Brazil's Evaluation Scene

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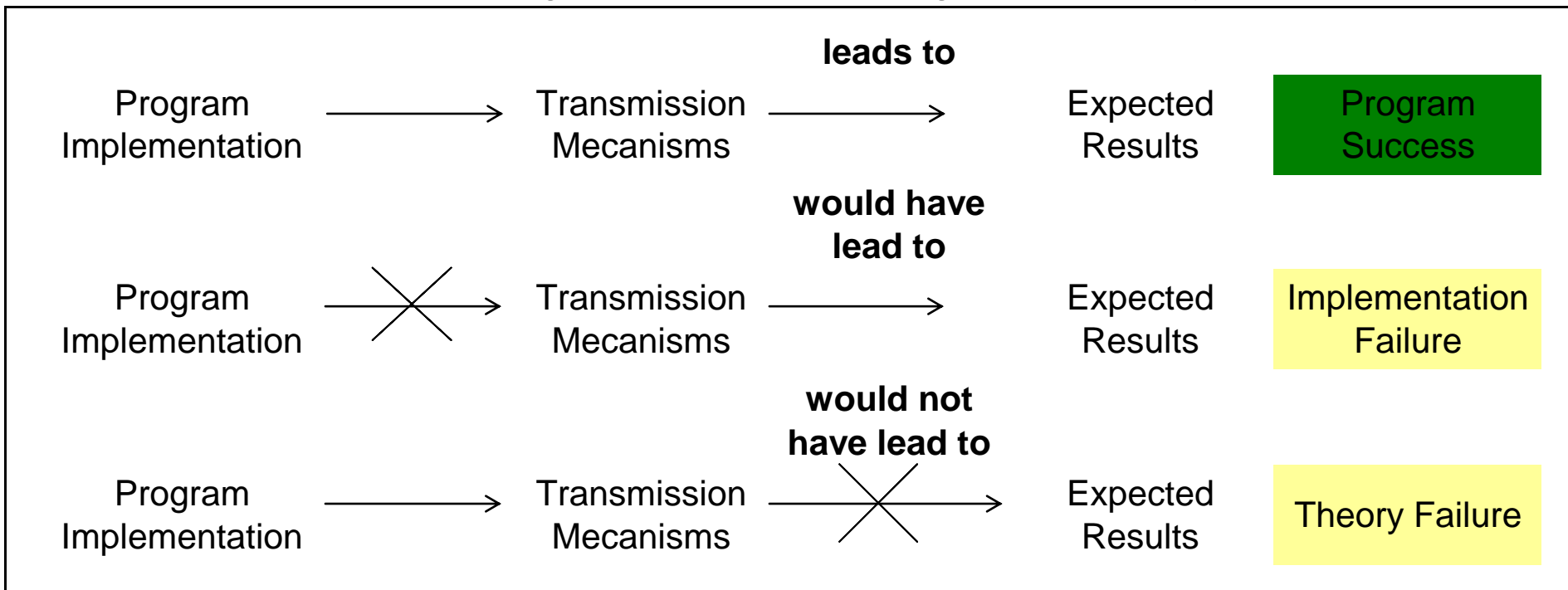**Casablanca, December 15th, 2009**

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1. The 'big picture' of Brazil's evaluation capacity

2. Federal government evaluation system

3. Back to the 'big picture': indicators

Introduction

The evaluation paradigm for this presentation will be…

Explaning the Effect of a Program or Policy

Source: Weiss, Carol - *Evaluation: Methods for Studying Programs and Policies.*

Process, intermediate outcomes and final impact measures: equally important to thoroughly judge the value of the program.

The Big Picture

Brazil 2009: The Evaluation Scene			
Paradigm	**Program Implementation**	**Transmission Mecanisms**	**Results**
Evaluation Focus	Delivery of Goods and Services	Intermediary Impacts	Final Impacts
State Processes	-Laws, Norms, Regulations -Production and Expenditure Monitoring	-Implicit Theory of Change -Interim Indicators for Internal Monitoring	-Ex-Ante:government development objectives -Ex-Post:government popularity and re-election
Specific Brazilian Institutions Involved	-Auditing:TCU (legislative branch accounts court) -Sector Ministry -Min. Planning: PM/SPI -Min. Budget: PM/SOF (secretariat) -Vice-presidency	-Sector Ministry -Min. Planning: PM/SPI -Research Institute (IPEA)	-Sector Ministry -Research Institute (IPEA) -Federal and State Universities -State Level Research Foundations -Marginal evaluations implemented by WB, UN, IDB
Products	-Operational Audits **-Quadrennial Development Plan (PPA) Annual Evaluation** -Government Priority Programs Annual Evaluation	**-Quadrennial Development Plan (PPA) Annual Evaluation**	-Sporadic formal evaluations, mostly executed by government agencies or contracted out to public universities. **-Quadrennial Development Plan (PPA) Annual Evaluation**

