

Evaluation of Public Policies & Accountabilit

**World Bank Brasilia Office
Brasilia, Brazil
25 May 2018**

**United States Government Accountability Office
Michelle Sager**

Balancing Executive & Legislative Interests

- Context matters
- Balance of power will ebb & flow
- “Possible” sources of resistance
- Politics
- Many forms of evaluation



Overview of Strategies

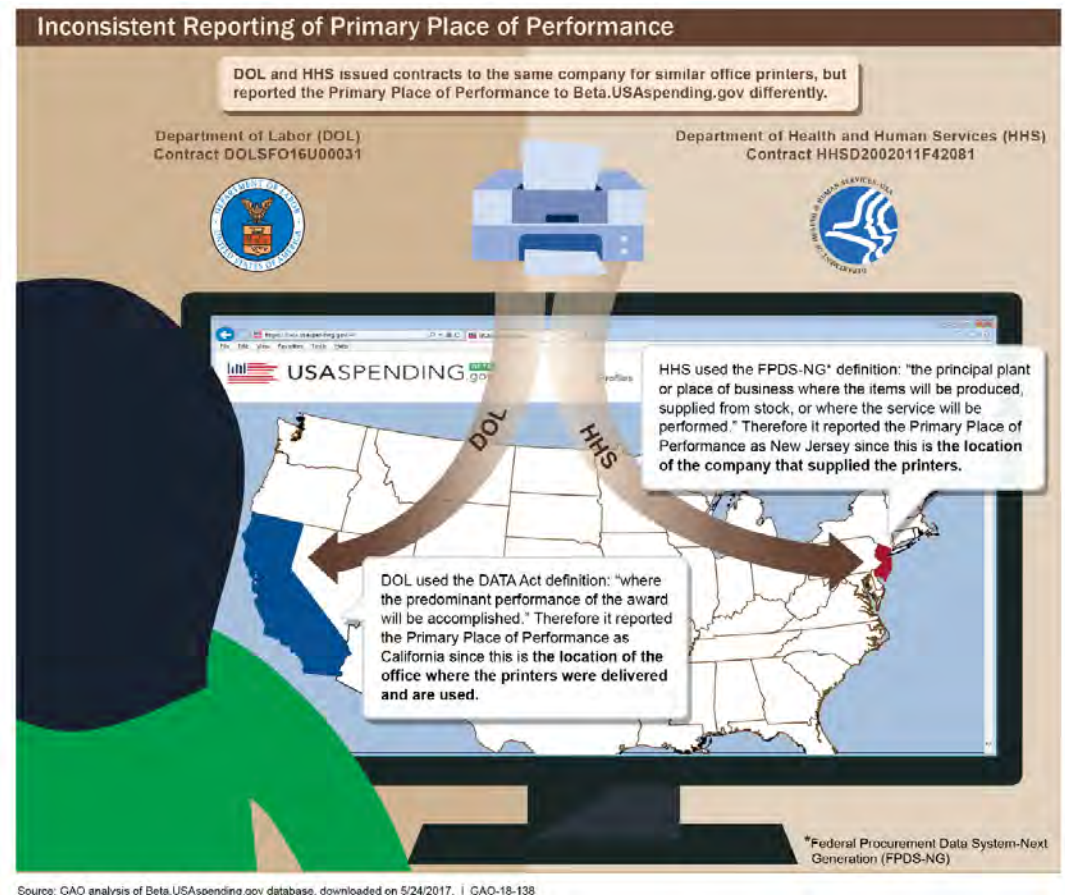
- Automate Evaluation as an Escape Valve
- Embed Transparency
- Enforcement & Incentives
- Intergovernmental Approaches

Automate Evaluation as an Escape Valve

- Built-in evaluation to mitigate need for escape valves
- Legislative provisions to revisit outcomes through evaluation and budget process
- Executive standard operating procedures and grant provisions to ensure evaluation of outcomes
- Role of independent research to foster dialogue on outcomes
- No one-size-fits-all evaluation

