



Cour des comptes



INTOSAI GOV 9400

Guidelines on the Evaluation of public policies

Mr. Benjamin Negre
International relations officer
French Cour des comptes

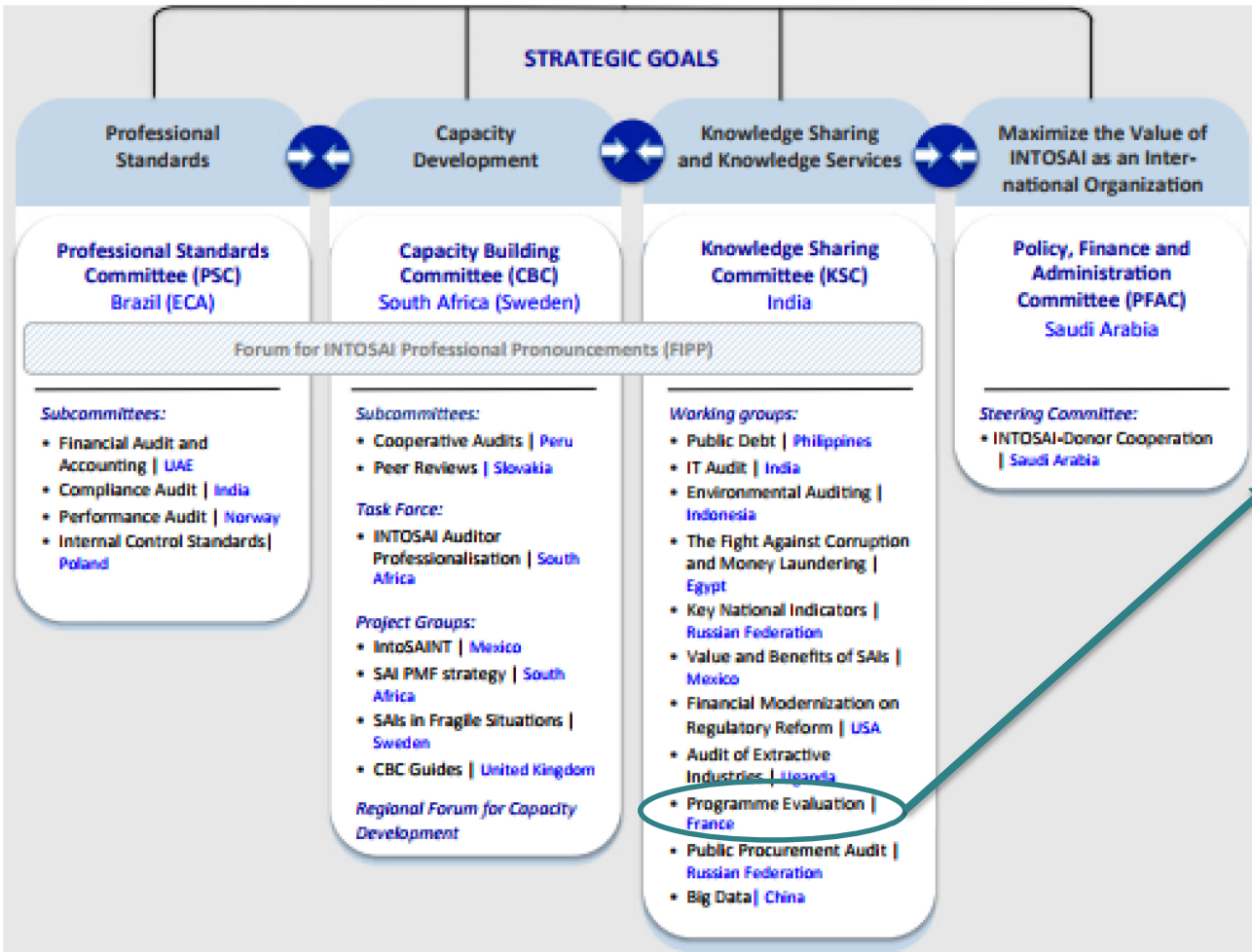
June 25, 2019



INTRODUCTION



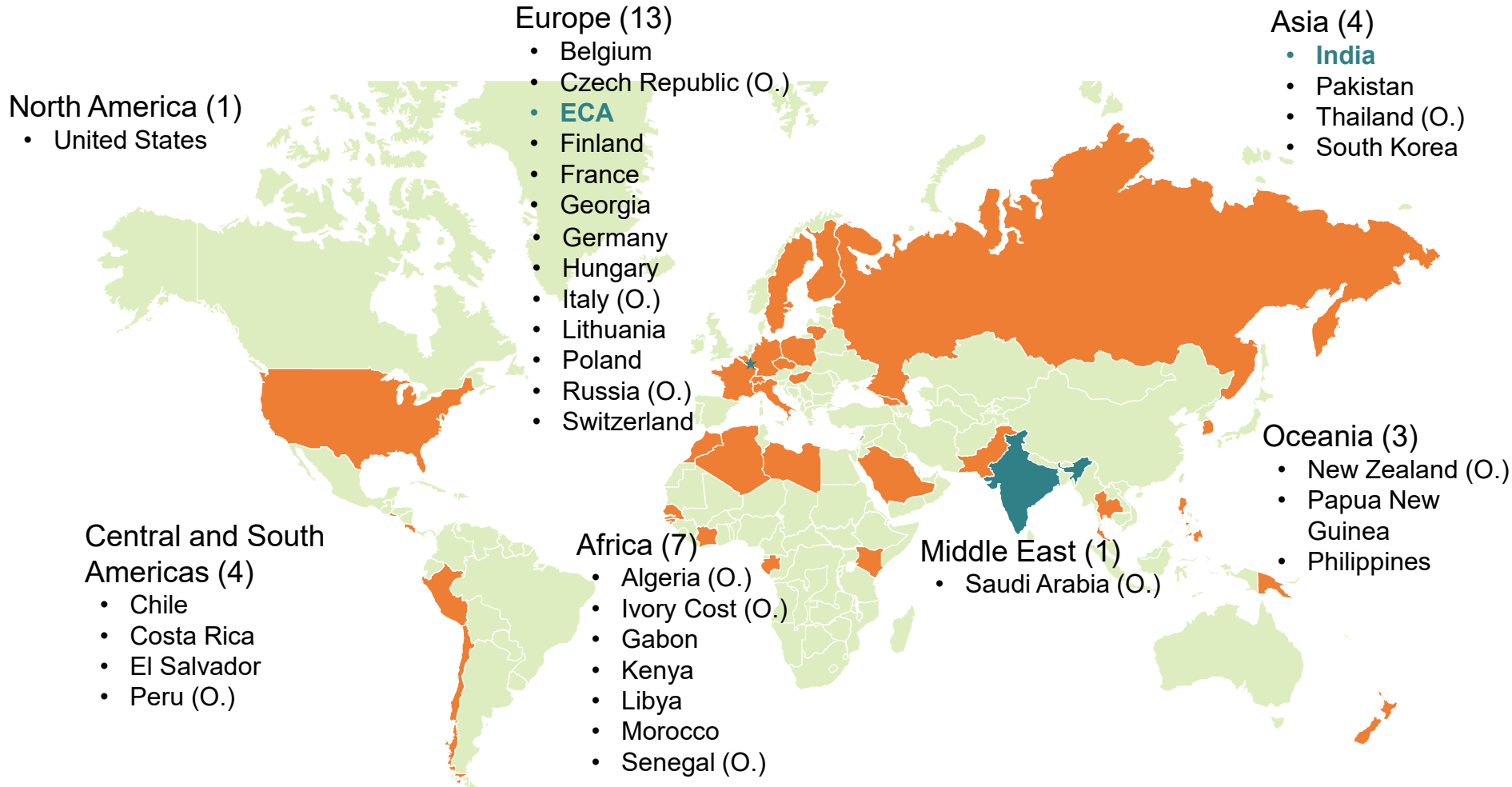
INTOSAI WORKING GROUP ON EVALUATION



- EWG created in 1992
- Chaired by the French SAI
- Holds annual meetings
- EWG became WGEPPP in 2016
- Adoption of the INTOSAI GOV 9400 in 2016
- 23 members in 2019
