# 4 Monitoring and evaluating priorities from the centre in Brazil

This chapter examines the capacities of the centre of government (CoG) to monitor and evaluate the performance of key policy priorities and programmes and to use this information to improve policy making and service delivery. It provides an in-depth assessment of the institutional framework for monitoring and evaluation (M&E). The chapter also analyses the quality of M&E and the use of M&E results.

## Introduction

This chapter will focus on the CoG's capacities to monitor and evaluate the performance of key policy priorities and programmes by collecting and using information and evidence in the policy-making process. To this end, the chapter provides an assessment and recommendations on:

- The institutional framework for monitoring and evaluation (M&E) in Brazil, through an analysis of the CoG's practice, policy frameworks and guidelines, and the main actors involved, with a focus on strengthening the M&E of cross-cutting programmes.
- The quality of M&E, including quality assurance and control mechanisms, the definition of key national indicators, guidelines and practices to develop skills and capacities on M&E, and stakeholders' engagement mechanisms, with a focus on spreading and systematically using mechanisms.
- The use of M&E results, in particular the CoG's capacity to strategically integrate and manage performance information, with a focus on promoting access to high-quality data.

A robust M&E system is essential to achieve short-, mid- and long-term objectives, as mentioned in Chapter 2. When M&E reports information is fed back to policy makers and decision-makers, it can provide the necessary data and information to guide strategic planning, design and implement programmes and projects, and allocate and re-allocate resources in better ways (OECD, 2021[1]). Additionally, real-time monitoring provides a continuous stream of relevant and current data from which administrators can immediately identify serious problems and adjust policies in mid-course. Sound M&E can help identify barriers to policy implementation and ways to address them (OECD, 2019[2]). Moreover, M&E allows actors to learn from each other's experiences by providing tools to follow the development of others' activities. In addition to policy learning (i.e. increased understanding that occurs when policy makers compare one set of policy problems to others), M&E can also foster transparency and accountability by providing performance information to citizens on progress in achieving government objectives (Vági and Rimkute, 2018[3]). Though interconnected, M&E are distinct practices (as outlined in Table 4.1) and this is why it is important to distinguish between them (OECD, 2020[4]).

In Brazil, M&E definitions can be found in the *Guia Prático de Avaliação Ex Post* and the *Guia Prático de Análise Ex Ante*. Evaluation is also defined in a bill for the new Public Finance Law (currently Law No. 4.320/1964), which has been on the agenda of the CoG. Adopting a comprehensive definition of M&E in law would help define their objectives and actions to be taken to achieve them.

## Table 4.1. Comparing policy monitoring and policy evaluation

| Policy monitoring | Policy evaluation |
| --- | --- |
| Ongoing (leading to operational decision-making) | Episodic (leading to strategic decision-making) |
| Monitoring systems are generally suitable for the broad issues/ questions that were anticipated in the policy design | Issue-specific |
| Measures are developed and data are usually gathered through routinised processes | Measures are usually customised for each policy evaluation |
| Attribution is generally assumed | Attribution of observed outcomes is usually a key question |
| Because it is ongoing, resources are usually a part of the programme or organisational infrastructure | Targeted resources are needed for each policy evaluation |
| The use of the information can evolve over time to reflect changing information needs and priorities | The intended purposes of a policy evaluation are usually negotiated upfront |

Source: Adapted from McDavid, J. and L. Hawthorn (2006[5]), *Program Evaluation and Performance Measurement: An Introduction to Practice*, Sage Publications, Inc., in OECD (2019[2]), *Open Government in Biscay, OECD Public Governance Reviews*, https://doi.org/10.1787/e4e1a40c-en.