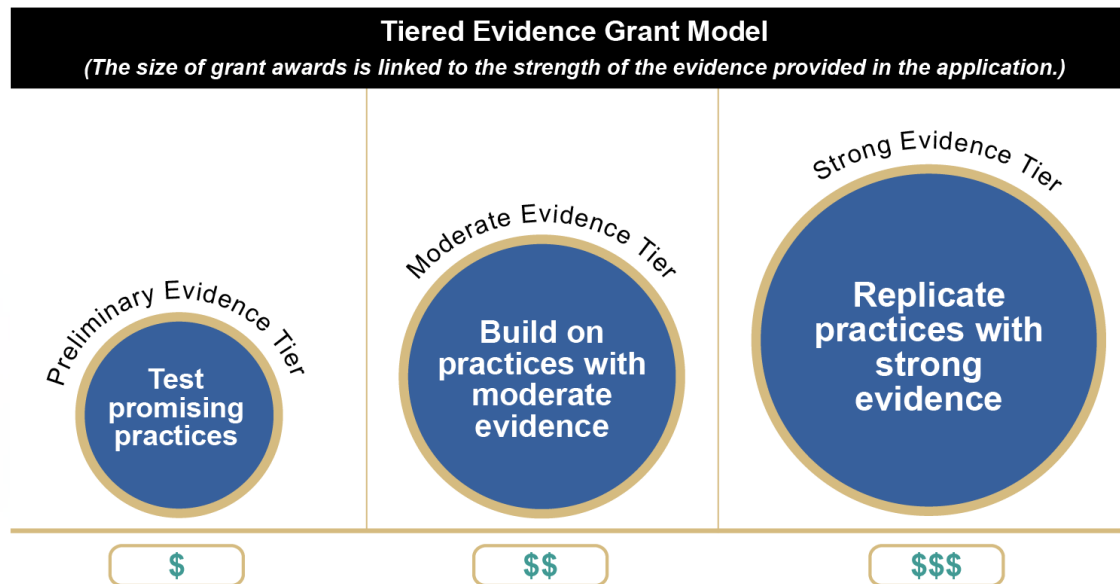
Embed Transparency

- Require public reporting
- Link evaluation to budget proposals
- Legislative oversight access to records plus process to report records not provided
- Clearinghouses of evaluations



Enforcement & Incentives

- Balance of legislative and executive “enforcement”
- Oversight hearings to learn from failure and advance leading practices
- Culture of continuous learning
- Tiered evidence approach



Source: GAO analysis of agency documents. | GAO-16-818

Intergovernmental Approaches

- Service delivery and evaluation at state and local level governments or through nonprofit/civil society partners
- Structures to foster intergovernmental dialogue
- Managers rewarded for approaching policy challenges through multiple levels of government and sectors



Inter-agency coordination and selection of priorities






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Central Government Role

- Complexity
- Intergovernmental lead
- Intragovernmental lead
- Planning and budgeting
- Cultural change agent

What are the requirements of the Fraud Reduction and Data Analytics Act of 2015?	
	The Office of Management and Budget (OMB) must establish guidelines that incorporate leading practices from GAO's Fraud Risk Management Framework.
	Agencies are required to establish financial and administrative controls, to include, among other things, evaluating fraud risks, designing and implementing related antifraud controls, and using data to monitor fraud trends.
	OMB must establish a working group to improve the sharing of controls and other best practices for addressing fraud and development of data-analytics techniques.
	The working group must submit a plan to the Congress for establishing a federal interagency library of data analytics and data sets that can be used to address fraud.
	Federal agencies must report to the Congress for 3 years, as part of their annual financial reporting, on their progress in implementing OMB's guidelines and other antifraud guidance, identifying fraud risks, and establishing steps to reduce fraud.

Source: GAO analysis of legislation. | GAO-18-1SP

Selecting policies to evaluate

GAO's Fraud Risk Framework

It includes leading practices in four components:

Commit to combating fraud by creating an organizational structure and culture conducive to fraud risk management.

Assess fraud risks and document the assessment in a fraud risk profile.



