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# **The performance evaluation of China Social Assistance Policy : Challenge and Reflection**

Prof. Yue JingLun

School Of Government, Sun Yat-Sen University

# **Outline**

- I. Key Points of The Evaluation of China Social Assistance Policy**
- II. Evaluation Practice of China Social Assistance Policy**
- III. Existing Problems**
- IV. Suggestions**

# **I. Key Points of The Evaluation of China Social Assistance Policy**

- **Regional Practice**
  - Starting from 2007, the performance assessment of Urban and Rural Minimum Living Standard Guarantee System was being carried out all over the country. Shandong, Anhui, Yunnan, Guangxi, Hainan, Jiangsu, Jilin, Hebei, Liaoning and other provinces have explored to evaluate the performance of Minimum Living Standard Guarantee System. Different provinces established their own Evaluation Indicator System.
- **Central Government Policy**
  - the promulgation of “Methods of Performance Assessment of Minimum Living Standard Guarantee System” by Ministry of Civil Affairs and Ministry of Finance. ((2014), No. 21)
  - the promulgation of “Indicators and criteria for Performance Assessment of Minimum Living Standard Guarantee System for autonomous regions and municipalities directly under the central government” by Ministry of Civil Affairs and Ministry of Finance. ( (2015), No. 316)

# I. The Key Points of The Evaluation of China Social Assistance Policy

- **Who evaluate?**

- Local government departments of civil affairs and finance, qualified institutions, and social organizations can be entrusted to carry out the evaluation.

- **evaluate what?**

- Institutional and resources support (Organization, financial support, Capacity Building, information sharing, checking mechanism ).
- management ( Standard setting, targeting, fund management, supervision and inspection ) .
- Effectiveness ( accuracy of targeting 、 accuracy of subsidy 、 awareness of policy 、 client satisfaction ) .

# **I. The Key Points of The Evaluation of China Social Assistance Policy**

- **How to evaluate?**

- The performance of Minimum Living Standard Guarantee System was evaluated by a scoring method (0-100). four grades (excellent, good, qualified and unqualified) are distinguished according to the scores.
- The evaluation was made in four steps: Self-evaluation, On-the-spot Investigation, Comprehensive Evaluation, Public notice.

- **The use of evaluation results**

- The evaluation results can be used to guide local government to improve their work. It provides important information for the allocation of central fiscal subsidies to local social assistance programs.

## **II.Evaluation Practice of China Social Assistance Policy**

- Many scholars in China have done research regarding the performance evaluation of China Social Assistance Policy, and they have put forward different evaluation methods.**
- Local governments have also adopted different evaluation practices.**

## **II.Evaluation Practice of China Social Assistance Policy**

- **Firstly, some scholars evaluated the performance of China Social Assistance Policy by adopting quantitative research methods.**
  - Zhang xiulan and Xu yuebin did a household survey of 4,500 rural household in Jiangxi, Hubei provinces , etc. they employed the quantitative research method to evaluate the performance of China Social Assistance Policy for the first time. They put forward an argument that “Rural social assistance policy reduce the poverty rate by 10%”.
  - Hong dayong conducted quantitative comparison to assess the performance of China Social Assistance Policy according to the five policy objectives as follows, social regulation, the enhancement of self-help , Social Care , social integration , and Social Justice.

## **II.Evaluation Practice of China Social Assistance Policy**

- Fan Youqing and Gu Xin (2007) adopted the horizontal equity as an appraisal standard , and made use of statistical yearbooks in the year 2003-2005 to appraise the financing performance of the urban and rural social safety net program. They pointed out that, in order to let people all over the country enjoy equal social protection from the social safety net, rural Minimum Living Standard Security System should be promoted. The central government should shoulder more financial responsibility.
- Wang zengwen (2009) introduced effectiveness coefficient of Minimum Living Standard Guarantee system and the life rescue coefficient to the performance evaluation of China Rural Social Assistance Policy.