As described in Chapter 1, monitoring is a key CoG function in Brazil and OECD countries. OECD data show that, in half of the surveyed countries (55%), CoGs are responsible for monitoring the implementation of government policy (OECD, 2018[6]). The OECD survey on policy evaluation (2018[7]) also finds that the CoG plays a crucial role in embedding a whole-of-government approach to policy evaluation (OECD, 2020[4]). For example, in 16 OECD countries (18 countries in total), the CoG's mandate includes the definition and update of the evaluation, while in 15 countries, it includes providing incentives for carrying out policy evaluation. The CoG serves the executive and plays a crucial role in ensuring that the government makes evidence-informed decisions, which a robust M&E system can help with. M&E is especially key for effective strategic planning, prioritisation and sequencing purposes for the CoG (Chapter 2). The success of any government programme partially depends on the ability of the CoG to oversee the quality of the policy-making process, from developing a policy to monitoring and evaluating its outcome (OECD, 2018[6]).

According to respondents to the OECD questionnaire, in Brazil, the main objectives of monitoring are: i) improving transparency; ii) verifying that policies are achieving the expected objectives and are in line with the needs and demands of the Brazilian people; iii) promoting organisational learning; and iv) enhancing the use of evaluation among federal units and agencies in order to provide better public services to society, with more efficiency and better compliance as well as best resource allocation.

As regards policy evaluation, one of the main objectives for conducting them is to assess public policies financed by direct spending or government subsidies, to measure the benefit generated for the citizen and to collect input to redirect or improve the design of public policies (Law No. 13.971/2019). In Brazil, policy evaluation is a principle of public administration (Article 37 of the constitutional amendment).

The chapter analyses the Brazilian institutional setup, identifies key challenges and suggests ways to improve the overall quality of the M&E mechanisms at the CoG.

## Building a sound institutional framework for monitoring and evaluating policy priorities

A sound M&E system means that: both practices, monitoring and evaluation, are part and parcel of the policy cycle; they are carried out systematically and rigorously; and decision-makers use their results (Lázaro, 2015[8]). An M&E system entails:

- A solid institutional framework, based on the right legal, policy and organisational measures to support the performance of public policies.

- Mechanisms to promote the use of evidence and policy M&E by investing in public sector skills, policy-making processes and supporting stakeholder engagement.

- Mechanisms to promote the quality of policy M&E, for instance through developing guidelines, investing in capacity building and *ex post* review and control mechanisms (OECD, 2019[2]).

### The Pluriannual Plan: A well-developed reporting system not used for real-time monitoring and decision-making

The Brazilian monitoring system has its main institutional anchorage in the Pluriannual Plan (*Plano Plurianual da União*, PPA), which establishes the mechanisms and practices for the majority of monitoring actions in Brazil. The PPA is a government planning instrument that defines the guidelines, objectives and goals of the federal public administration. As explained in Chapters 2 and 3, the PPA contains macroeconomic forecasts and fiscal objectives for a four-year period, which the government prepares within its first year of taking office and submits to Congress for approval. The four-year period of the plan means that the final year extends into the first year of the next governmental term, for the purpose of

providing continuity across electoral cycles. The PPA 2020-2023 contains 19 guidelines, 15 themes, 70 programmes, objectives, targets and indicators, and 328 intermediate results.

The monitoring process of the PPA 2020-2023 is co-ordinated by the Ministry of Economy, in particular the Secretariat for Evaluation, Planning, Energy and Lottery (*Secretaria de Avaliacao, Planejamento, Energia e Loteria*, SECAP), which provides methodology, guidance and technical support to achieve the objectives and targets stated in the plan. The plan contains the following type of programmes (Ministerio da Economia, 2020[9]):

- **Finalistic Programmes** are the main programmes to be monitored in the PPA. They portray the government's agenda, organised by selected public policies that guide governmental action.
- **Management Programmes**, used by all ministries, reflect the operational expenses of the agencies, in particular personnel expenses and administrative operational costs.
- One **Multi-Sectoral Agenda**, to promote cross-government co-ordination. In the case of the PPA 2020-2023, the one transversal agenda item is early childhood, which is co-ordinated through a specific working group.