- Last meeting in Vilnius



MEMBERS AND OBSERVERS OF THE WGEPPP





I. OVERVIEW, BACKGROUND



THE INTOSAI GOV 9400 GUIDELINES

INTOSAI GOV 9400

The International Standards of Supreme Audit Institutions, or ISSAIs, are issued by INTOSAI, the International Organisation of Supreme Audit Institutions. For more information visit www.intosai.org

INTOSAI



Guidelines on the Evaluation of Public Policies

July 2016

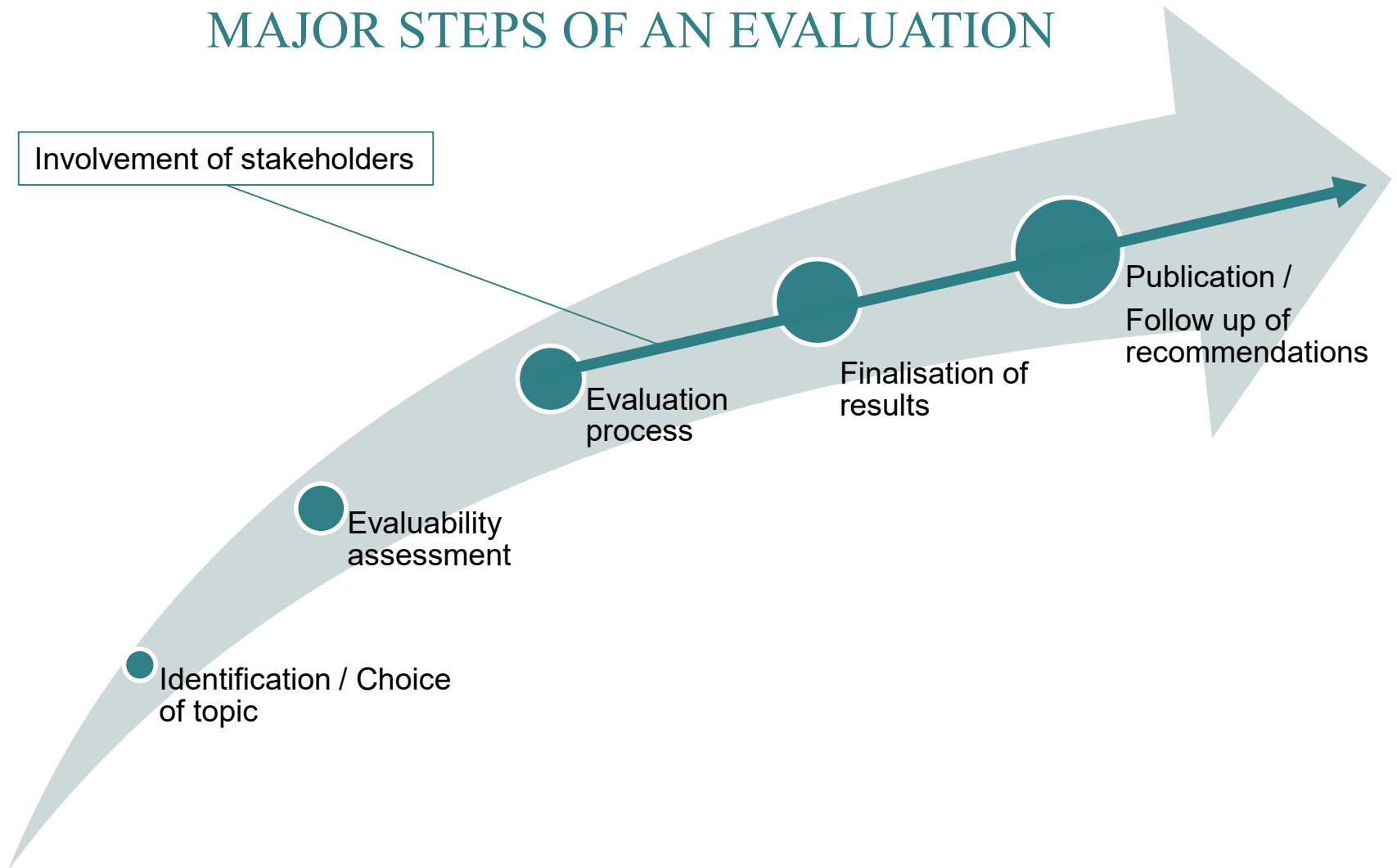
Adoption of the INTOSAI GOV 9400 in 2016

