

# **EU-CHINA SOCIAL PROTECTION REFORM PROJECT**

## **COMPONENT 3**

**THE MONITORING AND EVALUATION OF  
SOCIAL ASSISTANCE IN CHINA**

**VOLUME ON 2016 RESEARCH**

**TOPIC 3.1.4**



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### 3.1.4 The Monitoring and Evaluation of Social Assistance in China

*Assessment report*

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**List of the abbreviations in the assessment report**

SA: Social Assistance

MESA: Monitoring and evaluation of social assistance

PE: performance evaluation

MoCA: Ministry of Civil Affairs of PRC

MoF: Ministry of Finance of PRC

SAPE: social assistance performance evaluation

NJCF: Nanjing Charity Federation

NBS: National Bureau of Statistics

**1. THE BACKGROUND OF THE MESA**

The fundamental objective of monitoring and evaluation on social assistance (MESA) is to objectively reflect and monitor the operation and the progress of SA (SA) system. It will ensure a long-lasting, healthy and orderly development of the system through setting up an objective and comprehensive indicator system, scientifically effective involving and practical standards and methods of evaluation, on the basis of balancing the relationship between the monitoring and evaluation and the transition of Chinese SA system.

The political importance of SA is increasing since the establishment of the new type of SA. The scale of SA has expanded, SA policies are improving gradually, and SA funds have remarkably increased. However, the Chinese SA system is not yet operating in balance, since it is in the course of transition from a traditionally humanist assistance to an institutionalized and legalized system. In particular, the legalization of SA is the fundamental background for the monitoring and evaluation of social assistance in China. Institutionalization, regularization and legalization are not only the objectives of the development of Chinese SA, but also realistic requirements of the system. This requires that the MESA must be reinforced. Besides, since the establishment of the new type of SA, the system as well as the governance of poverty in China have experienced great development. However, in some fields and regions, there are still some problems in need of reinforced monitoring and management. For example, the administrative capacity of local authorities is weak; the income test mechanism is not yet perfect and there are some moral risks which occur in the implementation of SA policies. In particular, in the background of the programs like *Shared Development and Fighting Poverty 2020*, which is conducted by Chinese government, the SA system is given new political significance. Therefore, in the process of legalization of social governance, MESA is a necessity for achieving the goal of improving the standardization, regularization and legalization of the SA system. In this case, it is a good way to develop a fair and sustainable SA system by improving the MESA and utilizing its functions in evaluating, reflecting, monitoring, adjusting and leading the development of the SA system. This will also be necessary for guaranteeing and realizing the upgrading and transition of the SA system and improving its management.

Based on the current situation of MESA in China, this assessment report focuses on the following issues: why is SA in need of MESA? What is the basic policy and legal framework of MESA? What are the problems in Chinese MESA? What are Chinese experiences and local practices of MESA? Based on policy analysis, case studies and comparative studies, what can be identified as the development approach and policy choice of MESA in the future?

Based on the goal of this research on the MESA, in order to further clarify the research target and its connotation of the concept, together with the present situation of the development of China's social assistance, this assessment report on the monitoring and evaluation of China's social assistance has to make the operationalization of the definition of social assistance in China as the starting point of its research.

The definition of MESA is as follows: taking the realization of social justice, social harmony and the sustainable development of the social assistance system as the ultimate goal, and based on the phased characteristics of China's economic and social development, the monitoring and evaluation of social assistance (MESA) takes the promotion of the social assistance system of standardization, institutionalization and legalization as its orientation, uses the scientific research methods to do an assessment including an assessment of social assistance's management, the object of social assistance, social relief funds and also the behavior of social assistance through the a comprehensive, objective, scientific and effective way to estimate the operational situation of the social assistance system and the extent of realization of the goals of social assistance policy.

For achieving the goals of this research project, the report adopts literature review, statistical analysis, case study, interviews with experts and colloquium as the ways of the research. Given that Chinese socioeconomic development is uneven across China and so is the Chinese SA system, in order to do research on policy delivery, legal framework and policy experiences in this field, the author made visits to cities like Nanjing City and Suzhou City in Jiangsu province as well as Pi county and Yanjiang district of Ziyang city in Sichuan province, for conducting the case study on MESA at local levels. This was due to Jiangsu province and Sichuan province being the two provinces that present the typical features of Chinese SA in different dimensions.

The former is a coastal province in eastern China, whose economic development and market economy are at high level, while the later is a province in western China, which is a traditionally important old-industrial-base and a typical region of coordinated development of urban-rural areas. The author participated in the colloquium organized by the local civil affairs authority. During the discussion, the participants exchanged their ideas and had in-depth discussions on the development of the SA system, MESA and the main experiences of implementing SA policy. The discussions provide us with constructive policy suggestions and experiences on the basis of which we can deepen the study on Chinese MESA.

### **The Increasing Importance of SA**

Unlike SA in some foreign countries, in which the system is in the marginalized position of social policy, SA in China is an important component of the social protection system and an essential component of social policies. In contemporary China, the SA system keeps pace with the reform movement to market economy. Early in the marketization reform, the institutional function and policy objective of Chinese SA was to help poor people, support the reform of state-owned enterprises and ensure social stability. After 20 years of development, the Chinese SA system has evolved from a simple system that merely contained specific programs such as Dibao to a comprehensive one that contains Dibao for both urban and rural residents etc. This makes it a significant social safety net and social protection mechanism for protecting poor people in their living and maintaining social fairness and justice. It has also become a social policy arrangement and a social program for the fight against poverty that Chinese central government and local governments are conducting with a firm will. Thus, it is politically significant, for it is expected to greatly help in relieving urban and rural poverty, optimizing the distributive structure of social income and promoting social solidarity. Currently, the SA system is given a new sense of direction, which makes it be an important policy tool to realize expectations and implement a shared development strategy.

### **Increase in the SA Fund and Fiscal Expenditure**



Along with the changing of the way of economic development, the coordinated development of the society and economy continuously push ahead. As a result, the investment in social construction tends to increase, which can empower the construction. Entering the 21<sup>st</sup> century, the investment in SA, the safety net of the society and the transfer payments from the central government to local governments for social service expenditure has all increased. In the decade from 2000 to 2010, excepting that social service expenditure had slightly decreased in 2009 due to international financial crisis, the same sort of expenditure in the other years had all increased dramatically. In the period from the year 2001 to the year 2010, this sort of expenditure had increased its rate in the national fiscal expenditure from 1.5% to 3.0%, respectively from RMB 28.48 billion to RMB 269.75 billion<sup>1</sup> of which the expenditure for urban and rural Dibao and expenditure on rural and other SA programs was 41%. In 2015, the yearly fiscal expenditure of governments at all the levels on urban Dibao, rural Dibao and assistance to rural special vulnerable groups are respectively RMB 71.93 billion, RMB 93.15 billion and RMB 21.0 billion. (Also see table 1.)

Besides, in the process of cooperative governance of SA advocated and encouraged by the governments, the social forces that participate in SA programs have become important components of Chinese SA. In this process, the development of the private economy, the progress of citizen's awareness on charity and the government's policies and measures to promote private donation and charity had all contributed to the progress of social donations. At the same time, as the fund size donated by the social force is increasing, it is an objective need to reinforce the supervision and management of the fund and improve its performance evaluation (PE) in order to release the energy of charity funding for obtaining better social effects and pushing the development of philanthropy in a sound way. (See table 2.)

### **Enlargement of SA system**

Since its establishment, the Chinese SA has expanded greatly, and the expansion of SA itself also has increasing requirements on reinforcing the coordination of economic development and SA, the coordination of the whole social protection system and SA and the management of the SA system. Since 1996 when the urban Dibao system was introduced, recipients of this program have increased from 0.849 million in 1996 to 18.77 million in 2014, and the recipients of the rural Dibao have increased from 3.046 million in 2001 to 52.072 million in 2014. During the same period, the recipients of the collective Five Guarantees for rural special vulnerable group (Wubao) had increased from 1.38 million in 2007 to 1.743 million in 2014. However, there is a tendency for the shrinking for the separate Five Guarantees system. The number for the recipients of the separate separate Five Guarantees had decreased from 3.933 million in 2007 to 3.548 million in 2014. (See table 3.)

### **Improvement of SA system**

The MESA of China has experienced a gradual evolution from its establishment to gradual improvement. It is following the transition of the Chinese SA system. The legalization of the SA system and its policies has provided the MESA with an institutional premise and policy basis. In particular, since the establishment of urban Dibao, the program had been continuously improved. This has made a great impact on the process of building a fair and sustainable SA system in China. In order to achieve the equality, justice and procedural fairness of the Dibao system, the Chinese governments at different levels have made long-lasting efforts on innovation, especially establishing a series of institutions including the Dibao performance evaluation, the income test for Dibao applicants, archives of urban and rural Dibao, an indicator

<sup>1</sup> Gang Shuge, The change of China's Dibao system and the shaping of developmetal mode, Social Security Study, 2013.6, Page 72.

system for performance evaluation of urban and rural Dibao, a publicity and feedback system, an archive system, an avoidance institution, SA supervision, a control and reporting system, a SA complaint and check system with toll-free telephone number, etc. For instance, the Pi county of Chengdu, Sichuan province, has launched a program named *Sunshine Dibao*, for the better management of SA. In the process the authority has set down a complaints telephone number. This means that the authority accepts complaints of people positively in person or by letter-writing/calling. In regulating the use of charity funds, the authority of Pi County regularly reports the progress of the funds using the public and member organizations of charities. The donation and assistance fund of this county are publicized online through official website or APP in real time. Besides, in recent years, the publicity system for reporting the yearly budget, which includes SA expenditure, made by civil affairs authorities to the public has been gradually built up, which constitutes a new measure of supervision, monitoring and evaluation in the Chinese SA system. For instance, the Suzhou authority of civil affairs publicized its 2016 yearly budget online, including the fiscal budget for Dibao and temporary assistance. This extends the scope of social monitoring over the SA system.

### **Regularization and legalization of SA system**

As a principle, MESA must stick to its objectives and be problem-solving-oriented. The highlighted problems that occur in the management and operating of SA must be considered as important elements of MESA, so that MESA can be pushed to be more evidence-based and effective. In the history of the new Chinese SA system, its management has been continuously regularized. However, when compared to the requisitions and objectives of the legalization and regularization of the whole SA system, the managerial mechanisms and regulations of SA activity, which would have a direct impact on the development of this system, needed to be further improved. For instance, in the context that the Chinese social-economy is developing in an unbalanced way, the practical conditions for the implementation of SA policies vary in different regions. Due to the unbalancing of the economy, there is huge gap between the different regions in terms of the fiscal affordability of SA activity. This has directly impacted on the operating of the SA system and the implementation of SA policies. In some undeveloped regions, local fiscal affordability of SA is weak, while the recipients are considerable. This creates a heavy pressure on local government. In promoting the legalization of SA, the managerial system of SA is not yet complete or mature. The related mechanisms and institutions are not equally developed. They need to be continuously developed and improved through monitoring and evaluation. For instance, in some regions, there is a joint conference on SA as an institution at different government levels, whose function and running is regularized and effective. In some other regions, the function and effect of this institution is limited. It needs to be improved when we want to obtain comprehensive improvement of the SA system.

## **2. THE POLICY FRAMEWORK OF MESA IN CHINA**

MESA play a vital role in the whole of the SA policy system for it is a critical guarantee for the functioning of the SA system and the achievement of its development objectives. Since the establishment of the new Chinese SA, the policy of SA has been continuously improved. This provides the MESA with the necessary policy guarantee and institutional support.

### **2.1. Political basis for the MESA**

#### **PE as the way of realizing the scientific development**

Accomplishing the SA system is a significant content in constructing a harmonious society and is one of the approaches to realizing it. In 2006, the *CPC Central Committee's Decision on Several Significant Issues in Constructing the Socialist Harmonious Society* had indicated that

the government must *provide sufficient* assistance to people in adversity, accomplish the institutions of Dibao, Rural Five Guarantees (Wubao), Assistance to Special Vulnerable Families, Assistance to Disaster Victims and Assistance to Urban Homeless Beggars, etc. Deepening the reform on human resource management of government officials, practicing evaluation measures in the principle of scientific development, setting performance of leading social construction as a content of evaluation and reinforcing the capacity of leadership in coordinating the development of society and economy became the fundamental principles that directed the development of MESA.

### **MESA as the way of improving the governments' administrative management**

Setting up regular mechanisms of third-party evaluation is the requisition of the trend of transforming government functions and establishing a modern government. In 2014, the Chinese Prime Minister Li Keqiang had emphasized that “third-party evaluation should be adopted to improve the reform process and promote innovation in the management of government”<sup>2</sup>. The trend of the current administrative management in the government is to conduct scientific, objective and fair PE of governmental activity and gradually extend the scope and fields in which third-party evaluations could be adopted. As an undertaking for people's livelihood, SA can directly influence people's evaluation on the government. It is related to both social harmony and social justice. In particular, as livelihoods and finance are the two inherent aspects of SA, MESA is essential to the establishment of a modern SA system.

### **2.2. The legal basis for the MESA**

In the process of the development and the transition of the Chinese SA system, the SA policy system is built up step by step and the legalization of SA is promoted to a higher level. Both these provide MESA with the necessary institutional guarantee and legal basis. Since the 1990s, the policies and regulations, including the Regulation on the Minimum Livelihood Guarantee for Urban Residents, the State Council's Notice on Establishing A Nationwide Minimum Livelihood Guarantee System for Rural Areas, the Regulation on the Work of the Rural Five Guarantees System, the Opinion of the Ministry of Civil Affairs, the Ministry of Health and the Ministry of Finance on Implementing Rural Health Care Assistance, the Regulation on Assistance to Natural Disaster Victim, the Measure on Managing the Assistance to Urban Homeless Beggars, the Notice of the Ministry of Civil Affairs on Improving the Temporary Assistance System, the Measure on Managing the Low-Rent House for Urban Low-Income Family had explicitly and clearly defined the targets, contents, procedures, management and supervision of various SA programs. In particular, the *Interim Measures of SA*, put into force in 2014, had levelled up the legalization of Chinese SA to a new height. The *Measure* has provided all the specific SA programs with a legal arrangement, especially the supervision over the management of SA funds. The Article 64 states that “the fiscal department and auditing authority of governments above county level must legally conduct the supervision over the collecting, distributing, managing and utilizing of the money and materials for SA”. The Interim Law on Social Assistance has made the corresponding provisions of rule for the governments' purchasing service work, and the Term 54 states that “local governments above county level has the right to buy services provided by social forces, through entrusting, contracting and purchasing, to conduct concrete SA services”. All these mentioned above have become the legal basis on which MESA and the PE of government purchased services can be conducted.

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<sup>2</sup> Li Keqiang, With the third party assessment to promote government management mode innovation, The contemporary Vision of Social Sciences, 2014.9.

### 2.3. The SA policy basis for the MESA

To address the problems occurring in the recipient identification, approval procedures, supervision mechanism and local administration and in order to prevent and stop behaviors that violate laws and regulations in social service, MoCA had issued its Notice on Establishing and Accomplishing the Long-Run Supervision Mechanism in SA. In that document, the implementation of SA laws, regulations, policies and institutions, the regularized running of SA, the collection and management of SA funds, the capacity building of local administrations as well as the processing of special emergencies in SA are all included as the principal content of MESA. In 2014, MoCA and MoF initiated the implementation of the Measure on PE of Dibao Work. This accelerated the nationwide monitoring and evaluation on the Dibao program, laying a foundation for local administrations to conduct their work. For example, in order to improve the performance of SA policies, regulate SA behaviors, and ensure the justice in SA, Ziyang city had issued and implemented several policies on SA, including the Notice of the Government Office of Yanjiang District, Ziyang City, on Seriously Practicing PE on Urban and Rural Dibao Work, Measures of Yanjiang District, Ziyang City, on Practicing Dibao PE, Notice on Registering The SA Beneficiaries who are Close Relatives of Dibao Administrative Staff and Village (Resident) Committee Officials and the Promise Institution for Applying Urban and Rural Dibao Benefit, etc. All these regulations constitute the necessary policy basis for MESA.

### 2.4. The fiscal policy basis for MESA

The monitoring of SA funds is an important component of MESA. In order to improve the management of the budget's performance, regularize PE behavior of fiscal expenditure and increase the efficiency of fiscal resources, the Ministry of Finance of PRC had issued the *Notice on Delivering the Interim Measures on Fiscal Expenditure PE* on 2 April, 2011. This document has clear definition and regulation of the basic principles, legal foundation, objectives, content, indicators, methods, organization, management, work procedures and reporting and the application of the results of the PE. The revised *Interim Measures on Managing the Fiscal Expenditure PE* defines the framework of evaluation indicators, including the 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> level of indicators which consider the decisions of the programme (objective, decision making process, fiscal distribution), the management of programme (delivery of money, management of money, financial management, management institution, organization and implementation) and the performance of the programme (number of outputs, quality of output, cost of output, economic effect of the programme, social effect of the programme, environmental effect of the programme, impact on sustainability and satisfaction of the benefit target) etc. (See table 4.)

In terms of the evaluation method, the Measure states that “the methods are mainly based on cost-effect analysis, comparison, factor analysis, the minimum cost, public evaluation” etc. In terms of the application of the PE result, the Measures states that “to programs that have good evaluation, the fiscal department and budget department can provide them with appreciation and continuing support; to those that are bad, public criticism. They must be required to remedy their faults. If they don't change or the change is not as expected, the budget for the programme must be adjusted, or even canceled”.

In recent years, the legalization both for the social assistance and for the revenue and expenditure control highlights the requirements and trend of performance management. In order to regulate the behavior of government revenue and expenditure, strengthen the budget constraints, improve the management of the budget and its supervision, and improve the system of a comprehensive, regulated, open and transparent budget system, the Budget Law of the People's Republic of China came into force on January 1, 2015 after the

approval of the People's Congress. It clearly put forwards that budgets at the various levels should follow the principles as being overall considerate, thrifty, PE oriented and balanced. The flow of fiscal expenditure PE is shown in the appendix as figure 1.

According to the Ministry of Finance on the performance evaluation of fiscal expenditure (spending) operation guidelines (pilot) from the MoF of PRC, the performance evaluation procedures are usually divided into three stages, that is, the performance evaluation of the preparatory stage, the implementation stage and the stage of preparing and submitting the performance evaluation report. The performance evaluation of the preparatory stage, includes the signing of the agreement, setting up a working group on the performance evaluation, making the basic matters relevant to the performance evaluation and making the PE plan. In the performance evaluation of the implementation stage, according to the characteristics of the projects and based on the PE plan, the relevant data are collected by the way of a questionnaire survey, data reporting, field study and meetings, and using a scientific and reliable evaluation method for the comprehensive evaluation of the project's performance. In the stage of writing and submitting the PE report it is necessary to draw a conclusion according to the results, and the evaluation of the project's overall conclusion, according to the requirements of the performance evaluation of related regulations and prepare the evaluation report performance evaluation report, the performance appraisal institution's internal audit procedures and the performance evaluation report.

### 3. THE CHINESE EXPERIENCE AND THE LOCAL PRACTICE OF MESA IN CHINA

Since the introduction of the Dibao system, along with the development of SA the system, MESA has evolved in the practice of the management of the SA system. The evaluation system adapted to the Chinese SA system has been established gradually, which is of great importance for the fair and sustainable development of SA in China.

#### 3.1. The main forms of MESA in China

##### Independent academic evaluations of SA made by Chinese scholars

Academic researches on SA move forward together with SA practice and a lot of research findings are produced. Some scholars use quantitative and qualitative analysis to conduct academic researches on SA, on basis of which they put forward their arguments and suggestions on SA policy. This represents one way of Chinese MESA. For example, Professor Hong Dayong proposes his opinion in *Objectives of SA and Evaluation on Current Chinese SA* that the objectives of SA are multiple, including social care, social regulation, helping people, promoting social justice and improving social integration, etc. In order to improve the Chinese SA system, it is necessary to focus on improving the institutional design, promoting professionalism in SA work, ensuring investment in SA, promoting organic integration of different SA programs and optimizing the social environment for SA.<sup>3</sup> Guo Jianmei and Deng Dasong argue in *Narration and Evaluation on the Evolution of the 60 Years' of the Chinese SA System* that the Chinese SA system had evolved from a residue model which targeted special groups to a rights-protecting system that covers all the social members. This means that the system aims to effectively protect the basic living of poor people, helps to stabilize society and

<sup>3</sup> Hong Dayong, The goal of social assistance and the evaluation of social assistance at the present stage in China, Gansu social science, 2007.4, page 158.

keeps the social-economy sustainable. However, China is still in the process of transition, so its SA system must keep adapting to this socioeconomic transition.<sup>4</sup>

### **The sectoral MESA conducted by authority of Civil Affairs at different levels**

Setting up a SA evaluation indicator system and evaluating the performance of SA work through quantitative scoring are the important approaches of MESA. Currently, the social assistance performance evaluation (SAPE) that uses the indicator system is being implemented across the country. In this process, the objectives and contents of the evaluation have successfully made the procedure evolve from a single evaluation of specific aspects of SA to a comprehensive evaluation system on all the aspects. This is the transition of MESA from the evaluation of a single dimension to a comprehensive evaluation of multi-dimensions.

In practice, the fundamental principles of SAPE requires it to be comprehensive, addressing specific problems, covering all the aspects and scientifically adopting the indicator system in order to comprehensively reflect and measure the progress of SA. The problems that occur in the operation of the SA system can also be specifically monitored and evaluated. In this way, the performance of SA work can be quantitatively scored and compared, so that we can objectively monitor and evaluate SA. This helps to promote the delivery of policy and implementation. Then the indicator system can work as a directional tool to enhance SAPE.

#### **Box 1. Case study of Suzhou city**

Suzhou city began to practice SAPE in 2015. In the *Indicators and Scoring Standard of SAPE of Suzhou City*, there are three indicators ranked at level-1: comprehensive protection, implementation of assistance and utilization of money. Level-2 indicators consist of 20 sub-indicators, including leading authority, governmental responsibility, administrative authority, training, budget, data, reporting, archiving, complaint processing, protection standards, subsidies, application processing, investigation at the recipient's home, evaluation of the public, publications, target identifications, dynamic management, benefit check, management of money, delivery of money. At the same time, quantitative and qualitative method is integrated in the evaluation. In addition, the document includes "one-ballot-veto" indicators. That is to say, the authorities being evaluated would not get any score under any of the following cases: there is significant problem in money management due to irresponsible monitoring; the authorities being audited are found to be violating the relevant regulations and disciplines which receive massive public criticism; the beneficiary falls into an abnormal situation or even has an accident due to the delay in assistance or error in management and people collectively complain and criticize the government due to the error in implementing policies. This regulation represents the significance of the safety of fund, the regularity of management, the order of implementation and social stability. These are the orientations of SA work. (See table 5.)

### **The MESA conducted by the social organizations as a third-party**

The questionnaire survey on public satisfaction relating to SA that is conducted by third parties represents an important approach to MESA. Through questionnaires, the authorities can get an awareness of both the attitudes of the public and the beneficiaries toward the system. This helps to conduct an objective analysis of the system. Currently, the questionnaire survey on satisfaction levels is not merely adopted in the Dibao PE and the governmental financial program PE, but also in the monitoring and evaluation of other SA policies and specific programs.

<sup>4</sup> Guo Jianmei, Deng Dasong, The change of social assistance in 60 years after the founding of PRC and the evaluation of China's social assistance, Reform and Opening up, 2009.12.



**Box 2. Case study of Nanjing city**

The Nanjing Charity Foundation (NJCF) conducted a sampling survey of 300 college students that received a benefit from the “Realizing Dream Activity” from June to October 2014 in order to understand their basic situation, their situation after receiving the benefit and their evaluation of the program. The result showed that 99% of the beneficiaries thought that the program was really helpful to them and its implementation was in line with related regulations. In order to understand how the NJCF and its various charity programs are viewed by the public, the NJCF entrusted the Nanjing Boci Service Center and Nanjing University to conduct a questionnaire survey on “the implementation of charity programs and their social influence”. The respondents included government officials, institutions, enterprises, schools, social organizations, local communities etc. 1500 questionnaires were issued and 1419 were effectively completed. In the questionnaire, the questions ranged from the basic awareness and the evaluation of NJCF and its charity programs, a general evaluation and suggestions relating to charity in Nanjing to the public’s general awareness of charity in Nanjing and their participation in the programs. For example, the NJCF had designed questions like “what is your general evaluation on the NJCF and its charity programs”, and the options ranged from “very satisfactory”, “satisfactory”, “indifferent” to “bad”. In this way, NJCF was expecting to get the truth.

**The PE of fiscal expenditure led by the fiscal authority across China**

The Fiscal Expenditure PE is conducted by the intermediary institutions entrusted by the fiscal authorities and designed to be an objective and fair evaluation of the cost, efficiency and effect of fiscal expenditure, using scientific, reasonable indicators, standards and methods. Currently, based on these, the scope of Fiscal Expenditure PE has been extended. Both the pre-budget evaluation and the post-budget evaluation have been conducted. This includes PE in all the steps through the management of fiscal expenditure. In order to perfect the PE system, and make it be more scientific, regularized and fair, during the PE, some representatives of the People’s Congress and the members of People’s Political Consultative Conference were invited to join the PE to try to lead the PE to be more effective in supervising the authorities in the process of implementation.

**Box 3. Case study of Beijing City**

In recent years, in order to improve the performance of the financial budget, the fiscal expenditure PE had been widely conducted. Taking Beijing city as an example, the municipality had issued regulations as the “*Beijing Interim Measures on Managing Fiscal Expenditure PE*, *Beijing Detailed Regulation on Implementing Fiscal Expenditure PE*, *Beijing’s Regulation on Intermediary Participating in Fiscal Expenditure PE*, and *Assessment Measure on Intermediary Participating in Fiscal Expenditure*”, etc. All these constitute the foundation of the Fiscal Expenditure PE. In addition, due to the gradual extension of government purchasing of services in recent years, the Beijing Municipal Bureau of Finance issued the *Notice on Promoting the PE on Municipal Governmental-Purchased Services Program* on 10 November 2015, in order to deepen the regularization of this kind of governmental activity and promote the efficiency and effectiveness of the financial budget. The Notice states that “any program whose budget is at or over RMB 2 million must set down its performance goal during application and “the result of PE on government purchased services must be publicized; the public’s supervision must be accepted”; “Scoring of 100 points are designed to evaluate and the scores are graded into 4 groups: Excellent, 90-100; Good, 75-90; Normal, 60-75; Bad, 0-65”.

### **MESA for the livelihood of Dibao family conducted by statistical authority**

The monitoring and evaluation on the livelihood of Dibao families that is conducted by the local statistical authorities (or jointly conducted with the local civil affairs authority), is an important method of SAPE at local level. In Beijing, the NBS (National Bureau of Statistics) Survey Office of Beijing and the Beijing Municipal Bureau of Statistics have jointly conducted a livelihood survey on the living conditions of Beijing Dibao families, in which the education of the family members, the per capita disposable income including incomes from salary, business, assets and transfer payment, etc., per capita consumer expenditure including food, clothing, devices, health care, communication, transportation, education, entertainment, etc are considered as well as the amount of consumer durables possessed by each hundred households is surveyed. This survey helps to obtain objective and detailed information on recipients' livelihoods for conducting better evaluations and relevant policy improvements.

#### **Box 4. Case study of Liaoning province**

In Liaoning province, the Provincial Bureau of Civil Affairs and the NBS Survey Office in Liaoning jointly conduct a quarterly survey on consumer expenditure of urban and rural Dibao families, in which general and detailed information on the education of family members, employment, disposal cash income, consumer cash expenditure (detailed in cereals, tubers, beans, oil, vegetables and fungi, meat, poultry, aquatic products, eggs, milk, nut and fruit, cakes etc.) are all investigated. Based on the survey, an analytic report of the data from the sampling investigation on Dibao families results. According to the *1<sup>st</sup> Quarter Monitor Report on Necessary Consumer Expenditure of Dibao Families, Liaoning, 2014*, consumption of Dibao families in this province is mainly for subsistence and the quality of feeding is expected to be improved.<sup>5</sup>

### **3.2. The characteristics of Chinese MESA**

#### **Comprehensive and multidimensional**

The fact that Chinese MESA comprehensively contains multi-dimension items is a result of the diversity of the Chinese SA system. The contents of the Chinese MESA include supervision over all the aspects of SA, such as Dibao, Assistance to Special Vulnerable Groups, Assistance to People Suffering Disasters, Education Assistance, Health Care Assistance, Housing Assistance, Employment Assistance, Temporary Assistance and Philanthropic Donations, etc.