The bodies responsible for the implementation of a programme (line ministries, agencies) must report twice per year on the implementation of the goals, intermediate results and Priority Pluriannual Investments associated with their respective programmes. In the case of multi-sectoral programmes, the responsible agency shall collect information on the objectives and goals of the other agencies. The monitoring report on the fiscal programmes, their attributes and the Priority Multiannual Investments are expected to be consolidated on an annual basis, submitted to the National Congress and made available on the Ministry of Economy's website ([www.economia.gov.br](http://www.economia.gov.br)). Therefore, the government of Brazil has established a structured and permanent process for monitoring the PPA, centred on the priority objectives of the federal government and its ministries (Ministerio da Economia, 2020[9]).

The definition of which intermediate results will be subject to reporting is the result of joint work by the line ministries and SECAP. According to Law No. 13.971/2019 (Article 22), the Institutional Strategic Plan (PEI) should be aligned with the PPA and national, sectoral and regional plans. The line ministry sends SECAP an indication of which attributes of the PEI – i.e. the institutional planning instrument that sets out a strategic vision and establishes priorities, objectives, goals and resource requirements of public sector bodies and agencies – present intermediate results for reaching the PPA goal and, together with SECAP, selects among them.

The agreed-upon results must be compatible with the ministry's operational capacity and budgetary and financial availability. There are three reporting events each year, whose deadlines, objectives and processes are outlined in Table 4.2.

With the aim of guiding the PPA monitoring process, the Monitoring Plan (*Plano de Monitoramento*) works as a guide for SECAP to address the main issues with line ministries. Its purpose is to record the main intermediate results that contribute to the achievement of the target in each programme, the main restrictions that need to be overcome and the measures needed to achieve each result and how SECAP will contribute to this process in co-ordination with ministries.

The explicit relationship between the Federal Development Strategy 2020-2031 (*Estratégia Federal de Desenvolvimento 2020-2031*, EFD 2020-2031) and the PPA takes place through the five axes, which are common to both plans. The results of the PPA programmes contribute to the achievement of the EFD's objectives but there is no systematic relationship between them. Thus, there is no monitoring of the evolution of the EFD's objectives based on the M&E of the PPA's programmes. The strategic dimension reflects the government agenda that the head of the executive branch, through their ministers, intends to implement. These are the priorities defined by the government summit and represent a translation of the commitments of the president-elect for the country. In the PPA 2020-2023, the strategic dimension was unfolded in two categories: guidelines and themes. From a conceptual point of view, the guidelines

represent the demands of the population taken over by the elected government and guide the construction of the PPA programmes. In turn, the themes, related to the new institutional structure of the federal government, correspond to the main sectoral areas to be mobilised to achieve the objectives included in the guidelines. In the PPA 2020-2023, the guidelines and themes are broken down into programmes, which have objectives and goals. It should be noted that the PPA 2020-2023 methodology does not provide the definition of goals and indicators for the guidelines and themes. This is because the guidelines express trajectories to be pursued, while themes express large areas, which constitute broad sectoral aggregations.

## Table 4.2. Reporting events

| | Deadline | Objective | Process |
|---|---|---|---|
| Definition of the intermediate results | Within 30 days after the publication of the 1st Decree of Budgetary and Financial Programming of the year. | <ul><li>Agree, based on the annex of the decree that regulates Law No. 13.971/2019 and on the budgetary and financial availability of the agency, the intermediate results that will be delivered in the year.</li><li>Register or update the main restrictions and measures related to each agreed result.</li><li>Define the Monitoring Plan for the year.</li></ul> | After the bodies in charge of PPA's Finalistic Programmes have made compatible the PEI and the PPA, they will send information related to the annex of the Decree No. 10.321 of 15 April 2020 to SECAP, with the list of the main intermediate results. From this list and with the knowledge of the budget and financial availability of the agency, there will be a meeting to agree on the results and their attributes between SECAP and the sectoral body. The product of this meeting will be the Monitoring Plan. Once the plan is finalised, the Integrated Planning and Budgeting System (SIOP) will be opened to the organ for completion/actualisation of intermediate results and their attributes. |
| Progress tracking | 6 months after the first event | <ul><li>Track the progress of the agreed results and update the restrictions, measures and Monitoring Plan.</li></ul> | Monitoring meeting between the agency and SECAP. |
| Progress recording | 60 days after the end of the financial year | Record the progress of the indicators and targets of the programme as well as the intermediate results and achievement of the programme objective. This information will be consolidated into the monitoring report to be sent to National Congress on an annual basis. | Monitoring meeting between the agency and SECAP and the agency fills out SIOP with the results obtained during the year. |