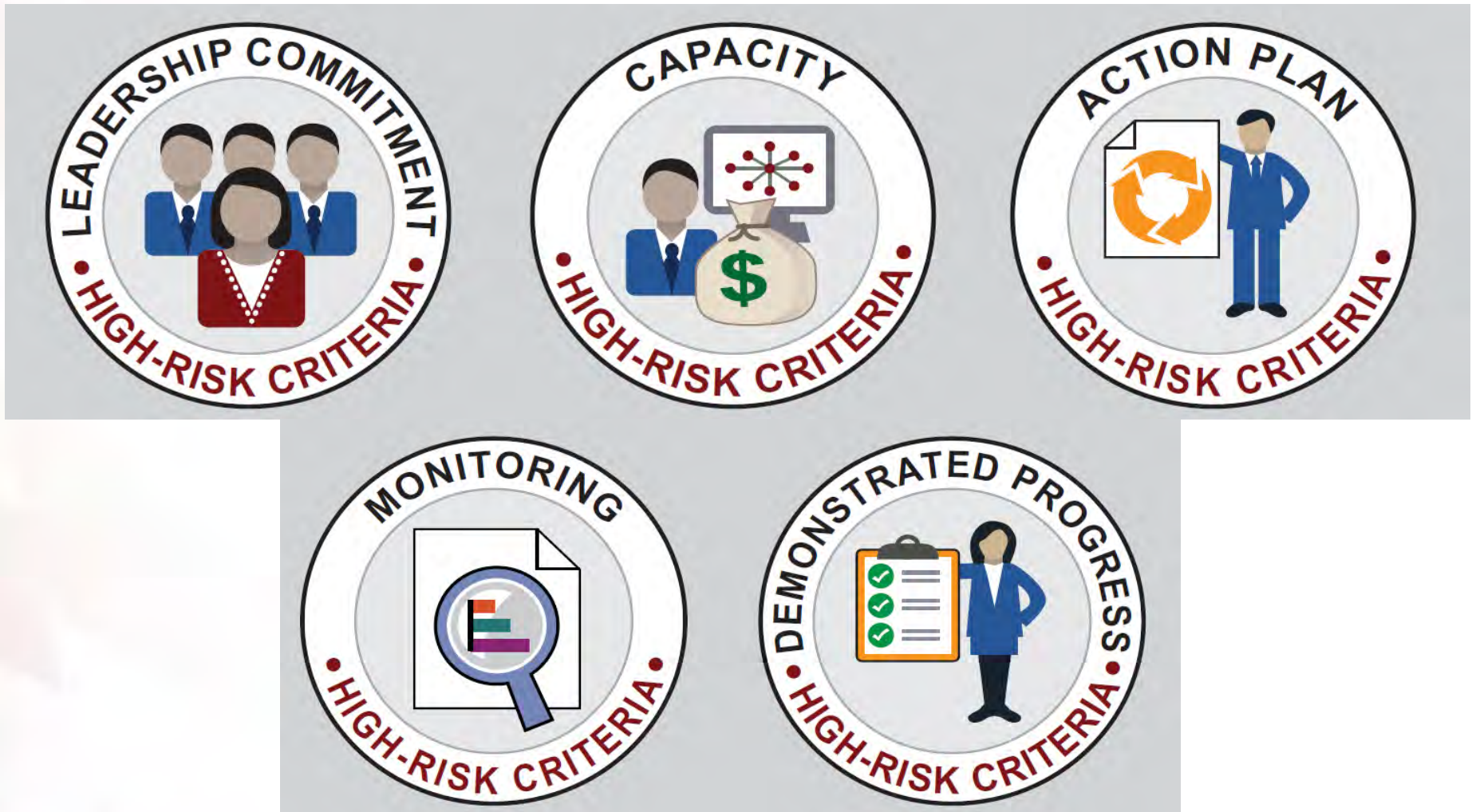
Evaluate outcomes and adapt fraud risk management activities for continuous improvement.

Design and Implement a strategy with control activities to mitigate fraud risks.

The Framework emphasizes using a risk-based approach and focusing on fraud prevention. The practices may be tailored to a program's operations, environmental factors, and risks.

