Thoughts of Sichuan Province on “Pluralistic” Social Investigation on Performance Evaluation

Supervision and Performance Division
Sichuan Provincial Finance Department

LI Jun
Sichuan “3+2” Budget Performance Control System

3 Links
- Ex ante appraisal
- In-process performance monitoring
- Post-performance evaluation

2 Supports Throughout the whole process
- Performance objectives
- Results application
- Lead
- Promote

2019/9/11
Supervision and Performance Division
Sichuan Provincial Finance Department
Whether the public goods and services provided by the government meet the demands of the beneficiaries

First, the original intentions to establish this policy, system, and/or special project

Second, whether the performance objectives have been achieved

Identify problems and solve them

Whether the public goods and services provided by the government meet the demands of the beneficiaries
Two-Dimension Analysis of Performance Evaluation

- Integral analysis
  - Use the data provided by the existing departments or collect comprehensive data
  - Set up assumptions
  - Demonstrate the question
  - Comprehensive analysis

- Sample analysis
  - Collect sample data and information
  - Conduct pluralistic social investigation
  - Make analysis around the objectives, questions and demands
“Pluralistic” social investigation is an important support to performance evaluation in sample analysis and research.

Sichuan’s social investigation consists of pluralistic subjects as follows.

- Policy/project decision-makers/managers
- Policy/project executors
- Policy/project beneficiaries
- Policy/project related parties

2019/9/11

Supervision and Performance Division
Sichuan Provincial Finance Department
“Pluralistic” social investigation is an important support to performance evaluation in the sample analysis and research.

Sichuan’s social investigation consists of pluralistic methods as follows:

- Field visit
- One-to-one interview
- Broad enquiry & conversation
- Questionnaire
- Desktop research & verification
One-to-One Interview

The social investigation approach by one-to-one interviews originates from the practice of performance evaluation in the poverty alleviation undertakings in Sichuan Province. The task of poverty alleviation in Sichuan Province was heavy and difficult with a tight timeframe. In the process of performance evaluation, the evaluation team members had to go to the mountainous areas and the countryside and entered the households to learn about the facts, collect and solve problems one by one. In practice, although one-to-one interviews were difficult to conduct, they achieved good results. Accordingly, this social investigation model has been gradually extended to other performance evaluation tasks in Sichuan, and has become an important part of the province’s “pluralistic” social investigation method.

Deeper
One-to-one interviews can put us in close touch with the local people and help us further understand their most truthful needs, the most direct opinions and their biggest concerns.

More objective
One-to-one interviews have relatively more independent subjects and environment. Communication with the interviewees will be more effective in the one-to-one way as it is more private and less peer pressure and the results of interviews will be more objective and fair.

Closer to the public
One-to-one interviews have more respect for the rights of the public, and widen the communication channels between the government and the local public and create important work value and social significance.
Thoughts on “Pluralistic” Social Investigation

The Sichuan experience finds that the investigative attributes of performance evaluation determine the depth and breadth of an evaluation. As we all know, the essence of an investigation is to seek truth, identify problems, learn rules and patterns, and come up with countermeasures. In this sense, social investigation is the most direct and effective way to conduct research.

We have continued to review our social investigation results by taking account of their necessity and availability. So far we have gradually developed a multi-dimensional social investigation method with policy/project decision-making, implementation and effects as the main nodes, using the “pluralistic” method to carry out “pluralistic” social investigation in order to effectively identify potential policy/project design defects, management weaknesses, funding efficiency and public awareness, thereby improving the quality of evaluation and analysis.
**Main Contents of Investigation of Decision-Makers/Managers**

**Policy/project background**
To understand the necessity of carrying out a policy/project mainly judging from the basis of policy/project establishment, including the legal and regulatory frameworks, central planning systems, opinions and methods, decision-making and resource deployment, etc.

**Extent of matching with policy/project performance objectives**
To comprehensively understand how well the performance objectives match with policy/project planning framework and real needs through the overall analysis of the setting of policy/project performance objectives.

**Policy/project synergy**
To preliminarily judge whether there is coordination or overlapping with other similar policies/projects by making a comprehensive analysis of the regional planning, institutional approaches, scope of support and subsidy criteria of similar policies/projects.

**Rigor of policy/project procedures**
To analyze and judge whether the institutional arrangements and management system of the policy/project are sound by investigating the performance evaluation in the early stage of policy/project establishment.

