

Method for evaluating policy measures in the Government of Japan

—In particular, in the central office of the
Government—

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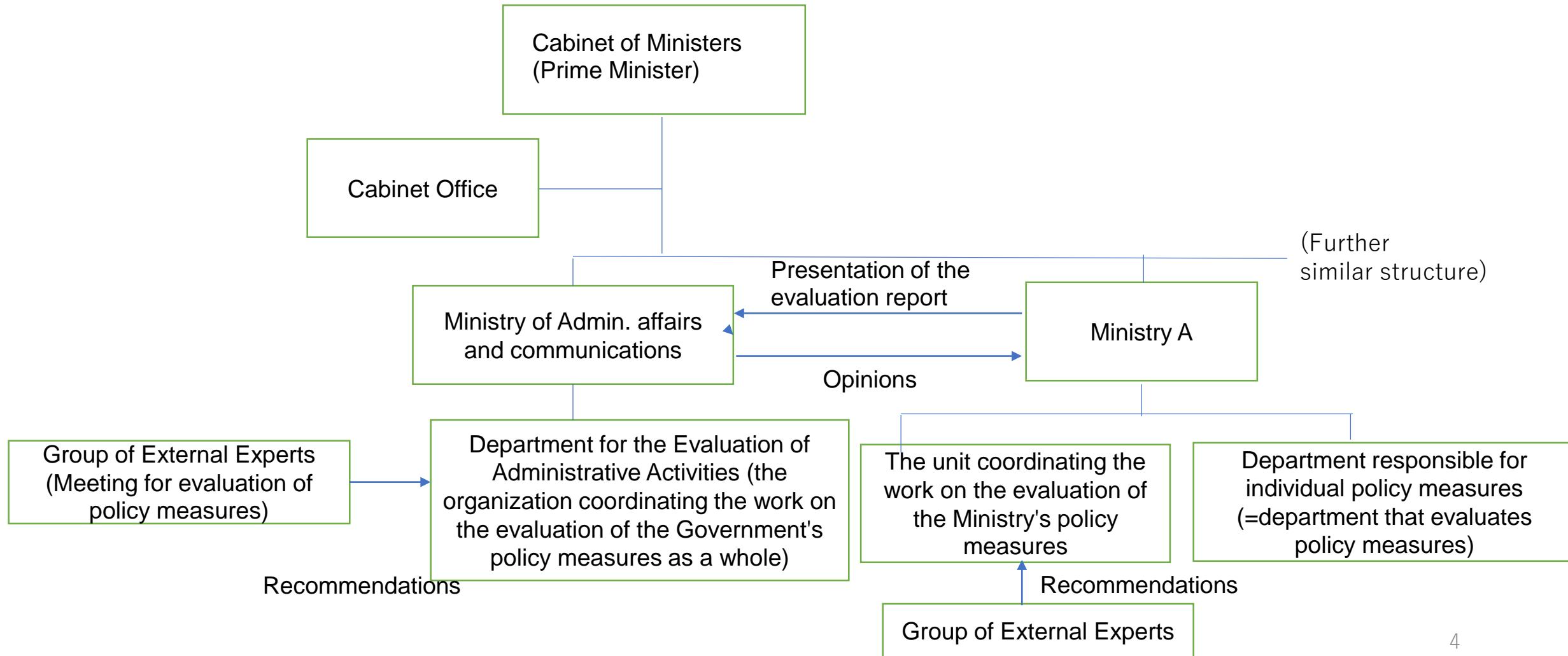
Evaluation of policy measures by the Central Office of the Government

- Evaluation of policy measures is carried out in accordance with the legislation ("Law on the Evaluation of Political Measures carried out by Administrative Bodies" 2001).
- Evaluation of policy measures is an obligation of each ministry.
- Each ministry gets acquainted with the effects of policy measures and evaluates them in terms of necessity, effectiveness and efficiency. An assessment report is compiled and published (on the website of each ministry).
- Evaluation results are reflected in the policy measures being developed. Information on how the evaluation results are reflected is published (on the website of each ministry). (In the so-called "PDCA Cycle", the evaluation of policy measures refers to stage "C")
- Evaluation is carried out by the employee who is responsible for this policy measure (internal evaluation).