Selecting evaluation criteria

Criteria for Removal from GAO's High Risk List



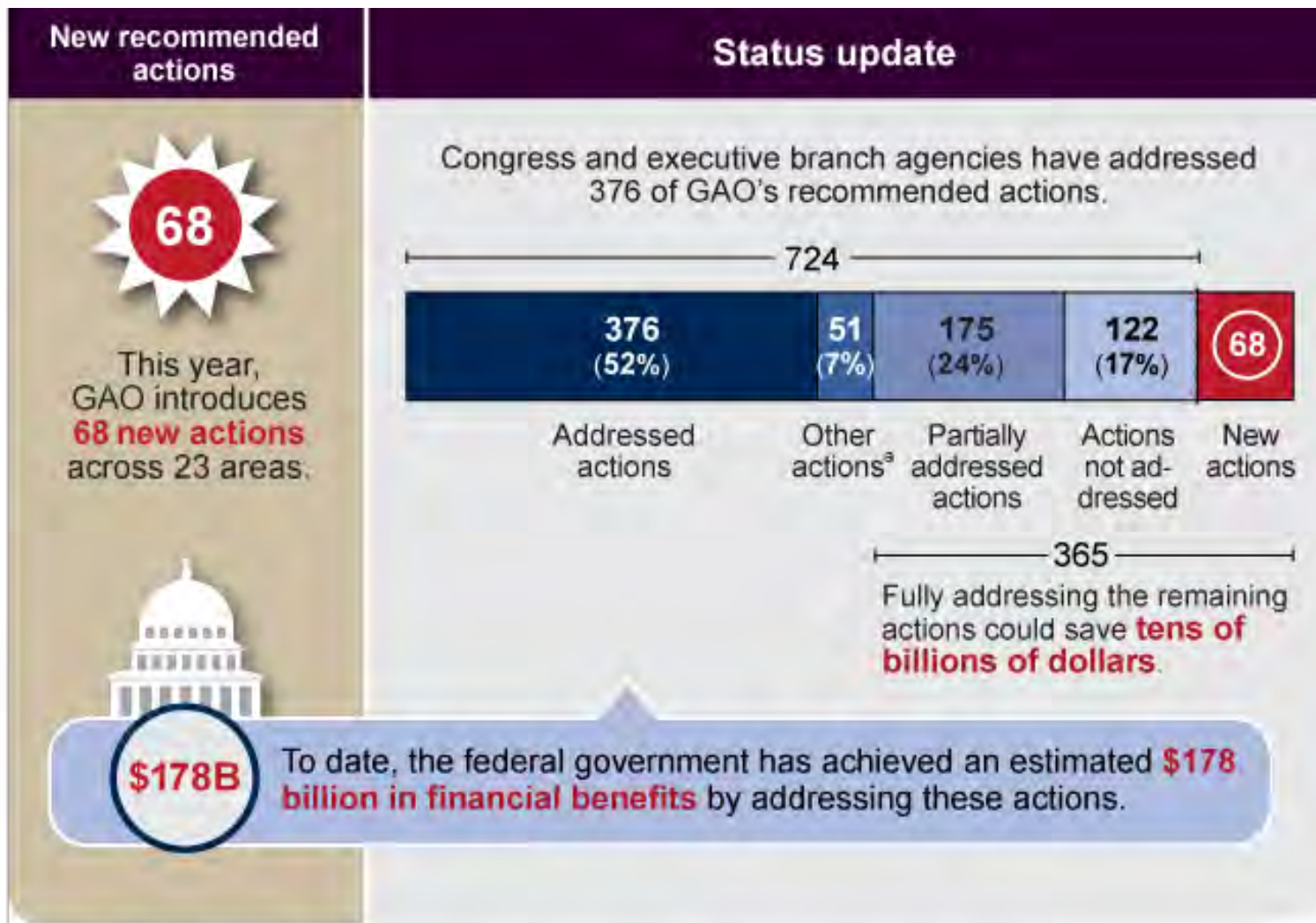
Selecting the evaluator

- What is the question?
- What is the desired expertise?
- Independence?
- Methods?
- Rigor?

Example: Early Care Indicators of Child Well-Being



Implementing, coordinating and monitoring evaluation results



Source: GAO. | GAO-18-371SP

^aOther actions include those that were consolidated or closed-not addressed. These actions are no longer assessed.

Use of Evaluation Results and Transparency

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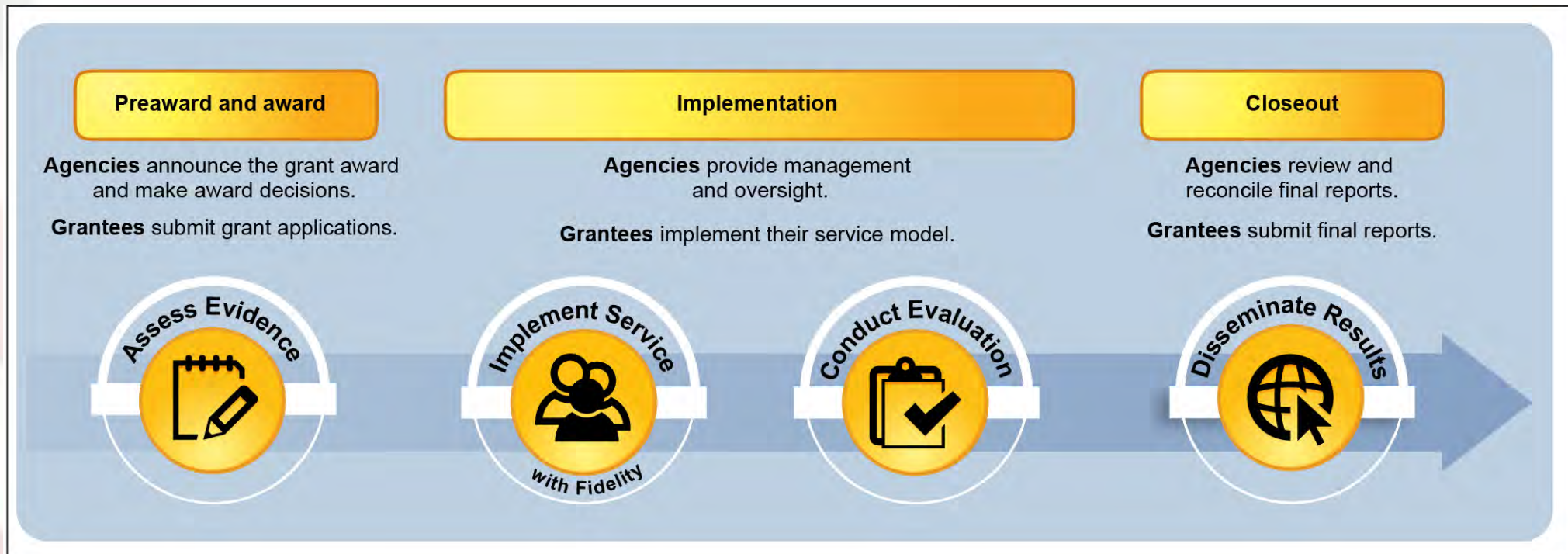
Evaluation Transparency