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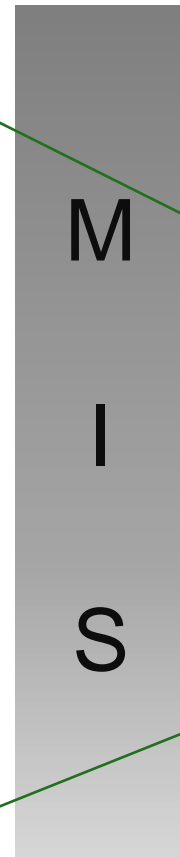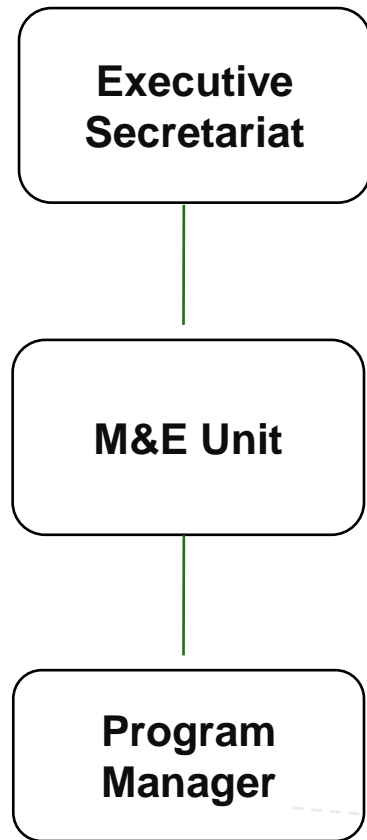
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History

❑ 1996-1999 Quadrennial Planning Cycle (PPA) reformed to integrate planning, budget and management tools for constant monitoring and revision: full expansion in 2000-2003.

❑ Evaluative effort was institutionalized in 2004 and gained momentum since 2007 with official application of Logic Models.
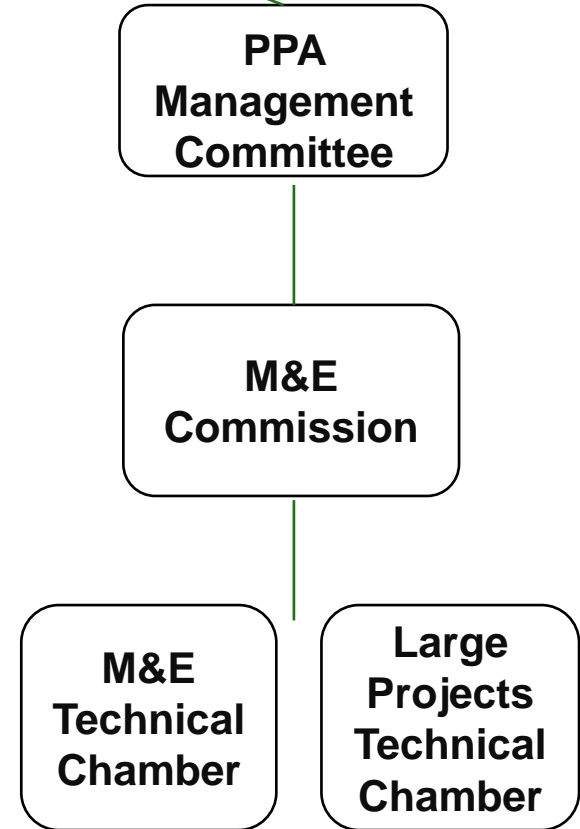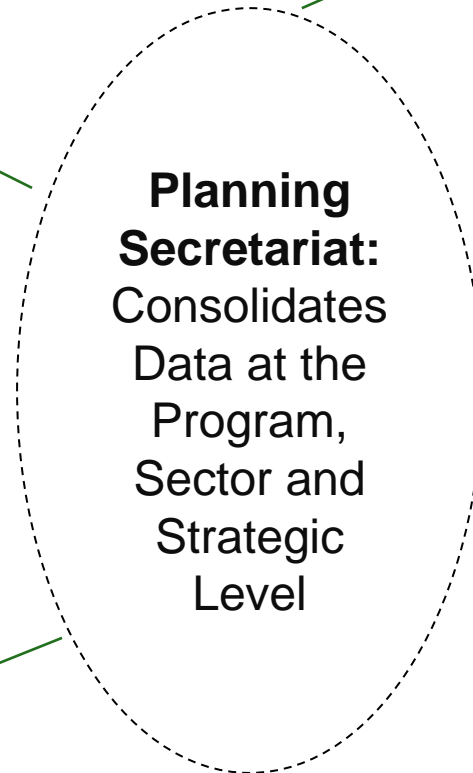
Principles