Table of contents

- I. Overview, background
- II. Definition, Objectives and Limitations of the evaluation of public policies
- III. Actors of the evaluation of public policies
- IV. Choice of Object and project building with the Stakeholders
- V. Evaluation planning
- VI. Finalisation of the results
- VII. Dissemination and use of the results



MAJOR STEPS OF AN EVALUATION



Involvement of stakeholders

Identification / Choice of topic

Evaluability assessment

Evaluation process

Finalisation of results

Publication /
Follow up of
recommendations



II. DEFINITION, OBJECTIVES AND LIMITATIONS OF THE EVALUATION OF PUBLIC POLICIES



1. THE EVALUATION OF PUBLIC POLICIES: DEFINITION

A public policy evaluation is an examination aiming at analysing:

- Objectives
- Implementation
- Outputs
- Outcomes (short-term effect of a public policy)
- Impacts (long-term effect of a public policy)



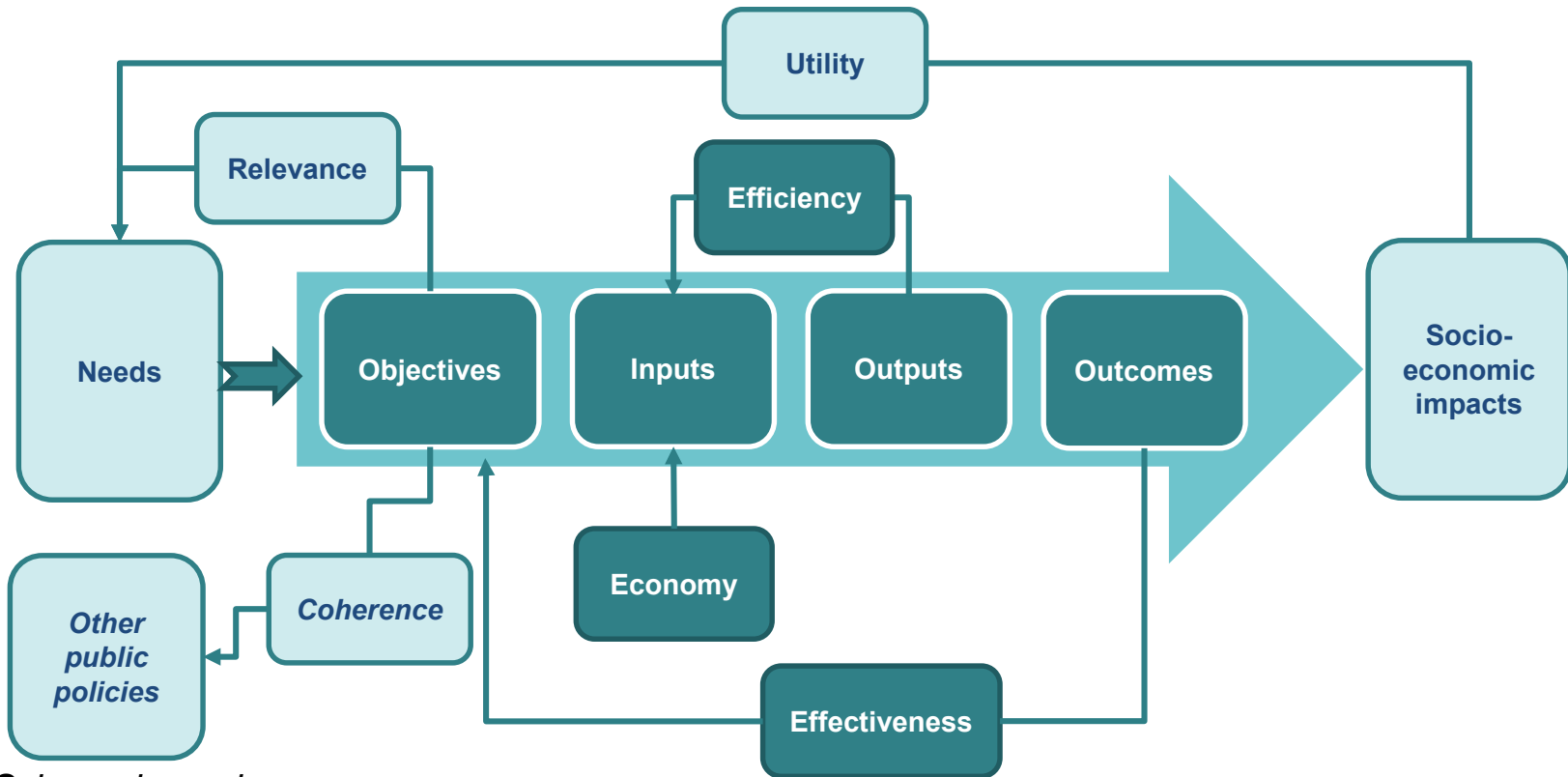
2. MAIN OBJECTIVES OF AN EVALUATION

An evaluation of public policy **differs from performance audit** by focusing on:

- **the relevance of a policy:** questions the adequacy between its objectives and needs
- **the utility of a policy:** questions its validity/legitimacy
- ***The external coherence of a policy: global consistency with other policies***



THE EVALUATION OF PUBLIC POLICIES



Scheme legend:



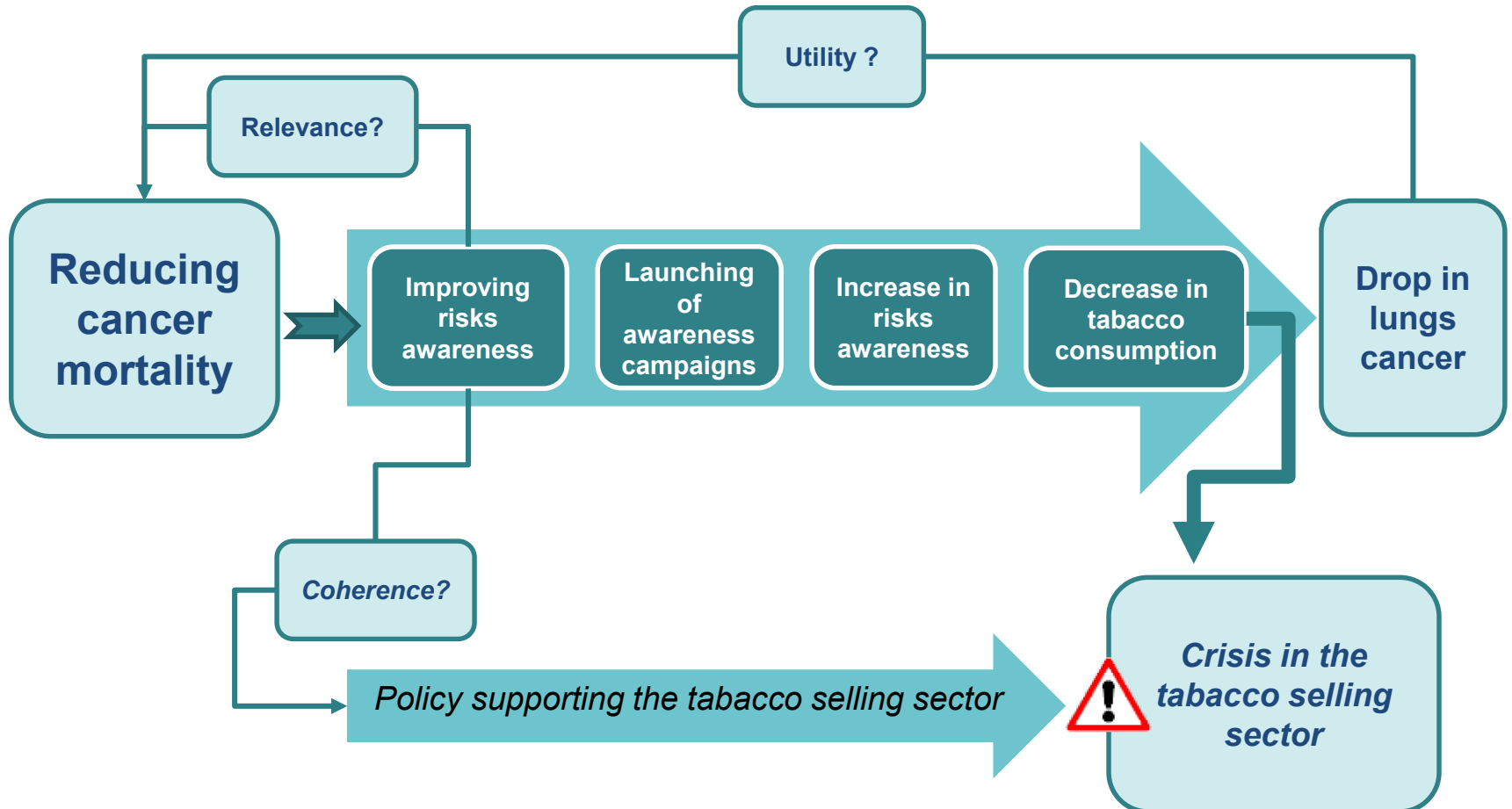
Specific to evaluation of public policies



Used in classic Performance audit as well as in **evaluation of public policies**



EXAMPLE: THE ANTI-SMOKING POLICY





3. LIMITATIONS



THE EVALUATOR SHOULD NOT GO SO FAR AS TO PRESCRIBE THE POLICY ORIENTATION: HE IS NOT A POLICY MAKER!

How to prevent that?

- ✓ By maintaining the independence of the SAI
- ✓ By issuing non-binding recommendations

→ An evaluation of public policy is a neutral and facts based contribution to the democratic debate



III. ACTORS OF THE EVALUATION OF PUBLIC POLICIES



1. SAIs AS ACTORS IN EVALUATIONS

- ❖ The SAIs **are not** the only actors that can conduct public policies evaluations
- ❖ **But SAIs are the natural actors** in public policies evaluation:





2. CONDUCT OF THE EVALUATION AND RELATIONSHIPS WITH THE SPONSORS:

- ❖ Most of the time the SAIs carry out evaluation on their **own initiative**
- ❖ But it can happen that a **sponsor requests** a SAI to carry out an evaluation

Sponsor: a public authority (**Parliament**, or the **Executive**) requesting a SAI to conduct a public policy evaluation

When answering the request of a sponsor, the SAI:

- ✓ Dialogue with the sponsor to determine the scope of the policy to be evaluated and the evaluation questions
- ✓ Decide on its own the scope and the process of its evaluations
- ✓ Has the final word in the drafting of its conclusions and its publication



SAIs should refuse a request from its sponsor, if it fears that its independence could be threatened.





IV. CHOICE OF OBJECT AND PROJECT BUILDING WITH THE STAKEHOLDERS



4.1. CHOICE OF OBJECT OF THE EVALUATION OF PUBLIC POLICIES: THREE CRITERIA (1/3)

Criteria 1: Importance of the policy under examination:

- ❖ How is characterized the importance of a policy?

Importance of a policy

Size of its budget

Identity of Stakeholders

Scope of anticipated effects

Complexity

Symbolic importance



Two pitfalls in choosing the policy to evaluate:



- ❖ *a too general policy*
- ❖ *a too specific program*



4.1. CHOICE OF OBJECT OF THE EVALUATION OF PUBLIC POLICIES: THREE CRITERIA (2/3)

Criteria 2: Measurability of the Different Effects of the Policy

❖ How to measure the effects of a policy?