- Transparency roles – legislative, executive, and independent entities
- Comment period
- Scalability and replicability
- No surprises for clients or stakeholders



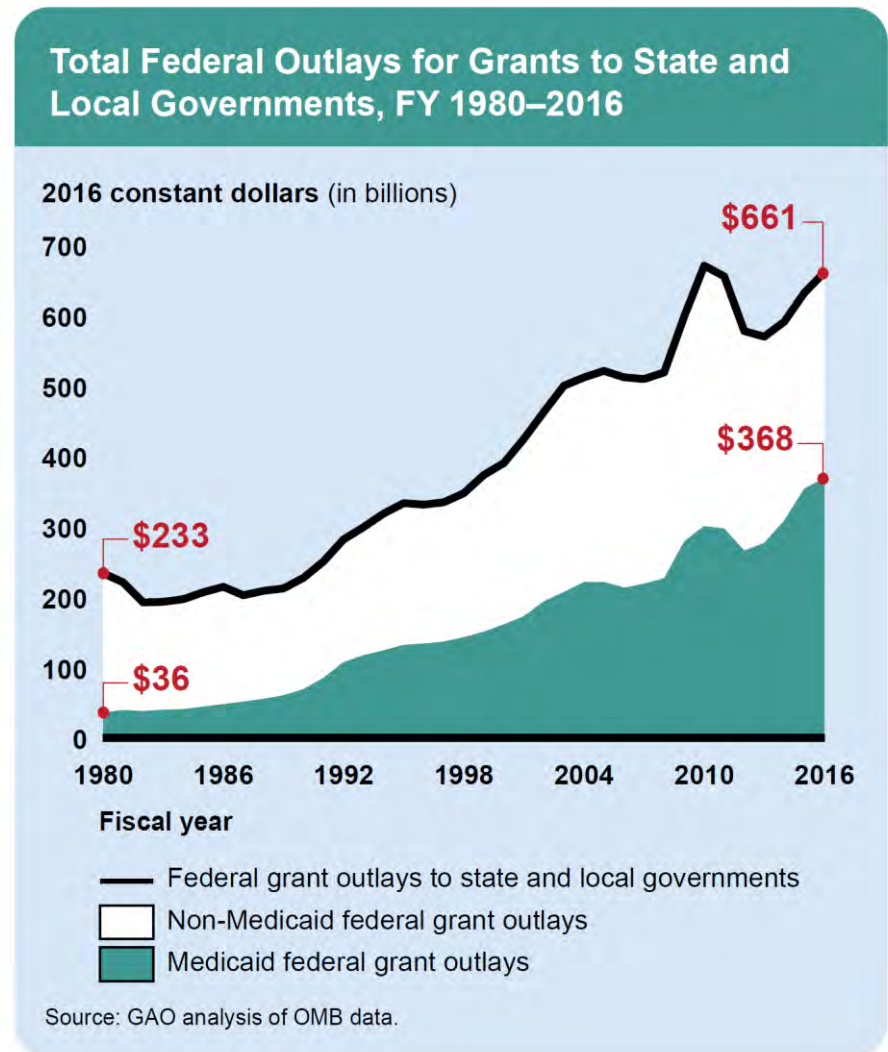
Evaluation Feedback Loops

- Feedback loop roles – legislative and executive as well as independent entities and grantees



Evaluations, Budgets and Management

- Building in capacity for evaluation
- Clarifying expectations for partners
- Communicating results