❑ Recommended to ALL programs, but not mandatory

❑ Annual

❑ Ex-Post

❑ Evaluates Process and Outcomes

❑ Self Evaluation

❑ Summarized at 3 levels: priority level, ministry level and program level

Federal Government Evaluation System

Line Ministries

Planning, Budget and Management Ministry

Executive Secretariat

M&E Unit

Program Manager

M I S

Planning Secretariat: Consolidates Data at the Program, Sector and Strategic Level

PPA Management Committee

M&E Commission

M&E Technical Chamber

Large Projects Technical Chamber

Methodology

1. Basic Questionnaire

   Indicators of process, outcomes, beneficiary satisfaction, territorial coverage and participatory channels

2. Logic Models

   Incentive to draw logic models since 2007: over 60 programs covered (over 700 civil servants involved).

Percentage of Indicators Measured

Legend:
- Measured Indicators
- Programs With at Least 1 Indicator Measured
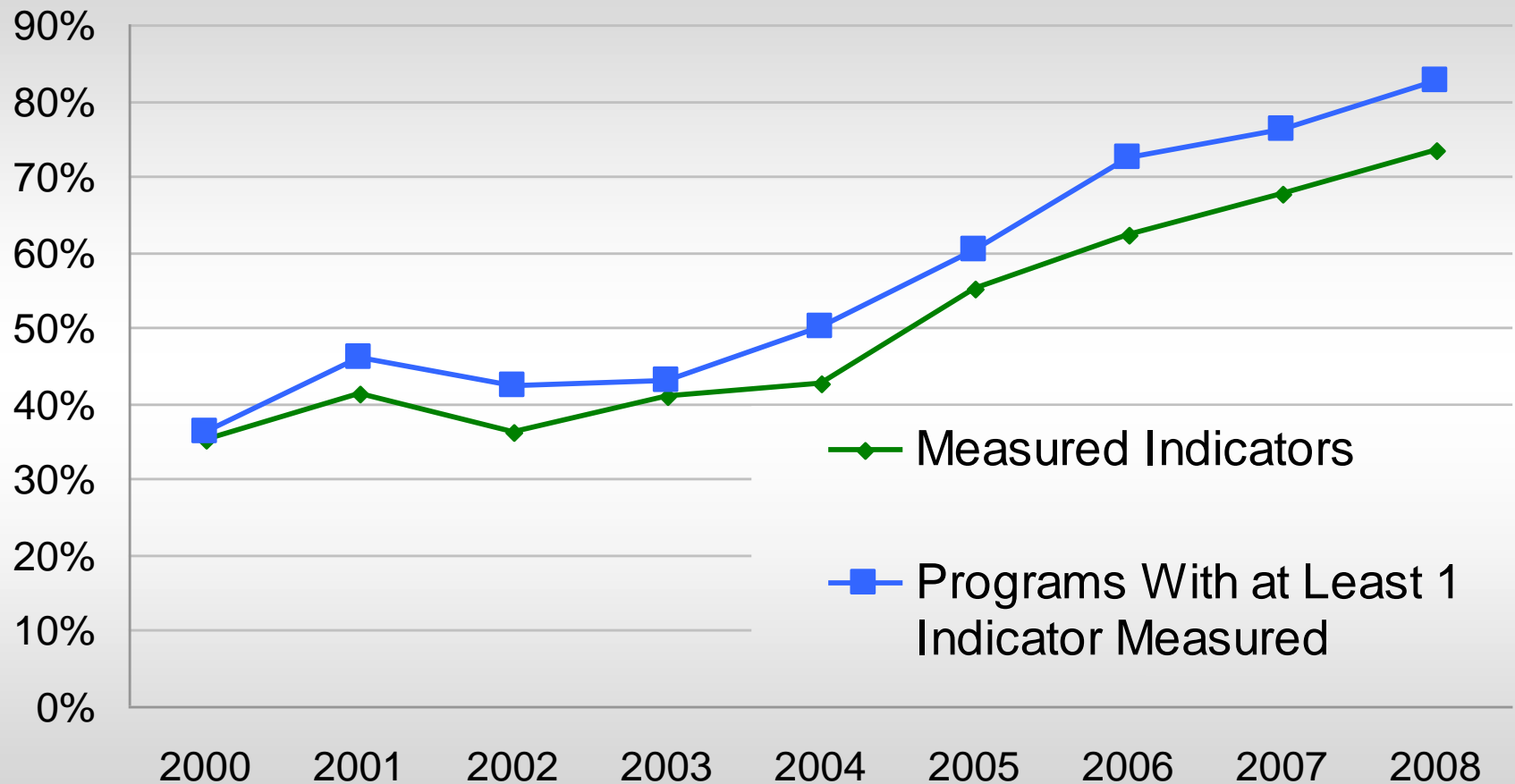
Source: Ministry of Planning, Budget and Management.