## **II.Evaluation Practice of China Social Assistance Policy**

- **Secondly, local governments introduce the third parties to assess the effect of social assistance policy.**
  - Since 2009, the third party was introduced by local departments of civil affairs in some developed provinces, such as Shanghai and Jiangsu, to evaluate the performance of elderly service, community service, social work service, etc.
  - In 2013, the Civil Affairs Bureau of Chongqing City entrust a professional Accounting Firm to evaluate the performance of the expenditure of The Minimum Living Guarantee Fund.
  - From September to early October, 2014, Horizon Research Consultancy Group organized a survey of ‘the performance of the Minimum Living Standard Guarantee System’ in municipalities, provincial capital cities all over the country and Xinjiang Shihezi. The survey sample size was 20,754.

## **II.Evaluation Practice of China Social Assistance Policy**

- In 2015, Department of Social Work of the Ministry of Civil Affairs entrust the Shanghai Oriental Center of Social Organizations and Service Evaluation to assess the performance of ‘the Demonstration Project of Social Work Services for the elderly with special difficulties’ that was supported by the welfare lottery.
- Government’s purchasing services was introduced by Xuzhou city for the first time in Jiangsu province. professional accounting companies were entrusted to evaluate the urban and rural Minimum Living Standard Guarantee Systems, the assistance toward the disabled with special difficulties, and the financial conditions of medical assistance.

### **III. Existing Problems of the performance evaluation of China Social Assistance Policy**

- Firstly, the evaluation of the implementation of the Social Assistance Policy is inadequate and need more attention.**
- The evaluation of Social Assistance Policy was too biased on the usage of financial resources, project design, organization and management, and reviewing and grading. the evaluation of the policy implementation process and the implementation results are relatively ignored.

### **III. Existing Problems of the performance evaluation of China Social Assistance Policy**

- **Secondly , the existing indicator system of the performance of Social Assistance Policy is problematic: the coverage of the assessment index system is incomplete, some indicators are not appropriate, and some indicators are difficult to be measured in reality, etc.**

### **III. Existing Problems of the performance evaluation of China Social Assistance Policy**

- **Thirdly, “Evaluation by the Third Party ” mode is not fully promoted and popularized in all over the country and a lot of evaluation work was done by relevant government departments directly.**
- **The emotional factors then may be involved and affect the objectivity and accuracy of the assessment results.**

### **III.the Existing Problems of the performance evaluation of China Social Assistance Policy**

- Finally , Central government is difficult to implement a set of indicator system and a universal standard for the performance evaluation of China Social Assistance Policy, because local governments all over the country have their own standard and specific stipulations of operation management.**
- Some local governments still did not establish a reasonable and effective performance appraisal and assessment mechanism.**

## IV. Suggestions

- **First, it is necessary to strengthen the supervision and evaluation of the implementation of China Social Assistance Policy.**
- In the past, the evaluation of Social Assistance Policy was too biased on the usage of money, project design, organization management, reviewing and grading. The evaluation of the policy implementation process and the implementation results have been relatively ignored.

## IV. Suggestions

**Secondly, we need to speed up establishing and improving a mechanism of employing third Parties to evaluate the performance of China Social Assistance Policy.**

- Evaluation from the third party is a necessary measure for scientifically evaluating government work , improving democratization and scientific decision-making, promoting the implementation of related policies, expanding the social participation, promoting the innovation of governance.
- Evaluation from the third party can avoid the bias of administrative departments that may affect the objectivity and effectiveness of performance evaluation.
- Evaluation from the third party can effectively make up the shortage of labor in government departments, reduce their workload and improve the working efficiency of the relevant departments.



## IV. Suggestions

- **Thirdly, local governments should invite relevant experts and scholars to help them establish a reasonable and effective performance evaluation and indicator system.**

## **IV. Suggestions**

- **A good performance evaluation system of social assistance should include at least the following two evaluation criteria:**