Source: Author's own elaboration based on Ministerio da Economia (2020[9]), *Manual Técnico do PPA 2020-2023*.

The PPA represents one of Brazil's latest attempts at linking planning and budgeting by implementing medium- and long-term government planning, co-ordinating government actions, and setting guidelines, objectives and goals for the public administration to guide the allocation of public resources. Regarding priority multiyear investments, the PPA is the main source of information for the CoG, making it possible to track the progress of all 30 priority investments. The PPA is being improved with tools to make it more useful for decision-making, for example, according to the Constitutional Amendment No. 109 of 2021, Article 165 of the federal constitution now states that the PPA, Budget Guidelines Law (*Lei de Diretrizes Orçamentárias*, LDO) and Annual Budget Law (*Lei Orçamentária Annual*, LOA) shall observe, when appropriate, the results of the M&E of public policies. Additionally, PPA monitoring bulletins are sent to ministries (executive secretaries) and contain an analysis of the main monitoring results, seeking to encourage reflection on the areas to adopt measures aimed at achieving goals and improving public policies, for example:

- reallocation of budget resources between policies
- relocation of staff

- adjustments to the organisational structure
- change in the institutional arrangement of public policy (design and legal framework)
- ways to improve implementation
- review of the plan.

Nevertheless, in practice, the PPA works as a compliance and reporting tool and does not allow for the discussion of performance and/or how to overcome implementation barriers. As will be analysed below, there is no clear link between the PPA and the Civil Cabinet of the Presidency's (Casa Civil) monitoring of policy priorities. While the PPA has proven to be a useful tool for tracking public expenditure and informing on the achievement of programmes, further work can be done to link programme monitoring with outcome-oriented decision-making at the CoG.

### *Multiple actors with responsibility for monitoring and no clear alignment between them*

In parallel with the monitoring system linked to the PPA, Casa Civil leads in the monitoring of presidential priorities. It has two special bodies with responsibilities for monitoring policy priorities:

- The Undersecretariat for Articulation and Monitoring (*Subchefia de Articulação e Monitoramento*, SAM) monitors the government's programmes and actions considered a priority by the president of the republic.
- The Undersecretariat for Analysis and Monitoring of Government Policies (*Subchefia de Análise e Acompanhamento de Políticas Governamentais*, SAG) selects public policies to carry out *ex ante* and *ex post* analysis with the responsible ministries in order to review and update them.

Casa Civil's instrument for the monitoring of projects is called Governa. The Governa system is software developed by Casa Civil with the objective to digitalise project management at the federal level. It mainly works as an internal management tool, though some users outside Casa Civil have access to some of the functionalities of the system. Within Governa, line ministries need to provide data on different projects under implementation, which includes all priority projects of the federal government and all PPA projects. Senior managers from Casa Civil validate this information. Every three months, ministers receive feedback regarding the advancement of every priority project and discussions take place. This system was affected by the COVID-19 pandemic so Governa is being adapted as a result. This was not surprising as the president's portfolio needs to be constantly revised, especially after a pandemic.