➤ By mapping the various effects of a public policy in order to assess its utility:

- Short-term/long-term effects
- Intended/unexpected effects
- Perceived/objective effects

	short term effect (“outcome”)		long term effect (“impact”)	
	Perceived	Objective	Perceived	Objective
Intended effect				
Unexpected effect				




4.1. CHOICE OF OBJECT OF THE EVALUATION OF PUBLIC POLICIES: THREE CRITERIA (3/3)

Criteria 3 : Period of Time for the Launch of the Policy

A public policy evaluation can be launched at **three different periods** of time:

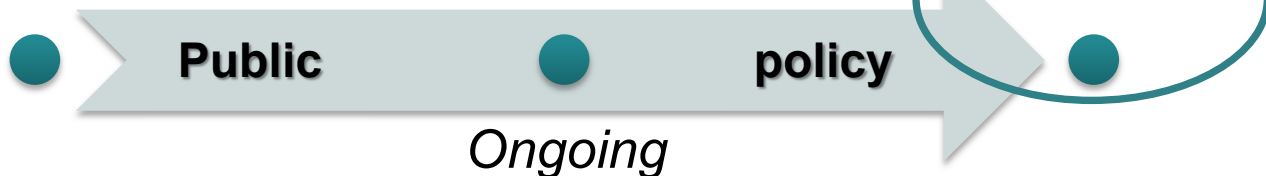
- *an ex ante evaluation*
- an **ongoing** evaluation
- an **ex post** evaluation



Focus on ex post evaluation

- Availability of sufficient data
- Avoidance of provisional results
- Existence of long-term and indirect effects

Ex ante

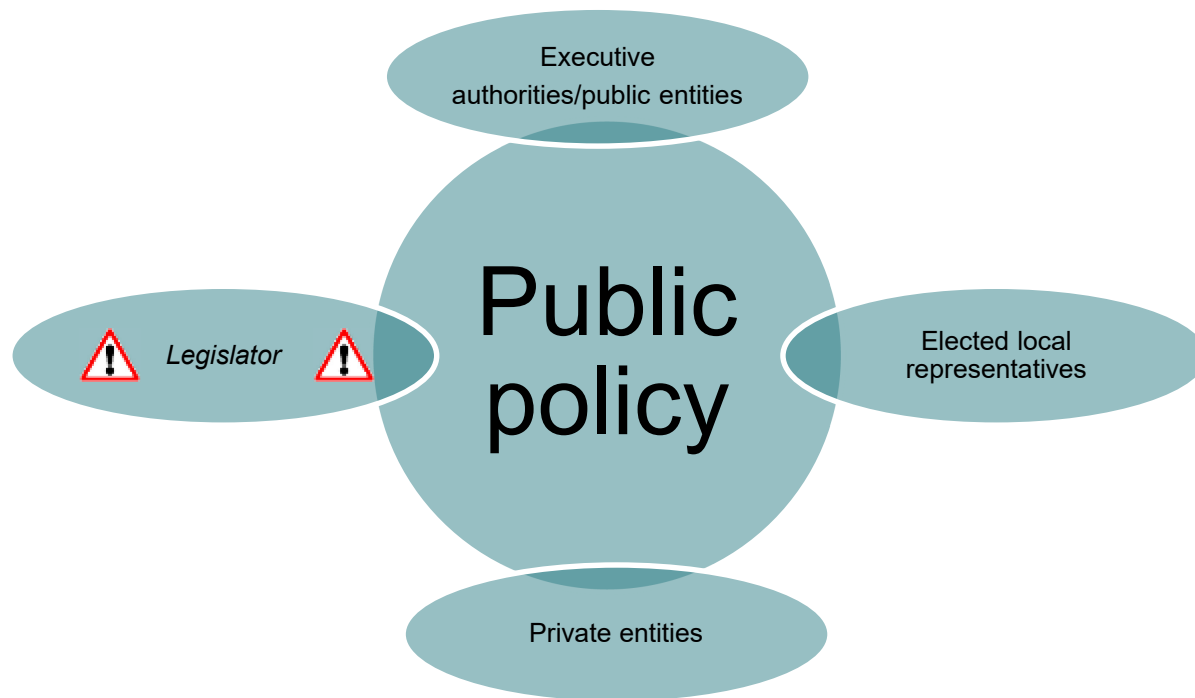




4.2. PROJECT BUILDING WITH THE STAKEHOLDERS (1/3)

- ❖ One of the key specificity of the evaluation of public policy is the involvement of stakeholders

Stakeholders: actors in the policy or who are direct or indirect beneficiaries or who simply are affected by this policy.