In terms of its management and implementation, there are internal monitoring and evaluations ranging from higher level to lower level, including monitoring and evaluation conducted by the central government on the provincial governments and those within each province; and external monitoring evaluation ranging from those on government-purchased services conducted by third parties to the evaluation of the public, Dibao beneficiaries and the media on the work of government and community committees.

#### **Diverse and fragmented**

The administrative subjects of the supervision, monitoring and evaluation of SA include the authorities for civil affairs, finance, education, labor and social security, and charity. Each of them is responsible for different aspects of helping those in need. Therefore, the management

<sup>5</sup> The Department of Civil Affairs of Liaoning provincial government and the NBS survey office in Liaoning province, The monitoring results of the urban-rural Dibao families' necessities and consumer spending in Liaoning province in 1<sup>st</sup> quarter of the year 2014.



of MESA falls in diversity, which implies that the authorities lack coordination and coherence in organizing MESA.

### **Legalized and systemic**

The objects under MESA include civil servants of the governments, members of CPC, who are relevant to SA, beneficiaries, money and the processes of application and benefit payment. All the matters are covered in a legalized system of supervision, monitoring and evaluation of SA, which functions as the foundation for developing a regularized SA system and achieving the goals of SA policies. In addition audit is also involved in MESA, which represents an important aspect of the legalization of the Chinese SA. For instance, in the *Indicators and Scoring Standard of SAPE Work in Suzhou*, it is stated that any unit/authority that is found having serious problems or violating laws and regulations must be excluded from being scored (the so-called one ballot veto)<sup>6</sup>.

### **Decentralized and unbalanced**

In the practice of MESA, disparity among the regions is a realistic phenomenon. For instance, in order to ensure the practice of MESA, Sichuan province holds a joint conference on SA as an important institution at the provincial level This can guarantee the organization of SA. Meanwhile, in terms of content and orientation, different provinces have different standards of PE for the Dibao program and the foci of this kind of evaluation are different from one province to another. One example is that some provinces have respectively set the standard of Dibao benefit and the rate of consumer expenditure per capita of urban and rural residents as 25% and 30%, which indexes the Dibao benefit to the change in income of residents. However, in some places in China, the system construction, evaluation methods and relevant policies are far from being perfect and they need to be improved further and reformed along with the practice of social assistance.

## **3.3. The Main experiences of China' MESA**

### **3.3.1. The role of the central government in monitoring and evaluation of Dibao**

Policies made by the central government are directional power in promoting the monitoring and evaluation of the Dibao program. Since the establishment of the rural Dibao system, the Dibao system as a whole has developed a lot, becoming an important institutional arrangement of the social safety net. However, the Dibao system that is developing across the country is not equal in different regions, even when it is in a same province. The environment and the development of the Dibao system is not the same in different regions. All these pose a direct impact on the regularization and legalization of the Dibao system. For instance, to solve the problem in accurately identifying poor families in urban and rural areas, Sichuan province has established a Center for Verification of Low-income Family. In cities like Guangyuan, Leshan and Suining, there are mean-test centers. But there are still some cities where the competent agency has not yet been established. In this context, indicators and standards for Dibao PE help to promote Dibao to be a regularized, legalized and orderly programme, and therefore help to lead SA system to be balanced across the country.

In the beginning of 2014, in order to enhance the level of service and management of Dibao work and the effectiveness of fund utilization, the MoCA and MoF jointly issued the Measure on Dibao PE, which effectively promotes the development of the Dibao PE in all its aspects. (See table 6.)

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<sup>6</sup> When it comes to the assessment of government work, if any one or a specific unfinished in the different aspects of the tasks for the governments, all the government works are regarded as unqualified.

The standard of the Dibao PE puts the institutional guarantee and work management in the content of evaluation, highlighting the importance of institutional construction and basic construction. The informatization construction of Dibao is set as an important indicator, which is represented with high score. This indicates that the MoCA views the informatization construction of Dibao as a critical new approach to improving the operation of SA. Meanwhile, this indicator system also considers innovation as a vital role in local SA, emphasizing that the promotion of SA should be realized through innovation in local work.

### 3.3.2. The monitoring and evaluation on Dibao in China

Dibao PE is both an inherent requirement of the SA system and an important component of it. Since January 2014, when MOCA and MOF jointly issued the *Measure on Dibao Performance Evaluation*, the PE has been widely conducted. The Dibao SAPE system is still in its initial stage. However, thanks to Chinese central government promoting PE positively and Chinese local governments seeking the ways to use the SA fund and regulate the SA fund efficiently, a combinative force that facilitates MESA is formed. The central government delivers SA policy, while local governments innovate the approaches for Dibao PE. These finally constitute a PE system covering the state, provinces, municipalities and districts. This is actually a mechanism that guarantees a regularized SA administrative management, legalization of the SA system and a fair, balanced and sustainable development of the system.

Because of the localization of the Chinese SA system and the disparity among regions, which forms the environment of the SA system, the Dibao PE is diversified. This diversity means that although there is a common principle of Dibao PE, this procedure is still characterized by local features in different regions.

Take Sichuan province for instance, the process of setting and implementing the indicators and standard of Dibao PE is characterized as follows:

Firstly, in this province, the SA system is implemented and developed in line with the principles set by the State. The provincial government focuses on ensuring the SA work is successfully conducted and well managed, the performance and innovations in SA work. These principles are derived from the regulation made by MoCA and MoF, which functions as a general direction for the Dibao PE in all the provinces.

Secondly, according to the indicators of the Dibao PE, policy incentives and institutional restriction are integrated to conduct the work. For example, according to the *Indicator and Standard of Dibao PE in Sichuan Province, 2015*, innovative measure and activity can be an incentive, and any innovation that is appreciated by provincial authority is equal to 3 points in the evaluation. At the same time, the standard also contains some restrictions: when there isn't any violation against laws and regulations, the points are 4, but 2 points will be deducted for each discovered violation case.

Thirdly, according to Sichuan's indicators and standards, the provincial government emphasizes that the institutions and policies of Dibao must be fair and sustainable. For example, investigation at recipient's home, organizing a democratic evaluation meeting and publicizing the approval result are listed in the content of the evaluation as a component of Dibao management. They are factors that must be evaluated. This is a signal that the provincial government tends to keep a procedural justice in the Dibao program. Besides, in the indicator system, the management of recipients is highlighted. Promoting employment of Dibao recipients and "making and implementing policies on reducing poverty and facilitating employment" for the recipients is set as a standard in the Dibao PE. This standard indicates that the Dibao program should be oriented to, and associated with, the labor market. Besides,

in terms of the sustainability of Dibao, the indicator system focuses on the guarantee of funds, and “sufficient funds for Dibao” is set as an important indicator that warrants a high score.

Fourthly, the standard emphasizes that the social evaluation of Dibao work must be objective and evidence-based. A sampling survey is taken as an important approach in the evaluation system. The results of the sampling survey is the basis of evaluation, which means that the SA policy is expected to be evidence-based. However, in the evaluation standard, there is no a clear definition and explanation of the technical requirements, such as sample proportion, method of sampling and sample size, etc. (See table 7)

### 3.3.3. The expansion of the MESA in China

Nowadays, the MESA is transforming from a special evaluation of Dibao to a comprehensive evaluation on the whole SA system. Following the improvement in the Chinese SA system, the content of assistance is transforming from a single one to a comprehensive system containing various programs. In particular, the *Interim Measures of SA* has a significant positive influence on the operation of the SA system. It has promoted comprehensive progress in all its aspects ranging from Dibao, Health Care Assistance, Education Assistance, Housing Assistance, Disaster Assistance, Temporary Assistance and assistance delivered by social forces. In line with the transition of Chinese SA system, the SAPE is also evolving from a mere PE on Dibao to a comprehensive PE on all the programs.

In the transition of the MESA in China today, the *Interim Measures of SA* has also promoted the progress of MESA. In this regard, Sichuan province has positive experiences. Since 1 January 2016, according to the *Interim Measures of SA* and *Sichuan Provincial Measure on Implementing SA*, the joint conference on SA in Ziyang City issued the *Experimental Measure on SAPE in Ziyang*, in which an indicator system for the PESA is set. The implementation and social participation of the eight programs included in the *Interim Measures of SA*, namely Dibao, Assistance to Special Vulnerable Group, Assistance to Disaster Victims, Health Care Assistance, Education Assistance, Housing Assistance, Employment Assistance and Temporal Assistance, are listed as essential content in the evaluation. (See table 8.)

### 3.3.4. The cooperation of the central government and local government in MESA

Both its promotion by the of Chinese central government and the innovation of the local governments enhance the MESA. In China today, economic development is imbalanced, therefore environments for practicing SA are diverse and the management of SA is localized. The MESA in China, on one hand, depends on the central government’s direction and promotion through policies, and on the other hand, it relies on local government’s pioneering practice. Local practices and experiences become important references based on which the Chinese central government makes corresponding national policies. Yet there isn’t any national directional policy or regulation on MESA, but due to the needs in practice and for achieving the objectives of SA work, some local governments have set up and practiced an indicator system and standards for PESA.

#### Box 5. Case study of Shanghai city

The Shanghai municipality has set up its own indicator system for PESA in the process of perfecting the system and reinforcing SA work in the city in order to enhance SA service and the efficiency of fund utilization. This enables the municipality to conduct an early PESA in the country. The content of the standard and indicators of Shanghai’s PESA shows the orientation of SA work. For example, the assistance to poor people for expenditure on disease is listed as an important component of the SA. There are also clear requirements in every step

of the process of application, approving, benefit delivery and checking. The standard and indicators also focus on the real effect of SA work. For instance, for constructing the SA system, Shanghai tends to involve social forces. Therefore, “high-rate participation” becomes one of the indicators. Besides, there is also indicator like “supplying work condition, introducing work opportunity and successful employment”, which represents the positive orientation of the SA system. In terms of assistance to special vulnerable groups, Shanghai does not only pay attention to the timely delivery of benefits to the beneficiaries, it also indicates that the beneficiaries who cannot live independently should be transferred into nursing home for better care. In addition, the indicator system of Shanghai’s PE on SA also puts building and improving SA administrative capacity into the evaluation indicator list, under which a sufficient number of SA staff is required. The ratio of the staff to the number of Shanghai residents is set as 1 to 10,000, and each of the staff must have clear defined tasks and positions. (See table 9.)

### 3.3.5. The function of MESA in guaranteeing the institutional operation of SA

MESA is an important component of SA policy. The MESA in China is integrated with the improvement of SA policy and governmental reforms on management and administration. It is a factor in the policy implementation, policy delivery of SA and the governance of poverty in urban and rural areas. For these, an initial, institutionalized MESA policy system has been established. This comprehensively covers the monitoring of the objective, work staff, work behavior and fund utilization of SA. This system helps to enhance the efficiency of using money, SA staffs’ awareness of their performance, the balance of social development and the administrative capacity of the local SA work group. Besides, MESA has contributed a lot to the regulation of SA behavior, the full implementation of SA policy, a reduction in the violations in SA work and finally better mastering of the dynamic situation of the SA system.

## 4. THE PROBLEMS OF MESA IN CHINA

Currently, with the rapid development of the social assistance system, the MESA cannot meet the need of SA. In terms of being scientific, regularized, effective and objective, the MESA should be reinforced further. The informatization of SA is not developing as expected; the institution of MESA is not yet perfect; third-party evaluation needs to be enhanced; problems related to social fairness and justice still exist in the process of managing social assistance. The development of MESA is unbalanced among the different regions of China. It is not sufficient for the social forces to get involved in SA. Social organizations need to be cultivated, etc.

### Adaptivity of MESA

The need to realize the legalization of SA requires a further change in the idea of MESA. SA is both a citizen’s right and the government’s responsibility, and even the responsibility of the whole of society. In this regard, some local governments’ current understanding of MESA is not adapted to the practice of SA. The main issues are: firstly, for some regions and some local governments, SA still only means a cash benefit. Therefore, they do not pay enough attention to or make efforts to optimize the environment for, or foster the culture of, SA. give psychological care to the recipients of SA, involve social workers and social forces, etc. Institutional arrangements in these areas are not sufficient to maintain the comprehensive, coordinated and sustainable development of SA. Secondly, the persons who conduct the MESA are still from a single channel while the participation of social forces is insufficient. Third-party evaluation has no significant function in the process of MESA. Thirdly, there are still some problems in terms of the thinking and the ideas that are not adapted to the need of MESA. For example, some work units and individuals lack a proper understanding of the significance of MESA. In addition, some responsible departments and staff are not satisfactory in terms of

their performance consciousness, in other words, some of staff are not strong enough in their consciousness of PE. This directly affects the monitoring and evaluation of social assistance and the achievement of the goal of MESA.

### **Balance of MESA**

Currently, the development of MESA is rather uneven in China. Since the establishment of new Chinese SA system it has realized great achievements, forming a mode of SA featured by localization. Meanwhile, due to the economic disparity among the regions, the conditions and the environment for implementing SA policies differ greatly from one region to another. Besides, the concrete implementation of MESA in different regions is also very different. This can be represented by the obvious regional differences, the difference between urban and rural areas and the differences in management. For example, the Municipal Bureau of Civil Affairs of Suzhou adopts the Measure for SAPE, which extends the scope of MESA. In these documents, Dibao, assistance to poor people suffering disastrous diseases but without Dibao benefit, assistance to those with a serious disability, temporary assistance and means testing are all listed as the items to be monitored and evaluated. However, in some other regions, MESA is only limited on Dibao. Thus MESA is not as comprehensive, regularized and complete as expected to meet the needs of a comprehensive, coordinated and sustainable SA system.

### **Regularization of MESA**

The regularization of MESA is the realistic requirement of the regularization, legalization and standardization of China's SA in its operation and management. Currently, there is a demand for the setting up of a scientific and regular monitoring and evaluation system for the Chinese SA system. However, the regularization of MESA cannot match the development of the SA system that is aimed to achieve this development with fairness and sustainability. For example, the regions where MESA is already conducted must further improve the content, process and method of MESA. In particular, the history of MESA in China is short, PEs on some programs have no evidence-based or concrete standards.

### **Unification of MESA**

Nowadays, MESA in general is at an early stage. It is far from being mature. The work of MESA in the different regions is characterized by this phase. That is to say, the work of MESA lacks a unified policy arrangement, organizational guarantee and coordination by the relevant authorities at national level. In the cases where the direction and promotion of the central government is lacking, the MESA is much localized in terms of its management. As the national directional authority of SA, MoCA focuses only on Dibao, Wubao and Health Care Assistance, which is actually a limitation of its directional role in MESA across the country. Thus, due to the lack of unified management and regulation by the central government, the development of MESA is still diverse, automatized and localized.

### **Scientificization of MESA**

Currently, the scientificization of MESA needs to be improved further. The design of the indicators and the scoring are actually not all scientifically reasonable. The role of indicator system cannot direct the development of SA. The realistic dilemma results from the fact that the evaluation is not scientific and timely while the cost of evaluation is not well controlled. Besides, the methodology for MESA needs to be updated, especially considering the sampling size in the survey of public satisfaction relating to SA. The random principle of sampling can

not be well applied in the questionnaire survey and the statistical method is not scientific or robust.

### **Effectiveness of MESA**

In terms of the performance in using SA funds and the effectiveness and efficiency of government purchased services, the management of SA fund is orderly and regulated, which is a great achievement having a positive effect. Take Beijing as an example. “The PE on fiscal expenditure programs has established a relatively perfect system following its development over several years and the work procedure is regularized. This has helped to get great achievements.”<sup>7</sup> However, “as a new fiscal reform, the PE on fiscal expenditure program still has some shortcomings due to its short history and its relative lack of theoretical research.” For example, “many implementers of the projects financed by the government do not well work with PE, while some of them do not understand the indicator system thoroughly. Some even resist against PE.”<sup>8</sup> The PE on fiscal expenditure program must be improved further.

Firstly, at the stage of application, the expected objective of the projects are not concrete, clear enough nor well defined, especially the objectives of PE are not explicitly defined and the goal of PE for the projects is vague and general, the extent of it being quantitative and specific is far from satisfactory. Therefore the goals of the PE can not play a strong role in restraining and leading the implementation of the project.

Secondly, the work units that receive the PE for fiscal expenditure programs have an inadequate understanding of PE. Thus during the process of PE, the materials that can reflect the real performance are not sufficiently accumulated. This does not allow for demonstrating the output and effect of the programs.

Thirdly, in designing the questionnaires for investigating the public’s satisfaction of PE, the process and method are not sufficiently evidence-based. For example, when doing the questionnaire survey, the respondents are asked to write down their real name in the questionnaire. This could affect the result of the questionnaire survey. Due to budget constraints, time and technology, the sampling size is not big enough. This is not sufficient enough to support a robust statistical analysis. The selection of investigated respondents is not in a random way. Consequently the reliability and validity of the result from the questionnaire survey is questioned sometimes and in some people’s eyes the result of the survey is not very reliable.

Fourthly, the regulation on selecting the experts to conduct the PE on fiscal expenditure projects is not very mature. In the PE, the experts are crucial to ensuring that the fiscal expenditure PE is scientific. However, the selection regulation is not effectively established. The experts are usually subjectively selected. Sometimes it is not easy to find a qualified expert who is willing and can find the time to do the PE. Meanwhile, the gap between the competence of some selected experts and the content of the project under PE is large and the evaluation of the PE cannot meet the needs of the implementer of the project. Sometimes, due to the lack of an in-depth and adequate investigation, the comments and suggestions from the experts are very hard to be applied because the policy recommendations from the experts lack maneuverability nor are they scientific or forward-looking.

### **Promotiveness of MESA**

<sup>7</sup> Cui Yeguang, Cuiwei, Xudong, Chen Xiaolie, The the status quo and problems of the performance evaluation on the projects by the of fiscal supports in Beijing, Research on Economy and management,2008.7. Page52.

<sup>8</sup> Cui Yeguang, Cuiwei, Xudong, Chen Xiaolie, The the status quo and problems of the performance evaluation on the projects by the fiscal support in Beijing, Research on Economy and management, 2008.7. Page52.



As an important component of SA policy, MESA has promoted the development of the SA system and helped to reinforce the management of SA and regulate the behavior of SA management. However, in terms of the effectiveness of MESA in the current context, there is a large space for MESA to enhance its effect and its power on controlling SA activities. In particular, MESA is weak in adjusting the deviation and violation against SA activities, reinforcing the implementation of SA policies and perfecting its institutional arrangement. To be precise, the results of MESA are not effectively and sufficiently utilized. MESA in practice is a long way from its objective of improving the management and funds utilization of SA. More seriously, in some regions, the MESA has little meaning due to an inadequate implementation.

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ANNEX

Table 1: Increase in the Financing of SA across the Country. Unit = 100 Million Yuan

Year	Urban Dibao	Rural Dibao	Wubao
2007	277.4	109.1	62.7
2008	393.4	228.7	73.7
2009	482.1	363	88
2010	524.7	445	98.1
2011	659.9	667.7	121.7
2012	674.3	718	145
2013	756.7	866.9	172.3
2014	721.7	870.3	189.8
2015	719.3	931.5	210.0

Source: Statistical Report on Civil Affairs and Statistical Report on Social Service of previous years in 2007-2015, by Ministry of Civil Affairs, PRC.

Table 2: Increase in Social Donations. Unit= 100 Million Yuan

Year	Social Donation to the Authority on Civil Affairs	Social Donation to Social Organizations	Total
1998	50.2	0	50.2
1999	5	2	6.9
2000	5.4	3.9	9.3
2001	7.6	4.1	11.7
2002	11.1	7.9	19
2003	29.2	11.9	41
2004	17.1	16.9	34
2005	31.3	29	60.3
2006	43	40.1	83.1
2007	50.9	81.9	132.8
2008	479.3	265.2	744.5
2009	66.5	417.2	483.7
2010	179.8	417	596.8
2011	96.6	393.5	490.1
2012	101.7	470.8	572.5
2013	107.6	458.8	566.4
2014	79.6	524.9	604.4

Source: Statistical Yearbook of China Civil Affairs, 2015, China Statistics Press, Ministry of Civil Affairs.



Table 3: Change in SA Recipients Since 1996 Unit = 10,000 people

Year	Urban Dibao	Rural Dibao	Collective Wubao	Wubao at Home
1996	84.9	—	—	—
1997	87.9	—	—	—
1998	184.1	—	—	—
1999	256.9	—	—	—
2000	402.6	—	—	—
2001	1170.7	304.6	—	—
2002	2064.7	407.8	—	—
2003	2246.8	367.1	—	—
2004	2205.0	488.0	—	—
2005	2234.2	825.0	—	—
2006	2240.1	1593.1	—	—
2007	2272.1	3566.3	138.0	393.3
2008	2334.8	4305.5	155.6	393.0
2009	2345.6	4760.0	171.8	381.6
2010	2310.5	5214.0	177.4	378.9
2011	2276.8	5305.7	184.5	366.5
2012	2143.5	5344.5	185.3	360.3
2013	2064.2	5388.0	183.5	353.8
2014	1877.0	5207.2	174.3	354.8

Source: Statistical Yearbook of China Civil Affairs, 2015, China Statistics Press, pp. 149.

Table 4: Indicator System of PE on Fiscal Expenditure

Level 1	Point	Level 2	Point	Level 3	Point
Decision	15	Performance Objective	5	Content of Objective	5
		Decision Making Process	10	Foundation	5
				Procedure	5
Management	30	Funds	15	Budget Management	5
				Money Locating	4
				Financial Management	6
				Organizing Authority	4

		Implementation	15	Institutional Construction	5
				Process Control	6
Performance	55	Output	30	Quantity	10
				Quality	10
				Being in Time	5
				Cost	5
		Effect	25	Economic	5
				Social	10
				Sustainability	5
				Satisfaction	5

Source: Beijing Municipal Bureau of Finance, Detailed Regulation on Conducting Fiscal Expenditure Performance Evaluation, <http://zhengwu.beijing.gov.cn/gzdt/gggs/t1336748.htm>

Table 5: Suzhou Indicators and Scoring Standard of PE on SA

Level 1	Level 2	Quantitative / qualitative requirements	points	standard
Comprehensive Guarantee (40 points)	Leading Authority	Government sets up joint meeting as an institution and agency for the meeting.	4	District without joint meeting will not get any point.
	Governmental Responsibility	Implementation of SA policies is listed in government PE.	4	District that does not put it into evaluation will not get any point.
	staff	There is one-stop service window that integrates all the authorities, at least one staff specific to SA, more than one staff responsible to check. Mechanism of identifying people in hurried difficulty and quick reaction mechanism are established.	6	1 point will be reduced from district for being without one-stop service, 1 for being without specific staff for SA, 1 for without the mechanisms.
	business training	Positively participating in training organized by higher level authority, and organizing training for staffs in the district	4	3 points will be reduced for without internal training
	budget	There is fiscal budget for SA work	4	2 points will be reduced for without specific budget

	Information data	Registering and Updating Information on Dibao, Recipient whose condition is near that of Dibao, Family with more Disabled Persons, Old Parent of Disabled Person, Serious Disabled Person, Temporary Assistance	4	0.1 point will be reduced if monthly registration is insufficient; 0.1 will be reduced for monthly update is not conducted. All the activities in five programs are considered independently.
	reporting	Submitting materials and reports in time.	4	When the submission is one day later than expected, 0.1 point is reduced; when report doesn't meet the regulation, 0.1 point is reduced.
	archive	Processing materials in different periods, classifying them into materials of approval, management and putting them into archive; Every archive for recipients is complete; Preservation of archives is safe; materials that are not preserved in archive agency should be preserved in specific archive case.	6	0.2 point will be reduced for not processing in time; 0.5 point will be reduced for not put in safety; 0.2 point will be reduced for not being regularized and updated; for any material lacked, 0.2 point will be reduced.
	Responding to complaint	Processing complaints from the ministries, provincial authorities, municipal authorities or other authorities in time	4	0.1 point will be reduced for each complaint not responded in time; 0.1 point will be reduced for each complaint from other authorities that is not responded in time
Implementation of SA (50 points)	Benefit standard	Adjusting benefit standard in time	5	1 point will be reduced for each delayed month
	Benefit level	Precisely calculating benefit for different program and policies; Not lowering benefit level.	5	0.1 point will be reduced for each incorrect calculation; 0.5 point will be reduced for each case of lowering benefit level.
	application	Township (or street) is in charge of processing Dibao application; village (community) is agent of processing Dibao application.	5	0.1 point will be reduced in case that village (community) rejects to process application; 0.2 point will be reduced in case that township (street) rejects to process application.

Investigation	No approval without investigation into recipient's home; 100% new recipients are investigated at home by township (street) agency; When the recipient is Local official's relative, he or she must be registered and his or her archive must be separated. Investigations into recipients' home and conducted by civil affairs authority at county level arrive 30% of the cases. In case that the recipient is relative of local officials and the application is doubtful, criticized or its problems are reported by other people, investigation must be 100% conducted into recipient's home.	7	0.5 point will be reduced for each case without investigation at recipient's home. 0.1 point will be reduced for 1% reduced of investigation into recipient's home that should be conducted by township (street). In case local staff's relatives are not registered, 1 point will be reduced. For every 1% reduced of investigations into recipients home within a county, 0.1 point will be reduced.
Democratic evaluation	Democratic Evaluation Institution is set up for Dibao, Assistance to Non Dibao Recipient who is in Adversity due to Serious Disease; the democratic evaluation is in line with related regulation.	5	0.1 point will be reduced in case that the number of evaluation giver, or construction of the participants, or time of the evaluation, or materials, or signature is not in line with related regulation. Approval of application without democratic evaluation will result in reducing 0.5 point.
Publication of recipient	The institution that there should be 3 times to publicize the information of assistance recipient. Bulletin of this function is set in all the villages (communities). Publication Sheet is provided by county civil affairs authority, and there is the tel number for complaint.	7	0.1 point will be reduced for each lacked publication. 0.1 point will be reduced for each lacked bulletin. 0.1 will be reduced for each case that the form or content of publication sheet is not in line with regulation.
Identification of recipient	Dibao recipient is correctly identified. No case of wrong approval. No recipient is leaked. No recipient receives more benefit. All the people should be given assistance are well protected.	6	0.5 point will be reduced for each case of incorrect identification, leaking of recipient, and overlapping of benefit.
Dynamic management	Dynamic management is in time and exact. Stopping all the benefits that should be stopped. Renewing all the recipients that should be covered. Check should conduct every year.	5	0.1 point will be reduced for each problematic case in dynamic management. 2 points will be reduced for not conducting yearly check.

	check	Check system covers all the authorities. Authorization letter are all registered in the system. New applicants are all checked by the system.	5	0.5 point will be reduced for each authority not covered. 0.1 point will be reduced for each authorization letter lost. 0.1 point will be reduced for each new application without check.
Fund use (10 points)	Management of fund	Money for each SA program should be specifically managed and put in specific archive. The money given by authority at higher level, expended by authority at the same level, delivered for benefit and that is surplus should be clearly classified.	5	When there is money for one program is not managed specifically, all the points are reduced. 0.5 will be reduced when the items are not clearly classified.
	Delivery of Benefit	Benefit for Temporary Assistance must be delivered in 5 days after approval. Benefits for Dibao must be delivered on 10 <sup>th</sup> of every month through social approach (bank). In case of delivery per quarter, the day should be 10 <sup>th</sup> of the first month.	5	0.1 point will be reduced for each delayed temporary assistance benefit. 0.5 will be reduced for each delivery not being through bank. 0.2 point will be reduced for each delayed Dibao benefit.
one ballot veto	In any of the following cases, confirmed by the municipal bureau, the subject will be listed as “unqualified” - There is a serious problem of money due to error in management; Serious problems or violation against laws and regulations are found by audit authority, especially those socially influential; Recipient falls into abnormal situation or even accident due to delayed assistance or wrong management; People in difficulty collectively complain to higher-level authority.			

Source: *Measure on SAPE*, Suzhou

<http://www.mzj.suzhou.gov.cn/szmz/infodetail/?infoid=fe6182c8-a192-4695-9cc2-f65cddaa4b5b&siteid=1>

Table 6: Indicators and Standards for PE on Dibao in All the Provinces (Autonomy Regions and State Municipalities), 2015

Indicator	Evaluation content	Score	Standard
Guarantee for SA Work (40 points)	Organizational guarantee	5	3 points are given to a provincial government listing the implementation of SA policy into PE (both on provincial CPC committee and provincial government). Otherwise no points given. 1 point will be given for 100% of townships (street) having a one-stop service and 1 for all the steps in the procedure clearly defined. Otherwise 1 point will be respectively reduced.
	Fund guarantee	8	When the provincial fiscal authority prepares sufficient money for SA according to the number of recipients and level of benefit, 8 points will be given. Otherwise the points are 0.