(reference) Structure of the central office of the Government

Cabinet Office	Ministry of Justice
Administration of the Imperial Court	Ministry of Foreign Affairs
Fair Trade Commission	Ministry of Finance
National Public Security Commission / National Police Department	Ministry of Education, Culture, Sports, Science and Technology
Personal Data Protection Commission	Ministry of Health, Labor and Social Security
Casino Regulatory Commission	Ministry of Agriculture, Forestry and Fisheries
Financial Services Agency	Ministry of Economy, Trade and Industry
Consumer Affairs Agency	Ministry of Land, Infrastructure, Transport and Tourism
Reconstruction Agency	Ministry of the Environment
Ministry of Administrative Affairs and Communications	Nuclear Regulatory Commission
Environmental Dispute Resolution Commission	Ministry of Defense

Organizational structure for conducting the evaluation of policy measures



Ways to evaluate policy measures(out of 3 standard methods, one method is selected by each ministry)

Standard methods	Description	Total number of evaluations carried out by government agencies (FY2020)
Evaluation of achievements (evaluation of policy measures to manage the set goals)	It is widely practiced by ministries and departments. This method was formulated on the model of "measuring the results of work", which were developed in the USA and Europe. The assessment is carried out in terms of the level of achievement of the set goals relative to the results of policy measures	218
Project evaluation	An assessment carried out in advance for cost-benefit analysis. The assessment is carried out in relation to public works projects such as the construction of highways, dams, as well as government regulation measures, tax incentives, R&D, official development assistance programs, etc.	1,049
Comprehensive evaluation	Evaluation is carried out in an integrated manner through a comprehensive and in-depth analysis of the manifested effects of policy measures. General features of evaluation (purpose, necessity, point of view, methodology), policy measures, the implementation of policy measures, their results, evaluation of results, as well as the future perspective are described.	11

Specific means of implementation (according to the "Guidelines for the evaluation of Policy measures")

1. Systematization of policy measures

(The "Guidelines" require an evaluation of policy measures indicating the overall system of policy measures of the Ministry using a three-level separation system: "policy" (in the narrow sense of the word), "program", "project".)

2. Evaluation methods

(The "Guidelines" explain the specific content of the project evaluation method, the method of evaluating achievements and the method of integrated evaluation, and those points that need to be paid special attention to when implementing them.)

3. Evaluation methodology

(The "Guidelines" require the use of a rational evaluation methodology.)

4. Using the knowledge of scientists and experts

5. Reflection of evaluation results in policy measures

6. Creating conditions for the evaluation of policy measures

The method of evaluating policy measures by the method of targeted management ("method of measuring achievements"="measurement of results" in the USA and Europe)

- ① Setting the main goal of policy measures (for example: tourism development)
- ② Setting a task (for example: increasing the number of foreign tourists) that determines the level of achievement of the main goal, an indicator (for example: the number of foreign tourists) and a specific target figure (for example: doubling),
- ③ Specifying the period of achievement of the objective (for example: after 5 years)
- ④ Specifying criteria for achieving the objective (for example: at least 80% of the target figure)
- ⑤ Indication of external factors that may affect the achievement of the objective (for example: currency exchange rate)
- ⑥ Determining how to obtain information and data for measuring indicators (for example: tourism statistics)
- ⑦ Improvement of policy measures based on the results of regular measurement of indicators and analysis throughout the period until the achievement of the task (or revision of the goal itself). Final assessment at the time of achievement of the task and revision of policy measures or task formulation based on its results
- ⑧ Regarding those policy measures in which the objective is not achieved, it is necessary to clarify the problematic points and in-depth analysis of the causes using the method of "assessment of achievements" or the method of "comprehensive assessment"

Unified Government criteria for determining the level of achievement (5-level system)

achievement levels	criteria	Share of government bodies in total number of projects (FY 2020)
Перевыполнение задачи	По всем индикаторам задача достигнута, к тому же полученный результат в значительной степени превышает контрольные цифры по главным индикаторам.	0.5%
Достижение задачи	По всем индикаторам задача достигнута, но нельзя сказать, что полученный результат в значительной степени превышает контрольные цифры по главным индикаторам.	34.9%
Есть прогресс в значительной степени.	По некоторым или всем индикаторам задача не достигнута, но по главным индикаторам полученный результат близок к контрольным цифрам. Поэтому предполагается, что за относительно короткий срок может быть достигнута задача.	59.2%
Прогресс невелик.	По некоторым или всем индикаторам задача не достигнута, к тому же полученный результат далек от контрольных цифр. Поэтому предполагается, что для достижения задачи требуется немало времени.	3.2%
Прогресс не наблюдается.	По всем или некоторым главным индикаторам задача не достигнута и прогресс не наблюдается. Поэтому нет никакой надежды на достижение задачи в установленный срок.	1.4%