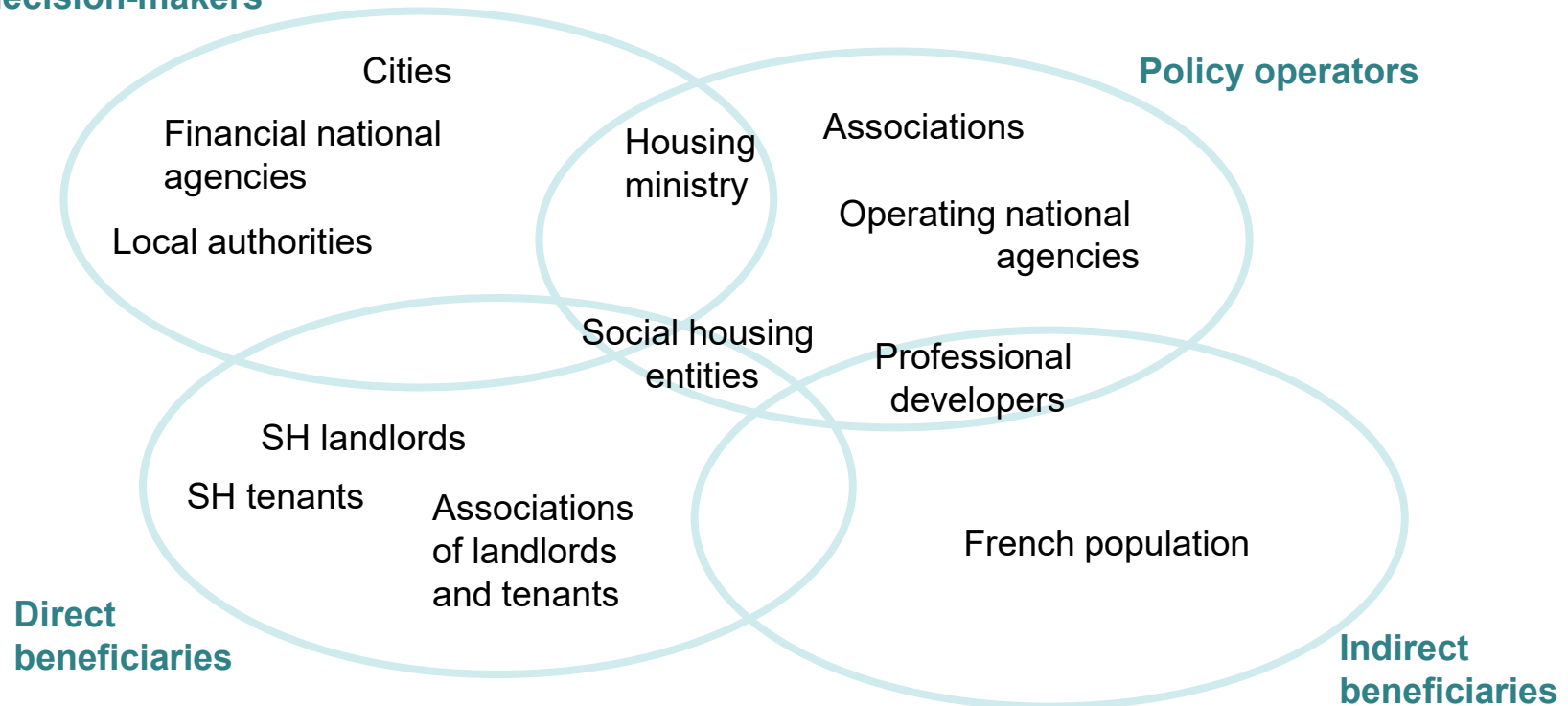




4.2. PROJECT BUILDING WITH THE STAKEHOLDERS (2/3)

Example of stakeholders mapping: French social housing policy's stakeholders

**Policy funders
and decision-makers**





4.2. PROJECT BUILDING WITH THE STAKEHOLDERS: LIMITATIONS (3/3)



1. SAIs should avoid two pitfalls in constituting the list of the stakeholders :

- the list of stakeholders should not contain **any major omissions**
- the list should **not be too long**

2. SAIs should adopt a constructive attitude towards stakeholders

- The objective of the evaluation is mainly to improve a policy (rather than simply reveal its dysfunctions)
- The stakeholders can therefore:
 - be involved in the choice of the specific object of the evaluation of public policies, the timetable, and the methodology
 - be active participants in the evaluation
 - benefit from interim or final reports
 - have a role in the post-evaluation decision-making process.

3. SAIs must maintain their independence from the stakeholders and/or the sponsors' lobbying

4. SAIs should insure the confidentiality of the evaluation process



V. EVALUATION PLANNING

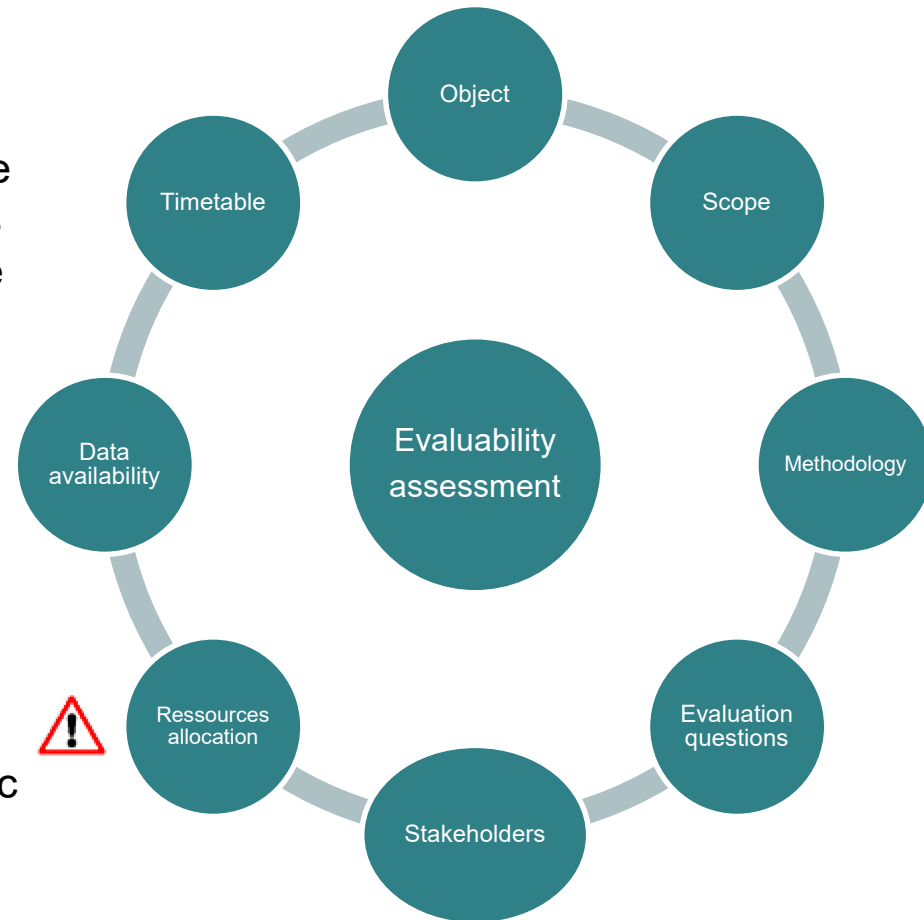


5.1. EVALUATION PLANNING: EVALUABILITY ASSESSMENT (1/3)

- ❖ **An evaluability assessment** considers the **feasibility** of the evaluation and addresses all the **questions and issues** raised by the evaluation
- ❖ It eventually produces an **evaluation planning memorandum** that determines the global framework of the evaluation