Essential Challenge (1)

Why measure and report? To promote change.

Is the planning ministry empowered for that? Hardly.

Thus evaluating, in this setting, becomes meaningless.

Its purpose is rather directed to transparency than actual revision or programs.

Basically, a technical solution does not make up for:

• Loss of planning capacity during recessive 80's and 90's;

• Short-run, budgetary cash control culture;

• Prevalence of budget over planning and management.

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Essential Challenge (2)

PPA implied total fusion of budget and planning, thus loss of selective nature of planning activity:

• Poor evaluation of all budget <u>versus</u> good evaluation of government priorities and novel proposals.

• No planning or evaluation for non-budgetary activity

Operational Challenge

Program structure is not detailed enough for PPA MIS to be used as internal management tool:

• Duplication of work, internal and reporting;

• Indicators end up being too broad to encompass activities that lie under each program.

Annuity and questionnaire does not accommodate program diversity: investment with longer maturities, decentralized expenditures and implementation.

Self Evaluation
• Greater conflict of interest
• Lack of capacity to generate or contract formal evaluations.

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The way forward…

Continue logic models' effort to:

• Harmonize program objectives between managers;

• Organize program structure;

• Set valid, relevant and viable indicators.

Deepen selectivity of planning and evaluation efforts: recent changes have had some success but priorities are still too broad.

Organize institutional and funding structure to support rigorous evaluations, be them qualitative or quantitative.

The Big Picture: indicators

Graduation and Technical Courses	
Public Policy Management	7
Public Administration	49
Social Sciences	98
Economics	55
Total	209

Source: Ministry of Education website, Dec 2009

All created after 2001

| Post Graduate Courses	
Environment and Ecology	62
Public Health	75
Education	142
Economics	70
Urban and Regional Planning	29
Sociology	75
Total	453

Source: Capes website, Dec 2009.

Large evaluation capacity: implementation and teaching.