Mainly enquiry, conversation and desktop research & verification
To investigate and analyze the imbalances and inequities caused by geographical factors, economic conditions and personnel competence in the implementation process of the policy/project.

Whether there is a situation in the process of policy/project implementation that the policy/project regulations do not adapt to the new changes because of the changes in actual needs.

Whether there are non-compliant, unreasonable use or management, or undisbursed policy/project funds thus affecting the funds to produce maximum effects.

Mainly enquiry, conversation and desktop research & verification
Investigation of Beneficiaries

Policy awareness
Reflecting the awareness of the beneficiaries regarding the policy/project, so as to find out the publicity, implementation and information disclosure of the policy.

Fund effects
Reflecting the effects of fund use on the beneficiaries, mainly including economic benefits, social benefits and sustainability.

Fair and equity
Reflecting whether the beneficiaries enjoyed the policy support fairly, and investigating whether there was obvious unfair exclusiveness in the use of the financial fund.

Satisfaction of the beneficiaries
Reflecting the satisfaction of the beneficiaries towards policy/project implementation, as well as their expectation of and suggestions to the continued implementation of the policy/project.

Investigation methods
Mainly field visit, face-to-face interview, and questionnaire

Supervision and Performance Division
Sichuan Provincial Finance Department
Investigation of Related Parties

1. Policy awareness
   Reflecting the awareness of related parties regarding the policy/project and whether there was unfair policy implementation due to imperfect publicity and disclosure systems.

2. Suggestions/opinions to the policy
   Reflecting related parties’ suggestions on policy/project implementation based on their own perspectives.

Investigation methods:
Mainly field visit, face-to-face interview, and questionnaire.
Basic Information of the Policy

1. The essential public healthcare program is an public wellbeing-enhancing program in our country that covers all the residents of our country, and particularly focuses on six sub-populations: children aged 0-6, pregnant women, elderly people over 65, patients with chronic diseases (hypertension and type 2 diabetes mellitus), patients with severe mental disorders and patients with tuberculosis. Meanwhile, the counties/cities and districts may also add more service types according to the actual local needs. For example, some poverty-stricken counties have included patients with chronic obstructive pulmonary disease and rheumatoid arthritis into the special health management program.

2. The essential public health service program is led by the National Health Commission. The finance departments at the central, provincial, municipal/prefecture and county and district levels provide counterpart funding and have the responsibility for supervision and assessment. The health authorities at all levels formulate relevant policies and norms, and guide the specific implementation of program activities. Township health centers, community health centers/stations and village clinics/offices are responsible for the concrete execution. Therefore, the related parties of the policy include financial departments, health authorities, grass-roots medical and health institutions and the public.

3. The essential public health services in Sichuan Province comprise of 12 categories, such as health records, health education, immunization, health management for the elderly, and chronic disease management (including hypertension management and type 2 diabetes management).
Essential Public Health Service Funds Expenditures for the Past Three Years in Sichuan (by Service Contents)

Supervision and Performance Division  
Sichuan Provincial Finance Department
Structure Diagram of the “Pluralistic” Social investigation on Essential Public Health

People to be investigated

- Grass-roots healthcare institutions
- The elderly over 65 and others
- All residents

Interview & enquiry
- One-to-one interview
- Quantitative questionnaire
- Non-participatory observation
- On-site material check-up

Investigation methods

Provincial Health Commission & Finance Department

Supervision and Performance Division
Sichuan Provincial Finance Department
Example: “Interview & Enquiry”

1. Interview with the Health Commission
2. Interview with grassroots healthcare institutions and village doctors
3. Interview with the people receiving services from the public health program
4. Interview with people that might be included in the service scope besides the project’s direct service objects
### Example: Interview Outline with the Health Department

<table>
<thead>
<tr>
<th>Interview outline</th>
<th>01 Interview objects</th>
<th>02 Interview purpose</th>
<th>03 General information</th>
<th>04 Implementation</th>
<th>05 Suggestions</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Officials and staff responsible for the essential public health work in the health commission</td>
<td>To fully understand the project implementation in the area</td>
<td>Including the number of permanent residents, basic health status of residents and regional characteristics</td>
<td>The implementation situation of the 12 categories of the essential public health services in the jurisdiction</td>
<td>Provide feedback on key work, difficulties and problems, and propose suggestions on work improvement</td>
</tr>
</tbody>
</table>

Supervision and Performance Division
Sichuan Provincial Finance Department
THANK YOU!