If the evaluability assessment concludes that it is **not desirable** to conduct a public policy evaluation:
No evaluation should be carried out





5.2. EVALUATION PLANNING: ORGANIZATION (2/3)

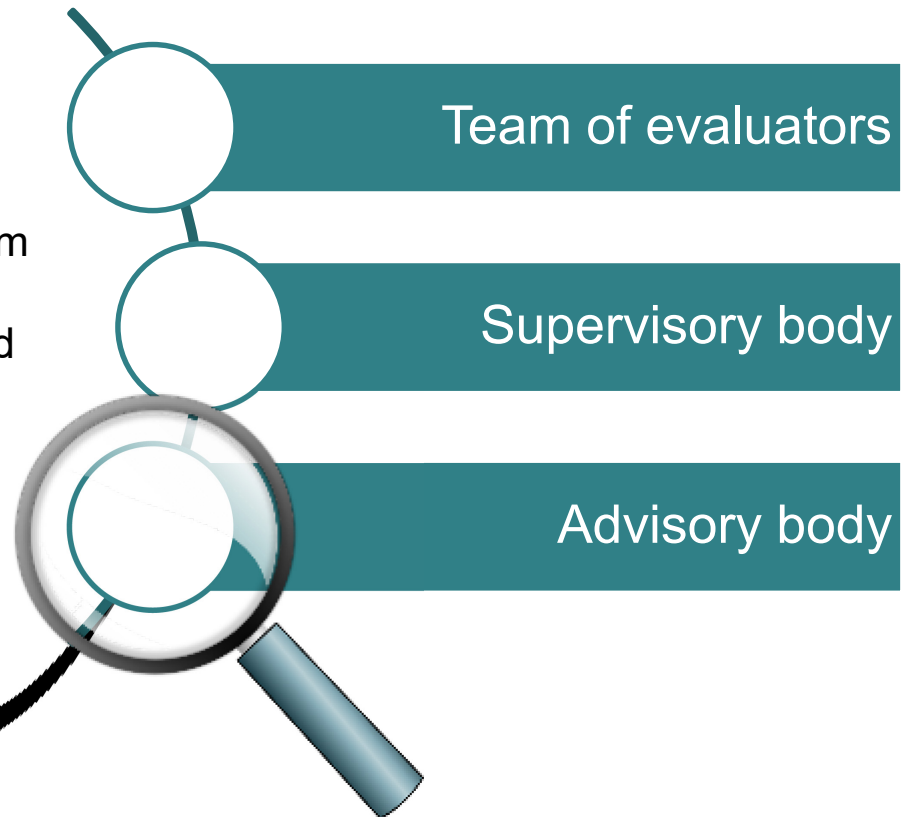


Focus on the advisory body

- Consultative and mixed body: evaluators/stakeholders
- Follows the work of the evaluation team throughout the evaluation process
- Discusses interim and final reports and their recommendations



Its decisions are non-binding

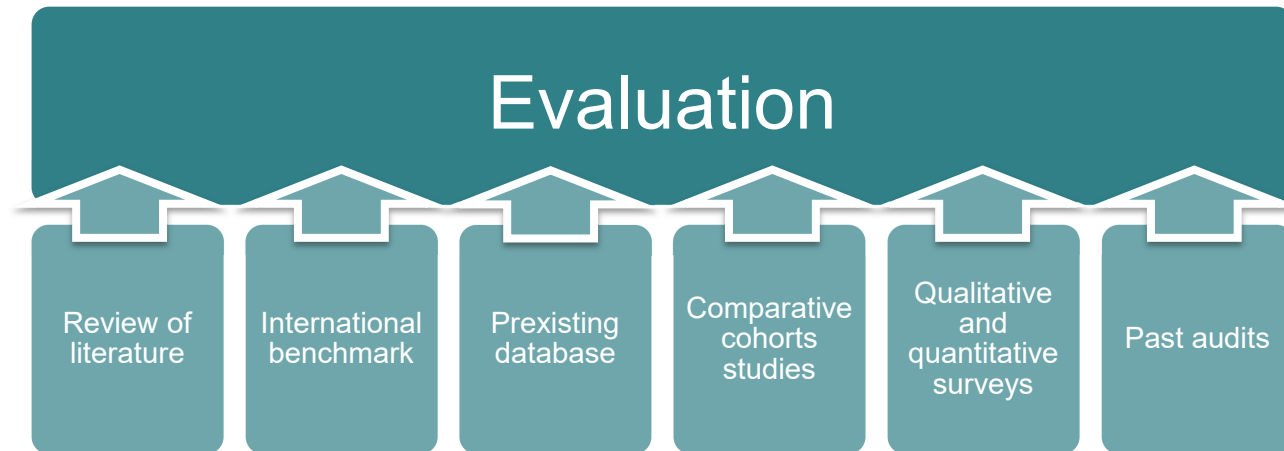




5.3. EVALUATION PLANNING: TOOLS AND METHODS (3/3)

❖ Tools

The SAIs need to use several **tools and methodology** to carry out their evolution:



❖ Experts

The SAIs can also recruit **experts** (economists, statisticians, sociologists, experts in the area of focus for the evaluation)



The external experts will have to abide by the **same professional obligations** as permanent SAIs' members evaluators