Administrative Capacity	9	When there is a provincial quantitative definition of the work of SA staffs, 3 points will be given. When there is only general regulation, 1 point will be given. Otherwise points are 0. When the provincial fiscal authority prepares money for local SA work, 3 points will be given. Otherwise points are 0. When provincial authority organizes training of SA staff, 3 points are given. Otherwise 0.
Informatization Construction	10	When the province adopts the national Dibao information system or establishes its own system, 2 points are given. Otherwise points are 0. When the data are submitted on time, 2 points will be given. Otherwise the points will be reduced. When the submitted Dibao data is in line with regulations, 2 points will be given. Otherwise the points will be reduced. The monthly submitted data is of good quality and can pass checks, 2 points will be given. Otherwise each time since the second check, 0.2 point will be deducted if it is not passed. Hardware like database server, Dibao system server, disc array and system export network broadband and network environment are in line with regulation, 2 points will be given. Otherwise 0.5 point will be deducted for each ineligible case. Least points is always 0.
Checking Mechanism	8	When the 100% of the regions in the same province have issued policy as the foundation on which civil affairs authority can search for information in related authorities, 3 points will be given. Otherwise the points will be reduced. When 100% of the regions in the same province have set up an information checking platform, 3 points will be given. Otherwise the points will be reduced. When 100% of the regions in the same province have set up checking agency, 2 points will be given. Otherwise the points are reduced.
Standard Setting	10	When the difference between the provincial ratio of average Dibao benefit to the annual consumer expenditure per capita of the previous year and the national average ratio of these two factors is less than 5%, 10 points will be given. Otherwise the points will be reduced.
Recipient Management	10	2 points will be given when there is a provincial regulation on methods of mean-testing Dibao family. Otherwise the point is 0. 2 points will be given when there is provincial regulation on identifying family assets. Otherwise the point is 0. 1 point will be given when there is provincial periodical report on members, income and assets of Dibao family, as an institution. Otherwise the point is 0. 2 points will be given when employable Dibao recipient is provided with employment assistance according to policies set in relative documents. Otherwise the point is 0. When information on members, incomes and benefits of 100% of the Dibao families is frequently publicized, 3 points will be given. Otherwise, the points will be reduced accordingly.
Benefit Delivery	10	6 points will be given when provincial fiscal authority pays subsidy on time according to related regulations. Otherwise points are 0. When the annual cumulative balance of prepared Dibao money is lower than that of the previous year, 4 points will be given. Otherwise points reduced accordingly.

	supervision and inspection	10	5 points will be given when there is a specific supervision program for SA and the report is timely produced. Otherwise the point is 0. 5 points will be given when there isn't any violation of laws and regulations discovered and publicized by the Central Disciplinary Committee. Otherwise 1 point will be reduced for each case, until the score becomes 0.
Working effect (20 points)	accuracy of recipient recognition	6	3 points are given when there is a sampling investigation on a certain proportion of all the Dibao families in the province for understanding the exactness of recipient. 3 points will be given for a sampling investigation on a certain proportion of all the non-Dibao families which are eligible for Dibao benefit. When there is one family that should be a Dibao recipient but is not covered by the benefit, 1 point is deducted until all points are deducted.
	accuracy of subsidy	6	3 points will be given when there is sampling investigation on a certain proportion of Dibao families, and their Dibao archives, Dibao certificates and bank cards for receiving benefit are checked for understanding the exactness of classified assistance. When check is conducted for understanding the exactness of benefit delivery time, 3 points is given.
	Rate of Policy awareness	4	4 points will be given according to a conducted sampling investigation on the public's awareness of the Dibao policy.
	Rate of Social satisfaction	4	4 points will be given according to a conducted sampling investigation on satisfaction of the public (2 points) and the Dibao recipients (2 points).
Working innovation (5 points)	Innovation experience	5	5 points will be given when there is/are innovation/s that leaders above ministerial level prefer and require to promote, or is publicized by journals of CPC Central Office or Council State Office. The points will not be calculated twice for one innovation.

Source: Joint Notice of MoCA Office and MoF Office on Delivering the *Indicators and Standard for PE on Dibao in All the Provinces (Autonomy Regions and State Municipalities)*, 2015

<http://www.mca.gov.cn/article/yw/shjz/fgwj/201605/20160500000366.shtml>

Table 7: Indicators and Standard of Dibao PE in Sichuan Province, 2015

Indicator	Content	score	standard	scoring
Work foundation (25 points)	institution	3	Political document on Dibao institution is issued.	3 points will be given when there is local policy document on SA. Otherwise the scoring is 0.
	organization al guarantee	2	There is coordinated mechanism of SA work	2 points will be given when there is a coordinated mechanism and at least one meeting on SA work. 1 point will be given when there is only the mechanism. Otherwise the scoring will be 0.
		2	PE is conducted on implementation of policy.	2 points will be given when the implementation of SA policy is put in PE

				of a local CPC committee or government. Otherwise the scoring is 0.
	guarantee of money	8	Money for Dibao is sufficiently supplied.	8 points will be given when there is sufficient budget prepared according to the number of recipients and standard of benefits. Otherwise the scoring will be 0.
	capacity	3	There is concrete regulation on Dibao work staff.	3 points will be given when there is quantitative regulation on Dibao staff. Otherwise the scoring will be 0.
		2	There is specific money for Dibao work.	2 points will be given when there is money arranged for Dibao work. Otherwise the scoring will be 0.
		2	There is training for Dibao staff.	2 points will be given when there is at least training at municipal or county level. Otherwise the scoring will be 0.
		3	Dibao information management system is adopted.	3 points will be given when all the data are inputted and applied. Otherwise the scoring will be 0.
Work management (40 points)	benefit standard	4	There is standard of benefit.	4 points will be given when the local benefit standard is not lower than the provincial minimum standard. Otherwise the scoring is 0.
	check and approving	2	Township (street) conducts investigation into recipient's homes.	3 points will be given when investigations are 100% conducted at recipient's home. 0.5 point will be reduced for each decrease of 3%, until the score becomes 0.
		2	Democratic Evaluation Meeting is organized.	2 points will be given when there is a meeting of democratic evaluation. Otherwise the scoring is 0.
		2	County civil affairs authority conducts investigation in sampled recipients' home.	When the sampling rate is not lower than 30%, 2 points will be given. 0.5 point will be reduced for each decrease of 3%, until the score becomes 0.
		2	Check and Approval is publicized.	When the information on recipients is published twice in the village (community), 2 points will be given. Otherwise the score is 0.
		2	The application is processed in time.	When a Dibao application is processed by the regulated deadline, 2 points will be given. Otherwise the score is 0.
	recipient management	3	Mean-test mechanism is established.	When application and check of Dibao recipient is conducted on digital platform 3 points will be given. Otherwise 0.



		2	Periodically reporting information on members, income and assets of Dibao family.	2 points will be given when there is periodical reporting. Otherwise the score will be 0.
		2	Classified check is conducted according to income source, employ-ability of Dibao family.	2 points will be given when there is classified check. Otherwise the score will be 0.
		2	The ratio of annual cumulative entry and exit cases to average monthly number of Dibao recipient	When the difference between the local ratio and the provincial average ratio is within 5%, 2 points will be given. When the difference is larger than 5%, 0.5 point will be reduced for each increase or decrease of 2%.
		2	Employable Dibao recipient is provided with employment assistance.	2 points will be given when there is policy made and implemented. Otherwise the score becomes 0.
Work management (40 points)	fund management	3	Dibao budget is well managed according to the steps in planned progress.	3 points will be given when the budget is managed in line with the planned steps.
		4	Annual cumulative balance of prepared Dibao fund is less than 10% of the total expenditure on Dibao benefit.	When the rate is lower than 10%, 4 points will be given. 0.5 point will be reduced for each decrease of 3%, until the score is 0.
		2	Dibao benefit is delivered to recipient through financial agency in time.	When all the benefits are delivered through the financial agency in name of “Dibao Benefit” before 10 <sup>th</sup> of every month, 2 points will be given. 0.5 point will be reduced for each irregular case, until the score is 0.
	archive management	2	Management of archive is in line with regulation.	When all kinds of Dibao materials are regularly processed into the archives and well managed, 2 points will be given. Otherwise the score is 0.
supervision	2	When a relative of a Dibao administrative staff		

			or an official of village (resident) committee applies for Dibao benefit, he or she must be registered and the staff or official must avoid being member of approving board.	2 points will be given when all the registrations or avoidance are conducted. Otherwise 0.5 point will be deducted for each case not in line with the regulation, until the score is 0.
		1	Specific check is conducted on implementation of Dibao policy.	1 point will be given when there is a specific annual check. Otherwise the score is 0.
		1	The approach to complaint is well functioning.	3 points will be given when there is a phone number for complaints. Otherwise the score is 0. 0.5 point will be deducted for each complaint call not answered until the score is 0.
Effect (35 points)	exactness of recipient	8	98% of the recipients are eligible.	8 points will be given when the sampling rate is 98%. 1 point will be deducted for each decrease of 1%, until the score is 0.
	exactness of subsidy	8	95% of the benefits are eligible.	8 points will be given when the sampling rate is 95%. 1 point will be deducted for each decrease of 3 points, until the score is 0.
	awareness of the policy	2	Publicity for Dibao policy is organized.	2 points will be given where there is at least one publicity campaign at county level. Otherwise there are no points.
		3	100% of Dibao staff is aware of Dibao policy.	3 points will be given 100% of the staff are sampled. 0.5 point will be deducted for each decrease of 3%, until the score is 0.
		2	80% of the public are aware of Dibao policy.	2 points will be given when 80% of the public is sampled. 0.5 point will be deducted for each decrease of 3%, until the score becomes 0.
Effect (35 points)	social influence	3	80% of the public are satisfactory to the implementation of Dibao policy.	3 points will be given when the sampling rate is 80%. 0.5 point will be deducted for each decrease of 3%, until the score is 0.
		3	80% of the recipients are satisfactory to the	3 points will be given when the sampling rate is 80%. 0.5 point will be deducted for each decrease of 3%, until the score is 0.

			Dibao implementation.	
		4	Violation case is publicized or reported by media, or the public, or supervisory and audit authority.	4 points will be given when there are no violations. 2 points will be deducted for each case discovered, until the score is 0.
		4	Conducting publicity for Dibao through media	1 point will be given when there is 1 case publicized positively by the media. 2 points will be given if there are two cases publicized positively by the media.
	innovation		there is innovative measure and method	3 points will be given if the innovation is praised by the provincial authority.

Source: Measure of PE on Dibao Work in Sichuan Province,  
<http://www.quxian.gov.cn/govopen/show.cdc?id=46634>

Table 8: Indicator System and Standard of MESA in Ziyang, Sichuan Province

Indicator system	Evaluation content	key points of evaluation	Score	Standard
Work foundation (12 points)	Organizational guarantee	A coordinated mechanism is established	2	2 points = A coordinated mechanism on SA is established and there are related documents; 1 point = mechanism without documents; 0 point = only document but no real mechanism
		plan	1	1 point = SA is included in local social development plan; Otherwise 0 point.
		evaluation	2	2 points = Specific documents issued and periodical evaluation conducted; otherwise 0 point.
	Fund guarantee	There is related institution	2	2 points = institution for budgeting, management and delivery of SA fund is established, related documents are issued and the regulations are strictly implemented; otherwise 0 point.
		Prepared budget	2	SA work fund is prepared at county (city or district) level = 2 points; otherwise = 0 point.
	Administrative capacity	one-stop coordinated mechanism	1	There is an application processing service in every township or street, and it is one-stop service = 2 points; otherwise = 0 point.
Means-testing		2	There is an agency, staff, funds and method = 2 points; -0.5 point for each item missing; no real operation = -1 point.	
Work Management (8 points)	Recipient management	Information	2	Information on recipient is complete and frequently updated = 2 points; otherwise = 0 point.
		archive system	2	Archives are regularly managed and complete = 2 points; otherwise = 0 point.

	supervision and inspection	Open approach for complaint	2	There is a phone number and approach for complaint = 1 point; otherwise = 0 point.
		check institution	2	All the complaints are well processed=1 point; otherwise = 0 point.
Work Effect (10 points)	Accurate assistance	All the recipients are eligible	3	There is sampling of a certain proportion of recipients; 98% recipients are eligible = 3 points; -0.5 point for each decrease of 1% until the score is 0.
	Publicity of policy	Good publicity of policy	2	The SA policy is publicized in time, using multi-media = 2 points; 0 point = publicizing policy without updating
		High Awareness of Policy	2	≥80% of investigated people are aware of SA policy = 2 points; -0.1 points for each decrease of 1% until the score is 0.
	Letter-writing Complaint	Processing Letter-writing Complaint	3	Complaints through letter-writing are well processed = 3 points; otherwise = 0 point.
Dibao (10 points)	Dynamic management of Benefit Delivery	Dynamic Management	2	Re-check is in time = 2 points; otherwise = 0 point.
		Democratic Evaluation	2	No democratic evaluation meeting = 0 points; -1 points = irregular democratic evaluation meeting; - 0.1 points = each recipient without democratic evaluation, until the score is 0.
		Publicity	3	There is written publicity and the content is complete and correct as regulated = 3 points; otherwise = 0 point.
		Delivery through Social Force (bank)	1	100% of the benefits are delivered through social force (bank), the procedure is complete = 1 point; 0 point = the rate is less than 100% or the procedure is incomplete
		Special Registration	2	There is a registration mechanism for recipient who is a relative of administrative staff and the mechanism is implemented = 2 points; - 1 point = mechanism without implementation
Assistance to special vulnerable group (10 points)	approving	Approving in time	2	Regular approval with a complete procedure = 2 points; regular approval without a complete procedure = 1 point; no regular approval when there is already an application = 0 point.
	Service	Benefit	1	The benefit standard is fully implemented = 1 point; otherwise = 0 point.
		connection	1	Special Vulnerable recipient is connected to certain staff of the village committee = 1 point; otherwise = 0 point.
		agency	5	Responsible staff are not in line with a certain ratio = - 2 points; disorderly management and

				no corresponding regulation = - 1 point; -1 point = each “dirty” nursing home
	retreat	processing	1	Ineligible recipient is excluded from the benefit system or recipient leaves through the right procedure = 1 point; otherwise = -0.5 point for each case; violation against regulation = 0 point
Assistance to Disaster Victims (7 points)	Before disaster	Reporting in time	2	Reporting within 2 hours after the disaster has occurred= 2 points; otherwise = 0 point.
		Resettlement	1	Good resettlement after the disaster = 1 points; otherwise = 0 point.
	In the disaster	Basic living	2	Victims living after 12 hours are well protected in terms of food, clothing, housing, medicine and all the procedures are complete=2 points; otherwise = 0 point.
	After the disaster	Evaluation	1	Check within 5 days of the disaster; evaluation finished within 15 days of the disaster = 1 point; otherwise = 0 point.
		Restoration	1	Restoration in time = 1 point; otherwise = 0 point.
Medical Assistance (8 points)	institution	Complete	2	0 point = no document for institution; special recipient is not subsidized to participate in urban and rural medical insurance = -2 points.
	procedure	regularized	2	Irregular procedure = -1 point; -0.1 point = each recipient without investigation; eligibility rate is less than 95% = 0 point.
	proportion	Proportion of recipient	2	Regular assistance to special recipient doesn't arrive 70% as regulated = -2 points
	Delivery	regularized	2	2 points = regularized delivery; otherwise = 0 point.
Education Assistance (7 points)	leadership	Coordinating agency	2	There is leading group or working group for subsidies to students, which is organized by the county education authority = 2 points; otherwise = 0 point.
	Subsidy providing agency	Specific staff	2	Specific staff responsible for subsidies for students = 2 points; otherwise = 0 point.
	policy	implementation	3	Subsidy process is strictly regularized according to municipal regulations and no complaints are received = 3 points; otherwise = 0 point.
Housing Assistance (7points)	Low-rent housing	Regular processing	1	Low-rent housing application is regularly processed and consultancy is provided to applicant family = 1 point; otherwise = 0 point.

		check	1	Check is in line with regulation and in time = 1 point; publicity; registration and certificate of eligible families = 1 point; otherwise=0 point.
		Supply in time	1.5	Subsidies and houses are supplied in time according to the applied category of the house, order of application and housing source and housing selection = 1.5 point; otherwise = 0 point.
	remodeling of rural dilapidated house	Regular processing	1	The applications are regularly processed; there is specific service for consultancy = 1 point; otherwise = 0 point.
		Strict inspection	1	Regular check on the situation of house and low income = 1 point; irregular check = -0.1 for each case, until the score is 0.
		Regular publicity	0.5	Regular publicity and written materials at right place as regulated = 0.5 point; - 0.2 point = without publicity; -0.1 = each case without publicity of check result, until the score is 0.
	Completing task	0.5	Annual task assigned by the municipal authority is complete = 0.5 point; 0.1 point = each incomplete case, until the point is 0.	
	Other tasks	0.5	0.5 point = other tasks, assigned by housing authority, are completed; otherwise = 0 point.	
Employment Assistance (7 points)	Processing	Processing in time	2	2 points = processing in time; otherwise = 0 point.
	Approving	Check and Approving	2	Checking and approving in time = 2 points; otherwise = 0 point.
	Delivering Assistance	Delivering in time	3	Employment benefit or assistance is delivered on time = 3 points; if late = 0 point.
Temporary Assistance (8 points)	Processing	Processing in time	3	Emergency is proactively discovered and the processing is on time = 3 points; time is late = - 1 point; when there is accident due to misconduct = 0 point.
	coordination	Coordinated processing	2	Timely and effective coordination = 2 points; otherwise the point is 0.
	delivery	Regular delivery	3	Delivery on time according to the approved result = 2 points; delivery is not on time = -1 point; the benefit delivered is not in line with regulation = 0 point.
Social force (7 points)	incentive	incentive	2	Social forces are encouraged by related governmental documents to participate in SA and there is real activity = 2 points; otherwise points are 0.

		Employment association	1	1 point = work opportunity; otherwise the point is 0.
	Participation	Participation rate	2	There is social force participating in SA in each township and street =2 points; otherwise = - 1 point.
		Diverse assistance	1	1 point = richness of assistance content; diverse forms of assistance; otherwise = -0.5 point
	effect	Evident effect	1	Recipient really benefits from participation of social force = 1 point

Source: Notice on Experimental Measure on SAPE, <http://smzj.ziyang.gov.cn/details.aspx?id=2309>

Table 9: Indicator and Standard of PE on SA in Shanghai

indicator system	Evaluation content	key points of evaluation	score	Grading rules
Work Foundation (12 points)	Organization	Coordinated mechanism	2	2 points = Coordinated mechanism on SA is set up, and there is a related document; 1 point = mechanism without document; 0 point = document without real mechanism
		Putting in development plan	2	2 points = SA is planned as a part of local economic and social development; otherwise = 0 point.
		Establishing evaluation system	2	2 points = SA is included in performance evaluation and there is a related document on the issue; otherwise = 0 point.
	fund	Institution of budgeting, management and delivery of SA fund	2	Institution of budgeting, management and delivery of SA fund, and there is related document on the issues = 2 points; otherwise = 0 point.
		work budget	2	County has prepared specific fund for SA work and the money is delivered on time = 2 points; otherwise = 0 point.
	staff	Sufficient number of staff	1	Ratio of SA staff to Shanghai residents is 1:10,000; each of the staff has defined position = 1 point; otherwise = 0 point.
		Periodical training	1	Training is planned and organized = 1 point; training is planned but not organized = - 0.5 point; no training plan = 0 point.
Work management (8 points)	Management of SA beneficiary	Complete information about recipients	2	Information about recipients is complete and timely updated = 2 points; otherwise = 0 point.
		Archive system is built up	2	Management of archive is regular and preservation of archives is good = 1 point; otherwise = 0 point. Searching archives is easy = 1 point; otherwise = 0 point.

	supervision and inspection	approach to complain	2	There is a telephone number and an approach for people to complain and report problems = 1 point; otherwise = 0 point.
		Check system	2	Complaints are processed with good results = 1 point; otherwise = 0 point. Check system is established and there is regular check on SA = 2 points.
effect (10 points)	Accurate assistance	full coverage of recipient	3	Sampling investigation is conducted to a certain rate of recipients; 98% of the investigated are eligible to be covered = 3 points; -0.5 point = each decrease of 1%, until 0.
	Transparent policy	Good publicity	2	SA policies are publicized through multimedia or in written form = 2 points; publicity without updating = 0 points.
		High awareness	2	Sampling investigation is conducted in form of questionnaire or call to know how is the public's or recipients' awareness of the SA policies; when 80% or more of the investigated are aware of the policies = 2 points; -0.1 point = each decrease of 1%, until the point is 0.
	Letter-writing complaint	Good processing	3	Complaints in form of letter-writing are well processed = 3 points; otherwise = 0 point.
Dibao (7points)	Dynamic management and regular delivery	Dynamic management	2	Check is regularly conducted = 2 points; otherwise = 0 point.
		Publicity of approving	1	Publicity is in written form and at right place as regulated = 1 point; otherwise = 0 point.
		Delivery	1	98% of the benefits are delivered through social force (bank) and the procedure including signing and confirming is complete = 1 point; when the rate is lower than 98% or the procedure for benefit in cash or in material is not complete = 0 point.
		Re-treatment	1	Re-treatment of recipient is conducted according to related policies = 1 point; otherwise = 0 point.
		Assistance of grain and oil	1	The benefit cards or bonds for grain and oil are timely delivered = 1 point; when there is error in delivery = 0 point
		Filing system	1	Special registration of recipients who are close relatives of SA staffs is conducted regularly = 2 points; otherwise = -1 point.
Assistance to Special Vulnerable Group (7points)	Approving	Approving in time	2	Approval is conducted in time through complete procedures = 2 points; without complete procedure = 1 point; approving is not on time = 0 point.
	Assistance and Service	Assistance is delivered	2	Providing assistance to all the eligible recipients in time; transferring all the dependant recipients to nursing institution = 2 points; otherwise = 0 point.
		Special connection	1	Beneficiaries receiving benefit at home are connected with certain nursing institutions or certain staff = 2 points; no connection between beneficiaries and nursing institution or staff = 0 point
		Good service	1	Nursing institution is in line with the municipal standard and provides good care = 1 point; service is not good = - 0.5 point

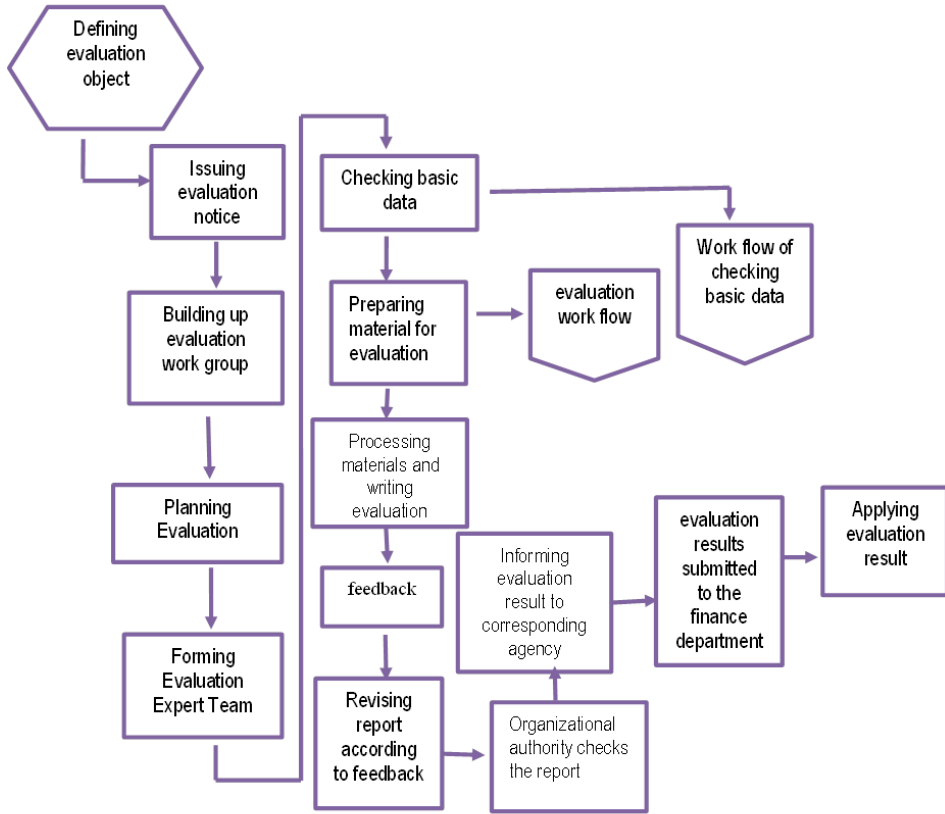


	Re-treatment	In line with regulation	1	Ineligible recipient must be excluded from the system; To recipient who applies for re-treatment, the procedure is complete = 1 point; -0.5 point = undue retreatment or without complete procedure; 0 point = in case of violating laws and regulations
Assistance to Poverty Due to Medical Expenditure (7 points)	processing	Processing in time	2	Applications are processed in time; there is a mechanism for proactively identifying potential recipient = 2 points; otherwise = 0 point.
	approving	Approving after check	2	Initial check, second check and approval are conducted in time = 2 points; postponement = -1 point.
	delivery	In line with regulation	2	Benefits are delivered through social force (bank) = 2 points; otherwise = 0 point.
	Re-check	Re-check in time	1	Re-check in time = 1 point; postponement or no re-check = 0 point.
Assistance to Disaster Victim (7points)	Before disaster	Reporting in time	2	Reporting within 2 hours after the occurrence of disaster = 2 points; over 2 hours = 0 point.
		Delivery assistance in time	1	Victims receive good assistance in time = 1 point; otherwise = 0 point.
	During Disaster	Basic living	2	Assistance such as food, clothing, housing and medicine are delivered to victims within 12 hours of the disaster, the procedures are complete and the supply is orderly = 2 points; otherwise = 0 point.
	After disaster	Check and evaluation	1	Reporting within 5 days of the disaster and finishing the evaluation within 15 days = 1 point; no reporting or evaluation = 0 point.
		restoration	1	Restoration in time according to the situation of damage = 1 point; otherwise = 0 point.
Medical Assistance (7points)	Processing	Processing in time	2	The processing contains only 2 phases and the materials are complete = 2 points; more than 2 phases = -1 point.
	check	Diverse forms	2	Check is conducted and in different formats according to the reality = 2 points; only one way of checking = -1 point; 95% of the recipients are eligible = 0 point.
	approving	Approving in time	2	approval is conducted on time = 2 points; over time = 0 point.
	delivery	Regular delivery	1	procedure for delivery is regular; 98% cases are conducted through social force (bank) = 1 point; otherwise = 0 point.
Education Assistance (7points)	leadership	Coordinator	2	Educational authority at district or county level has organized a leading group and a working group in charge of student subsidies = 2 points; otherwise = 0 point.
	agency	Specific staff	2	There is specific staff in charge of student subsidies = 2 points; otherwise = 0 point.
	Policy implementation	Regular implementation	3	Subsidies are granted strictly according to related municipal regulations; there isn't any complaint or the complaint are not valid = 3 points; in case of complaint is valid = 0 point.
Housing Assistance	Low-rent House	processing	1	Application of low-rent house is regularly processed; applicant families are provided with policy consultancy = 1 point; otherwise = 0 point.

