduced by Bush administration (pilot 2002, expanded 2003) -- part of “President’s Management Agenda”
- Run by Office of Management and Budget
- about 800 programs subject to PART reviews to date -- 80% of programs of the federal government (most others will be done shortly)
- rating categories: effective, moderately effective, adequate, results not demonstrated, ineffective

FEATURES OF PART

- Mixes performance measurement and budgeting – performance measures used as budget tool
- Rhetoric is “cut programs that don’t work.” From a substantive perspective, relationship between program results and budgets not obvious
- Mostly performance measures – preference for **outcome** measures
- Requirements to submit evaluations – strong preference for evaluations performed by **outside organizations**, but will sometimes allow evaluations from **independent organizations within the agency** (e.g. evaluation office)
- Evidence is that good PART scores leads to increased budgets

“One cannot escape the conclusion that the scores are correlated with proposed budget increases.”

-- John Gilmour and David Lewis, “Assessing Performance Budgeting at OMB,”
Journal of Public Administration Research and Theory, 2006

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LESSONS FOR JAPAN

- Policy evaluation part of cultural change in Japanese policymaking style
 - fiscal problems
 - questioning of government programs (regulations/public works/postal privatization)
 - “lobby for facts”
- May play biggest role where tied to political efforts to reduce/eliminate programs – “shrink government”
- Sensitivity to net benefits (cost-benefit analysis) rather than distributional considerations
 - public works
 - agriculture
 - trade policy

LESSONS FOR JAPAN (CONTINUED)

- Generally hard to imagine that evaluations will be sufficiently objective unless more independent
 - within ministries (independent units)
 - outside approval of analyses
 - outside infrastructure (universities/think tanks/contractors)
- Performance measurement may be less resource-intensive, more acceptable, more feasible for most ministries – “improve government”

ROLE FOR SOUMUSHO

- develop tools for performance measurement and best practices for use of performance measurement as a performance improvement tool

**Re: GET RESULTS THROUGH
PERFORMANCE MANAGEMENT**

To: New Government Executives

**From: Executive Session on Public
Sector Performance Management,**
Harvard University, Kennedy School of Government

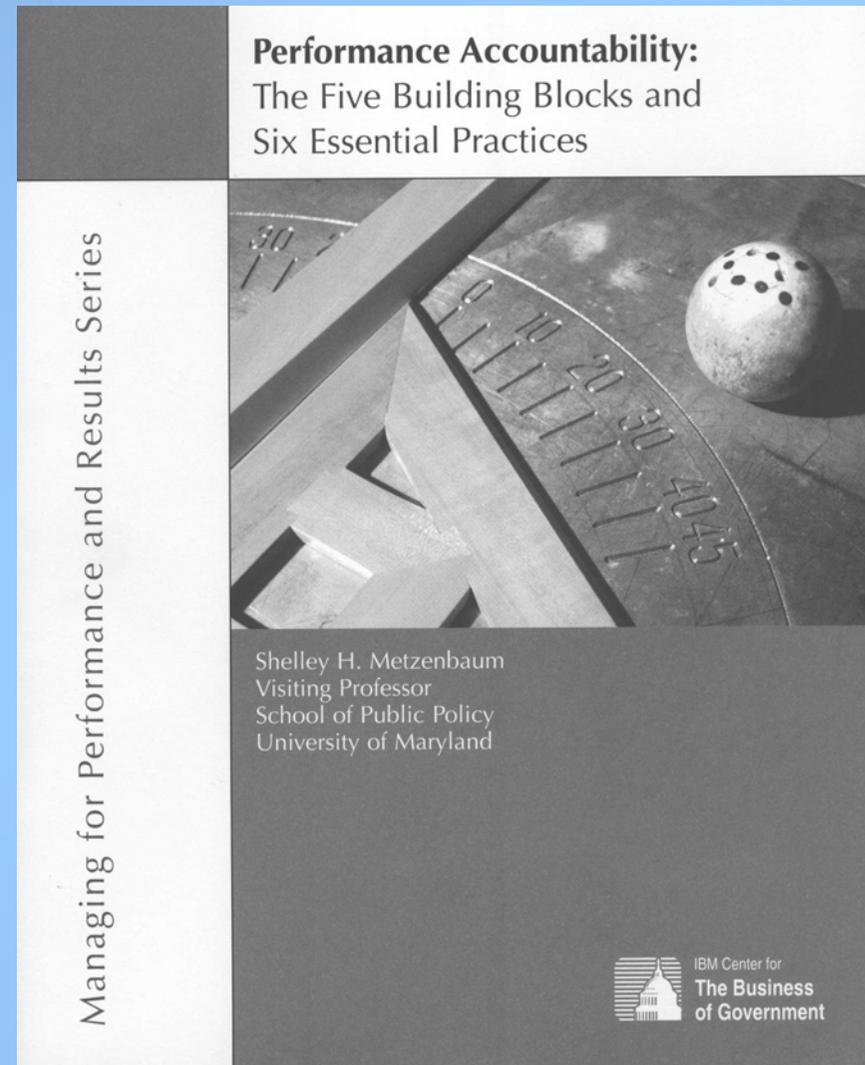
*Sponsored by the Smith Richardson Foundation, Inc. and
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<http://www.innovations.harvard.edu/showdoc.html?id=7100>

Shelley Metzenbaum

“Performance Accountability:
The Five Building Blocks and Six
Essential Practices”

[http://www.businessofgovernment.org/pdfs/
MetzenbaumReport2.pdf](http://www.businessofgovernment.org/pdfs/MetzenbaumReport2.pdf)



ROLE FOR SOUMUSHO

- develop tools for performance measurement and best practices for use of performance measurement as a performance improvement tool
- support development of methods/techniques/capacity for evaluation studies at universities
- submit material (summarized?) to Zaimusho

Thank you.