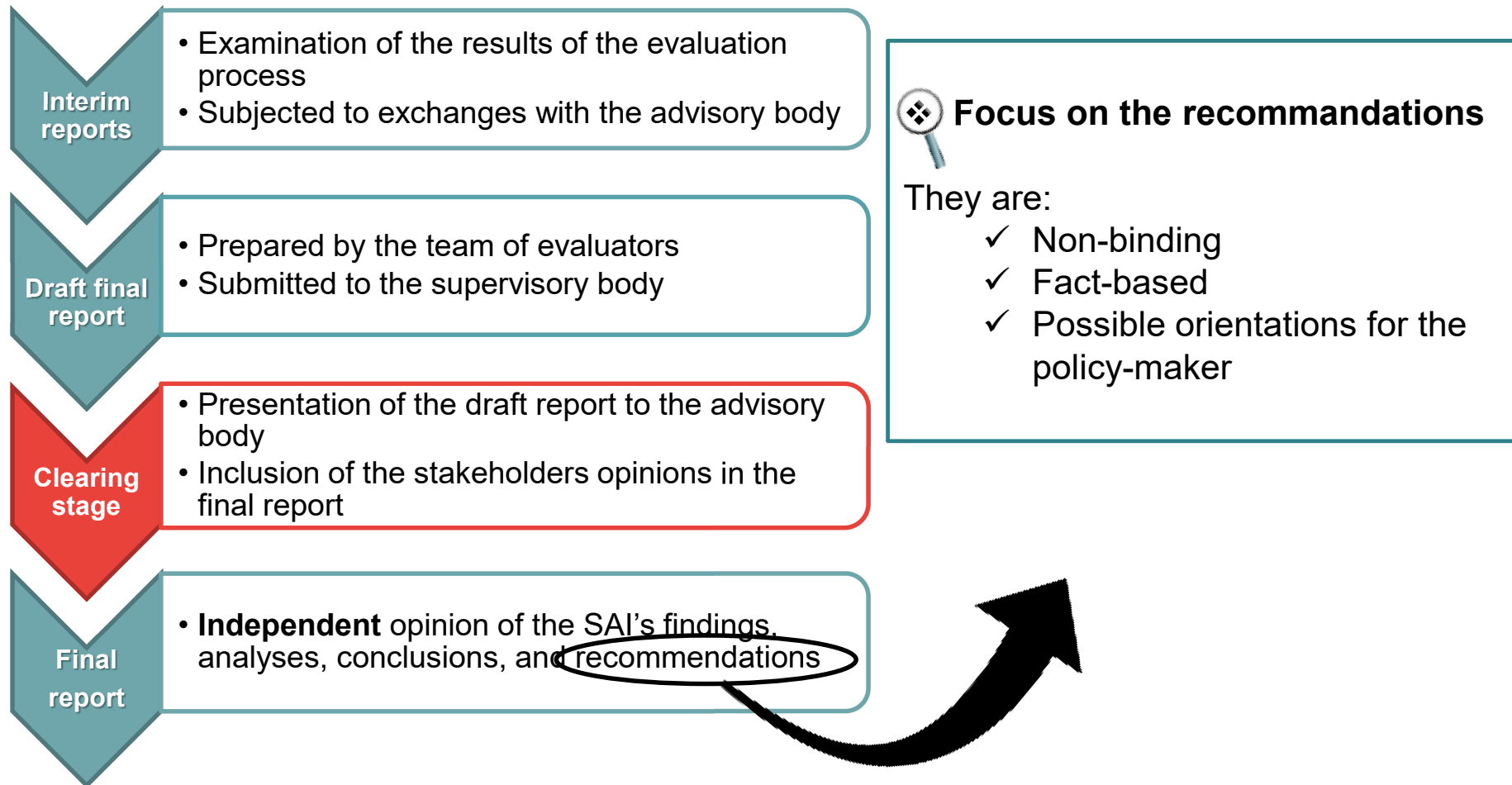




VI. RESULTS OF THE EVALUATION



6.1 FINALISATION OF RESULTS: CONTRADICTIONARY PROCESS





Example of the opinion of the advisory body on the recommendations: French social housing policy

Recommandations	Aim 1 Better targeting of disadvantaged groups			Aim 2 Expanding the annual offer					Aim 3 Contributing to the population balance				Aim 4 Partnership and participatory policy		
	1	4	11	5	6	8	9	10	7	12	13	14	2	3	15
Stakeholder 1		Green	Yellow	Green	Yellow	Yellow	Yellow	Yellow	Green	Yellow	Green	Green	Yellow	Green	Green
Stakeholder 2	Yellow	Green	Green	Yellow	Yellow			Green		Red	Green		Green	Green	Green
Stakeholder 3										Yellow	Green				
Stakeholder 4							Green	Green		Red			Green	Green	Green
Stakeholder 5		Green	Yellow	Green	Green		Yellow	Yellow					Yellow	Green	Green
Stakeholder 6		Yellow	Yellow	Green	Green		Green	Green	Yellow		Yellow		Yellow	Green	Green
Stakeholder 7							Green		Green	Red	Green	Green			
Stakeholder 8											Red				



6.2 DISSEMINATION AND USE OF RESULTS OF THE EVALUATION

❖ Dissemination

Publication of the final report aimed at:

- the various stakeholders (decisions-makers, operators and beneficiaries)
- the authors of the requested evaluation (when relevant)
- the public opinion

❖ Use of the results



3 pitfalls to avoid



- The SAI bears no direct responsibility for decisions made
- The SAI maintains its independence
- The SAI avoids interference in the decision-making process



VII. CONCLUSION



WHAT ABOUT THE INTOSAI GOV 9400 IMPLEMENTATION?

- ❖ Vilnius WGEPPP meeting : implementation of the INTOSAI GOV
 - ❖ WGEPPP questionnaire: 14 answers
 - ❖ Questionnaire still been carried out
 - ❖ Questionnaire will be included in the upcoming OECD report on the evaluation of public policies within OECD countries

- ❖ Some findings:
 - ❖ If not all member SAIs carry out evaluations *per se*, there is an undeniable dynamic towards its further development
 - ❖ Development of performance audit with evaluative scope as a step towards evaluation
 - ❖ Among them, most of the SAIs are using the INTOSAI GOV as a framework (involvement of stakeholders, evaluability assessment...)



WHAT'S NEXT FOR THE INTOSAI GOV 9400?

❖ **2019 WGEPPP meeting agreed on:**

- ✓ INTOSAI GOV 9400 will be open to modification by the XXIV INCOSAI in Brazil in 2022
- ✓ Insufficiently detailed topics will be redrafted
- ✓ Call for proposals

❖ **Current improvement propositions:**

- modification of the title to include the mention “programs”
- follow-up of evaluation recommendations
- involvement of stakeholders (enlarged definition of stakeholders/ethics and experts/issue of confidentiality/relevant levels of representatives within the advisory group)



AU REVOIR ET MERCI !