(7points)		checking	1	Checks and publicity are conducted on time according to regulated procedure; eligible applicant families are given certificates = 1 point; otherwise = 0 point.
		providing	1.5	Subsidy for rent or low-rent house is provided on time according to applicant family's features; category of rent; resource of house; activity for selecting house = 1.5 points; otherwise = 0 point.
	Remodeling of rural dilapidated house	Processing	1	Applications for remodeling dilapidated house in rural area are regular processed; there is specific service of policy consultancy = 1 point; otherwise = 0 point.
		check	1	Check on the situation of house and income of applicant family is conducted as regulated = 1 point; otherwise -0.1point = each case, until the point is 0.
		publicity	0.5	Policy and result of check are timely publicized and there is written material; the publicity is at right place as regulated = 0.5 point; no publicity of policy = - 0.2 point; no publicity of result = - 0.1 point for each case, until points are 0.
		tasks	0.5	Remodeling tasks assigned by the municipal authority are completed = 0.5 point; -0.1 point = each incomplete case, until 0.
		Other tasks	0.5	Other tasks assigned by the housing authority are complete = 0.5 point; otherwise = 0 point.
Employment Assistance (7points)	processing	Processing in time	2	Applications are processed on time = 2 points; otherwise = 0 point.
	approving	Checking and approving	2	Checks and approval are conducted on time = 2 points; otherwise = 0 point.
	Delivery	Assistance in Time	3	Benefit or assistant activity are delivered on time = 3 points; over time = 0 point.
Temporary Assistance (7points)	Processing	Processing in time	3	Emergency is solved or proactively processed in time = 3 points; late = -1 point; accident resulting from faults in work = 0 point.
	coordination	Coordinating	2	Coordination with related authorities is conducted well = 2 points; otherwise = 0 point.
	Delivery	Delivery in line with regulation		Benefits are delivered on time immediately according to approval = 2 points; late = -1 point; benefits are not in line with regulations = 0 point.
Social force (7points)	incentive	Policy	2	There are policy documents in which the participation of social forces in social assistance is encouraged = 2 points; otherwise = 0 point.
		Employment	1	Recipients are provided with work opportunity or introduction; there is successful employment = 1 point; otherwise = 0 point.
	participation	participation	2	Social forces in each township and street have participated in SA = 2 points; otherwise = -1 point.
		Diverse ways	1	Ways of SA are multiple and the forms are diverse = 1 point; otherwise = -0.5 point.
	effect	Effective	1	Social force has really helped recipient = 1 point.

Source: Shanghai Experimental Measure on SAPE, <http://www.shmzj.gov.cn/gb/shmzj/node8/node194/u1ai40981.html>

Figure 1: The work flow for the PE



### 3.1.4 Monitoring of Social Assistance: Best Practice in EU Countries

*EU best practice report*

*Mel Cousins, EU-China SPRP expert*

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## INTRODUCTION

This report forms part of topic 3.1.4 on *Monitoring and Evaluation of Social Assistance Schemes*. Based on the national assessment report (by Professor Gang) we can identify a number of key factors in China:

- 1) There is a need further to improve the monitoring of Dibao;
- 2) In doing so, there is a key role for MoCA in guiding and supporting local agencies.

It appears from Professor Gang's report that the current approach to monitoring and evaluation in China is mainly qualitative (rather than quantitative) and focusses on process issues related to the overall implementation of policy.

The structure of this report is as follows:

Section 1 defines a number of key concepts concerning monitoring and evaluation such as effectiveness and efficiency.

Section 2 examines a number of key issues including who monitors, what to monitor and how to monitor.

Section 3 considers the extent to which monitoring and evaluation of minimum income (MI) policies is carried out at an EU level. However, as MI is mainly a national policy responsibility, the main monitoring and evaluation efforts are at a national level.

Section 4 outlines a number of examples of how monitoring and evaluation is carried out in a number of EU Member States including France (FR), Ireland (IE), Netherlands (NL), Romania (RO) and the United Kingdom (UK).

Section 5 looks at a particular case study of how the Irish social security agency uses monitoring and evaluation to improve its work and how it is using its IT to improve its monitoring and control of benefits

Finally, section 6 summarizes key messages at this stage in the research.

## 1. KEY CONCEPTS IN MONITORING AND EVALUATION

This section discusses the definition of a number of key concepts relevant to monitoring and evaluation.

Monitoring and evaluation -

Monitoring can be defined as

A continuing function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.<sup>9</sup>

Evaluation can be defined as

The systematic and objective assessment of an on-going or completed project, programme or policy and its design, implementation and results. The aim is to determine the relevance and the fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors

However, although there differences between the two terms, both are often used together as ‘Monitoring and Evaluation’ or M&E. This can be seen as ‘a process that helps improve performance and achieve results’. The goal of M&E is to improve the current and future management of outputs, outcomes and impacts. It is mainly used to assess the performance of projects, institutions and programmes set up by governments.

Process, outputs and outcomes

It is also important to distinguish between process, outputs and outcomes.

*Process* is ‘the programmed, sequenced set of things actually done to carry out a program or project’.

*Output* is ‘the products, goods, and services which result from an intervention’. In the case of a social protection system, one of the key outputs are the decisions in relation to an entitlement to benefits’.

*Outcome* means ‘the short-term and medium-term effects of an intervention’s outputs.’

Value-for-money, effectiveness and efficiency

Two key concepts in M&E are ‘effectiveness’ and ‘efficiency’.

*Effectiveness* can be defined as

The extent to which the intervention’s objectives were achieved taking into account their relative importance.

*Efficiency* can be defined as

A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

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<sup>9</sup> Definitions are from the OECD, *Glossary of Key Terms in Evaluation and Results Based Management*, 2010. For the Chinese version see <http://www.oecd.org/dac/evaluation/18074294.pdf>

These can be combined to give an understanding of the concept of *value-for-money* (VFM). The OCED describes this as

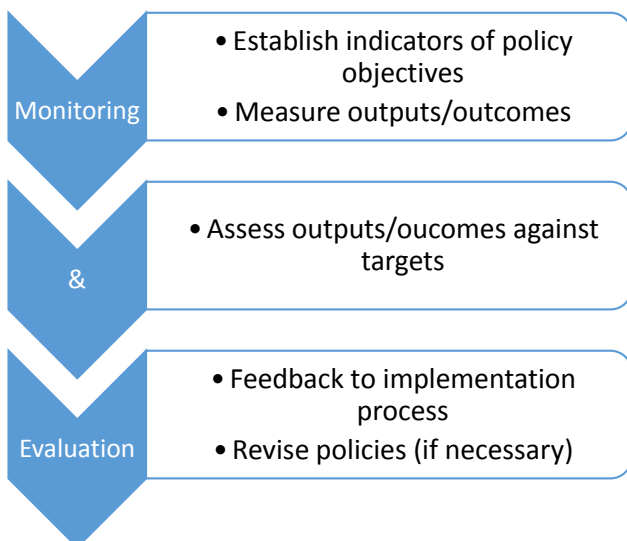
The optimum combination of whole-life cost and quality (or fitness for purpose) to meet the user’s requirement. It can be assessed using the criteria of economy, efficiency and effectiveness.

*Economy* is defined as ‘Absence of waste for a given output’.

Overview

Thus we (i) monitor and (ii) evaluate outputs and outcomes to assess them against agreed objectives (which will normally include value-for-money measures).

## 2. KEY ISSUES OF THE MONITORING PROCESS



This section discusses a number of key issues in a European context, in particular what to monitor, how to monitor and who monitors? It also looks at the European approach to developing indicators.

Who monitors?

In EU countries a number of different agencies may be involved in monitoring and evaluation. These include

*Social Security Agencies* - The agency responsible for the minimum income or social assistance scheme will normally be the lead on M&E whether at a national level (e.g. Department of Work and Pensions in UK) or at a local government level (e.g. the local authorities in SE). In practice, especially for the more complex research on impacts (outcomes), these agencies may often contract with those social research agencies which have the specific research skills. However, it is important that the objectives of the evaluation should be driven by the social security agency and not by the researchers.

*Ministry of Finance* – The agency responsible for funding (generally the Ministry for Finance or similar body) may also be involved in monitoring expenditures. For example, in Ireland the Ministry of Finance has established general guidelines for



Value-For-Money reviews of all expenditure programs including social protection schemes (see chapter 4).

*Independent Audit Body* (e.g. Board of Auditors) – In most (if not all) EU countries there is an independent audit body to monitor public expenditure. For example, in the UK, the National Audit Office scrutinises public spending for Parliament. In France, the Cour des Comptes carries out a similar function. These Boards are entirely separate from the agencies responsible for spending public money. In the past, these Boards tended to focus on financial issues, i.e. whether the monies authorised had been spent on the intended objects. However, as we will see in chapter 4, these Boards now have an increased emphasis on value for money (VFM) including the effectiveness and efficiency of expenditures.

*EU* – As discussed in chapter 3, the EU does, to a certain extent, monitor the implementation of national MI policies. The EU also commissions studies of minimum income from time to time. For example, the EU commissioned the Mutual Information System on Social Protection (MISSOC) network, which is funded by the EU, to carry out studies of Guaranteed Minimum Resources (2011) and Means Testing (2013). The EU also recently commissioned the European Social Policy Network (2016) to carry out a study of MI schemes in Europe. In addition, another EU agency, the European Foundation for Living and Working Conditions, has recently carried out a study of access to social benefits and non-take-up (Eurofound, 2015) which includes MI payments.

*International agencies*, such as the OECD (see, for example, OECD, 2010; 2016) and the World Bank,<sup>10</sup> also carry out studies – both comparative studies and studies of specific countries which can include evaluations about minimum income.

*Academic researchers* - As in China, academic researchers are also directly involved in research about minimum income schemes. This can perform a valuable function. However, this report focuses on monitoring and evaluation which is carried out by public agencies.

#### What to monitor?

The question of what we want to monitor and evaluate is of critical importance as it is essential to decide this in order to select the indicators that are to be monitored. In EU countries, M&E can focus on a range of different issues. These include:

- Policy outcomes, e.g. impact of MI on poverty
- Policy effectiveness, e.g. extent to which benefits go to those who should receive them (inclusion/exclusion errors)
- Policy efficiency
- Implementation of policy, e.g. policy outputs such as claim processing times, fraud and error rates.

We will see examples of specific outcomes and outputs which have been selected by countries in chapter 4. For example, in France, there has been a general evaluation of the MI payment including the impact on poverty and targeting issues. In the UK, there is ongoing monitoring

<sup>10</sup> See, for example, Tesliuc et al., 2014 and World Bank 2009; 2012; 2015a.

of policy outputs such as claim processing times, fraud and error rates. The latter issue is also monitored in Ireland.

How to monitor? (tools for monitoring)

The tools which are used for monitoring and evaluation are, in general, similar to those in use in China as outlined in Professor Gang's report. These include

- Analysis of administrative data
- Using general surveys such as household budget/income surveys (e.g. European Union Statistics on Income and Living Conditions (EU-SILC))<sup>11</sup>
- Linking administrative data to other surveys, e.g. household income studies
- Carrying out special surveys
- Public satisfaction survey/focus groups
- Complaints system

As we will see in chapter 4, all of these methods are used in monitoring and evaluating MI schemes in EU countries. For example, the UK Department of Work and Pensions uses all of these different methodologies either in evaluating the impact (outcomes) of policies or in monitoring its implementation by way of outputs (e.g. quality and timeliness of decisions).

In terms of analysing the impact on poverty, all EU countries carry out a comparable Survey of income and living conditions known as the EU-SILC. This is a cross-sectional and longitudinal sample survey, coordinated by Eurostat, based on data from the EU Member States. EU-SILC provides data on income, poverty, social exclusion and living conditions in the European Union. It stands for 'European Union Statistics on Income and Living Conditions'. This database is used to assess poverty levels in each Member State and also to assess the impact of social protection on poverty.

European approach to M&E

We have set out above some general definitions of monitoring and evaluation. Generally EU countries focus on outcome (e.g. impact on poverty) or output (e.g. timely payment) indicators. Of course social security agencies also carry out checks as to whether internal processes are implemented correctly but this would more normally be seen as part of their overall management rather than as a part of M&E. However, there is increasingly a trend towards a results-based approach to management which, as defined by OCED, involves a management strategy focusing on performance and the achievement of outputs, outcomes and impacts.

Comparison with the Chinese approach

The emphasis on outcomes and outputs is, to a certain extent, in contrast with China as described in Professor Gang's report. In China the focus of the 'Indicator Systems' appears to be mainly (but not only) on process, e.g. adopting an information system; establishing a co-ordination mechanism; issuing documents. Of course, China also includes issues concerning outputs and outcomes, such as the targeting of benefits.

Indeed, as the World Bank (2015b) identified in a recent study of social safety net (MI) payments in a range of developing countries including China, M&E is increasingly recognised as having a very important role to play. The study stated that

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<sup>11</sup> For example, a general household survey might identify respondents in receipt of a minimum income payment so that these respondents can be analysed separately.

Process indicators that can measure the soundness and efficiency of the operational procedures of programs are critical to achieving positive impacts. In safety net interventions, the most common operational procedures are program outreach and application, selection of beneficiaries (targeting), enrollment, payment delivery, periodic verification of eligibility, and monitoring and evaluation.

### 3. EU MONITORING

This section examines the role which the EU plays in monitoring the implementation of MI schemes by the Member States. Although the power of the EU in this area is limited, the EU can now issue country specific recommendations to Member States on an annual basis which can include issues concerning their MI payments.

#### Overview

The EU has limited power and responsibility in relation to social protection generally (including minimum income payments) and, in accordance with the EU Treaties, the main responsibility for social protection remains at the Member State level.

#### Open Method of Co-ordination

Given the limited competence in the area of social protection, the EU has introduced a non-binding system known as the Open Method of Co-ordination (OMC).<sup>12</sup> OMC is used by Member States to support the definition, implementation and evaluation of their social policies and to develop their mutual cooperation. It is based on common objectives (for pensions: adequacy, sustainability and modernisation) and indicators and forms part of the implementation of the process of coordination of social policies

This involves a sharing of experiences between Member States, the setting of guidelines, national reports, peer review, etc. The OMC involves ‘soft’ (legally non-binding) measures through which Member States’ policies in areas such as social protection are benchmarked and compared. For example, data on poverty levels and on the impact of national social protection schemes on poverty is collated and published on a regular basis.

#### Europe 2020 and Country specific recommendations

Europe 2020 is the EU's growth strategy for the coming decade. The EU has set five objectives - on employment, innovation, education, social inclusion and climate/energy - to be reached by 2020. Each Member State has adopted its own national targets in each of these areas. The implementation of this Strategy is monitored by the EU Commission which monitors the extent to which Member States are meeting targets on social inclusion and the extent to which their social protection systems contribute to meeting these targets.

The EU Commission issues annual ‘country specific recommendations’ (CSR) to each Member State as part of its monitoring of budgetary positions and the monitoring and coordination of economic policies.<sup>13</sup> These can include issues concerning social protection, including social assistance/minimum income schemes. For example in 2016, the CSR to Bulgaria concluded that

The general minimum income scheme provides very limited levels of support and outreach to the population. The allowance level is below the poverty line and has not been increased in line with the average and minimum wage developments of recent years.

<sup>12</sup> <http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=URISERV:em0011>

<sup>13</sup> For the most recent recommendations see [http://ec.europa.eu/europe2020/making-it-happen/country-specific-recommendations/index\\_en.htm](http://ec.europa.eu/europe2020/making-it-happen/country-specific-recommendations/index_en.htm)

Estimates on coverage indicate that a large part of the intended beneficiaries do not receive a benefit. A better outreach to the target groups, while maintaining fiscal responsibility, would help to alleviate poverty.<sup>14</sup>

It recommended that BG should ‘reinforce and integrate social assistance’ and ‘increase the coverage and adequacy of the minimum income scheme’.

In the case of Spain, the recommendation identified that

Cooperation between employment and social services is uneven across the regions, hampering the provision of coordinated assistance for those further away from the labour market, in particular the minimum income beneficiaries. There are significant disparities across regions as regards income support schemes, for example in delivery arrangements, eligibility requirements, coverage and adequacy, while difficulties in transferring social benefits hamper inter-regional job mobility. In addition, information about the transition to employment from minimum income schemes is quite limited.

It recommended that Spain should ‘address gaps and disparities in minimum income schemes’.<sup>15</sup>

#### 4. COUNTRY EXAMPLES

This section outlines a number of specific examples of monitoring and evaluation methods in several EU Member States. This includes two countries which have centralised systems (Ireland and the UK) and three countries which have a more decentralised approach and where the local authorities are involved in the administration of the MI schemes (France, Netherlands and Romania).

The report focuses on examples which might be of particular interest as showing good practice and do not attempt to provide a full account of all forms of M&E in each country. For example, many countries use public satisfaction surveys to some extent and most countries have social inspectorates and internal audit units.<sup>16</sup>

##### 4.1 Ireland

In Ireland the Department (Ministry) of Social Protection (DSP) is responsible for both the planning and implementation of the Irish MI (supplementary welfare allowance) scheme. In addition to a basic payment for people whose income falls below a set level, the scheme also includes some other payments in particular housing support.

##### Data sharing and matching

MI is a means-tested payment and is just one of the means-tested schemes administered by DSP. The DSP IT system includes a Means Assessment Object (MAO). The MAO was specifically developed to address the needs of the Department’s means-tested schemes. The key objectives were to facilitate the capture and storage of means data, the calculation of

<sup>14</sup> Council Recommendation of 12 July 2016 on the 2016 National Reform Programme of Bulgaria and delivering a Council opinion on the 2016 Convergence Programme of Bulgaria. [http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.C\\_.2016.299.01.0032.01.ENG&toc=OJ:C:2016:299:TOC](http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.C_.2016.299.01.0032.01.ENG&toc=OJ:C:2016:299:TOC)

<sup>15</sup> Council Recommendation of 12 July 2016 on the 2016 National Reform Programme of Spain and delivering a Council opinion on the 2016 Stability Programme of Spain [http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.C\\_.2016.299.01.0007.01.ENG&toc=OJ:C:2016:299:TOC](http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.C_.2016.299.01.0007.01.ENG&toc=OJ:C:2016:299:TOC)

<sup>16</sup> An audit is an objective assurance activity (normally focussing on financial issues) designed to add value and improve an organization’s operations. Internal auditing provides an assessment of internal controls undertaken by a unit reporting to the organisation’s management. For the UK, see, for example, the description of the work of the Internal Audit unit in DWP, *Annual Reports and Accounts 2015-16*, p. 87.

customer means and the creation of customer communications for the Department's means assessable schemes. The MAO allows each DSP means assessable scheme to capture and store customer means data elements as part of a means assessment. It also stores and calculates the means assessment rules for each of these schemes. In summary, the MAO provides for:

- The central storage of means data;
- Sharing and inheritance of means data across all schemes;
- Improved management information;
- Consistent application of rules across all means assessments for every scheme; and
- Transaction auditing (e.g. quality control of decision making).

In assessing an entitlement to a benefit, DSP relies on data matching. Various state agencies and bodies provide information to the Department which is used to data match and cross-check at the initial claim stage and during reviews to determine on-going eligibility to an entitlement. Regular data matches occur with the Revenue Commissioners (tax authorities) on the commencement of employment and with the General Register's Office for birth, marriages and deaths information. Other examples of on-going co-operation include data-matching and the sharing of information with:

- The Irish Prison Service which provides prisoner data to the Department on a weekly basis;
- The Department of Education which provides student data;
- The Commission for Taxi Regulation which provide data on taxi/hackney licences;
- The Private Residential Tenancy Board which provides information on registered landlords which is matched against the Department's payments systems;
- The Probate Office which has records of wills and other property transfers after death;
- The Health Service Executive (HSE) which administers Ireland's medical and social care services.

The DSP finds that data matching is a very effective method of identifying high risk claims for review.

#### Fraud and error surveys

The Department of Social Protection carries out surveys on fraud and error in individual schemes. This requires that a representative sample of cases are selected randomly and reviewed. This is linked to the work of the Independent Board of Auditors (Comptroller and Auditor General) which reviews all the expenditure of the DSP and also carries out reviews of specific areas of concern such as fraud control. These reviews are published once completed and may be discussed by the Board of Auditors and by Parliamentary committees. The methodology of how this is done is discussed in more detail in chapter 5 which sets out a case study of a review of part of the MI scheme.

#### Value for money reviews

The DSP carries out periodic Value for Money (VFM) reviews including a review of the minimum income payment. These reviews are part of a government-wide initiative which is led by the Ministry for Finance. It sets out the approach which individual Departments should take and the issues which should be included in a VFM review. External experts can be involved in the carrying out of these reviews but the main work is carried out by Departmental

staff under the guidance of a Committee which also includes representatives of the Ministry of Finance. In particular, the VFM review is required to

- Look at the objectives of the scheme and whether these are still valid
- Examine the effectiveness and efficiency of payments
- Examine the scope for alternative policy and organisational approaches
- Specify suitable performance indicators which can be used to monitor and evaluate the scheme in the future.

Thus the VFM Review is intended to be a ‘root and branch’ review of a particular policy measure and to consider whether policy changes are required. These reviews are published and are widely available.

#### 4.2 United Kingdom (UK)

In the UK, the Department (Ministry) of Work and Pensions (DWP) is responsible for the implementation of the minimum income scheme (known as Income Support). Generally speaking, this is a national scheme and DWP is responsible for both central planning and local implementation.

##### Research program

The DWP has a detailed research program to analyse the impact of schemes and, in particular, to assess the impact of welfare reform.<sup>17</sup> Issues which have been covered in relation to the Income Support scheme include an evaluation of the impact which changes in the means-test would have on incentives to take up employment; barriers to graduating from the Income Support scheme; and an analysis of where people who leave the scheme go to (e.g. do they take up work, qualify for other benefits, etc.).

Research is mainly carried out by contracted social research agencies and can include a range of different methodologies including analysis of existing data, surveys, interviews and focus groups, statistical analysis, etc. The reviews are published on the Department’s website and are intended to provide a basis for evidence-based policy making so that the lessons from policy implementation can be used to inform the future development and implementation of policy.

##### Internal monitoring

In addition to its research program (*evaluation*), the DWP also sets and monitors targets for service delivery. These include<sup>18</sup>

- Level of fraud and error (no more than 1.6% of total welfare spending)<sup>19</sup>
- Customer and claimant satisfaction rate of DWP services (currently 84%) – this is conducted by a third-party research organisation and analysed by DWP
- Targets for claim processing – in the case of Income Support, the target is that claims should be processed within 10-14 working days.

<sup>17</sup> See <https://www.gov.uk/government/organisations/department-for-work-pensions/about/research>

<sup>18</sup> DWP, *Annual Reports and Accounts 2015-16*.

<sup>19</sup> This is an overall target and includes payments such as pensions where one would expect relatively low levels of fraud and error. One might expect that the level of fraud and error in a means tested minimum income scheme would be above average.

DWP uses its IT system to gather and analyse data wherever possible, e.g. in relation to claims processing times. However, public satisfaction surveys are also carried out to assess customer satisfaction.

The results of this monitoring and the extent to which DWP is meeting its targets are published on an annual basis (in the DWP's annual report) and may be subject to review by the Independent Board of Audit (National Audit Office) and/or by a parliamentary committee. The report discusses the extent to which targets are being met and outlines any challenges or lessons from the process.

#### Complaints, online complaints and an Independent Case Examiner

Like many other social security agencies, the DWP operates a complaints system. The DWP has a well-established complaints process and publishes details of how to complain online and in leaflets. In 2015, DWP piloted online complaints and launched a digital complaints portal. DWP is now using Google Analytics to provide data and to understand customer preferences to make it easier to use the portal. The DWP publishes data on the number of complaints it receives annually and keeps track of the trend. It has found that the number of complaints reduced as its claim processing times improved. This provides an example of how the complaint system can also form a valuable input into the M&E process.

In addition, the DWP has also established a 'second tier' complaints system by appointing an Independent Case Examiner (ICE). The Independent Case Examiner (ICE) service has been available to customers of DWP since 2007. It is the independent complaints tier once complainants have exhausted any internal complaints processes. The ICE is appointed for a three year term by the DWP but operates independently of the Department. DWP customers can ask the Independent Case Examiner to investigate their complaint if they are unhappy with the DWP response to their initial complaint. The ICE can uphold or reject the complaint. However, the ICE can also broker an agreement between the relevant parties.

The Independent Case Examiner is responsible for:

- investigating complaints made by users of government agencies that deal with benefits and financial support
- raising systemic issues and recommendations with the agencies and businesses<sup>20</sup>
- providing feedback to the government agencies based on its handling of complaints
- publishing annual reports which provide statistical and case-specific information.

#### 4.3 France

There are four levels of administration in France: National, Regional, *Département* (county), and communal. Most social protection schemes are administered at the national level. In recent decades, there have been a number of moves towards decentralisation in France and this has had some impact on social protection.

In particular, the main French minimum income payment (revenu de solidarité active (RSA)) is the responsibility of a *Département*. The *Département* is also responsible for payments to

<sup>20</sup> For example, ICE requested that the UK agency make changes to its computer system concerning overpayments of the minimum income system following an investigation which showed that the system was providing incorrect notifications to persons about amounts owed. The agency updated the system to address this issue. See ICE, Annual Report 2013-14 at [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/269283/ice-annual-report-aug-2013.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/269283/ice-annual-report-aug-2013.pdf)



people with disabilities, as well as for social assistance to children and older people. Including all types of social aid, in 2013 *Départments* provided some form of support to about 3.5 million people. However, the responsibility for the legislation remains at the national level and the national level sets the amount of the minimum social payments and the conditions of entitlement.

#### The Role of the Board of Auditors

The French Board of Auditors (Cour des Comptes) monitors the implementation of the minimum income scheme – not just the financial expenditures but also the effectiveness and efficiency of spending. The Cour des Comptes is the supreme body in charge of auditing the use of public funds in France. It has a number of functions including

- monitoring the accounts of public bodies and those of the social security authorities by verifying the accuracy of their income and expenditure
- auditing the management, and proper use, of public funds ensuring the compliance, economy, efficiency and effectiveness of this management
- evaluating public policy.

For example, in 2015 the Board carried out a review of all minimum income payments including the *revenu de solidarité active* (RSA) and set out a series of recommendations for the relevant Ministry. The Board highlighted a number of concerns:

- The fact that the MI schemes did not allow a person to move out of poverty
- The growing expenditure on the schemes
- The lack of coherence between the different schemes
- Complex management which should be simplified and made more economic
- The need for simplification and greater coherence between MI schemes.

The review, and the government's response, is publically available on the Board's website. The approach of the Board shows a trend which can also be seen in other countries. In the past, these Boards concentrated only on financial issues (was the money allocated spent on the objects for which it was intended) but they are now increasingly focussing on whether the expenditure is effective and efficient.

#### A national evaluation committee

France first established a national minimum income scheme in the 1990s. This was reformed 20 years later with the establishment of the *revenu de solidarité active*. This was a major reform and as part of the 2009 Law which introduced the RSA, the French Parliament established a National Evaluation Committee (Comité national d'évaluation) to monitor the impact of a major reform. The Committee included representatives of the government, local government, social security agencies, claimants and experts. It commissioned and published research studies on the impact of the new law and in 2011 the Committee published a lengthy final report which discussed how the new law had been implemented in its initial years. This included issues such as the cost of the new scheme; the take-up of the benefit;<sup>21</sup> the impact of the RSA on poverty; its impact on the labour market; and the governance of the RSA.

The Evaluation Committee set out the conclusions based on its studies and highlighted a number of areas of concern including the level of non-take up of the benefit and delays which

<sup>21</sup> I.e. the extent to which people eligible for various types of benefits actually receive them.



had arisen as a result of the devolution of the payment to local government (although this varied from area to area). It also highlighted the need for an ongoing evaluation of the MI payment and the extent to which it was achieving its objectives.

This is an interesting example of how the Law can specifically provide for a system of evaluation of a major change in a country's MI system and which mandated the involvement of claimants and external experts.

#### 4.4 Netherlands

In the Netherlands, as a result of a recent reform (Work and Social Assistance Act 2004 was replaced by a new law), responsibility for the implementation of the Dutch MI scheme has been largely devolved to the local municipalities and the emphasis has been put on encouraging people to take up employment rather than to rely on long-term receipt of MI. The MI is now established under the Participation Act (Participatiewet) which replaced the Work and Social Assistance Act (WWB) in 2015 and integrated several acts into one system.

Social security in the Netherlands is governed by the Ministry of Social Affairs and Employment (SZW). The national authorities are responsible for the general benefit levels in the MI scheme. They are also responsible for the system, which implies that SZW will monitor the implementation of MI by the municipalities. There are 390 municipalities in the Netherlands. Amsterdam has the highest population with 810,909 residents but many municipalities are very small.

##### Periodic evaluation

Although SZW does not monitor the impact of the MI on an annual basis, it did carry out a periodic evaluation of the impact of the scheme in 2007 which was published (but is only available in Dutch). This evaluation, which was carried out on behalf of the Ministry, described in detail the implementation of the Act and used a variety of methodologies to assess the impact of the reform on expenditure and the effect of decentralisation. In general, the evaluation found that the reform had had positive effects in these areas. For example, it found that the number of claimants had fallen by an estimated 4% as a result of the reform. However, it did not focus on the poverty impact or take-up. The SZW Inspectorate has recently published an evaluation of the role of municipalities under the Participation Act in getting young people into work (also only in Dutch).<sup>22</sup>

##### Using financial incentives to encourage efficiency

The Netherlands is one of the few examples of an EU country which uses financial incentives to encourage local administrations to be more efficient in their implementation of MI. The Dutch MI is nationally financed from the general revenues of the central government. Dutch municipalities receive two different budget allocations: the income budget for benefits and the work budget for reintegration activities.