**The attainment of policy  
objective**

**The efficiency of operation**

# Evaluation criteria

## **Policy objective**

Alleviation of poverty

Income maintenance and replacement

Promoting social cohesion

Protection against risk

# **The efficiency of operation**

## **Target Efficiency**

Mismatch in target populations

Fraud and abuse

Mal-administration

Measurement error

# **The efficiency of operation**

## **Economic Efficiency**

### **Shaping economic structures**

Altering incentives

The unemployment trap

The poverty trap

The savings trap

### **Behavioural responses**

Benefit dependency and duration

Reservation wages

Work-rich, work-poor families

Uncertainty and risk

### **Policy responses**

Directing behaviour

Structural reform

# **The efficiency of operation**

## **Administrative Efficiency**

### **Intermediate outcomes**

Delivery and volume

Speed of service

Accuracy and adequacy

User efficiency

Access

Quality of treatment

Security

### **Management of resources**

Personnel

Information technology

### **Performance management**

Internal audit

External audit

# Thanks!

# 中国社会救助政策绩效评估： 挑战与反思

岳经纶教授

中山大学政治与公共事务管理学院



# 内容提要

- 一、我国社会救助评估的政策要点
- 二、我国社会救助政策的评估实践
- 三、存在的问题
- 四、改善建议

# 一、社会救助评估政策的要点

- 地方实践：

- 从 **2007** 年开始，我国各地陆续开展了城乡低保绩效考核工作，例如广西、山东、安徽、云南、海南、江苏、吉林、河北、辽宁等省份已经进行了低保绩效评价方面的探索，并建立了本省的评价指标体系。各地绩效评价工作形式多样，方法各异，从不同方面较好地推进了相关工作。

- 中央政策：

- 民政部、财政部关于印发《最低生活保障工作绩效评价办法》的通知（民发〔**2014**〕**21**号）
- 民政部办公厅、财政部办公厅关于印发《**2015**年度各省（自治区、直辖市）最低生活保障工作绩效评价指标和评价标准》的通知（民办函〔**2015**〕**316**号）

# 社会救助评估政策的要点

- 评估主体(who)

- 根据需要，可委托地方民政、财政部门 and 具备资质的事业单位、社会组织、中介机构等第三方组织具体实施。

- 评估内容(what)

- 工作保障（组织保障、资金保障、能力建设、信息化建设、核对机制）
- 工作管理（标准制定、对象管理、资金执行、监督检查）
- 工作效果（对象准确率、补助准确率、政策知晓率、社会满意率）

# 社会救助评估政策的要点

- 评估方法(how)

- 低保工作绩效评价采用评分法，满分为100分。评价结果分为优秀、良好、合格、不合格四个等级。
- 低保工作绩效评价采取以下步骤：自我评价，实地核查，综合评价，通报。

- 评估结果的使用

- 低保工作绩效评价结果，作为督促指导地方改进低保工作、通过“以奖代补”分配中央财政城乡低保补助资金的重要依据。

## 二、我国社会救助政策的评估实践

- 对于如何开展和进行社会救助政策的绩效考核和评估，我国也有不少学者做了相关的研究，并提出了不同的社会救助政策绩效评估体系和方法。
- 地方也有各类评估实践。

## 二、我国社会救助政策的评估实践

- 首先，有学者通过定量研究方法，对社会救助政策绩效进行评估。
  - 张秀兰，徐月宾（2007）等对江西和湖北等地的4500多户农村住户进行调查后，第一次将定量分析的方法引入到社会救助的绩效研究中，并提出了“农村的社会救助政策有着降低10%的贫困率的减贫效果”等相关结论。
  - 洪大用（2007）根据社会规制、助人自助、社会照顾、社会融合和社会公正等五个方面的政策目标，对我国的城乡社会救助的绩效评估做了量化对比分析。

## 二、我国社会救助政策的评估实践

- 范西庆、顾昕 等（2007）以横向公平性为标准，以2003-2005年民政部及各省统计年鉴数据为经验材料，对我国城乡社会安全网项目筹资水平的绩效做出了相应的评估。他们指出，为了让各地民众得到大体平等的社会安全网保护，推动农村最低生活保障制度发展是可行的途径，而中央政府承担一定的筹资责任可有效推动农村社会救助体系走向横向公平的结论。
- 王增文（2009）把低保救助力度系数和生活救助系数引入到农村社会救助的减贫效果的定量研究中。

## 二、我国社会救助政策的评估实践

- 其次，地方政府运用**第三方机构**对社会救助政策的执行效果进行评估。
  - 2009年以来，上海、江苏等发达省份的一些基层民政部门已开始引入第三方组织，对养老服务、社区服务、社会工作服务等效果进行评估。
  - 例如在2013年，重庆市民政局委托专业会计师事务所对低保资金支出项目进行了绩效评价。
  - 零点公司于2014年9月至10月上旬在各直辖市、省会城市 and 新疆兵团的石河子市，采取问卷调查，街头访问等方式，组织开展了“2014年最低生活保障工作绩效调查”，共调查样本20754份。