When evaluating policy measures using the targeted management method, it is necessary to compile and publish a "Preliminary Analysis Table"

施策名	□□な△△の向上										担当部局名	〇〇局〇〇課	作成責任者名 (※記入は任意)	〇〇課長 〇〇 〇〇
施策の概要	〇〇を推進する										政策体系上の位置付け	〇〇の形成を通じ△△の構築		
達成すべき目標	全ての〇〇が……な程度に……できるような△△を実現								目標設定の考え方・根拠		……との理念にしたがって、〇〇計画(閣議決定)において、「〇〇〇」と規定されている	政策評価実施予定時期	平成〇年〇月	
測定指標	基準値		目標値		年度ごとの目標値 年度ごとの実績値						測定指標の選定理由及び目標値(水準・目標年度)の設定の根拠			
		基準年度		目標年度	24年度	25年度	26年度	27年度	28年度	29年度				30年度
1 〇〇調査における△△率 (※4か年計画の場合の記入例)	50%	24年度	70%	28年度	－	〇%	〇%	〇%	70%	－	－	・本施策における重点事項を定めている〇〇計画(閣議決定)において、〇〇調査における△△率については、××年までに□□%にすることとされているため		
					50%	〇%								
2 □□適合基準率 (※10か年計画の場合の記入例)	75%	25年度	90%	35年度	－	－	－	－	－	－	83%	・〇〇基本計画(閣議決定)の成果指標として□□適合基準率が、75%(H25)→83%(H30)→90%(H35)と規定されているため		
					－	75%	中間段階において50%に満たない場合には、計画の見直しを実施							
測定指標	基準		目標		施策の進捗状況(目標) 施策の進捗状況(実績)						測定指標の選定理由及び目標(水準・目標年度)の設定の根拠			
		基準年度		目標年度	24年度	25年度	26年度	27年度	28年度	29年度				30年度
3 〇〇〇事業計画の推進 (※5か年計画の場合の記入例)	計画対象事業の制度の拡充	24年度	〇〇事業計画の完了	29年度	－	〇〇〇事業計画策定	対象事業選定洗い出し	事業の進捗を管理するための計画の策定	〇〇事業計画の実施促進	〇〇事業計画の完了	－	・□□における第〇次△△計画(閣議決定)において、「平成〇年度までに……〇〇事業を完了する。」と規定されているため		
					－	〇〇〇事業計画策定								
測定指標	目標		目標年度		測定指標の選定理由及び目標(水準・目標年度)の設定の根拠									
4 〇〇〇法の改正作業 (※単年度の目標設定の場合の記入例)	改正法案を次期通常国会に提出		26年度		・〇〇大綱(閣議決定)において、次期通常国会への関連法の改正法案の提出を定めているため									

«Preliminary analysis table»

- The "preliminary analysis table" is a table in which the employee justifies the "selected indicators" and "set target figures" before the assessment in order to independently verify their relevance and expediency.
- Particularly important points are :
 1. objective to be achieved;
 2. approach to the problem statement;
 3. indicators;
 4. target figures;
 5. reason for choosing indicators and justification for setting target figures (level, target year).

There is a single established form of a report on the evaluation of policy measures by the method of targeted management for government agencies

施策名											
施策の概要											
達成すべき目標											
施策の予算額・執行額等	区分	○年度	○年度	○年度	○年度	○年度	○年度	○年度	○年度	○年度	○年度
		当初予算(a)									
		補正予算(b)									
		繰越し等(c)						(※記入は任意)			
	合計(a+b+c)							(※記入は任意)			
執行額(百万円)								(※記入は任意)			
施策に関係する内閣の重要政策(施政方針演説等のうち主なもの)											

測定指標	指標A	基準値	実績値						目標値	達成
		○年度	○年度	○年度	○年度	○年度	○年度	○年度	○年度	
	年度ごとの目標値									
	指標B	基準	施策の進捗状況(実績)						目標	達成
		○年度	○年度	○年度	○年度	○年度	○年度	○年度	○年度	
	年度ごとの目標									
	指標C	施策の進捗状況(実績)						目標	達成	
								○年度		