Since benefit eligibility is centrally regulated, municipalities can only affect their financial position by reducing the number of people who require MI (e.g. by providing better employment services), or by stricter enforcement of eligibility requirements, or both. This financing system is intended to give the municipalities a strong incentive for labour market integration of social assistance recipients.

The distribution of resources to the municipalities is based on the results of a statistical analysis which calculates the likely need for assistance based on local data as to the relevant variables for this purpose. For example, the probability of claiming assistance varies by household type,

<sup>22</sup> <http://www.inspectieszw.nl/actueel/nieuwsberichten/op-weg-naar-extra-banen.aspx>

ethnicity and disability. Thus, for example, single parent families, ethnic minorities, but also people with a labour disability have a higher than average chance of needing assistance. The factors taken into account in calculating the allocation to a municipality include the following data for that municipality (both at household level and area level):<sup>23</sup>

Household Characteristics (e.g. single parent; presence of a person aged 15-24 years; presence of a person aged 55 years-old on age pension; living in social housing; having a non-western background; education levels; person with a disability)

Area characteristics (e.g. property values; level of unemployment in the municipality; population growth in the municipality; labour market opportunities)

The model is (mostly) based on the Labour Force Survey (LFS) of Statistics Netherlands. There are transitional arrangements for the first three years, whereby the national budget available is partially divided based on the allocation model (above) and partly on the basis of expenditure in the past. The allocations made to each municipality are published on the Ministry's website.

Municipalities can gain if they succeed in spending less than the allocation but have to use their own funds if their expenditure is greater. If the municipality's benefit expenditure is higher than the target amount, the municipality has to cover the additional costs. If their social assistance payments are less, they may use these funds for other municipal purposes. Municipalities that have budget deficits under the Participation Act should in principle absorb these deficits from their own resources. However, under certain conditions, municipalities in deficit are eligible for a supplementary budget from the Ministry.

This approach attempts to use financial incentives to encourage municipalities to implement national policy rather than using traditional monitoring tools. As noted above, there is some evidence that the recent reforms have improved the efficiency of policy implementation and that the number of MI claimants has reduced as a result of the introduction of the law. However, there has also been some criticism that the reliance on incentives has led to an absence of any national monitoring of outcomes such as the impact of the MI on poverty or the extent of coverage (and non-take up) of benefits (Blommesteijn et al., 2015).

#### 4.5 Romania

Romania's social assistance system includes 12 programs. These programs fall into 4 categories: family policy programs; programs for people with disabilities; other programs (notably the social pension); and means-tested programs for low-income households (similar to Dibao).

The National Agency for Social Payments and Inspection (Agenția Națională pentru Plăți și Inspecție Socială) (ANPIS) is an agency under the Ministry of Labor, Family, and Social Protection. It is responsible monitoring social assistance measures in the area of both social benefits and social services; administering and managing the payment system of social assistance benefits and some programs of social services; monitoring the observance of the legal provisions related to establishing, granting, and promoting citizens' social rights by the public administration authorities, as well as other natural persons and legal entities; carrying out social investigations and formulating proposals for improving the activity, organization, and procedure for social assistance benefits' granting and social services' provision; and establishing the legal responsibility for any violation of the legal provisions in the area of social assistance and applying appropriate sanctions.

<sup>23</sup> <https://www.rijksoverheid.nl/onderwerpen/participatiewet/inhoud/participatiewet-informatie-voor-gemeenten>

The Strategy for the Social Assistance System's reform (2011-16) aims at strengthening performance management; improving equity in the distribution of social assistance benefits (the largest share of the social assistance budget is for the poor); improving administrative efficiency by reducing the administrative costs and those related to beneficiaries of means-testing based programs (program consolidation, simplification); and reducing the number of errors and the level of fraud in the social assistance system through the better use of IT including risk assessment, data matching, data quality audits and consolidated beneficiary registries.

#### Using IT to support M&E

Romania, with the support of the World Bank, has introduced a new IT system (SAFIR) to assist in the implementation of its social protection schemes (including the MI scheme). The SAFIR system covers 12 programs managed by the Ministry of Labor, Family, and Social Protection (MMFPSPV) and some forms of support are provided by the local authorities. The system makes payments of €1.2 billion per annum and processes about 5 million monthly payments. It is used by about 1,000 internal users with 500 simultaneous connections.

SAFIR was developed over the period from 2007, initially in selected pilot areas, and has been nationwide since 2009. SAFIR includes two business systems: an operational system which manages information on beneficiaries and payment; and a decision system – which provides reports and analysis. It also provides support for the decision-making system at central and county level; collects information from other public agencies; and identifies suspicious cases by data matching (see below).

In terms of M&E, it provides on a monthly basis, reports of expenditure, the number of beneficiaries and amounts paid for each category and benefit. There is the potential to include a module for M&E and decision making but they are not operationalised to date

#### Data matching

Since 2013, the ANPIS has obtained access to the personal employment, income, property, births and deaths databases. The Romanian authorities have been matching data concerning beneficiaries covered by SAFIR with information from other institutions such as the

- The National Pensions Agency - Casei Nationale de Pensii Publice din Romania (CNPP)
- National Tax Agency - Agenției Naționale de Administrare Fiscală (ANAF)
- National Employment Agency (Agenția Națională pentru Ocuparea Forței de Muncă)
- Directorate for Persons' Records and Database Administration (DPAPD).

The authorities implement quarterly bulk cross-checking of the databases. Where a mismatch of data is identified, this case will be prioritised for inspection and correction. As part of these activities, ANPIS has established a statistical /risk analysis and profiling team.

In 2013, as a result of data matching, over 6,000 claims were investigated and irregularities were identified in 20% of the cases. This led to overpayments of about €400,000. This exercise has a very good cost-benefit ratio. ANPIS planned to develop risk profiles per benefit and to implement risk-based inspections in 2016.

#### Social Inspection

The Social Inspection Department conducts regular inspections to prevent error, fraud and corruption, based on IT data sharing. Social inspectors carry out thematic inspection campaigns based on an annual report in order to monitor compliance with the rules for granting social

assistance. These involve inspections of all beneficiary files in the selected area with in-depth investigations (home/employer’s visit, with physicians and police) for suspect files and follow-up mission 2-3 months later to check on whether the recommended corrections / sanctions have been implemented.

Investigations focus on high-value, high risk programs such as the MI scheme. Social inspections are also carried out where reports are received concerning non-compliance including fraud. The Ministry has a sanctions policy which includes repayment of benefits where claimants have been overpaid and disciplinary sanctions where staff members have deliberately contributed to non-compliant payments.

The Ministry plans to develop SAFIR further by building a new and dedicated business module for Social Inspections covering inspections; recording results; analytics, etc.

Summary

Thus, as we can see in this chapter, EU countries use a variety of different approaches to monitor and evaluate their MI schemes, both in terms of the outcomes (e.g. poverty reduction) and the outputs (e.g. quality of decisions). The different approaches are set out in table 1.

Table 1: Types of M&E used by different countries

	France	Ireland	Netherlands	Romania	UK
<b>General surveys on impact on poverty</b>	X	X		X	X
<b>Special surveys on implementing MI</b>	X		X		
<b>Performance standards for claims processing, etc.</b>		X			X
<b>Public satisfaction surveys</b>		X			X
<b>Fraud and error surveys</b>		X			X
<b>Use of IT data to assist M&amp;E</b>		X		X	X
<b>Financial incentives</b>			X		

5. CASE STUDY

5.1 Fraud & error surveys

As mentioned in chapter 4, the Irish Department of Social Protection carries out surveys on fraud and error in individual schemes and these are linked to the work of Independent Board of Auditors (Comptroller and Auditor General). The Irish minimum income payment is being reviewed in 2016 (no results yet). However, the housing payment known as ‘rent supplement’ (which forms part of minimum income) was recently reviewed (DSP, 2014).

The purpose of the housing payment is to provide short-term income support to assist with reasonable accommodation costs of people living in private rented accommodation who are unable to provide for their accommodation costs from their own resources.

Criteria for the survey

In discussion with the Board of Auditors, a number of criteria for the survey were agreed:

- All cases for inclusion in the survey must be selected randomly from the total cases in payment
- The sample size must be sufficiently large (1,000) to yield reliable estimates;
- The reviews should be carried out promptly;
- Cases should be tested fully for all possible breaches of regulations;
- The monetary values of any changes as a result of the review should be captured so that the results can be extrapolated to draw conclusions about the estimated value of the loss; and
- The results of the survey should be capable of being audited.

The results

Of the 1,000 cases, 160 cases had changes arising from fraud and/or error. ‘Fraud’ or suspected fraud mainly arises where it appears that the customer knowingly gives false or misleading information or wilfully conceals relevant information. ‘Error’ cases are primarily due to inadvertent customer, third party or departmental mistakes. The survey found

- Net Cost of Fraud and Error: 5.0% of expenditure equivalent to 14.9% of claims
- Fraud figure: 2.9% of expenditure equivalent to 3.5% of claims
- Error figure: 2.1% of expenditure equivalent to 11.4% of claims

Risk categories

Statistical analysis revealed that the variables with the strongest influence on the likelihood of a case being non-compliant were location and the payment method. Cases in the capital (Dublin) were much more likely to be non-compliant. There were two basic payment methods with benefits being made - either to the claimant (tenant) or to the landlord. It was found that payments to the tenant were more likely to be non-compliant. This type of analysis can help to focus future control activities and to reduce fraud and error

Actions

The DSP discussed the results of the survey internally and agreed on a number of actions to improve the processes. These included:

- Using targeted data-matches with agencies such as Revenue, Private Residential Tenancies Board, Irish Prison Service, etc.
- Departmental error was recorded in 7% of the cases reviewed. While the average change value of these cases was low (€4), addressing departmental error in the calculation of rent supplement was identified as a priority.
- Refresher training was conducted and guidance for staff on specific issues published
- Efforts were made to ensure that customers were aware of the conditions and their obligation to report any change in circumstances to avoid customer error and overpayments (e.g. forms);
- The Best Practice Manual was reviewed to reflect the survey and current review practices

Comment

This example shows how surveys can be used to monitor the quality of outputs (i.e. decisions) by social security agencies. It also shows that the monitoring of outputs can help to identify issues concerning *processes* and how it can lead to measures to improve the processes (e.g. training and guidance) which will then lead to improved outputs.

### 5.2 Advanced Analytics

The first example involved a survey of decisions to establish the extent to which decisions were correct. The second example builds on this approach to develop a predictive model (using the IT system) to identify fraud and error cases for existing claims (referred to as non-compliant claims).

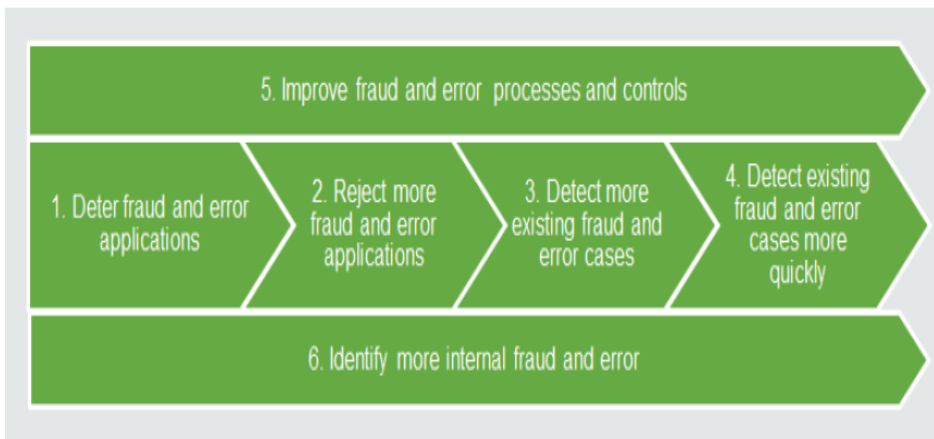
#### Predictive model for noncompliance

The DWP carried out a pilot project and contracted an international consultancy company (Accenture) to assist in the process. It first identified existing non-compliant cases and developed a computed model which identified those claimants most likely to be associated with non-compliance. Thus it looked at the factors (such as age, gender, location, family type, etc.) which were most likely to be associated with non-compliance and developed an algorithm which could rank people from those statistically most likely to be associated with non-compliance to those least likely. The DSP then applied this to the existing database of claims and identified the top 1,000 cases which were statistically most likely to be associated with non-compliance.

#### Outcome

The model identified 1,000 cases, which were investigated to decide whether or not they were non-compliant. The outcomes were then benchmarked against the DSP’s existing investigations. The study found there had been an increase in identification of non-compliance from a baseline figure of 4.5% to 6.3%. This might not seem very large but it should be recalled that it involved a 40% increase in identification, i.e. 6.3% is 40% more than 4.5%. The claims were also identified earlier in the process.

In principle this approach can contribute to reducing fraud and error in a number of different ways:



In the case of this study the focus was only on areas 3 (detecting existing cases) and 4 (detecting them more quickly) but over time the approach could also be used to identify noncompliant

claims at the claims stage (2) and to deter non-compliant claims (1) in addition to improving processes (5) and identifying internal fraud (6).

#### Costs and benefits

In comparison with the DSP's existing approach, the predictive model was estimated to save an additional EURO 50 million over 3 years (at a project cost of EURO 16,000). DSP are now developing this approach further to implement it across a range of schemes and to integrate it into its ongoing work.

#### Requirements

While the maths behind this approach are complicated, it is not necessary to have a very sophisticated database to utilise aspects of this approach. It is necessary that the database should contain as much data as possible on the key factors which are likely to be related to non-compliance (such as age, gender, location, family type, etc.). It is also necessary that the information has been inputted comprehensively (in all cases) and correctly. Otherwise it will not be possible to utilise this type of approach.

## 6. CONCLUSION

The key messages from this discussion of best practices in EU countries are as follows:

First, there is a need to consider what we want to monitor, are we focussing on outcomes, outputs or are we looking at the processes by which policies are implemented. As we have seen, while in the past EU countries also focussed on process, there has increasingly been a shift towards a results-based approach which emphasises outputs and outcomes. Of course, we have seen in the Irish case study, this type of M&E will identify areas where improvements in the processes are required to achieve the desired outcomes.

Second, there should be clarity as to the roles of the institutions, i.e. who does what. While several bodies may be involved in monitoring and evaluation (e.g. social security agency, funders, external Boards of Auditors), it is important to have a co-ordinated approach and, insofar as possible, to monitor and evaluate against the same indicators.

Third, it is important that the M&E process should be open and transparent so that the public (and those whose work is being evaluated) can be confident that the process is fair. The methodology and results of M&E should be published so that the public can see whether social security agencies are achieving their targets. In general, the results of the evaluations are published in the best practices described in this report and, for example, the UK DWP publishes an annual assessment of the extent to which it has met its targets for claims processing, fraud and error, claimants' satisfaction, etc.

Fourth, claimants should be involved in monitoring and evaluation insofar as possible as they also have an important perspective. A good example of this was seen in the French case where claimants were involved in the National Evaluation Committee for the MI scheme.

Fifth, there should be clear understanding as to the impact of monitoring and evaluation. In many cases, evaluations may show the need to revise or reinforce the overall policy and it is important that there be some process whereby issues identified in evaluations should feed back into the policy process. Where the M&E process highlights weaknesses in particular organisations, there should also be a clear process to ensure that these weaknesses are addressed, e.g. by strengthening processes, improving capacity, etc. In general, most EU



countries do not impose financial penalties on poor performing agencies in the area of MI payments as this is likely to impact negatively on the claimants.<sup>24</sup>

Finally, we have highlighted the key role of IT in facilitating ongoing monitoring and evaluation. For example, the Irish case study shows the potential that IT can bring to monitoring and in controlling fraud and error. Of course, the importance of IT is a general theme in the administration of social protection schemes in many developed and developing countries. Given China's leading technology in many areas (such as online payments) and given that the Chinese social protection system is the largest in the world (in terms of the numbers of people covered), there is no reason why China could not also become a leader in the use of IT in social protection.

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<sup>24</sup> Some EU countries do impose penalties or provide cash incentives in the areas of health and social service providers but in these cases, service users would normally have the choice to use the more effective and efficient services. For example, a poor performing hospital might be penalised by having its budget reduced and/or a high performing hospital be provided with additional budgets. In such cases, patients would simply switch to the better hospital. This does not generally apply in the administration of MI.



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**ANNEX: EU Member State Names and country codes**

Name in English	Official name in English	Country code
<b>Belgium</b>	Kingdom of Belgium	BE
<b>Bulgaria</b>	Republic of Bulgaria	BG
<b>Czech Republic</b>	Czech Republic	CZ
<b>Denmark</b>	Kingdom of Denmark	DK
<b>Germany</b>	Federal Republic of Germany	DE
<b>Estonia</b>	Republic of Estonia	EE
<b>Ireland</b>	Ireland	IE
<b>Greece</b>	Hellenic Republic	EL
<b>Spain</b>	Kingdom of Spain	ES
<b>France</b>	French Republic	FR
<b>Croatia</b>	Republic of Croatia	HR
<b>Italy</b>	Italian Republic	IT
<b>Cyprus</b>	Republic of Cyprus	CY
<b>Latvia</b>	Republic of Latvia	LV
<b>Lithuania</b>	Republic of Lithuania	LT
<b>Luxembourg</b>	Grand Duchy of Luxembourg	LU
<b>Hungary</b>	Hungary	HU
<b>Malta</b>	Republic of Malta	MT
<b>Netherlands</b>	Kingdom of the Netherlands	NL
<b>Austria</b>	Republic of Austria	AT
<b>Poland</b>	Republic of Poland	PL
<b>Portugal</b>	Portuguese Republic	PT
<b>Romania</b>	Romania	RO
<b>Slovenia</b>	Republic of Slovenia	SI
<b>Slovakia</b>	Slovak Republic	SK
<b>Finland</b>	Republic of Finland	FI
<b>Sweden</b>	Kingdom of Sweden	SE
<b>United Kingdom</b>	United Kingdom of Great Britain and Northern Ireland	UK

### **3.1.4 Policy Suggestions for the Monitoring and Evaluation of Social Assistance in China**

*Policy recommendation report*

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P.R.China*

## 1. Context

Since the establishment of China's new social assistance system, the political importance of the social assistance system has been increasing, the social assistance system has significantly expanded and it has been improving gradually. However, the development of the social assistance system is not balanced and the social conditions and developmental foundations are very different. Therefore there is a need to strengthen the monitoring and evaluation of social assistance in order to push for the fair and sustainable development of China's social assistance system. With the development of the social assistance system, especially the advancement of social assistance under the rule of law, the monitoring and evaluation of China's social assistance has become an important part of China's social assistance policy. The monitoring and evaluation of the social assistance acts as a policy instrument and the guarantee mechanism for the regulated operation of the social assistance system and the realization of the current goals for China's social assistance system. Therefore, the monitoring and evaluation of social assistance is not only a requirement for the fair-and-sustainable development of social assistance system itself, it is also a requirement for the realization of the sound operations of the social assistance system, the goals of social assistance and the delivery of social assistance policy. Furthermore, there is a need to realize the goals for the regulated and legalized development of the social assistance system.

As the implementation and guarantee mechanisms of social assistance policy, the monitoring and evaluation of China's social assistance system needs to adapt to the transition of the system and put in place the innovative development of the monitoring and evaluation of social assistance. Since the urban Dibao system was introduced in the mid-1990s, social assistance has expanded remarkably. The social assistance system has been improved a lot, social assistance programmes have increased, and the social assistance system has become an important social safety net for achieving social equity and justice and providing a guarantee to the livelihoods of the population.

In the process of the transformational development of social assistance in China, the current system is in a transition from single assistance system to a comprehensive assistance system, from a non-institutionalized assistance to assistance legalized by the law, from a survival type of social assistance to a developmental type of social assistance, from urban-rural segmentalized assistance to an urban-rural coordinated development of social assistance. The social assistance system is now on the track towards joint governance by the governments at different levels, social organizations and individual citizens. It has the characteristics of being a diversified operational mode of social assistance, which has multiple forms of social assistance. In particular China's social assistance system has made progress in the informatization and specialization of social assistance and highlights the diversified governance structure of the social assistance pattern. This plays an important role in realizing the goal of social assistance policy and the functions of poverty alleviation.

However, the development of the Chinese social assistance in contemporary China is not balanced. For example, there are big difference in the Dibao standard and the institutional arrangements of the social assistance system. The operations of the social assistance system

are diverse across China. In some areas of rural China the social assistance system is not adequately regulated and there are some problems that need to be solved in terms of policy delivery and policy implementation. Although China's social assistance system has made great advances, there are still some restrictions and realistic problems which affect its the sustainable and fair development. Among others, under the current social assistance system, the low mobility of the social assistance system reduces the system's efficiency. For example, after the establishment of the Dibao system as the core of the social assistance system, it expanded significantly, the number of social assistance recipients grew rapidly. This is often seen as major progress in respect of social assistance work and one of the most important indicators and achievements of the social assistance system. The expansion of social assistance recipients is a major achievement in the development of social assistance, however, the policy instruments for promoting the employment of the Dibao recipients are insufficient and the corresponding policies and measures to promote the mobility of the social assistance system should be improved further. The social assistance system should realize the collaborative development of the labor market policy and the social assistance policy to reach the goal of the orderly inflow and outflow of social assistance recipients.

Therefore, the monitoring and evaluation of social assistance should aim at resolving the possible problems in the operation of the social assistance system and the implementation of social assistance policy. It should enhance the warning monitoring and management of the social risks concerning civil affairs. The strengthening of the monitoring and evaluation of social assistance, to realize the goals of social assistance policy, is of great importance and will contribute to the sound operation of the social assistance system.

In recent years, under the joint promotion from the central government and local governments, the monitoring and evaluation of China's social assistance has made big strides. It has established a diversified and multi-level system of monitoring and evaluation of social assistance, which includes the system's independent academic evaluation by Chinese scholars, evaluations by the civil affairs administration and fiscal expenditure performance evaluation by third parties. The monitoring and evaluation of social assistance is developing both in terms of theory and method as well practical application of the policy.

Nowadays, the monitoring and evaluation of social assistance has become a common interest for academics and governments at central and local levels, especially the method of delivery of social assistance policy from central government to the local governments promotes the development of the monitoring and evaluation of social assistance. For example, the experts and scholars from Guangzhou Academy of Social Sciences published the Guangzhou Social Security Development Report and conducted an academic evaluation of the social assistance policy. They proposed some future development prospects in the special reports in the blue-cover book for Guangzhou social assistance. However, due to the complexity of the social assistance system and the differences of social assistance in the policy environment, and particularly the fact that the history of the monitoring and evaluation of social assistance in China is not long and the institutional arrangements of the social assistance system are not very mature, the monitoring and evaluation of social assistance still faces some problems and challenges in practice. There is a need for to policy innovation and policy improvement.

## 2. The Main Problems

### 2.1 Monitoring and Evaluation of Social Assistance in China is Uneven

Due to the differences in the development of the social assistance system and the realistic conditions for the implementation of social assistance in the different regions, the monitoring and evaluation of social assistance are very different. For example, in some areas, the monitoring and evaluation of social assistance has been carried out in a comprehensive way and the contents of the monitoring and evaluation of social assistance include the monitoring and evaluation of the Dibao system, education assistance, housing assistance, victims assistance, employment assistance, temporary assistance and social forces' involvement in social assistance. But in some areas, the monitoring and evaluation of social assistance is relatively lagging behind and the monitoring and evaluation of social assistance is just limited to the Dibao system and the monitoring and evaluation for other programmes of social assistance is not adequate.

### 2.2 Monitoring and Evaluation of Social Assistance is not Very Regulated nor Evidence-based

In practice, the monitoring and evaluation of social assistance is the issue of methodology. In the monitoring and evaluation of social assistance, methodology and procedure directly affect the results and are related to the assessment of the work of social assistance in certain areas. In the monitoring and evaluation of social assistance, the sampling size of the questionnaire survey, the sampling method, the statistical analysis, and the questionnaire design all directly affect the objectivity and scientificness of the questionnaire survey. Therefore, how to enhance the reliability of the survey is crucial for the implementation of the monitoring and evaluation of social assistance.

### 2.3 The Differences in the Concept of Social Assistance Influence the Implementation of the Monitoring And Evaluation of Social Assistance

Since the establishment of China's new social assistance system, accompanied by China's market-oriented reform, social assistance has undergone a profound transformation from a traditional social assistance system to a modern social assistance system. However, in the process of development of the transformation of social assistance, there are different understandings of the goals of social assistance and the concept of social assistance policy. In particular, there are different understandings of the relationship between social assistance and employment promotion as well as the standard of social assistance benefits. For example, it is a real issue when adjusting the Dibao standard according to local economic development levels as part of the goal of social assistance policy. When determining social assistance standards, some people believe that they should be linked to the per capita disposable income, whilst some argue that social assistance standards should be linked to the minimum wage and others think that social assistance standards should be linked to the CPI to protect the poor people living in poverty. All of the above mentioned differences on the understanding of social assistance influence the monitoring and evaluation of social assistance and directly influence the design

of the indicator system for monitoring and evaluation when it comes to the selection and application of the indicators for monitoring and evaluation.

## **2.4 The Application of Indicators for Monitoring and Evaluating Social Assistance**

In China today, “there are serious regional differences in China. The urban Dibao and the rural Dibao are in different stages of development. This will lead to the problem of the applicability of the performance evaluation indicators.” Looking from the characteristics of the stages of the development of the social assistance system in China, the development of social assistance system is not only different in its development but it is also different in its developmental environment and conditions. In addition, there are big difference between urban and rural areas, between different regions and between different provinces and between different cities in terms of the development of their social assistance systems. This poses great challenges to the monitoring and evaluation of social assistance and also puts high demands for the scientificness and reliability of the monitoring and evaluation of social assistance.

## **3. Policy suggestions**

### **3.1 Promote the Institutional Transition of Monitoring and Evaluating Social Assistance**

As an important part of China's social assistance policy monitoring and evaluation of social assistance is a new policy practice in contemporary China. However due to the differences and diversity of the environment for the implementation of social assistance policy, the monitoring and evaluation of social assistance still face some new situations and new problems. There is a need to focus on the overall transformation of the social assistance system to bring about adaptive changes and adjustments and to promote the development of the transformation of the monitoring and evaluation of social assistance. In other words, as the institutional arrangement that ensures the implementation of social assistance policy, the monitoring and evaluation of social assistance should adapt to the institutional transition of the Chinese social assistance program and develop it through innovative approaches.

#### **3.1.1 Further Expand the Scope for Monitoring and Evaluating Social assistance**

It is necessary to promote the move of the monitoring and evaluation of social assistance from the single evaluation of the Dibao system to a comprehensive evaluation of the whole social assistance program in which the Dibao system is just one component. Therefore the role of joint conference on social assistance should function efficiently. Based on the Interim Measures of Social Assistance, the joint conference on social assistance should coordinate the various governmental departments responsible for social assistance and solve the problems derived from the diversification and fragmentation between the authorities. The scope of monitoring and evaluation of social assistance should be extended and a unified, open, sharing and comprehensive system of monitoring and evaluation of social assistance should be established.

#### **3.1.2 Promote the Transition of Monitoring and Evaluating Social Assistance from Internal Evaluation to External Third-party Evaluation**

Since the monitoring and evaluation of social assistance should be scientific and objective, the work should not only be limited to MoCA institutions or as a function of internal evaluation. In order to put in place an objective evaluation of social assistance, social forces should be involved. An expert committee for the monitoring and evaluation of social assistance and a committee for the decision-consultation of social assistance should be duly set up. Governmental officials, experts and scholars, representatives of the People's Congress, members of the People's Political Consultative Conference and representatives of residents should all be invited in an appropriate manner or employed in the monitoring and evaluation of social assistance. They can provide monitoring and evaluation of social assistance with intelligent support and make the procedures more scientific, open and effective. All these can promote the institutional transition of monitoring and evaluation of social assistance.

It is important to improve the third-party assessment of social assistance. In order to achieve the scientificity and the effectiveness of the third-party evaluation of social assistance, it is important to strengthen the third-party assessment for performance management. The monitoring and evaluation of social assistance should include an ex-ante evaluation, a mid-term evaluation and an ex-post evaluation. Therefore further improving the external-evaluation is of great importance. Therefore it is necessary to introduce the ex-ante evaluation for the third-party evaluation including a rigorous scientific assessment and analysis concerning the methodology of the evaluation, the assessment methods, the processes, the goals and the results in order to ensure the scientificity and reliability of the conclusions of the third-party evaluation.