Mechanisms and Incentives for Policy Evaluation Adoption

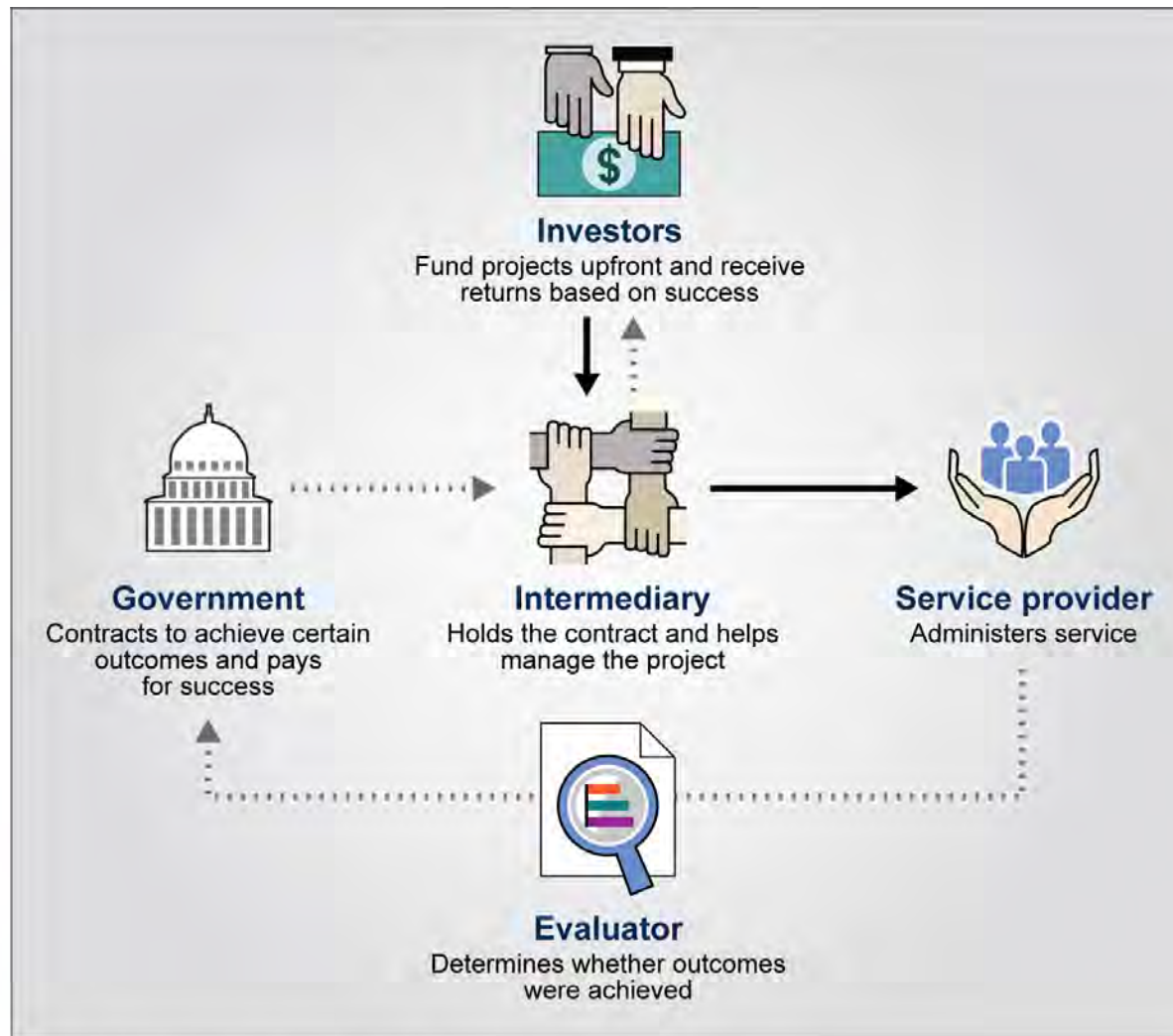
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Selected Policy Evaluation Mechanisms