評価結果	目標達成度合いの測定結果	(各行政機関共通区分)	各行政機関共通の5段階区分を記入
		(判断根拠)	測定指標の結果に基づき、上記区分とした判断根拠を記入
	施策の分析	以下の事項について、記入するよう努める ・施策そのものの問題点 ・達成手段が当該施策目標へ有効かつ効率的に寄与しているか ・外部要因等事前に想定できなかったことにより実績に与えた影響	
	次期目標等への反映の方向性	【施策】 以下の事項について、今後の課題や当該施策に係る問題点を把握した上で、施策、測定指標ごとに記入 ・設定していた目標の妥当性と必要な見直し ・新たな目標の在り方 その他、今後の施策への反映の方向性を記入	

Main points in a single evaluation report form

- Program title
- Brief overview of the program
- Objective to be achieved
- Indicators (benchmarks / actual figures / target figures / determination of achievement or non-achievement)
- Evaluation results
 - ① Results of determining the level of achievement of the task = the level is determined using a 5-level system and the rationale for its definition
 - ② Program analysis = problematic issues and the level of influence of external factors
 - ③ Reflection of the evaluation results in the program itself or their possible reflection in the formulation of the following task

Example of evaluation of policy measures by the method of targeted management (Ministry of Economy, Trade and Industry: "Activation of metabolism in the industrial sector")

- 【 Structure of the METI's policy 】 (excerpt)

- Policy 1: Economic development
 - Program 1: Economic basis
 - Program 2: Exchange of goods
 - Program 3: Technological innovation
 - Program 4: Standards and Certification
 - Program 5: Economic and industrial statistics
- Policy 2: Industrial sector development
 - (further programs are excluded due to limited spaces)
- Policy 3: Industrial Safety
- Policy 4: Foreign economic activity
- Policy 5: Development of entrepreneurship of small and medium-sized businesses / development of regional economy
- Policy 6: Energy / Environment
- Policy 7: Safety in the domestic sector

METI's objectives

To ensure economic and industrial development by increasing the economic potential of the private sector and the smooth development of foreign economic relations, as well as a stable and efficient supply of mineral resources and energy (Article 3 of the "Law on the Establishment of the METI")

Brief overview of the "Evaluation Report" and "Preliminary Analysis Tables"

Policy	Economic and industrial policy
Program title	Exchange of goods
Program brief overview	Program to stimulate the exchange of goods in the industrial and business sector
Objective to be achieved	Intensification of the exchange of goods in the industrial and business sector, including the creation of venture business
Means to achieve	① financing of entrepreneurial activities that create new added value through open innovation ② deferred payment of taxes on profits from the transfer of shares for a shareholder who accepts a takeover offer of a company through the acquisition of shares ③ provision of cash with risk at a low interest rate or long-term cash with risk for persons who intend to create a new business or carry out business restructuring ④ other

(To be continued)

(Indicators for determining the level of achievement of the objective)

Indicators	Control figure	Control year	Target figure	Target year	Reason for choosing the indicator and rationale for setting the target figure (level/target year)
Ratio of venture capital financing for venture companies to nominal GDP (%)	0.026	Average value for 2012-2014 financial years	0.052	FY 2022	In 2016, at the government level, it was decided to double the ratio of venture capital financing for venture companies to nominal GDP by fiscal year 2022.
Business Opening Index (%)	3.8	FY 2014	7.6	FY 2025	In 2015, at the government level, it was decided to double the "Business Opening Index" over the coming decade (the ratio of people to the population who answered in a questionnaire survey conducted by the government that "they have opened a business themselves or are going to open a business"), which is considered as a key indicator of the result of activity.