## 二、我国社会救助政策的评估实践

- 在2015年，民政部社会工作司委托上海东方社会组织与服务评估中心，对部本级福利彩票公益金支持的“特殊困难老年人社会工作服务示范项目”开展绩效评估。
- 而徐州市也率先在全省推出政府购买服务的方式，引入具有专业资质的会（审）计师事务所作为第三方，对全市主城区城乡低保、特殊困难残疾人救助、医疗救助的资金情况进行评估。

### 三、社会救助绩效评估存在的问题

- 首先，总体来说对于社会救助政策实施情况本身的评估少，重视不足。
  - 社会救助政策评估往往过于偏向对社会救助的资金使用、项目建设、组织管理乃至示范评选等方面的评估，而却忽视了政策实施过程和执行效果的评估。

### 三、社会救助绩效评估存在的问题

- 其次，在已有的社会救助绩效评估指标体系构建中存在以下问题：考核指标体系涵盖范围不全面、指标的选取不够恰当，以及部分考核指标的信息获取困难，等。

### 三、社会救助绩效评估存在的问题

- 第三，“第三方评估”模式仍未全面地在各地推广和普及，很多的评估工作都要相关部门亲力亲为。
- 存在着行政部门碍于情面等因素，影响评估结果客观性和准确性等问题。

### 三、社会救助绩效评估存在的问题

- 最后，由于各地低保标准和操作管理的具体规定不尽一致，国家难以推行一套完全统一的社会救助政策绩效评估的指标体系和标准。
- 某些地方未能很好地结合本地方的实际情况，建立一套合理有效的绩效考核和评估机制。

## 四、改善建议

- 第一，要加强对社会救助政策实施情况的监管和评估。
  - 以往的社会救助政策评估往往过于偏向对社会救助的资金使用、项目建设、示范评选等方面的评估，而忽视了非常重要的政策实施过程和执行效果的评估。

## 四、改善建议

- 第二，要加快建立和完善社会救助绩效“第三方评估”机制。
  - 第三方评估是科学评价政府工作，提高政府决策民主化、科学化水平，推动有关政策措施落地，扩大社会参与，推进政府治理方式创新的必要举措。
  - 第三方评估可以避免现阶段社会救助评估工作中存在的行政部门碍于人情，面子等影响评估结果客观性，有效性的问题。
  - 第三方评估可以有效地解决中发现过部门的人手不足的问题，并减轻其工作压力，提高相关部门的工作效率。

## 四、改善建议

- 第三，地方政府应结合本地的实际情况，邀请相关专家学者和专业人士，为地方建立合理有效的社会救助绩效评估指标体系和考核体系。



## 四、改善建议

- 一个好的社会救助绩效评估，至少应该围绕以下两个评估标准展开。

政策目标的  
实现

制度运行的  
效率

# 评估标准

- 政策目标的实现
  - Alleviation of poverty
  - Income maintenance and replacement
  - Promoting social cohesion
  - protection against risk

- **制度运行的效率**
  - **Target Efficiency**
    - **Mismatch in target populations**
    - **Fraud and abuse**
    - **Mal-administration**
    - **Measurement error**

- **制度运行的效率**
  - **Economic Efficiency**
    - **Shaping economic structures**
      - Altering incentives
      - The unemployment trap
      - The poverty trap
      - The savings trap
    - **Behavioural responses**
      - Benefit dependency and duration
      - Reservation wages
      - Work-rich, work-poor families
      - Uncertainty and risk
    - **Policy responses**
      - Directing behaviour
      - Structural reform

- **制度运行的效率**
  - **Administrative Efficiency**
    - **Intermediate outcomes**
      - Delivery and volume
      - Speed of service
      - Accuracy and adequacy
      - User efficiency
      - Access
      - Quality of treatment
      - Security
    - **Management of resources**
      - Personnel
      - Information technology
    - **Performance management**
      - Internal audit
      - External audit

谢谢！