Brazil: Frequency of Papers/Citations with 'Program' and 'Evaluation' or 'Policy' and 'Evaluation' on its Title
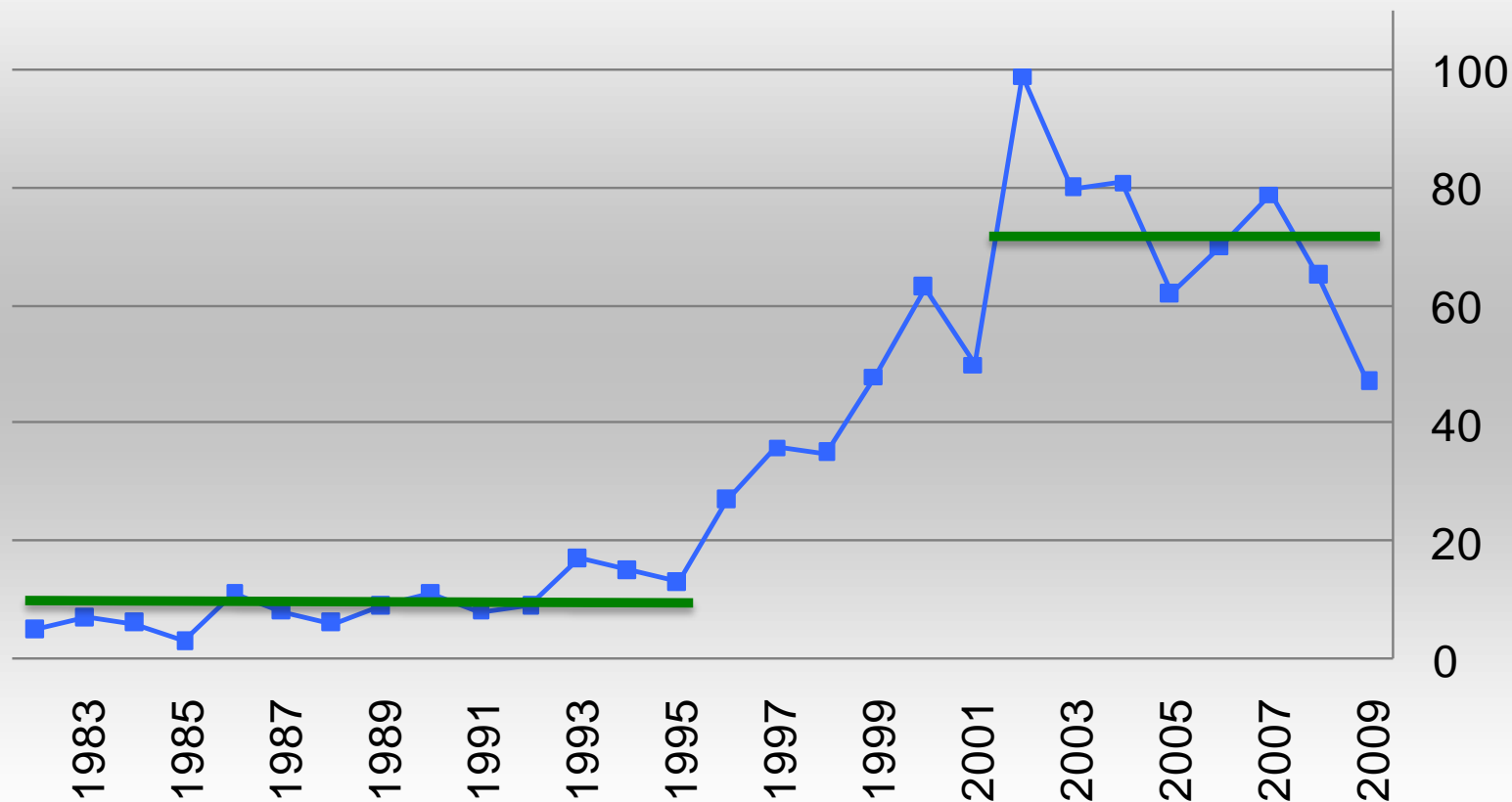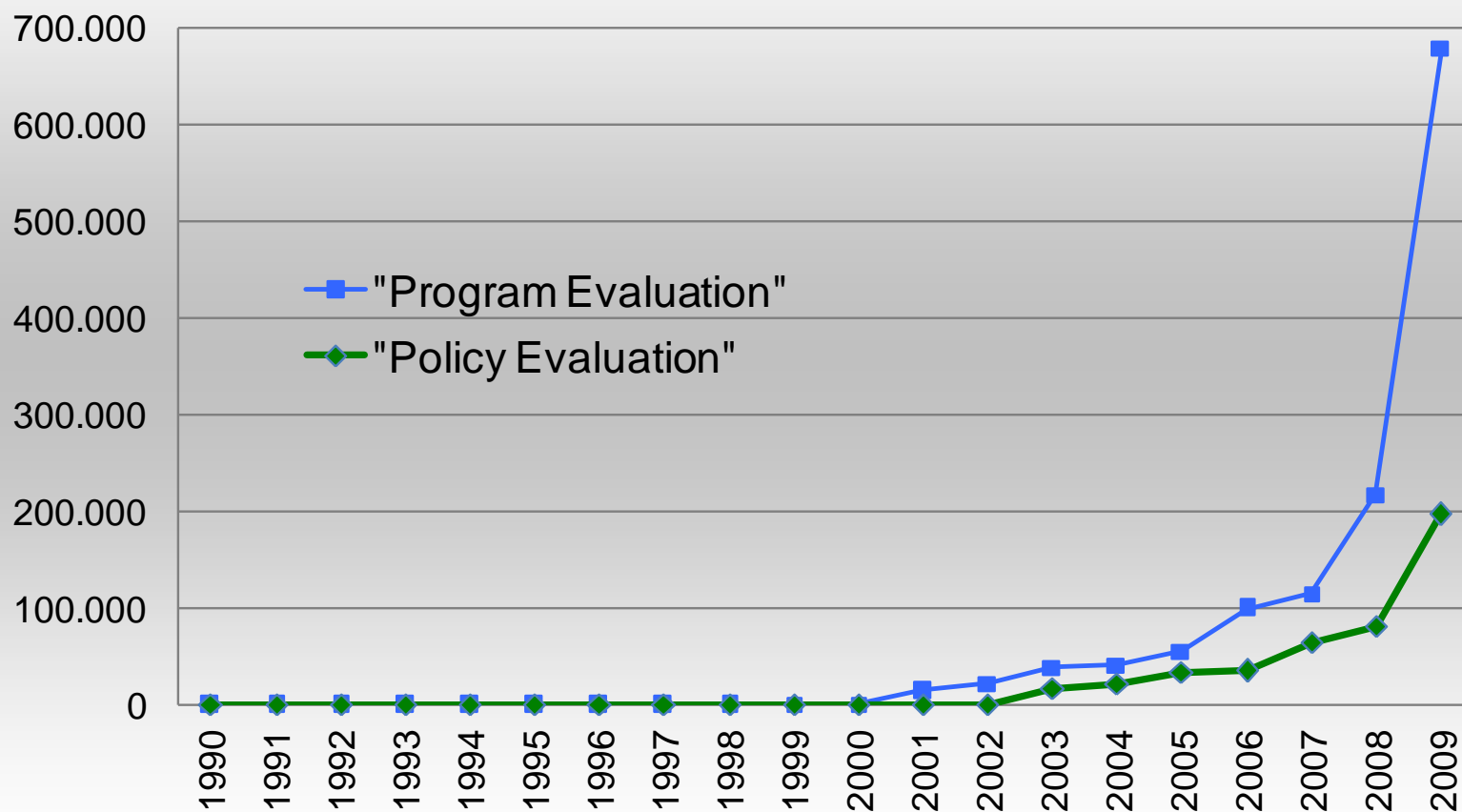