### **3.1.3 Promote Institutionalized Arrangements for Monitoring and Evaluating Social Assistance**

The monitoring and evaluation of social assistance in some areas is just temporary and the situation should be improved and changed further. The monitoring and evaluation of social assistance should adopt a strategic and forward-looking position, so that it can help social assistance to develop in a fair, orderly and sustainable path.

## **3.2 Further Improve the System for Monitoring and Evaluating Social Assistance**

### **3.2.1 Reinforce Top-level Design of Monitoring and Evaluating Social Assistance**

Top-level design is absolutely crucial for the construction of a system to monitor and evaluate social assistance. Therefore, the relationship between central government and local governments should be effectively coordinated. National guidance should be issued under which the monitoring and evaluation of social assistance can be conducted in an orderly and extensive manner. According to the current situation for the monitoring and evaluation of social assistance, the characteristics of the monitoring and evaluation of social assistance include a diversity of subjects that conduct the evaluations, the decentralization of the contents of evaluation and a fragmentation of policies and localization of the management of evaluation. In order for the monitoring and evaluation of social assistance to be more regularized and scientific, it is necessary to reinforce the unified leadership of the central government in directing and designing the policies on monitoring and evaluation of social assistance. The



central government should play the leading, directional and coordinative roles in the monitoring and evaluation of social assistance. In the 13th Five Year Plan and thereafter, there should be a large scale questionnaire survey on Dibao households and on the progress of social assistance across the country every two years. This would actually correspond to the trend of legalization and the need for targeted poverty alleviation. This sort of survey should be institutionalized so that the real needs of Dibao households, the main problems in social assistance and the progress of the policies can be clearly understood. Thus the social assistance system can function better as the last safety net of the society and the central government and local governments can also obtain sufficient data support and foundation for policy making.

### **3.2.2 Improve the Level of Informatization in Monitoring and Evaluating Social Assistance**

The institutionalization and normalization of the monitoring and evaluation of social assistance should be built up in the basis of adopting IT technology. The monitoring and evaluation of social assistance should be implemented throughout the management of social assistance and the implementation of its policies. During this process, what will be important is to have a firm technological foundation for the monitoring and evaluation of social assistance. For this, it is important to adopt IT technology to establish a universal verification system for the economic conditions of low-income residents' families. Therefore the monitoring and evaluation of social assistance can be more scientific and accurate. This will help the monitoring and evaluation of social assistance to develop into a technological and intelligent procedure.

### **3.2.3 Programs Should be Integrated to Establish a Unified, Open Monitoring and Evaluation of the Social Assistance System Sharing Information and Resources**

The first step is to establish a unified, coordinated, open and regularized management system for social assistance through the monitoring and evaluation of social assistance. The function of the joint conference of social assistance coordinating social forces to communicate and coordinate policies should be better utilized to solve the problem of policy fragmentation and policy close to the circle that is derived from the administrative system. Coordination and unification should be enhanced in the monitoring and evaluation of social assistance to solve problems such as fragmentation between authorities, diversification of the competent subjects and the weak circulation of information. The sharing of information and resources should be improved to establish a monitoring and evaluation of the social assistance system of connected policies, integrated management, resource sharing and coordinated forces. In this way, the problem of fragmentation and diversification can be solved and a new environment that is comprehensive, integrated and orderly will be created for the monitoring and evaluation of social assistance.

The second step is to establish a risk warning mechanism for social assistance through its monitoring and evaluation. The real environment and conditions for the running of social assistance can be analyzed in real time through the monitoring and evaluation of social assistance. This can provide an effective guarantee to ensure the social assistance system is scientific and regularized. In terms of the relationship between social assistance and the labor

market, social assistance is an important indicator that reflects the situation of of labor market. Therefore, it is very important to strengthen the assessment of the monitoring of unemployment and the capabilities of social assistance. There should be a social risk warning mechanism set into the monitoring and evaluation of social assistance, including relative reporting and contacting institutions so as to really improve the procedures and prevent the social risks so as to finally contribute to the creation of social harmony.

### **3.3 Monitoring and Evaluation of Social Assistance should be more Scientific and Effective**

#### **3.3.1 Further Improve the Scientificity of Monitoring and Evaluating Social Assistance**

Strengthening the research on social assistance can provide the management of monitoring and evaluation of social assistance with a theoretical foundation and scientific support. In particular, the current measures for monitoring and evaluating social assistance should be perfected, including the performance evaluation system and third party evaluations etc.

In order to realize the goal that the monitoring and evaluation of social assistance is evidence-based and reliable, it is necessary to introduce an ex-ante evaluation and to strengthen the feasibility analysis of the monitoring and evaluation of social assistance in order to raise the scientificity of its performance evaluation. For example, Beijing Municipal Finance Bureau issued “The Management Rules of the Ex-ante Evaluation for the Performance of the Beijing Municipal Project Expenditure” on September 12, 2014. It put forward four basic principles for the ex-ante evaluation.

The first is the objective and fair principle. Ex-ante evaluations should take relevant laws, regulations and rules as well as the relevant documents from the Ministry of Finance and do the ex-ante evaluation according to the principle of "openness, fairness and justice".

The second is the scientific and standardized principle. Ex-ante evaluation work should be carried out through standardized procedures combining the qualitative evaluation and the quantitative evaluation by a scientific and reasonable method;

The third is the principle of fully evidence. In the process of evaluation, an ex-ante evaluation should collect enough relevant documents and materials and through field investigations provide a sufficient basis for evaluating its conclusion.

The fourth is the cost-benefit principle. Ex-ante evaluations should focus on the rationality of the project application and the accuracy of the budget application. In the process of ex-ante evaluation, attention should be paid to controlling costs, saving money and improving the efficiency and effectiveness of the ex-ante evaluation.

#### **3.3.2 The Indicators Based System of Monitoring and Evaluation of Social Assistance should be Improved**

At present, among the theoretical researches on the performance evaluation of social assistance, the qualitative analysis is very much greater than the quantitative analysis as the indicator system for the performance evaluation is relatively weak. The monitoring and evaluation of social assistance should reflect the differences of social assistance among the different regions. Differentiated, specified and directional indicator systems of performance evaluation for social assistance should be set up according to the differences between the eastern, western, central and north-eastern regions of China since their situations of both economic development and social assistance differ from each other. In a different policy environment and with different development stages, the indicator system for the performance evaluation of social assistance should adapt to the reality in time and be evidence-based, directional and problem-oriented. This way, the indicator system can facilitate the implementation of social assistance policies and promote the regularization, legalization and standardization of social assistance. Regarding the development of an indicators system for social assistance, it is necessary to insist on the principle of being comprehensive, objective, evidence-based and having an open principle. This will allow the evaluation indicator system of social assistance to reflect the actual situation of social assistance as well as the operation and the implementation of social assistance policies comprehensively, scientifically and objectively in different areas.

Further the indicators of the monitoring and evaluation of social assistance should be improved scientifically. Establishing an indicators system for the monitoring and evaluation of social assistance is an development for the monitoring and evaluation of social assistance in China. The indicators system can play an important role in promoting the balanced development of China's social assistance system and realizing the effective delivery of rural-urban social assistance policy and the governance of poverty. The indicators for the monitoring and evaluation of social assistance not only play a role of its monitoring and evaluation, but also play a leading role in policy orientation. As a result, the design of the indicators system for the monitoring and evaluation of social assistance become important factors affecting the work of social assistance. For example, on the standard of Dibao, the setting of the Dibao benchmark should be closely combined with the differences and diversity in the economic development in the different regions in China. It is important to push forward on the construction of an adjustment mechanism for the Dibao standard. The Dibao standard should guarantee the rights of poor families to survival and development but the Dibao standards should also be consistent with the level of economic development and financial capacity in the different areas. The Dibao standard needs to reflect the essential requirements of promoting the development of social assistance in a sustainable and fair way and avoiding simply linking the Dibao standard only with a single economic indicator and thus artificially raising the social assistance standards in a rigid growth through institutional arrangements.

There is a need to establish the dynamic indicators for the monitoring and evaluation of social assistance. In line with the change in the economic-social conditions and the reality of the development of social assistance system, it is necessary to take the standardization and regularization of the operation of social assistance as the goal of social assistance. It is also necessary to be better select the targeted indicators for the monitoring and evaluation of social assistance and prepare the score assignment of indicators of social assistance to better play a

role in the monitoring and evaluation of social assistance in terms of the supervision of social assistance and leading the development of social assistance.

### **3.3.3 Local Reporting Station should be Established to Collect Information on the Implementation of Social Assistance**

It will be of benefit to selectively establish an information reporting station in the 31 provincial level units across China. A network of monitoring and evaluation of social assistance can be established to cover the regions across the country. In this way, the dynamic and long-term monitoring of social assistance can be conducted and further establish a more reasonable structure for the overall layout of the information reporting system so as to achieve dynamic monitoring of social assistance work and its long-term monitoring and promote the balanced development of social assistance work. At present, China's social assistance system is in the period of transformation and development by the rule of law. In the process of achieving the goal of sustainable development and fair development of the social assistance system and based on the fact that there are many new situations and problems in social assistance, it is necessary to further realize the standardization of social assistance in the process of policy implementation. It is very important to timely get to know the information from the local governments and the masses so as to know what happened at the grass-roots level on a timely basis and what the demands of the masses are. To timely understand the governance of poverty of social assistance it is necessary to understand the daily situation as well as the major events in the social assistance system at the lower levels of the government. It is especially to know on time the new experiences and practices from the grassroots level in order to promote innovation in the social assistance policy.

### **3.4 Improving Utilization of the Results of Monitoring and Evaluating Social Assistance**

Currently, different regions have their own practice and experiences of monitoring and evaluating social assistance. These adapt to local reality. However, the development of monitoring and evaluation of social assistance is very unbalanced across China, particularly as the results of the monitoring and evaluation of social assistance are not adequately or efficiently used. Thus the monitoring and evaluation of social assistance has not played the desired role in controlling the running of social assistance and its function of directing and promoting the development of social assistance does not give full play to the social assistance system. Therefore, the monitoring and evaluation of social assistance must continue to be improved in order to achieve the objectives of the social assistance policies.

Nowadays, China's social assistance system faces a deep social transition from a traditional one to a modern one. The basis has moved from assistance provided a guaranteed subsistence to one that assists in development, from a passively reactive social assistance to a proactive social assistance, from a social assistance system of one single program to a social assistance program that has a diversity of programmes. The monitoring and evaluation of social assistance in China must stand in the context of China's economic development and consider the goals and functions of the current social assistance system which aim to establish a fair and sustainable social assistance system, improving its regularization, fairness, flexibility and

sustainability. Standardization, regularization and legalization should be set as the goals for the monitoring and evaluation of social assistance. Focus should be put on the institutional justice of social assistance. The scientification of the Chinese social assistance system should be promoted and improved. In the practice of social assistance, costs should be controlled, the financial burden on the central government and local governments should be reasonably adjusted and employment should get more encouragement. Orderly development, moralized management and the scientific adjustment of the structure of social assistance beneficiaries should be emphasized. The differences among different regions should be respected, in order to devise a differentiated way characterized by the Chinese context. Social consolidation and inclusion should be enhanced. A healthy social culture and attitude towards poverty relief should be cultivated in the minds of vulnerable groups, in order to reduce social exclusion. For solving the poverty that passes from generation to generation, humanism and the development of children should be the core concern of social assistance. Therefore education assistance should reflect this principle. For all of this, a monitoring and evaluation system for social assistance that is suitable to the reality of the situation of China's social assistance should be established. Related mechanisms and institutions should be improved in order to promote the capacity of implementation of social assistance policy and enhancing the governance capacity of social assistance.

### 3.1.4 Monitoring and Evaluation of Social Assistance Schemes

*Policy Recommendation Report*

*Jean-Yves Hocquet, EU-China SPRP expert*

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## INTRODUCTION

Monitoring and evaluation is a tool to manage national policy in the context of the decentralization of social assistance. The social administration must apply general rules but must also have enough autonomy e.g. at the local level to meet the individual needs of the most needy.

There is no “one size fits all” policy to meet the needs or even the expectations (a more qualitative but very sensitive dimension). Anyway, there are two main criticisms for social administration in the case where there is great local empowerment:

- 1) to manage policies in an unequal way and without any general principles
- 2) to be inefficient without clear criteria for resources allocation

Accordingly, the national level must have the tools to allocate the limited public resources in the most efficient way and to assess the actual effects on the well-being of society as a whole. Monitoring and evaluation are objects of a lot of intellectual controversy. In this report the notions would seem perhaps simple but are oriented to an operational implementation by the Ministry.

Monitoring and evaluation could be used by the Ministry of Civil Affairs (MoCA) to confirm its authority by providing added value in the field of social assistance. The evolution of public administration due to the demands of citizens to benefit from public services respecting also quality standards and the move from top down regulation to a more cooperative one are a good base to confirm the role designated to MoCA to contribute to:

- ▶ social cohesion at the national level
- ▶ the efficiency of public spending
- ▶ various outcomes linked with local implementation

Monitoring and evaluation could provide essential information. Its circulation could be the best way for MoCA to confirm its position as the leader of the institutions involved in the management of social assistance by providing sound data and social assistance policy assessments.

This report will complete the assessment and the suggestions of Professor Gang and the previous report of Mel Cousins “3.1.4: Monitoring of Social Assistance: Best Practice in EU Countries”. It tries to focus on the points which appeared as main concerns for the colleagues of MoCA<sup>25</sup> and tries to be oriented on concrete implementation.

## 1. MONITORING AND EVALUATION ARE TWO STRONGLY CONNECTED NOTIONS.

### 1.1 Comparison of monitoring /evaluation

Table 1: Main characteristics of monitoring and evaluation

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<sup>25</sup> MoCA & EU experts Meeting minutes December 15th, 2016 “Question 7 from Mr Hocquet on MoCA’s detailed expectation on social assistance monitoring and evaluation. Mr Hocquet asked about MoCA’s detailed expectation on social assistance monitoring and evaluation. Based on this Mr Hocquet may give suggestions that are more focused. Mr Liu indicated that the situation in France is different from China. In France, the central government is responsible for policy making and implements the policy directly, for example under the family allowance program, the central government allocates the benefits directly via dozens of handout stations. However, in China, central government makes the policy and the local governments are responsible for implementation. MoCA is expecting to know how to monitor and evaluate the policy implementation at local level. In addition, MoCA also wants to know the indicators used for monitoring and evaluation, and how to use these indicators.”



	Monitoring (control framework)	Evaluation
Purposes	input, activities, outputs	input, activities, outputs + outcomes, process
Rationality	identified ex ante Technical and economical	partly on the job and ex post social sciences
Information	internal, labeled	external, diverse
Approach	everything under control regular production	specific part of the organization one off
Value	feedback (short time)	learning simple or double loop
Analysis	internal	independent

Source: Contrôle et évaluation, au-delà des querelles sémantiques, parenté et facteurs de différences, Patrick Gibert, Revue Française des Affaires Sociales.

The purposes of the two methods are different. The purpose of the evaluation is larger because it includes the outcomes that are the changes for the citizen and society at large.

The rationality is different because the tools of monitoring must be designed ex ante and rely upon economic or technical tools. Evaluation could be done ex ante but the assessment of the outcomes needs to be made on the job, partially at least, and essentially ex post. Because of its effort to encompass the social effects of the policy it needs the contribution of social sciences.

Information could be formalized through numbers for monitoring and is linked to the management of the policy. It is more diverse and comes also from external sources for evaluation.

Monitoring covers every aspect of the policy and produces regularly indicators. Evaluation could cover just one part of the policy and takes place on one off basis.

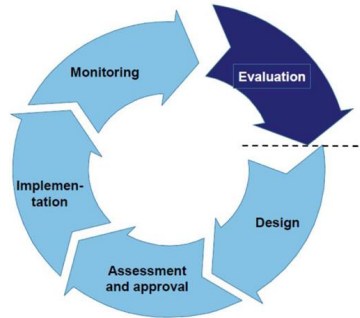
Monitoring leads to immediate feedback since the conclusion of an evaluation includes not only consequences of the management of the policy but is also a partial or total reengineering.

And last but not least if the monitoring is internal, evaluation could be internal or external whereby the evaluator must meet certain requirements of independence.

### 1.2 Content of an evaluation plan

Evaluation is part of a sound public policy but is rarely a major concern of policymakers. Many of the issues with which government deals with are not suited to the most rigorous testing but, even where they are, policies are often designed in a way that did not allow proper evaluation.

Figure 1: The circle of evaluation



- 1) Objectives and intervention logic of the aid scheme. That is the most political dimension of the evaluation. In many cases evaluations failed because the objectives are not clearly defined for good or bad reasons. Although assistance programs have been examined carefully, their objectives are never crystal clear and are often changed during the implementation or evolve due to external changes.
- 2) Targets must result from the commitments given by each administrative body with the aim of increasing their performance levels given the context and allocated resources. This ensures that all institutions converge on the performance levels attained by the most efficient among them.
- 3) Involvement of staff. The mobilization of each department around its commitments implies extensive internal consultation, especially through joint technical committees.
- 4) Scope of the evaluation. In comparison with monitoring, evaluation has always larger ambitions (outcomes) but could focus on partial dimensions because of the size of the task and the schedule. As examples minimum support income and employment, minimum support income and fertilit. This is also a very sensitive question because what will stay out the scope of the evaluation would often be ignored.
- 5) Result indicators. The indicators must respect some conditions but also must be a product in the easiest way. An indicator must relate to a material aspect of the expected result and not to a marginal aspect.

One way of neutralizing a possible perverse effect is to couple a second indicator with the first so as to strike an overall balance.

There is often a temptation to elaborate synthetic indicators. This method is largely supported by world organizations which have to deal with a lot of information from a large number of States. The presentation of too much information would be quite impossible and it is also time consuming because it relates to design indicators and the need to weight them properly. It could appear as an outdated way of dealing with autonomous bodies which would be reluctant to adhere to this kind of monitoring.

The scoreboard method which is used within the EU's Open Method of Coordination (OMC) of part 2 seems to be more accurate.

- 6) Methods. The term evidence covers a wide spectrum: from randomized control trials to 'natural experiments' which look at the impacts of policies elsewhere for transferable lessons, and which can be synthesized to inform decision-making, 'learning from the mistakes of others', to newly emerging 'qualitative' feedback from citizens which open

the way both to change policy and the ‘collaborative co-design’ of services. It is also possible to distinguish between two phases of evidence (which merge into each other): pre-existing “evidence” which can help inform decisions and post intervention evaluations which look at the impacts of policy and whether it is having the desired impact and what the unintended consequences might be. Well-designed evaluations can then inform the future evidence base. <sup>26</sup>

- 7) Data collection. Indicators and monitoring results are the basis of the material of the evaluation but evaluation tries to assess the outcomes i.e. the global consequences of the policy on the society. In this report outputs will be used as the measure of efficiency of the policy (the result for the taxpayer as an example for the minimum income benefit):

- number of recipients
- spending per recipient
- number of social workers dedicated to the coaching of beneficiaries

Outcomes would be different:

- reduction of inequalities; actually increasing inequalities are the most dramatic challenge in our societies and each social policy must be assessed.
- inclusion of beneficiaries e.g. more people at work or in voluntary work for NGOs
- at least it could be the measure of the well-being of all societies for example the effect of social benefits on criminality (whether social benefits prevent people from undeclared work, drug trafficking ...)

- 8) Timeline of the evaluation. This question is a political one. More and more evaluations are done but without a proper schedule. For example the introduction of the RSA in France, the last form of the minimum income benefit, should have been done after pilot experiments in some areas. A huge evaluation was organized with many external teams (most from the research institutes) but the generalization was sped up by the government without waiting for the results.
- 9) The body conducting the evaluation. In an ideal world, evaluation should be made by a third party with all the scientific background. It is important to stress that independence could be managed with administrative bodies. Anyway the question is to have the right balance between an in-depth knowledge of the subject and scientific competences.
- 10) Publicity and involvement of the stakeholders. The involvement of the stakeholder is often presented as the final phase of the evaluation but a due process must include publicity not only about the results but also about the objectives of the evaluation, its scope, the methodology and the conditions of the evaluation. Stakeholders could be different. For example for indicators they could be designed with the benefit recipients. For the methodology it could be discussed with a committee with experts from the academic world. The scope and the schedule are certainly questions which could be associated with policymakers at large. The objective is to give the future results as much as legitimacy as possible. The social administration must express its commitment to transparency so that it could earn the confidence of the recipients, of the academic world and of the citizens.

<sup>26</sup> Evidence and evaluation in policy making A problem of supply or demand? Jill Rutter Institute for Government

So it could be said that monitoring could be easier to implement as a first step and must be the basis of evaluation. An evaluation without a proper monitoring would risk to be considered as a fake.

## **2. COOPERATIVE METHOD COULD BE PRODUCTIVE TO ENTICE VARIOUS LEVELS OF GOVERNANCE TO SHARE GOALS, RESULTS and EXPERIENCES.**

The implementation of “soft law” in the field of social policies leads to the implementation of a complete set of operational indicators and a scoreboard.

### **2.1 The open method of coordination as a way of managing decentralized social policies**

One of the challenges of the European Economic Community was to achieve freedom of mobility for goods, services and workers. Workers’ mobility was one milestone towards European citizenship but also a way to open opportunities for work due to the differences in growth rates, demographic trends or the labour market situation in those years. Free movement of workers is still a fundamental principle of the founding Treaty enshrined today in Articles 39 and 42. A single labour market could only be achieved if national social protection systems were not an obstacle to mobility.

“Because social protection systems were, and still are, a major dimension of national identity it was and is still not possible to speak about harmonization but about coordination.” It is necessary to respect the special characteristics of the national social security legislations and to draw up only a system of coordination as confirmed in Recital 4 of Regulation 883-04. For the other part of social protection e.g. social assistance, the subject was totally out the scope of the EU except in the case law of the EU Justice Court in its relation with citizenship i.e. under what conditions a European citizen moving to another Member State (MS) could be denied social assistance benefits?

So it is interesting to complete the picture by introducing a few words about the Open Method of Coordination (OMC). As stated before, the founding fathers of Europe rapidly gave up the idea of a harmonizing social security. There is not even a European definition of social security but with more ambitious objectives as such the Lisbon strategy<sup>27</sup> it was more and more difficult to keep to a limited concept of social affairs. The OMC introduces the possibility of deepening the cooperation in social protection and introducing a better coupling between social and employment policies.

OMC does not result in EU legislation. It is a method. So soft governance aims to spread best practices and achieve convergence towards EU goals in those policy areas which fall under the partial or full competence of Member States.

OMC relies on:

- establishing guidelines,
- quantitative and qualitative indicators
- benchmarks, and national and regional targets, backed by periodic evaluations and peer reviews.

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<sup>27</sup> The original Lisbon Strategy was launched in 2000 as a response to the challenges of globalization and ageing. The European Council defined the objective of the strategy for the EU “to become the most dynamic and competitive knowledge-based economy in the world by 2010 capable of sustainable economic growth with more and better jobs and greater social cohesion and respect for the environment”

Three overarching objectives are complemented by specific objectives for each "strand" of the OMC in the field of inclusion, calling for a decisive impact on the eradication of poverty and social exclusion; adequate and sustainable pensions; and accessible, high-quality and sustainable healthcare and long-term care.

The instrument proposed by the Social Protection Committee (SPC), called Social Protection Performance Monitor (SPPM)<sup>28</sup> provides about 20 key indicators that mirror the overall social situation in Member States. The Employment Performance Monitor (EPM) provides a wide range of labour market indicators. The Joint Assessment Framework (JAF) synthesizes the two information sources.

The main SPPM indicator on the effectiveness of social protection systems is based on the comparison of poverty rates before and after social transfers (using data from EU statistics on income and living conditions, abbreviated as EU-SILC).

The results regarding monitoring are manifold. First it needed a rather long period of work because during this period Europe welcomed new Member States whose systems were different from that of the Western countries. Secondly it was rapidly acknowledged that quantitative indicators would not be sufficient to deliver proper information and thirdly monitoring was not an end by itself. Peer review benchmarking and an exchange of good practices are the most interesting parts of the method. The "Social Protection Performance Monitor" (SPPM) aimed at contributing to strengthening the monitoring of the social situation and the development of social protection policies in the EU, according to the Treaty mandate (art. 160 of TFEU) of the SPC to work in this area. How are the SPPM results used?

The scoreboard provides an operational tool to the Member States. The colored cases don't constitute a "name and shame" instrument but registered the changes, the progress and the attention points ("social trends to watch" and "positive recent social trends" in the EU, common to several Member States). Linked with national recommendations done by the Commission it is a very potent instrument to prod the energy of the Member States. It is important to say that part of these indicators is included as indicators of the social aspects of the Europe 2020 Strategy.

The SPPM makes use of the EU portfolio of social indicators, recognizing effectively the importance of the overarching portfolio as a summary set/first tier of indicators to be used for monitoring the major social trends in EU countries across the relevant social policy areas.

The SPPM results are presented in the annual Social Protection Committee (SPC) social situation report and are endorsed by the Employment, Social Policy, Health and Consumer Affairs Council (EPSCO Council). On the basis of the identified social trends to watch, the SPC undertakes thematic in-depth reviews where drivers and policy solutions for the identified challenges are discussed with the Member States.

<sup>28</sup> [ec.europa.eu/social/BlobServlet?docId=15180&langId=en](https://ec.europa.eu/social/BlobServlet?docId=15180&langId=en)

## Box 1.EU-SILC

The EU statistics on income and living conditions, EU-SILC<sup>29</sup>, is the reference source for comparative statistics on income distribution and social inclusion in the European Union (EU). It is used for policy monitoring within the 'Open Method of Coordination (OMC)'. EU-SILC was launched in 2003 on the basis of a gentlemen's agreement between Eurostat and six Member States (Austria, Belgium, Denmark, Greece, Ireland, Luxembourg) and Norway. It helps in understanding the social inclusion factors of households and of individuals in society. It should allow comparisons between the different Member States. It was formally launched in 2004 in fifteen countries and expanded in 2005 to cover all of the then EU-25 Member States, together with Norway and Iceland. EU-SILC provides two types of annual data:

- cross-sectional data pertaining to a given time or a certain time period with variables on income, poverty, social exclusion and other living conditions;
- longitudinal data pertaining to individual-level changes over time, observed periodically over a four-year period.

EU-SILC is a multi-purpose instrument which focuses mainly on income. Detailed data are collected on income components, mostly on personal income, although a few household income components are included. However, information on social exclusion, housing conditions, labour, education and health information is also obtained. EU-SILC is based on the idea of a common “framework” and no longer a common “survey”. The common framework defines:

- the harmonized lists of target - primary (annual) and secondary (every four years or less frequently) - variables to be transmitted to Eurostat;
- common guidelines and procedures;
- common concepts (household and income) and classifications aimed at maximizing comparability of the information produced.

The reference population in EU-SILC includes all private households and their current members residing on the territory of the countries at the time of the data collection. Persons living in collective households and in institutions are generally excluded from the target population. Some small parts of the national territory amounting to no more than 2 % of the national population and the national territories may be excluded from EU-SILC. All household members are surveyed, but only those aged 16 and more are interviewed.

For the analysis of EU-SILC (Net-SILC 2, an EU funded network consisting of a group of institutions and researchers conducting analysis using EU-SILC).

### 2.2 The European production of indicators and evaluation through OMC

The OMC and its returns of experience lead to the following conclusions:

- ▶ An indicator must provide a basis for assessing the improvement in the situation to which the objective relates, and for effectively measuring the performance of the issue,
- ▶ absolute value indicators should be handled with care because there is a risk that they may depend on a context that is uncontrollable,

<sup>29</sup> [http://ec.europa.eu/eurostat/statistics-explained/index.php/Glossary:EU\\_statistics\\_on\\_income\\_and\\_living\\_conditions\\_%28EU-SILC%29](http://ec.europa.eu/eurostat/statistics-explained/index.php/Glossary:EU_statistics_on_income_and_living_conditions_%28EU-SILC%29)

- ▶ it is essential to give past values and a target value so as to put the indicator into perspective;
- ▶ the measured data must be rigorously quantified,
- ▶ scatter indicators should be used in preference to average value indicators,
- ▶ an indicator must not produce effects contrary to those sought,
- ▶ an indicator should not be such as to induce behavior, which improves the indicator but deteriorates the desired result,
- ▶ an indicator must be provided annually or under exceptional reasons at less frequent intervals,
- ▶ an indicator must lend itself to comparisons in time, in space,
- ▶ comparisons are a way of benchmarking the results obtained, best practices and options for improvement. International comparisons are useful, especially in making a prior diagnosis,
- ▶ an indicator must be immediately exploited and analyzed by the operational managers concerned,
- ▶ indicators must therefore be used primarily in internal program management before being used to prepare strategic decisions,
- ▶ an indicator must be immediately comprehensible or clearly explained which means first simplifying the measured data,
- ▶ composite indicators obtained by weighting different variables or based on assumptions and complex models are not easy for non-specialists to understand and should therefore be avoided.