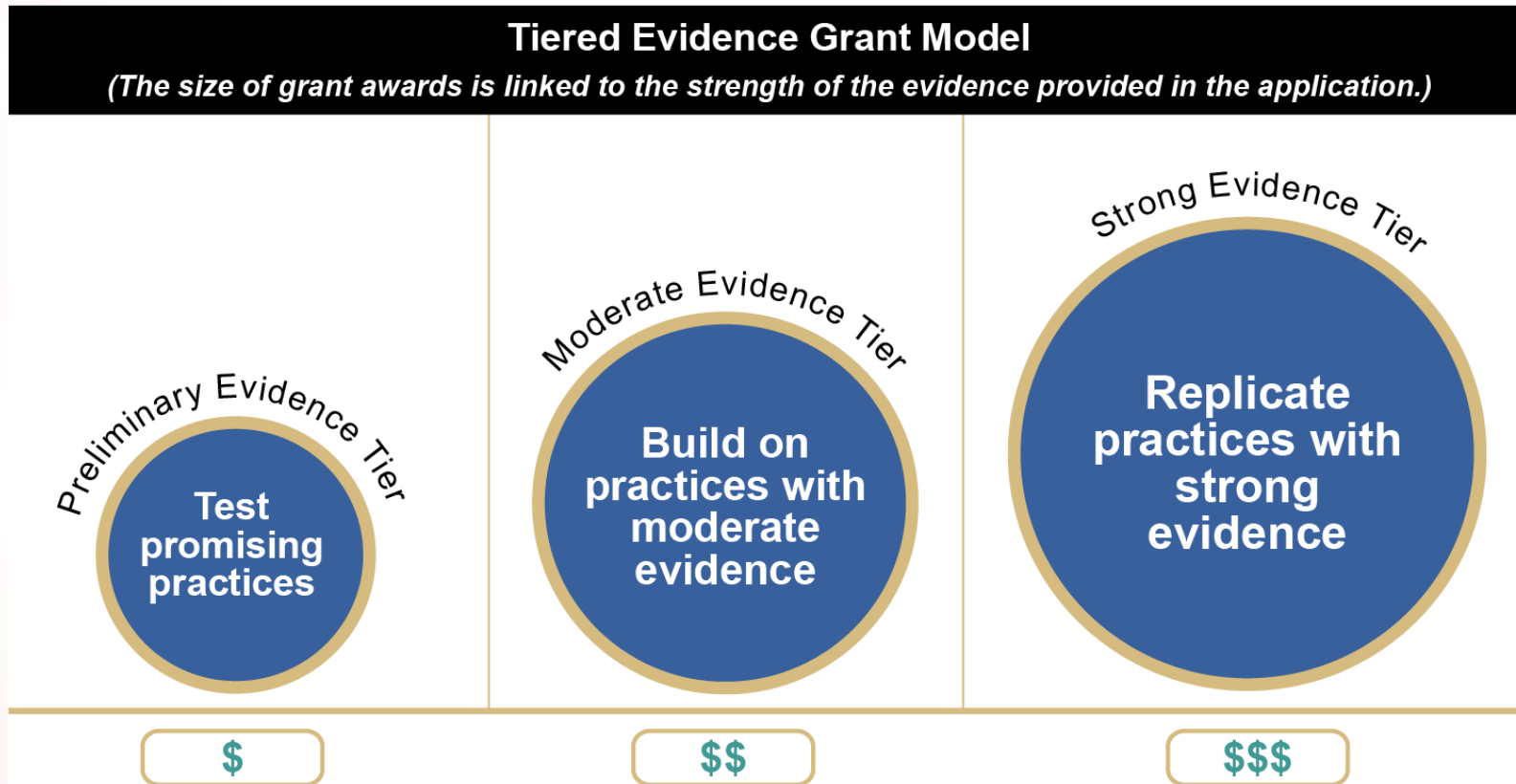
- Pay for Success / Social Impact Bonds
- Tiered Evidence
- Performance Partnership Pilots
- Open Innovation