(To be continued)

(Actual figures for indicators to determine the level of achievement of the objective)

【Objective to be achieved: to intensify the exchange of goods in the industrial sector and in the business sector, including the creation of a venture business】

Ratio of venture capital financing for venture companies to nominal GDP (%)	Control figure	Actual figures					Target figure	Achievement
	Average value for 2012-2014 fiscal years	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	—
	0.026	0.030	0.038	0.046	in the process of determining	— —	0.052	
Business Opening Index (%)	Control figure	Actual figures					Target figure	Achievement
	FY 2014	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2025	—
	3.8	4.7	5.3	5.4	6.5	—	7.6	

(To be continued) 16

(Evaluation results)

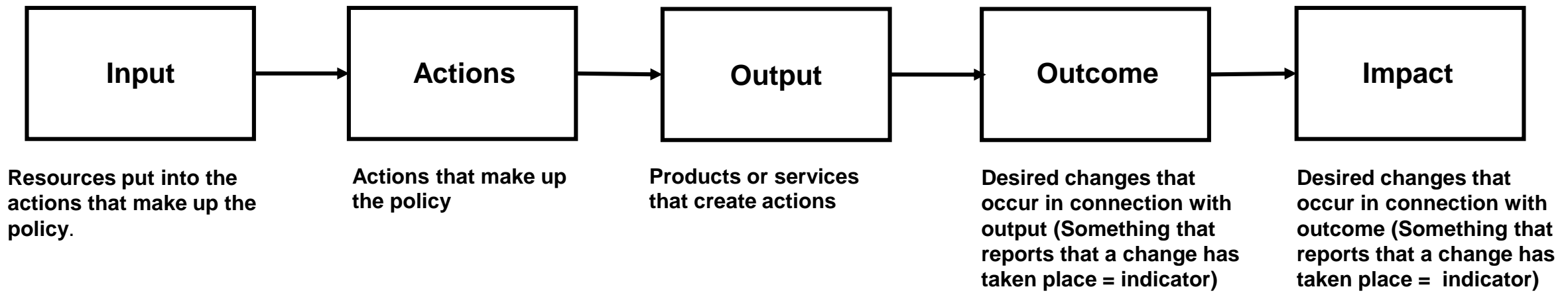
The results of determining the level of achievement of the objective	five-level definition system	③ There is progress to a large extent.
	Rationale for the definition	Ratio of venture capital financing for venture companies to nominal GDP (%) is still being measured, but the actual figure of the business opening index exceeded last year's figure. Therefore, we can assume that the process of achieving the task is going well.
Program analysis	(skipped)	
Direction of reflection of evaluation results in programs and other measures	Consider taking any other measures to achieve the objectives of the program, including the possibility of interaction with external bodies. It is unwavering to implement measures to assist in the development of venture companies in accordance with the relevant legislation.	

Problematic points in the evaluation of policy measures by the method of targeted management(excerpt from the results of the analysis conducted in March 2018 by the Policy Evaluation Meeting)

- The problem is the expediency of data analysis
 - Determining the level of achievement of indicators is not recognized as rational.
 - Explanation of the justification of the definition according to the 5-level system is insufficient.
 - Analysis of the influence of external factors was not carried out.
- Setting the objective and indicators was carried out inappropriately.
 - Program objective description is abstract and the target level is unclear.
 - Target figure of the indicator has not been quantified.
 - Even if a target figure is set in quantitative terms, the target level is not identified.
 - indicator is unsuitable for determining the level of achievement of the objective.

Effective measures to solve problematic issues (What the Policy Evaluation Meeting suggests)

- Building and using a logical model
 - Logical model is a drawing depicting a chain of actions and changes, which shows what effects (desired changes in society, economy and individual) are expected from the implementation of the program to achieve the task and solve problems.
 - Objective or indicator is easily set.



Current situation of the system of evaluation of policy measures in local governments of Japan

- Japan's local governments are entities independent of the central government.
- There is a head and an assembly (deputies) who are elected in direct elections by the population.
- With the exception of small governments, many local governments evaluate policy measures.
- Mainly the following is carried out:
 - 1) evaluation of the level of achievement of the goal in a comprehensive mid-term plan (strategic plan) and,
 - 2) evaluation of the effects and cost-effectiveness of policy measures taken to achieve the goal of this plan.
- Just like in the central government, at the local government level, the evaluation is carried out by its staff (internal assessment).

Conclusion

- Evaluation of policy measures based on the method of targeted management, which is carried out by the Government of Japan, differs from the work on monitoring and evaluating the level of achievement of the strategic goals of medium-term development programs, which is carried out by the Government of the Republic of Tajikistan.
- However, it seems that there are similarities between our systems in approaches and methods of evaluation.
- I am very glad if today's lecture provided at least some useful information to the distinguished listeners who are promoting the work on monitoring and evaluation of mid-term development programs in the government bodies of the Republic of Tajikistan.