This soft law could be used in various situations. For example France has different programs for disabled people funded by the State but managed by the State administration or by local councils which are locally elected. An evaluation was carried out by both the social inspectorate and the finance inspectorate<sup>30</sup>. Actually the results are more homogenous for the decentralized programs than for the state programs. Why?

The local councils compare regularly their results and since they are under the direct scrutiny of citizens they are keen to show them that they adopt the best practices of their colleagues.

So monitoring and evaluation could be of various qualities. We must use the information we have but be cautious about the way we use this information. An anecdote is not the same as a well done quasi-experiment which is the same as a well done RCT (randomized control trial) Syntheses of the available information, subjected to peer review, seem to be a good result of the OMC. The administrative body, by making information available to various stakeholders, manages a positive competition which improves its policy making through the contribution of evaluators who could be non-professional but are in the front line which increases the feedback on policies.

<sup>30</sup> [http://www.igas.gouv.fr/IMG/pdf/Rapport\\_ESMS\\_IGAS.pdf](http://www.igas.gouv.fr/IMG/pdf/Rapport_ESMS_IGAS.pdf)

### 3. THE CASE OF FRANCE: IMPLEMENTING A NATIONAL FRAMEWORK INTENDED TO MEASURE OUTCOMES AND RESPECT LOCAL MANAGEMENT

The French budget organization aims to achieve a comprehensive approach allowing a better assessment of outputs and outcomes.

#### 3.1 A political basis

Traditionally in Western countries the consent to taxes by the citizen is at the basis of democracy. In France the historical grass roots are the Declaration of the Rights of Man and the Citizen of August 26th, 1789 (French Revolution):

Article 14

All citizens shall have the right to ascertain, by themselves or through their representatives, the need for public contribution, to consent freely, to watch over its use, and to determine its rate, assessment base, collection and duration.

Article 15

Society has the right to ask public officials to account for their administration.

The last expression is the constitutional bye-law of 2001. It is worth noticing that this law was passed with the approval of both the opposition and the majority of the French Parliament which is extremely rare. The core of the reform was to move from a resources-based to a results-based approach for the State budget and to be explicit in the objectives and cost-effectiveness of public policies.

#### 3.2 Description of the regulations

How are the strategy, objectives and indicators for each program to be defined?

Under the Constitutional Bye-law on Budget Acts (LOLF), the budget is no longer presented by type of expenditure (operating, capital, intervention, etc.), but by public policies (security, culture, health, justice, etc.), which are now called “missions”. This presentation gives Parliament and the general public a clear picture of all the resources deployed to implement each government policy.

The missions correspond to the main government policies. Parliament votes on the budget by mission. A mission is created at the Government’s initiative and may be ministerial or interdepartmental. The mission covers a number of programs.

Parliament may alter the distribution of expenditure among the programs in a given mission.

The programs or allocations define the framework for the implementation of public policies. The program is the parliamentary authorization unit. It is the responsibility of a single ministry and covers a cohesive set of actions. It is managed by a program coordinator appointed by the ministry concerned. The program coordinator delegates management of the program, by way of program operating budgets and defines the operational objectives linked to the program’s strategic objectives that are assigned to public agencies or local administrations. The program coordinator is free to change the distribution of appropriations by action and type: this is the principle of fungibility. Each program has its own specific objectives and performance targets.

The actions define what the appropriations are to be used for. The program is broken down in an indicative manner into actions. Each action defines more specifically the intended purpose of the appropriations.

Annual performances plans and reports (description of the program and its constituent actions) justify the amounts allocated. Government and Parliament choose strategic objectives and the



related target results. There is an interdepartmental program audit committee that verifies that targets and the indicators are consistent with the expected outcomes and that information will be available.

They need input from government departments, which can thereby help by providing feedback from players on the ground. The choice of objectives and targets takes account of previous results. They are commented upon and analyzed in detail on the basis of the annual performance reports appended to the budget review bills. The objectives associated with the budget are strategic objectives, limited in number. They state the expected effects of government policies, the required quality of public services and how the resources used by agencies can be optimized. Agencies have room on to how to achieve them, (via the overall budget's mechanism).

The State Audit Office which is an administrative body but independent (its members enjoy the status of a judge) has had a general responsibility for the evaluation since 2008.

If the results are poor, should resources be cut or increased? For the same level of resources, can the outcome be improved by reviewing how the policies are framed?

### 3.3 Example for social assistance policy

Overall social protection public spending in France is about 40% of GDP. For social assistance the global mission "solidarity, inclusion and opportunities equality" includes:

- Programs on social inclusion and protection of fragile people
- Programs on disability and long term care
- Programs on gender equality
- Programs to support health, youth, sport and NGO's.

"Actions 2015-2017" are divided around the three axes of intervention that have been the basis of this plan since the beginning:

- prevention of difficulties and disruptions
- support for people in difficulty in an inclusion process
- partnership action close to the territories and the people

Presented on 3 March 2015, the "2015-2017 Roadmap" is based on the implementation of actions aimed both at preventing difficulties and breakdowns. It includes a principle transverse to the plan: that of accompaniment, in a logic on account of the needs of individuals. Whether it concerns access to employment, rights, health, housing, schooling, all the partners do indeed note the need to link the measures proposed with actions accompanying the public.

Implementation of the "Roadmap 2015-2017" will continue to be the subject of an annual review of the Inspectorate General of Social Affairs (IGAS).

The axes and objectives of the transversal document "Social Inclusion" annexed to the "Finance Bill for 2016 Orientations" are also part of the European framework set out in the Europe 2020 Strategy with a quantified objective of reducing poverty at European level so that "at least 20 million people cease to face the risk of poverty and exclusion by 2020". The French target declined this objective. The RSA permits long-term overlap between a social minimum and the income from work and continues several objectives:

- to offer minimum means of subsistence to all persons deprived of resources;

- to ensure that each hour worked translates into an increase in income for the person concerned;
- to supplement the resources of people engaged in activities to reduce the prevalence of poverty within the employed population;
- to improve the care of people who are deprived of employment, through monitoring and personalized support towards employment.

The implementation of the RSA thus aims to make work the major lever to get out of poverty: on the one hand, financial support and on the other hand, a mobilization to remove the various personal or cyclical obstacles to the employment. This supports the gradual return to employment of the beneficiaries and the reduction of the threshold effects. The evaluation of the RSA will thus try to measure the reality of a leverage effect on the employment rate of beneficiaries while measuring the distribution of households according to income from activity. The strategy aims to reduce by 1.9 million the number of poor or excluded people by 2020.

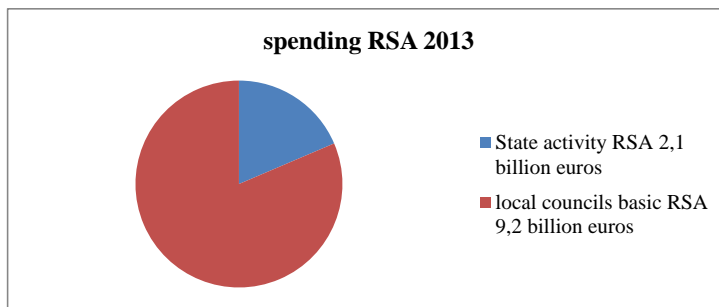
Indicator 1.1: it aims to measure the frequency of the resumption of employment among the beneficiaries of the RSA.

Indicator 1.2: it should make it possible to measure the dispersion of households on income from activities induced by the resumption of employment. The threshold of 150% of the lump sum is in fact variable according to the composition of the beneficiary household of the RSA.

Indicator 1.3: the indicator should allow quantifying the exit rate from the RSA for in particular by the resumption of sustainable employment, which generates income from activities that do not require a complement of RSA.

Poverty-social exclusion risk benefits amounted to € 16.8 billion in 2013<sup>31</sup>. They consist of Active Solidarity Income (SAR), which accounts for 67% of risk benefits and other:

Figure 2: Spending on RSA 2013



Source: Plf 2015 - Extrait du Bleu budgétaire de la Mission : solidarité, insertion et égalité des chances<sup>32</sup>

The RSA base is for people with no activity or working a limited number of hours. The RSA activity concerns persons engaged in an activity, even partial, but receiving modest incomes.

<sup>31</sup> 16,8 billions euro are the total amount of the various benefits which are given to categories of people with very low incomes or no incomes at all (RSA recipients but also unemployed people, old people, etc.) with exclusion of disability benefits.

<sup>32</sup> [http://www.performance-publique.budget.gouv.fr/sites/performance\\_publique/files/farandole/ressources/2015/pap/pdf/DBGPGMPGM304.pdf](http://www.performance-publique.budget.gouv.fr/sites/performance_publique/files/farandole/ressources/2015/pap/pdf/DBGPGMPGM304.pdf)

It is possible to aggregate the RSA base and the RSA activity if incomes are very low the resources are kept below a ceiling amount. Nonetheless the target is to increase the employment rate of RSA recipients. This is most important objective and the reason that the main indicator is about the percentage of jobless households where at least one member goes back to work.

There are also other sub-indicators as indicators by gender or indicators of households exiting from the program because they earn enough money to live without state benefit.

### Example

Objective: to improve the employment rate and financial autonomy of (RSA) MSI recipients

Indicator: % of jobless households whereby at least one member goes back to work

Table 2: RSA employment indicators

	unit	Realisation 2014	Forecast 2015	Goal 2016
% of jobless households whose one member at least goes back to work	%	7	8	9
% of jobless households whose one member at least goes back to work is a woman	%	31.8	32.2	33.9

Source:<sup>33</sup> Projet de loi de finances pour 2016 - Mission Solidarité, insertion et égalité des chances

### Calculation method

The method of calculating this indicator takes into account an average over four quarters.

Numerator: RSA beneficiaries in Q-1 without income in the quarterly income statement (DTR) and present in Q with Income in the DTR

Denominator: RSA beneficiaries in Q-1 with no activity income in the DTR

For the second indicator, the numerator is the number of couple households with no activity in the previous quarter and in which a woman has taken over an activity. The denominator is the number of couples and non-working households in the previous quarter, where at least one member has taken over an activity. Within all RSA beneficiary couples resuming an activity, this sub-indicator measures the proportion of those where a woman has resumed an activity.

Source of data: files of the National Child Benefit Fund (CNAF) and the caisse centrale de la mutualité sociale agricole Farmers Social Security Fund (CCMSA).<sup>34</sup>

<sup>33</sup> [http://www.performance-publique.budget.gouv.fr/sites/performance\\_publique/files/farandole/ressources/2016/pap/html/DBGPGMOBJIN\\_DPGM304.htm](http://www.performance-publique.budget.gouv.fr/sites/performance_publique/files/farandole/ressources/2016/pap/html/DBGPGMOBJIN_DPGM304.htm)

<sup>34</sup> The local councils which are in charge of the management of the RSA use the National Child Benefit Fund (CNAF) and the caisse centrale de la mutualité sociale agricole (CCMSA) as providers since they have a good knowledge of the households and are experienced in the distribution of social security benefits

## Box 2 Recent legal changes

The law No. 2015-994 on the modernization of social dialogue has introduced a new support for employment, the activity premium. From 1 January 2016, the financial support for modest workers will be the only benefit,

This reform has a double ambition:

- Encourage activity by supporting the purchasing power of modest workers in a simple way with a monthly premium, the amount of which is closely linked to the earnings
- Open this new right to young people who are active from the age of 18, who often enter employment on a precarious and/or part-time basis, with modest remuneration. The activity premium is part of a logic of simplification, with the implementation of a dematerialized procedure and the introduction of fixed effects, which stabilize the amount received by the beneficiary during the quarter.

The "core" component of the RSA remains, and continues to provide a vital minimum for people whose resources, as well as those in operation with very low incomes, are lower than the RSA lump sum. In the latter case, the benefit of the RSA may be accumulated with that of the activity premium

### 3.4 Bodies in charge of evaluation in the field of social assistance

Beyond the State Audit Office which has a general responsibility over the whole State budget, evaluations could be provided for the Ministry for Social Affairs by the General Inspectorate for Social Affairs (evaluation and inspection office for health, social security, social cohesion, employment and labour policies and organizations).

Two directorates could intervene. Both rely upon internal resources and providers from the academic sector through calls for tender on specific topics:

- The directorate for research statistics and studies (labour and employment)
- The directorate for research, studies, evaluation and statistics (health, social assistance, social security).

Others central government bodies

- General Finances Inspectorate
- General Secretary for the improvement of government action (SGMAP). In December 2012 the Prime Minister initiated ex post evaluations of all public policies.

France Strategie a public think tank coordinates with various High Councils in the social field.

The evaluation of the LOLF is mitigated. France loves mathematics; so French civil servants love statistics and the public administration is traditionally a centralized<sup>35</sup>. France has developed a huge apparatus of monitoring and accounting through the bye-law but has registered less progress for evaluation. For example, as stated before when the RSA, the last form of the minimal support income, was devised, a progressive process was designed - a local pilot then evaluation then implementation on the whole territory with a call for tender for the evaluation.

<sup>35</sup> In France most of the social assistance policies are allocated to local councils but the Central State is still keen to intervene and suffers from "parents over shoulders" "syndrome without clear efficiency

Actually the evaluation period was reduced and the generalization was launched with partial evidences At least the technical basis is now available.

#### **4. CASE OF BELGIUM: BUILDING A COMPREHENSIVE DATA WAREHOUSE THROUGH THE ADMINISTRATIVE MANAGEMENT, THE BELGIAN SOCIAL CROSSROAD BANK (DATA WAREHOUSE)**

##### **4.1 The exemplary success of an information system dealing with a rare complexity in the field of social protection <sup>36</sup>**

Even if Belgium is a small State with its federal organization, its multilingual situation (Dutch, French, German) and its social protection system are intricate:

- > 10,000,000 citizens

-> 220,000 employers

-about 3,000 public and private institutions (actors) at several levels (federal, regional, local) dealing with

- collection of social security contributions
- delivery of social security benefits
  - child benefits
  - unemployment benefits
  - benefits in case of incapacity for work
  - benefits for the disabled
  - re-imbusement of health care costs
  - old age pensions
  - guaranteed minimum income
- delivery of supplementary social benefits based on a person's social security status

The lack of well-coordinated service delivery processes and of a lack of well-coordinated information management led to:

- a huge avoidable administrative burden and related costs for
  - the citizens
  - the employers/companies
  - the actors in the social sector
- service delivery that didn't meet the expectations of the citizens and companies
- suboptimal effectiveness of social protection
- insufficient social inclusion
- too high a possibility for fraud
- suboptimal support of social policy

<sup>36</sup> <https://www.ksz-bcss.fgov.be/en>

At the same moment there was a clear political will to solve those problems and a scientifically well-founded solution based on the creation of a Crossroads Bank stimulating and coordinating a business process re-engineering and electronic cooperation:

- effective social protection
- integrated services
  - attuned to their concrete situation, and personalized when possible
  - delivered at the occasion of events that occur during their life cycle (birth, going to school, starting to work, moving, illness, retirement, starting up a company, ...)
  - across government levels, public services and private bodies
- attuned to their own processes
- with minimal costs and minimal administrative burden
- if possible, granted automatically
- with active participation of the user (self service)
- well performing and user-friendly
- reliable, secure and permanently available
- accessible via a channel chosen by the user (direct contact, phone, PC, ...)
- sufficient privacy protection

The implementation of the project was allowed by a clear long term vision combined with quick wins with the Federal Minister of Social Affairs as the political sponsor but the gradual implication of the general managers of all public social security institutions, the social partners managing the public social security institutions, the general managers of the private social security institutions with successive formal approval of the vision and the initiative by the main political and social institutions.

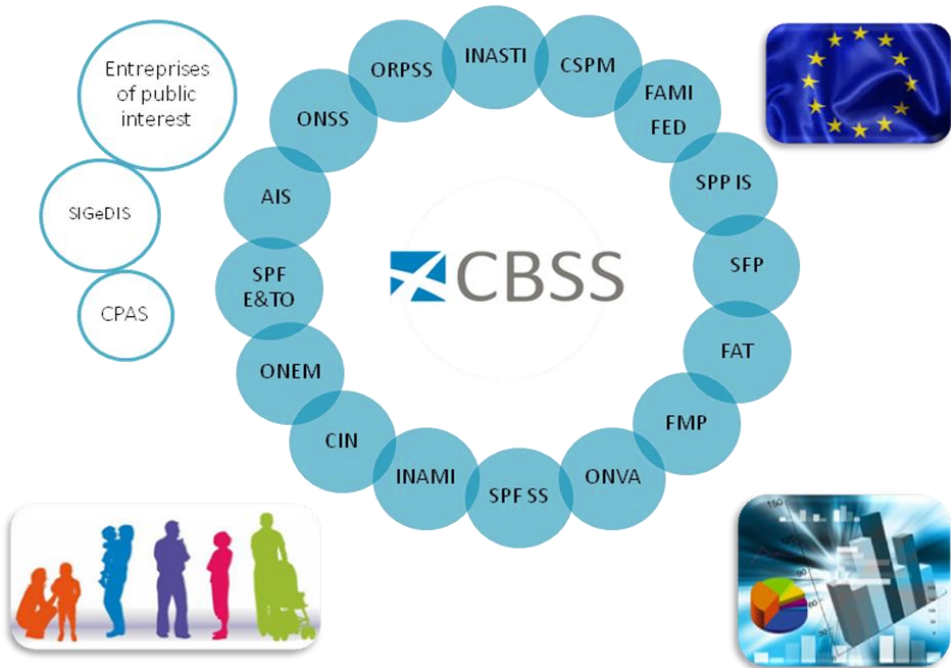
#### 4.2 Description of the social crossroad bank

It is a network between all 3,000 social sector actors with a secure connection to the internet, the federal network (Federal Metropolitan Area Network FedMAN that connects the various federal public services while providing them with central access to the Internet), regional extranets, extranets between local authorities and the Belgian interbanking network with a unique identification key for every citizen, for every company and for every facility of a company.

There is an agreed division of tasks between the actors within and outside the social sector with regard to collection, validation and management of information and with regard to the electronic storage of information in authentic sources.

The result is an integrated portal site containing electronic transactions for citizens, employers and professionals, simulation environments, information about the entire social security system, harmonized instructions and information models relating to all electronic transactions, a personal page for each citizen, each company and each professional, an integrated multimodal contact center supported by a customer relationship management tool.

Figure 3: Stakeholders of the social security crossroad bank



Source: <https://www.ksz-bcss.fgov.be>

It includes a data warehouse containing statistical information with regard to the labour market and all branches of social security. This allows the controlled access to databases with authentic data through a common vision on electronic service delivery, information management and information security amongst all the stakeholders

It is important to stress that the co-operation between all actors concerned is based on the distribution of tasks rather than centralization of tasks with focus on more efficient and effective service delivery and on cost control and reasoning in terms of added value for citizens and companies rather than in terms of legal competences.

- in terms of quantity: more services are delivered
  - ▶ services are available at any time, from anywhere and from several devices
  - ▶ services are delivered in an integrated way according to the logic of the customer
- in terms of speed: the services are delivered in less time
  - ▶ benefits can be allocated quicker because information is available faster
  - ▶ waiting and travel time is reduced
  - ▶ companies and citizens can directly interact with the competent actors in the social sector with real time feedback

Altogether the gains in effectiveness contribute to better social protection:

- in terms of quality: same services at same total cost in the same time, but to a higher quality standard

- in terms of type of services: new types of services, e.g.
  - ▶ push system: automated granting of benefits
  - ▶ active search of non-take-up using data warehousing techniques
  - ▶ controlled management of own personal information
  - ▶ personalized simulation environments
  - ▶ better support of social policy
  - ▶ more efficient combating of fraud
  - ▶ information is being modeled in such a way that the model fits in as closely as possible with the real world, in order to allow multifunctional use of information
  - ▶ information is collected from citizens and companies only once by the social sector as a whole, via a channel chosen by the citizens and the companies, preferably from application to application, and with the possibility of quality control by the supplier before the transmission of the information
  - ▶ the collected information is validated once according to established task sharing criteria, by the actor that is most entitled to it or by the actor which has the greatest interest in correctly validating it
  - ▶ a task sharing model is established indicating which actor stores which information as an authentic source, manages the information and maintains it at the disposal of the authorized users
  - ▶ a task sharing model is established indicating which actor stores which information as an authentic source, manages the information and maintains it at the disposal of the authorized users
  - ▶ information can be flexibly assembled according to ever changing legal concepts
  - ▶ every actor has to report probable errors of information to the actor that is designated to validate the information
  - ▶ every actor that has to validate information according to the agreed task sharing model, has to examine the reported probable errors, to correct them when necessary and to communicate the correct information to every known interested actor
  - ▶ once collected and validated, information is stored, managed and exchanged electronically to avoid transcribing and re-entering it manually
  - ▶ electronic information exchange can be initiated by
    - the actor that disposes of information
    - the actor that needs information
    - the CBSS that manages the interoperability framework
  - ▶ electronic information exchanges take place on the base of a functional and technical interoperability framework that evolves permanently but



gradually according to open market standards, and is independent from the methods of information exchange

Available information is used for the automatic granting of benefits prefilling when collecting information

Identification of the holder

- name
- Christian names
- nationality
- date and place of birth
- sex
- identification number of the National Register
- main residence
- manual signature
- ▶ electronic authentication of the identity of the holder (private key and certificate)
- ▶ possibility for the holder to sign electronically (private key and certificate)
- ▶ **Electronic identity card (eID):** statutory electronic identity card for Belgians over the age of twelve
- ▶ **Kids-ID:** on demand for children below the age of twelve
- ▶ **Foreigners card:** for both EU and non-EU citizens with residence in Belgium



- ▶ pre-processed messages
  - beginning/end of labour contract, beginning/end of self-employed activity
  - contribution certificates for medical care (employees, self-employed, beneficiaries of social security allowances)
  - unemployment benefits
  - benefits in case of career break
  - benefits in case of incapacity for work ((labour) accident, (occupational) disease)
  - reimbursement of health care costs
  - child benefits
  - old age pensions
  - holiday pay
  - benefits for the disabled
  - guaranteed minimum income – social welfare
  - derived rights (e.g. tax deduction/exemption, free public transport, ..)
  - migrant workers
  - ...
- ▶ services offered
  - interactive consultation
  - batch consultation
  - automatic communication of messages

- ▶ 3 possible moments of declaration
  - start of the social risk
  - recurrence or continuation of the social risk
  - end of the social risk
- ▶ structure of the declaration
  - identification data
  - if necessary, salary and working time data not yet declared via a quarterly declaration (mini-declaration)
  - specific data concerning the social risk
- ▶ integrated electronic service delivery based on a single, mandatory declaration in case of temporary or partial professional activities of foreign employees and self-employed persons in Belgium
- ▶ 500.000 declarations per year
- ▶ reduction of process time from 7 days to 5 minutes
- ▶ integrated service throughout 8 types of institutions (750 concrete institutions)
- ▶ gains in effectiveness
  - improvement of social protection of migrant workers
  - enhancement of free movement of workers and services
- ▶ gains in transparency
  - permanent access for the user to the processing status of their declaration

So altogether the social crossroad bank has improved social protection in Belgium by providing improved services to all the stakeholders. There is no central storage of data but a sharing of the useful data. Through the improvement of the administrative management it provides a huge amount of data that makes monitoring and evaluation easier.

The entire population of Belgium has been included in the data base since 2010 - 75 % because they are registered in social protection institutions and 25% only through their identity.

#### **4.3 A versatile tool for monitoring and evaluation**

The Data warehouse Labor Market and Social Protection (DWH MT & PS) aims to aggregate socio-economic data from the Belgian social security institutions. The purpose of the data warehouse labor market and social protection is to be able to respond more accurately, faster and less expensively to requests for data from research institutes and authorities.

A distinction must be made between three types of application:

- The basic applications: these are applications for which several fixed statistics are calculated according to a fixed frequency (by quarter or year).
- Web applications: it is possible to view statistics on the web through these web applications;
- Tailored data requests: these are applications specific to the demand of research institutes and authorities.

The management of the DWH MT & PS has been entrusted to the Carrefour Social Security Bank. The DWH MT & PS is physically housed in Smals. The Steunpunt Werk in Social Economy (Steunpunt WSE), an inter-university center of expertise, the ULB METICES Center and the Centrum voor Sociologisch Onderzoek (KS Leuven) are currently providing scientific support.

Given that the added value of the data warehouse labor market and social protection lies in the possibility of aggregating different files, the aim is not to propose through the DWH MT & PS statistics that are already available from social security institutions. Each social security

institution remains responsible for publications, statistics and other applications that relate to its field in the strict sense.

## POLICY RECOMMENDATIONS

### 1) **Implement a monitoring and evaluation system as a part of social policy management**

The implementation of a monitoring and evaluation system cannot be separated from the management of social policies. Even in the cases where they are mostly State funded and nationally designed, social assistance policies rely upon the empowerment of local authorities to deliver the benefits and the accompanying measures.

Since the Chinese landscape appears to be largely decentralized, the role of the State administration is to design the national rules and to ensure that the citizen receives the benefits they are entitled to.

### 2) **Develop a national strategy and set of indicators via inter and intra-levels of cooperation**

National indicators are needed but a top down strategy would surely miss the point. The design of these indicators should be through the consensus of local authorities in charge of the daily management of policy and if possible with the participation of all the stake holders e.g. the recipients seem to be the most efficient way of achieving sustainability and adequacy. It is recommended to launch a working group associating MoCA and the local authorities to design the indicators. As a launch pad MoCA could order preliminary work with proposals of a set of indicators from the academic side c.f. the work performed by the Social Protection Council with the Open Method of Coordination inclusion.

### 3) **Introduce a regular updating and an indicators' development process**

Such a strategy must be operative. The making of sound indicators will always be work in progress to encompass qualitative dimensions and outcomes. It is better to foresee a first layer of basic indicators and to enrich them continuously so that results could be seen by the partners as soon as possible and submitted to the policymakers and to the representatives of stake holders as NGO recipients.

### 4) **Benchmarking as a key element of monitoring and evaluation process**

A cooperative benchmarking about benefit spending, management costs could introduce a major drive to reach the best results. This a major cultural change for the central administration and for State civil servants with the help of training, moving from a hierarchical authority to a new kind of legitimacy based on technical expertise and ability to develop team working. Scoreboard and recommendations are a useful tool of convergence of local administrations.

### 5) **Developing data sources and cross data platforms**

Data should be produced in the simplest way and as much as possible be issued by the administrative system. Production of data has a cost but it must be rewarding for the employee in charge of collecting them. On the one hand monitoring data must be a side-product of management, on the other hand they must have a direct effect on the visibility of social assistance. Clerks must be convinced that monitoring will make them more efficient and the customer more satisfied. In a first step, as in the Belgian model of social security crossroad bank, it seems more accurate to share the information without a central storage of the data. A strong political will is required but it will save

energy which would be otherwise wasted and make the system open enough to welcome new partners or fields.

**6) Skilled evaluation staff**

The desire of the higher civil servants for evaluation must be improved by developing its training in administrative academies. As much as possible data must be circulated to allow all the stakeholders to deliver their own analysis. Regular contacts must be developed between the civil servants and the academic world to increase cross-fertilization between the administrative knowledge and the academic experience of methodology. The introduction of the obligation of an evaluation *ex ante* for all social assistance policies could induce a change in the management of social assistance even if in social policies, unlike environmental policies, the needs seem less important for policymakers because the consequences looks more reversible. It is important to coordinate the political agenda and the evaluation time. There is clearly huge value in anticipating demand in advance even if the methodology is not as perfect randomized control trial (RCT).

**7) Increase data availability for academic evaluations**

Open data procedures are interesting for the academic research but it could be costly and not beneficial. Nominative data could be made available to research through secure IT systems to meet both the needs of evaluation and protect personal data.

**8) Develop intra and external evaluation settings**

Globally it is important to begin an ambitious process of monitoring even if all the prerequisites of a state of the art organization are not met, especially for evaluation. The evaluator could be internal but independent; there could be statutory rules but also informal ways. The various evaluators in France are mostly administrative bodies but with a sufficient level of autonomy. The National Audit Office in France is very keen on writing its reports so that they could be directly used by the journalists and raise awareness of the opinion. Finally, it could seem a contradiction but perhaps there are too many evaluations redundant on the same subjects. Beside the question of schedule, it is a real necessary to coordinate the evaluations and to make them more available for all the stakeholders.



