Pay-for-Success/Social Impact Bonds



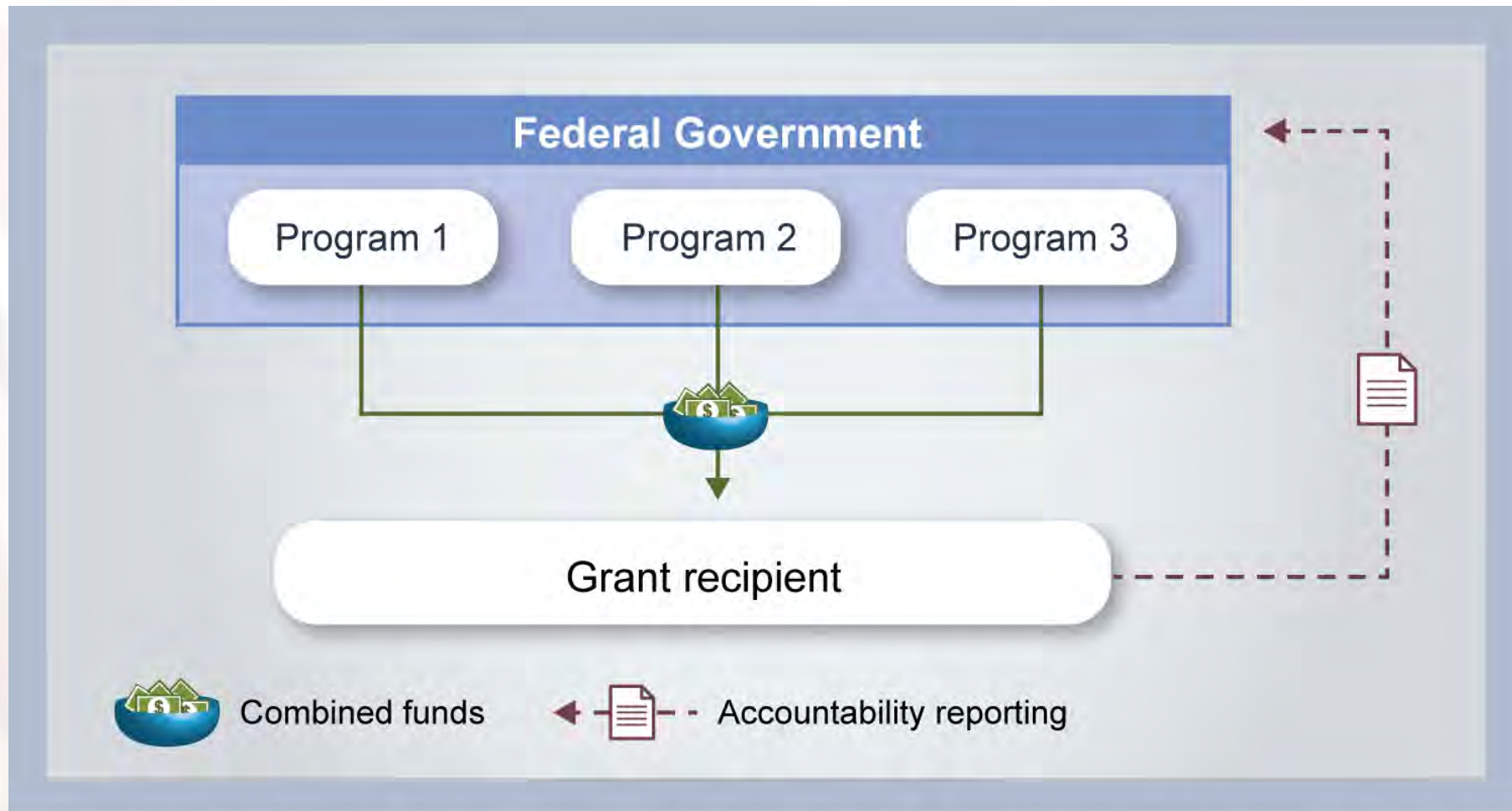
← Flow of upfront funding and project implementation
◀ Potential flow of achieved outcomes and outcome payments

Tiered Evidence



Source: GAO analysis of agency documents. | GAO-16-818

Performance Partnership Pilots



Source: GAO analysis of publicly available documents and documents provided by the Environmental Protection Agency and the Department of Education. | GAO-17-208

Open Innovation



Crowdsourcing and Citizen Science

In crowdsourcing, agencies submit an open call, generally through the Internet, for voluntary assistance from a large group of individuals to complete defined tasks. Similarly, in citizen science, participants assist with science-related tasks, such as collecting and analyzing data, and interpreting and reporting results.



Idea Generation (Ideation)

Agencies ask participants to submit ideas to address a specific issue or problem, and may allow them to comment on ideas submitted by other participants, and vote to express their support for an idea.



Open Data Collaboration

Agencies mobilize participants to share, explore, and analyze publicly-available data sets, and to use the data to conduct research, design data visualizations, or create web and mobile applications and websites that help people access and use the data.



Open Dialogue

Agencies collect and respond to information, observations, and perspectives from a range of citizens, experts, and stakeholders. They can do this using online tools, such as websites or interactive webinars, and in-person meetings or forums.



Prize Competition or Challenge

Agencies identify a problem to solve or a specific goal it wants to achieve, and ask members of the public to submit potential solutions. The agency evaluates these proposals, and provides a monetary or non-monetary award to selected winners.

Context Matters: Trends Affecting Government & Society



Global Security



Debt and Fiscal Outlook



Economics, Trade, &
Connectedness



Education and
Employment



Changes in People and
Society



Science & Technology



Government and
Governance



Environment and
Sustainability

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