Source: Google Scholar as of Dec 2009

**Brazil: Frequency of Articles that Cite
Campbell, Heckman, Weiss, Shadish, Cronbach or Rubin**
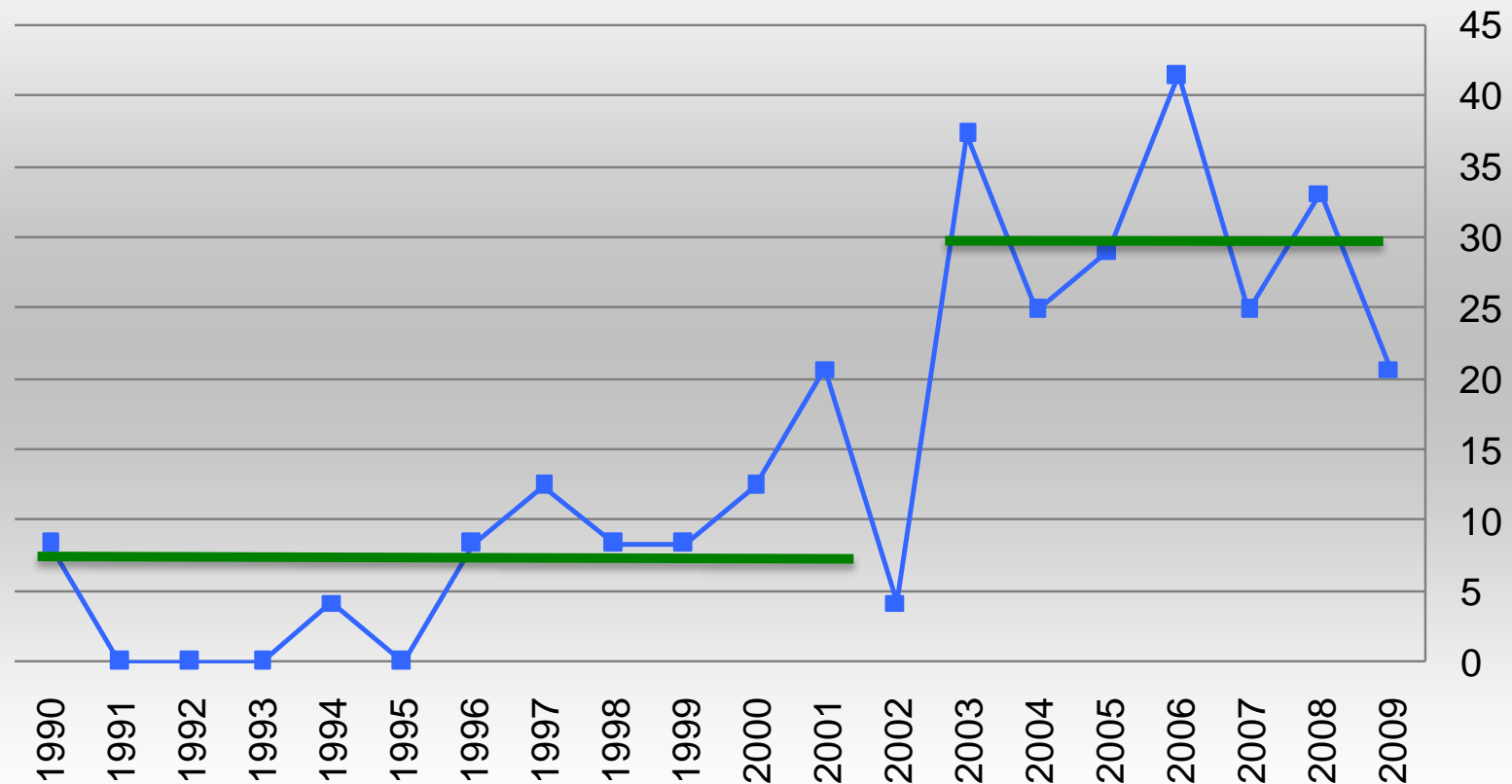
Source: Google Scholar as of Dec 2009

Brazil: Frequency of Government Webpages Mentioning "Program Evaluation" and "Policy Evaluation" and the Specified Year, but not the Subsequent Years

Source: Google as of Dec 2009

• Great institutional resources and capacity to further boost evaluative efforts.

• Growth of evaluative activity is recent but substantial.

• Formal evaluative effort is still SHY, but growing.

• Formal quantitative impact evaluations, with counterfactuals and ex-ante measures still RARE.

Public Sector Think-tanks With Proved Evaluation Capacity

Horizontal

Applied Research: Instituto de Pesquisa Econômica Aplicada (www.ipea.gov.br)

Research: virtually all federal and state universities – USP, UNICAMP, UNESP, UFMG, UFRJ, UERJ, UFPE, UFBA, UFRG, UFSC, UFP.

Auditing court:Tribunal de Contas da União (http://portal2.tcu.gov.br/TCU)

Sectoral

Health: Fundação Oswaldo Cruz (www.fiocruz.br)

Education: Instituto Nacional de Estudos e Pesquisas Educacionais (www.inep.gov.br) and Secretaria de Educação Continuada, Alfabetização e Diversidade(www.mec.gov.br)

Social Assistance: Secretaria de Avaliação e Gestão da Informação (http://www.mds.gov.br/sagi)

Environment: Instituto Brasileiro do Meio Ambiente e dos Recursos Naturais Renováveis (www.ibama.gov.br)

Rural Development: Empresa Brasileira de Pesquisa Agropecuária (www.embrapa.br)

State Level Research Centers

São Paulo: Fundação Sistema Estadual de Análise de Dados (www.seade.gov.br), Fundação de Desenvolvimento Administrativo (www.fundap.sp.gov.br)

Minas Gerais: Fundação João Pinheiro (www.fjp.gov.br)

Pernambuco: Fundação Joaquim Nabuco(www.fundaj.gov.br)

Bahia: Superintendência de Estudos Econômicos e Sociais (www.sei.ba.gov.br)