## ANNEX 1: QUALITIES OF INDICATOR

An indicator should capture the essence of the problem and have a clear and accepted normative interpretation. An indicator should be robust and statistically validated. An indicator should provide a sufficient level of cross region comparability, as far as practicable with the use of internationally applied definitions and data collection standards. An indicator should be built on available underlying data, and be timely and subject to revision. An indicator should be responsive to policy interventions but not subject to manipulation.






It is proposed that the quantitative step of the MOCA should have the following general properties:








- A simple and transparent standardization method that is applied to all main indicators (centered on the EU weighted average). It can possibly be per region and indicator to assess whether the “performance” has been high, medium or low and determine per region and indicator whether the evolution has been positive, neutral or negative.
- Following reports, discussion with the Chinese experts, MOCA and the EU and based on the French experience the following approach is proposed:
- ▶ Identification of a key overall indicator per policy (sub-)area and a limited number of corresponding sub-indicators
  - ▶ Standardisation of these indicators
  - ▶ Producing a visual picture of the situation for each region and each policy
  - ▶ Identifying specific performance groupings
- How to construct reliable indicators?
- ▶ An indicator must be durable and independent of organisational imponderables
  - ▶ The existence of a central structure dedicated to processing information on performance, such as a management control unit, can guarantee durability.
  - ▶ An indicator must be reliable beyond question, reliability is based on the certainty of the measurement system and the absence of bias or the limited extent of known bias.
  - ▶ Certainty of the measurement system. Manual counting in addition to routine tasks should be avoided. As far as possible, an indicator should be extracted automatically from a management system or derive from surveys conducted by specialist internal or external organizations. As a matter of principle, a good indicator should be free of bias.
  - ▶ An indicator must be drawn up at a reasonable cost proportional to the usefulness of the information
  - ▶ Automatically extracting the data needed to measure indicators from management applications is a good way of cutting the cost while increasing reliability.














**ANNEX 2: LIST OF EU INDICATORS IN THE FIELD OF INCLUSION<sup>37</sup>**

Indicator	Data	Source*
<i>Core indicators</i>		
At risk of poverty or social exclusion rate		Eurostat/ EU-SILC
At-risk-of-poverty rate		Eurostat/ EU-SILC
At-risk-of-poverty threshold		Eurostat/ EU-SILC
People living in jobless households		Eurostat/ EU-SILC
Severe material deprivation rate		Eurostat/ EU-SILC
Relative median at-risk-of-poverty gap		Eurostat/ EU-SILC
Inequality of income distribution - S80/S20 income quintile share ratio		Eurostat/ EU-SILC
Healthy life years		Eurostat/ EU-SILC & Others
Early leavers from education and training		Eurostat/ LFS
Projected total public social expenditures	-	EPC/ AWG
Relative median income ratio of elderly people		Eurostat/ EU-SILC
Aggregate replacement ratio		Eurostat/ EU-SILC
Self-reported unmet need for medical care		Eurostat/ EU-SILC
Growth rate in real gross household disposable income (GHDI (unadjusted))	-	Eurostat/National accounts
At-risk-of-poverty rate anchored at a fixed moment in time (2008)		Eurostat/ EU-SILC
Employment rate of older workers		Eurostat/ LFS
In work at-risk-of-poverty rate		Eurostat/ EU-SILC
Activity rate		Eurostat/ LFS
Dispersion of regional employment rates		Eurostat/ LFS
<i>Context indicators</i>		
GDP growth (at constant prices)		Eurostat/ ESA95
<ul style="list-style-type: none"> <li>• Employment rate, by sex</li> <li>• Unemployment rate, by sex and key age groups</li> <li>• Long-term unemployment rate, by sex and key age groups</li> </ul>	  	Eurostat/ LFS
Life expectancy at birth and at age 65		Eurostat/ Demography
Old age dependency ratio, current and projected		Eurostat/Demography
Distribution of population by household types		Eurostat/ EU-SILC
Public debt, current and projected up to 2050, % of GDP		Eurostat/ ESA2010 & EC/ national sources
Social protection expenditure, current, by function gross and net		Eurostat/ ESSPROS



<sup>37</sup> ec.europa.eu/social/BlobServlet?docId=14239&langId=en

Indicator	Data	Source*
Jobless households by main household types	-	Eurostat/ LFS
Making work pay indicators		
<ul style="list-style-type: none"> <li>unemployment trap</li> <li>inactivity trap (esp. second earner case),</li> <li>low-wage trap</li> </ul>	 - 	OECD/ EC
Net income of social assistance recipients as a % of the at-risk of poverty threshold for 3 jobless household types	-	OECD/ EC
At-risk-of-poverty rate before social transfers (other than pensions) by age	 	Eurostat/ EU-SILC
Change in projected theoretical replacement ration for base case 2004-2050 accompanied with information on type of pension scheme (DB, DC or NDC) and change in projected public pension expenditure 2004-2050	-	OECD
Total health expenditure per capita		Eurostat/SHA

Indicator	Data	Source
1st objective - access to care (including inequity in access to care) and inequalities of outcome		
<i>Primary indicators</i>		
Self reported unmet need for medical care		Eurostat/ EU-SILC
Care utilisation	-	National data
Self reported unmet need for dental care		Eurostat/ EU-SILC
Dental care utilisation	-	National data
The proportion of the population covered by health insurance	-	National/OECD
Life expectancy at birth, at age 45 and at age 65		Eurostat/ Demography
Life expectancy by socio-economic status	Under preparation	Eurostat/ EU-SILC & Others
Healthy life years		Eurostat/ EU-SILC & Others
Healthy life years by socio-economic status	Under preparation	Eurostat/ EU-SILC & Others
<i>Secondary indicators</i>		
Self-perceived limitations in daily activities (activity restriction for at least the past 6 months)		Eurostat/ EU-SILC
Self-perceived general health		Eurostat/ EU-SILC
Infant mortality		Eurostat/ Demography

Infant mortality by socio-economic status	-	National data
<b>2nd objective</b> - quality of care: effectiveness, safety and patient centeredness		
<i>Primary indicators</i>		
Vaccination coverage in children	Under preparation	WHO
Cervical cancer screening		Eurostat/ EHIS
Cervical cancer survival rates	Under preparation	EC/ ECHI
Colorectal cancer survival rates	Under preparation	EC/ ECHI
<i>Secondary indicators</i>		
Influenza vaccination for adults over 65+		National data up to 2010 Eurostat/ EHIS
Breast cancer screening		Eurostat/ EHIS
Breast cancer survival rate	-	ECHI
Perinatal mortality		Eurostat/ Demography
<b>3rd objective</b> - long-term sustainability of pensions: expenditure and efficiency		
<i>Primary indicators</i>		
Total health care expenditure per capita		Eurostat/ SHA
Total health care expenditure as a percentage of GDP		Eurostat/ SHA
Total long-term care health care expenditure as a percentage of GDP		Eurostat/ SHA
Projections of public expenditure on health care as a percentage of GDP	-	EPC/ AWG
Projections of public expenditure on long-term care as a percentage of GDP	-	EPC/ AWG
Hospital inpatient discharges		Eurostat/ health
Hospital daycases	Under preparation	Eurostat/ SHA
Obesity		Eurostat/ EHIS
<i>Secondary indicators</i>		
Sales of generics	-	National sources
Acute care bed occupancy rates	-	OECD/ health & WHO
Average length of stay in hospital		Eurostat
Regular smokers		Eurostat/ EHIS
Alcohol consumption	-	Eurostat/ EHIS
<i>Context indicators</i>		
Practising physicians per 100 000 inhabitants		Eurostat
Nurses and midwives per 100 000 inhabitants		Eurostat



Public and private expenditure as % of GDP		Eurostat/ SHA
Total expenditure on main types of activities or functions of care		Eurostat/ SHA

*\* Abbreviations*

*EC: European Commission*

*EC/ECHI: European Commission/European Community Health Indicators*

*EPC/AWG: Economic Policy Committee working group on Ageing Population*

*Eurostat/Demography: Demography data collected by Eurostat*

*Eurostat/EHIS: European Health Interview Survey*

*Eurostat/EU-SILC: Community Statistics on Income and Living Conditions*

*Eurostat/SHA: System of health accounts data*

*Eurostat/health: Eurostat health*

*OECD-health: OECD Health data*

*WHO: World Health Organisation*

Table 3: EU Scoreboard

	EU27	EA8	EA12	BE	BG	CZ	DK	DE	EE	ES	FR	GR	IT	CY	LV	LT	LU	HU	MT	NL	AT	PL	PT	RO	SI	SK	FI	SE	UK		
Child poverty exclusion	At-risk-of-poverty rate (in %)																														
	2018	24.4	24.4	23.5	0.6	21.2	18.8	17.8	20.5	6.6	27.4	24.2	24.5	24.3	27.4	27.2	19.0	21.1	23.8	16.5	19.2	27.5	27.5	20.2	20.4	18.4	17.5	16.9	24.1		
	2019	24.1	24.1	23.5	0.6	21.2	18.8	17.8	20.5	6.6	27.4	24.2	24.5	24.3	27.4	27.2	19.0	21.1	23.8	16.5	19.2	27.5	27.5	20.2	20.4	18.4	17.5	16.9	24.1		
	2020	24.1	24.1	23.5	0.6	21.2	18.8	17.8	20.5	6.6	27.4	24.2	24.5	24.3	27.4	27.2	19.0	21.1	23.8	16.5	19.2	27.5	27.5	20.2	20.4	18.4	17.5	16.9	24.1		
	2018	17.7	17.7	17.1	0.6	15.9	13.9	15.7	16.7	2.8	27.1	27.2	19.3	19.4	14.4	21.7	16.4	14.6	15.9	11.6	14.1	17.0	19.5	25.4	14.5	12.8	27.8	15.1	10.8	17.7	
	2019	17.7	17.7	17.1	0.6	15.9	13.9	15.7	16.7	2.8	27.1	27.2	19.3	19.4	14.4	21.7	16.4	14.6	15.9	11.6	14.1	17.0	19.5	25.4	14.5	12.8	27.8	15.1	10.8	17.7	
	2020	17.7	17.7	17.1	0.6	15.9	13.9	15.7	16.7	2.8	27.1	27.2	19.3	19.4	14.4	21.7	16.4	14.6	15.9	11.6	14.1	17.0	19.5	25.4	14.5	12.8	27.8	15.1	10.8	17.7	
	2018	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	
	2019	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	
	2020	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6	0.6
Intensity of poverty risk	At-risk-of-poverty rate (in %)																														
	2018	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	
	2019	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1
	2020	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1	15.1
	Severe material deprivation rate (in %)																														
	2018	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	2019	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	2020	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
	Population living in (quasi-) jobless households (in %)																														
	2018	11.1	11.1	11.9	0.8	14.9	13.2	7.6	11.1	10.9	17.7	17.4	16.6	15.7	17.1	17.7	9.9	9.4	12.7	9.8	10.7	8.1	7.8	12.2	8.4	8.7	7.1	10.5	6.4	17.7	
2019	11.1	11.1	11.9	0.8	14.9	13.2	7.6	11.1	10.9	17.7	17.4	16.6	15.7	17.1	17.7	9.9	9.4	12.7	9.8	10.7	8.1	7.8	12.2	8.4	8.7	7.1	10.5	6.4	17.7		
2020	11.1	11.1	11.9	0.8	14.9	13.2	7.6	11.1	10.9	17.7	17.4	16.6	15.7	17.1	17.7	9.9	9.4	12.7	9.8	10.7	8.1	7.8	12.2	8.4	8.7	7.1	10.5	6.4	17.7		
Persistence of poverty risk	Persistent at-risk-of-poverty rate (in %)																														
	2018	9.7	9.7	10.4	0.8	10.5	4.1	5.1	10.8	11.2	0.8	12.8	14.5	7.9	13.2	12.1	12.0	8.7	8.0	10.6	6.5	8.5	10.7	12.0	9.8	9.5	7.1	7.0	7.6	7.8	
	2019	9.7	9.7	10.4	0.8	10.5	4.1	5.1	10.8	11.2	0.8	12.8	14.5	7.9	13.2	12.1	12.0	8.7	8.0	10.6	6.5	8.5	10.7	12.0	9.8	9.5	7.1	7.0	7.6	7.8	
	2020	9.7	9.7	10.4	0.8	10.5	4.1	5.1	10.8	11.2	0.8	12.8	14.5	7.9	13.2	12.1	12.0	8.7	8.0	10.6	6.5	8.5	10.7	12.0	9.8	9.5	7.1	7.0	7.6	7.8	
	Income inequality (S82/S20)																														
	2018	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2
	2019	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2
	2020	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2	5.2
	Child poverty exclusion	At-risk-of-poverty rate of children (% of people aged 0-17)																													
		2018	27.8	27.8	25.6	0.8	23.2	19.5	14.5	19.8	23.8	50.3	30.7	29.8	21.6	29.2	28.1	24.7	25.2	28.9	26.4	41.1	31.3	28.2	31.4	25.0	17.7	23.6	16.7	31.2	
2019		27.8	27.8	25.6	0.8	23.2	19.5	14.5	19.8	23.8	50.3	30.7	29.8	21.6	29.2	28.1	24.7	25.2	28.9	26.4	41.1	31.3	28.2	31.4	25.0	17.7	23.6	16.7	31.2		
2020		27.8	27.8	25.6	0.8	23.2	19.5	14.5	19.8	23.8	50.3	30.7	29.8	21.6	29.2	28.1	24.7	25.2	28.9	26.4	41.1	31.3	28.2	31.4	25.0	17.7	23.6	16.7	31.2		
Impact of social transfers (excl. pensions) on poverty reduction (%)																															
2018		14.1	14.1	13.5	13.5	14.1	10.1	10.1	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2
2019		14.1	14.1	13.5	13.5	14.1	10.1	10.1	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	
2020		14.1	14.1	13.5	13.5	14.1	10.1	10.1	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	13.2	14.9	
Social consequences of labor market situation		Long-term unemployment rate (in %)																													
		2018	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1
	2019	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	
	2020	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	5.1	

	EU28	EU27	EA88	EA19	BE	BG	CZ	DK	DE	EE	EL	ES	FR	HR	IT	CY	LV	LT	LU	HU	MT	NL	AT	PL	PT	RO	SI	SK	FI	SE	UK			
Youth exclusion	Early school leavers (in %)																																	
	2011	11.1	11.3	11.9	11.3	9.8	12.9	5.5	7.8	9.5	11.4	6.9	9.0	21.9	9.0	2.7	15.0	6.8	8.5	5.9	6.1	11.4	20.3	8.7	7.0	5.4	17.4	38.1	4.4	6.7	9.5	6.7	11.8	
	2012	-	-	-	-1.2	-	-	-	-	1.7	-1.5	-1.1	-1.7	-	-1.8	-1.8	-2.3	-1.3	-	-	-	-	-	-	-	-	-1.5	-	-	-	-	-	-	
	2013	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2006-2014 change in pp	-3.4	-3.4	-4.5	-4.3	-2.2	-1.9	-	-4.7	-2.3	2.6	-4.5	5.4	9.8	-2.8	-1.7	-4.6	-6.9	-7.0	-1.6	-7.3	-	-6.9	-2.7	9.2	-	-17.5	2.2	-	-	-	-	-1.2	-5.1
	2014	9.2	9.2	9.3	9.5	7.0	6.5	5.1	7.8	3.9	5.5	8.9	14.7	19.0	8.7	15.1	11.6	14.5	7.9	6.6	6.0	6.0	6.2	8.6	6.0	8.1	11.9	7.1	6.8	9.2	10.7	12.7	9.8	
	2015	-	-	-	-	-1.9	-	-	-	-	-1.5	-1.7	-1.8	-2.0	-	-	-	-1.2	-	-	-	-	-	-	-	-	-	-1.4	-	-	-1.2	-	-1.3	
	2006-2014 change in pp	2.3	2.3	2.6	2.6	-	-	2.7	2.0	-1.6	-	1.8	8.1	7.6	6.6	5.1	10.7	2.1	2.6	-	1.1	-	4.7	-	2.4	5.1	1.4	2.3	3.6	1.9	2.0	-	-	
	2014	16.5	16.4	16.7	16.7	16.0	24.5	10.5	7.8	8.9	6.4	19.5	26.5	21.1	15.1	25.3	20.0	25.1	15.4	18.4	8.3	17.4	10.4	7.4	8.4	16.0	17.1	21.4	12.0	16.6	18.8	9.4	15.6	
	2015	-	-	-	-	-1.4	-1.3	-	-	-	-	-1.7	-1.9	-1.5	-	-	-2.0	-	-1.8	1.6	-2.7	-	-	-	-	-	-1.7	-	-1.2	1.2	-	-	-1.7	
2006-2014 change in pp	2.6	2.5	2.6	2.6	1.7	2.9	1.6	2.1	-2.9	8.3	2.0	10.0	5.4	11	10.3	8.4	11.7	-	-	-	2.2	2.7	2.8	-	3.7	4.4	8.0	4.1	2.2	3.9	-1.3	-		
Active ageing	NEETs (18-24)																																	
	2011	51.3	51.9	51.7	51.7	42.7	50.0	54.0	63.2	65.8	54.0	54.0	44.3	47.0	50.2	46.3	54.1	54.2	42.5	41.7	37.7	39.9	45.1	42.5	47.8	45.1	45.1	38.4	44.8	38.1	74.0	61.0		
	2012	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2013	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2006-2014 change in pp	2.6	2.4	1.8	1.7	2.6	2.4	1.7	-1.6	1.1	1.4	-1.6	3.5	-2.7	1.6	2.8	2.0	3.8	1.4	-	1.3	1.9	-	-	-	-	-	-	-	-	-	-	-	
	2014	6.3	6.4	7.4	7.3	8.2	4.0	6.4	4.8	11.9	1.7	-	-0.0	-1.2	8.8	-	11.9	-7.9	-2.7	3.2	8.4	10.8	7.6	6.9	6.3	10.9	-2.9	-	2.6	5.6	1.6	3.9	3.0	
	2015	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2006-2014 change in pp	17.8	17.7	16.0	16.0	17.3	47.8	10.7	10.4	17.4	38.0	15.0	23.0	22.9	10.1	29.7	20.2	27.2	28.3	31.9	6.4	18.1	23.3	6.9	15.7	18.2	21.1	24.0	20.1	13.4	17.0	16.5	19.3	
	2015	-	-	-	-	0.8	-2.2	n.a.	-	1.4	n.a.	-	-1.6	-0.7	-2.2	-1.8	-	3.2	-	-	-	2.5	-	-	-	-	-1.5	0.8	-1.0	-2.9	-	-	-1.2	
	2006-2014 change in pp	5.7	4.4	n.a.	5.6	-7.9	-1.8	n.a.	1.9	-12.9	-9.5	-5.1	-12.0	-4.0	n.a.	-4.2	-21.1	-19.5	-8.0	-	-	-2.8	5.5	-8.7	-6.6	-19.2	-4.3	-8.5	-8.9	-	-	-	-9.1	
Pension adequacy	Median relative income of elderly people																																	
	2014	0.94	0.94	0.95	n.a.	0.77	0.82	0.84	0.78	0.90	0.83	0.91	1.00	1.03	1.02	0.88	0.99	0.75	0.71	0.77	1.11	1.08	0.78	0.89	0.95	0.94	1.04	0.91	0.91	0.91	0.79	0.83	0.86	
	2015	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2006-2014 change in pp	n.a.	n.a.	n.a.	n.a.	0.18	0.14	0.16	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	0.12	
	2014	0.56	0.56	0.57	n.a.	0.47	0.44	0.55	0.45	0.45	0.47	0.38	0.60	0.60	0.59	0.42	0.44	0.59	0.44	0.45	0.65	0.65	0.56	0.50	0.60	0.63	0.63	0.64	0.45	0.62	0.51	0.60	0.50	
	2015	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	2006-2014 change in pp	n.a.	12.0	14.0	n.a.	-	29.4	7.8	n.a.	-	11.1	-22.4	46.3	38.3	6.2	n.a.	25.5	18.2	46.7	-	46.6	-	34.6	16.3	-	11.5	23.5	30.6	-	14.8	-	-	16.3	
	2015	3.6	3.6	n.a.	n.a.	1.9	8.9	1.0	1.3	1.6	8.4	3.3	9.0	0.8	2.7	3.3	7.1	4.4	18.8	3.2	0.9	2.4	0.9	0.4	0.4	8.8	3.0	10.4	0.0	1.9	4.3	1.9	1.6	
	2013	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2006-2014 change in pp	n.a.	n.a.	n.a.	n.a.	-6.4	-	-	-	-	1.1	1.5	3.6	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Health	Healthy life years at 65+ - males																																	
	2013	8.5	n.a.	n.a.	n.a.	10.8	8.7	8.5	11.6	7.0	5.1	10.9	8.0	9.7	9.8	5.5	7.7	9.5	4.0	5.9	10.9	6.2	12.8	9.5	8.9	7.2	9.6	5.8	7.2	4.7	8.4	12.9	10.6	
	2014	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2006-2014 change in pp	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	-13.3	-	11.1	27.5	17.2	-11.1	-	12.6	n.a.	-	-16.7	-	-	10.7	21.9	-	10.3	-	43.3	-0.6	-21.7	40.0	-	-	-	-	
	2013	8.6	n.a.	n.a.	n.a.	10.9	9.9	8.9	12.7	7.0	5.7	12.1	6.6	9.0	10.7	5.9	7.1	8.7	4.2	6.3	10.6	6.1	12.7	9.2	8.8	7.8	9.3	5.2	7.6	3.7	9.0	13.8	10.7	
	2014	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2006-2014 change in pp	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
	2014	11.4	11.4	11.3	n.a.	10.4	12.9	10.5	15.6	15.9	8.3	5.5	40.7	10.9	5.1	7.5	15.5	4.0	9.8	7.1	6.8	11.4	1.6	15.4	6.6	9.6	9.2	14.9	6.4	9.0	3.1	7.8	12.1	
	2015	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2006-2014 change in pp	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Evolution in household real disposable income	Real change in gross household disposable income (in %)																																	
	2012	4.0	n.a.	n.a.	0.7	-	1.4	2.0	n.a.	n.a.	0.6	1.2	0.9	-	-12.7	4.1	2.4	n.a.	2.8	n.a.	1.1	-	n.a.	-	n.a.	-	n.a.	1.4	3.3	-0.9	2.2	-	-	
	2013	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2014	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2006-2014 change in pp	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
	2014	5.1	n.a.	n.a.	2.4	-	6.5	-	4.2	4.0	-2.7	n.a.	-31.2	-8.6	3.5	-8.1	-9.6	-21.0	-14.7	-4.9	n.a.	-2.3	n.a.	-	-	-	11.7	-8.8	n.a.	-5.0	5.4	4.0	16.9	2.7
	2015	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
	2006-2014 change in pp	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.

**ANNEX 3: EXAMPLE OF DEFINITION AND BREAKDOWN OF PRIMARY INDICATOR<sup>1</sup>**

Indicator	Definition	Data sources + most recent year available
1a Low income rate after transfers with breakdowns by age and gender	Percentage of individuals living in households where the total equivalised household income is below 60% of the national equivalised median income. Age groups are: 1.0-15, 2.16-24, 3.25-49, 4.50-64, 5. 65+. Gender breakdown for all age groups + total	Eurostat
1b Low income rate after transfers with breakdowns by most frequent activity status ECHP 1997	Percentage of individuals aged 16+ living in households where the total equivalised household income is below 60% of the national equivalised median income. Most frequent activity status: 1.employed, 2.self- employed, 3.unemployed, 4.retired, 5.inactives-other. Gender breakdown for all categories + total	Eurostat
1c Low income rate after transfers with breakdowns by household type ECHP 1997	Percentage of individuals living in households where the total equivalised household income is below 60% of the national equivalised median income. 1. 1 person household, under 30 years old 2. 1 person household, 30-64 3. 1 person household, 65+ 4. 2 adults without dependent child; at least one person 65+ 5. 2 adults without dep. child; both under 65 6. other households without dep. Children 7. single parents, dependent child 1+ 8. 2 adults, 1 dependent child 9. 2 adults, 2 dependent children 10. 2 adults, 3+ dependent children 11. other households with dependent children 12. Total	Eurostat
1d Low income rate after transfers with breakdowns by tenure status	Percentage of individuals living in households where the total equivalised household income is below 60% of the national equivalised median income. 1. Owner or rent	Eurostat

<sup>1</sup> Social Protection Committee, Report on Indicators in the field of poverty and social exclusion 2001

	<ul style="list-style-type: none"> <li>2. Tenant</li> <li>3. Total free</li> </ul>	
1e Low income threshold (illustrative values)	<p>The value of the low income threshold (60% Of the median national equivalised income) in PPS, Euro and national currency for:</p> <ul style="list-style-type: none"> <li>1. Single person household</li> <li>2. Household with 2 adults, two children</li> </ul>	Eurostat

## ANNEX 4: DATA OF THE DATA WAREHOUSE OF THE SOCIAL CROSSROAD BANK

### Local web application

#### Structure of the web application

This web application provides an overview of the socio-economic composition of the Belgian population at the local geographical level, that is to say at the commune, district or regional socio-economic concertation committee level (RESOC).

The starting point is the local geographical entity. It may be one or more municipalities, one or more districts.

For the selected geographical entity, the following socio-economic variables may be requested:

#### 1. Socio-economic status:

Employee

independent

helping

Salaried and self-employed / caregiver - salaried employment is the main job

Employed and self-employed - self-employed is the main job

Employee and self-employed / caregiver - caregiver job is the main job

Full-time jobseeker with unemployment benefit

Jobseeker after voluntary part-time employment, with unemployment benefit

Job-seekers after studies with a waiting allowance or transitional allowance (up to 2011 inclusive) / jobseeker after studies, with inclusion allowance or transition allowance (from 2012)

Full career break

Exempted jobseeker

Integration income - financial assistance

Pensioner (without work)

Full pre-pension (until 2011) / full unemployed with complementary company (from 2012)

Pre-retirement (as of 2011)

Children receiving family allowances

Incapacity of work

Person receiving a disability allowance (ARR)

other

#### 2. the age group (comprehensive and detailed)

#### 3. gender

#### 4. nationality

#### 5. the nationality history

#### 6. the work regime (of the main job)

fulltime

part time

special

undetermined

7. the percentage of part-time work (of the main job)

8. the average daily wage (of the main job)

9. the duration of unemployment.

### **Statistics on DVD**

The CD-ROM / DVD of the basic applications contains a series of tables giving a very precise and detailed picture of the Belgian labor market and the general socio-economic situation of the population. This CD-ROM / DVD is therefore an extremely effective tool for all those involved in studying the labor market.

### **On demand information**

The Carrefour Bank can, if necessary using the Datawarehouse labor market, participate in research that is useful for the knowledge, design and management of social security. To this end, it can collect social data from social security institutions, aggregate them and then communicate them to the relevant research centers. For example, if a research center wishes to use the services of the Carrefour Bank, it must submit a request that describes in sufficient detail the planned scientific research and the data necessary to carry out the research.

As part of the processing of a request from a scientific body to receive data for research purposes, various bodies are likely to play a role. Whether or not their intervention depends ultimately on two criteria: the number of social security institutions concerned and the possibility of identifying or re-identifying the insured persons to whom the data relate.

Depending on the possibility of re-identifying the insured persons to whom the data relate, a distinction is made between anonymous data, personal coded social data and personal non-encoded social data.

Anonymous data are data that cannot be linked to an identified or identifiable natural person (eg aggregated statistical tables, records relating to natural persons whose characteristics are divided into such large classes that re-identification is impossible, data relating to non-profit associations, etc.).

Personal coded social data is data that requires a code to be able to be linked to an identified or identifiable person. The research centers are not in a position to put them in contact with individual persons. This must be done by the codification body, either the social security institution concerned (if the data can be provided by a single social security institution) or the Carrefour Bank (if the data can be provided by several social security institutions).

Non-coded personal data of a personal nature are data which can be linked to individual persons by research centers.

The communication of personal coded and non-encrypted personal data in principle requires authorization from the Sectoral Committee on Social Security and Health. The communication of anonymous data requires, in certain cases, an opinion from the Sectoral Committee on Social Security and Health.

Additional information concerning the communication of data for scientific purposes.

For more see: <https://www.ksz-bcss.fgov.be/fr/dwh/homepage/index.html>

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