Governa is a management information system that integrates and displays different federal projects (including PPA) on a single platform. However, the system is not linked with any performance framework and impact information that supports prioritisation at the CoG and, therefore, does not provide the basis for a structured monitoring and performance dialogue around cross-cutting policy priorities. In addition, as discussed in the previous chapters, the policy priorities defined by the presidency and supported by SAM and SAG are in several cases not translated into the PPA. This is explained, to some extent, by the nature and design of the PPA and by the budget rigidity explained in the previous chapters: the incoming government does not have the capacity to align the planning and budgetary system to their own priorities, resulting in the creation of new planning and monitoring structures. Another explanation can be found in the structure of the PPA. While it is a useful monitoring tool for tracking expenditure and some intermediate results can be shared by multiple ministries, for instance in the case of the Oceans, Coastal Zone and Antarctica project (*Oceanos, Zona Costeira e Antártica*) and also in the Prevention and Control of Deforestation and Fires in Biomes project (*Prevenção e Controle do Desmatamento e dos Incêndios nos Biomas*), the plan mainly focuses on sectoral initiatives. These intermediate results represent an interesting example of integrated policy goals and common reporting but they do not necessarily provide the framework for active collaboration and a performance dialogue among different government agencies on a very limited set of cross-cutting policy priorities to be steered or managed by the CoG.

***The complexity of the planning and prioritisation system has led to overlapping monitoring units***

As explained in Chapter 2 on planning, Brazil has a long-standing planning culture. Nevertheless, as Chapter 2 also underscores, this has also created some challenges related to the multiplication of planning and monitoring structures in government. There was a general consensus among stakeholders on the lack of clarity of who is in charge of monitoring policy priorities: for some SAM in Casa Civil, others mentioned SAG while others made reference to the Ministry of Economy, in particular SECAP and the Delivery Unit, which was created to monitor the priorities of the Ministry of Economy and ultimately the priorities related to the management of the pandemic (described in Chapter 2).

This overlap between Casa Civil and the Ministry of Economy's functions occurs in other countries too. In these circumstances, line ministries usually tend to focus more on the Ministry of Economy's process for economic reasons. As the Ministry of Economy – or similar – usually manages finances, line ministries tend to focus their efforts on aligning their actions to their planning and requests. Such an overlap generates a multiplication of reporting systems, causing efficiency loss and fragmentation. As mentioned in Chapter 1, co-ordination is key for a well-functioning Brazilian CoG due to its high institutional fragmentation which can lead in some cases to mandate overlaps or duplications. The Brazilian CoG could consider refining co-ordination mechanisms of monitoring systems within the CoG as well as between the CoG and external actors to avoid overlaps and waste of resources. More specifically, they might consider establishing greater clarity in the definition of the roles and tasks that Casa Civil and the Ministry of Economy have in monitoring, as mentioned in Chapter 2. Additionally, Brazil can consider co-ordination of cross-cutting priorities. The United States (US) performance framework (led by the Office of Management and Budget within the Executive Office of the President) includes, among its Cross-Agency Priority (CAP) Goals, "mission-support" goals which represent a good example of the co-ordination of cross-cutting priorities aimed at improving agencies performance and promoting active collaboration among multiple agencies (Box 4.1).

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**Box 4.1. United States: Mission-support goals under Performance.gov**

Performance.gov is a window into federal agencies' efforts to deliver a smarter, leaner and more effective government. This site fulfils the statutory requirements for an online centralised performance reporting portal required by the Government Performance and Results Act (GPRA) Modernization Act of 2010. The site provides the public, agencies, members of Congress and the media a view into the progress underway to cut waste, streamline government and improve performance.

Performance.gov communicates the goals and objectives the federal government is working to accomplish, how it seeks to accomplish those goals and why these efforts are important. All cabinet departments and other major agencies have pages on Performance.gov. Each agency's page provides an overview of the agency, its mission, priority goals to be achieved, the public officials and civil servants responsible for their implementation and links to its strategic and performance plans and reports.

The federal government sets both priority goals – cross-agency and within agencies – that are near-term, implementation-focused priorities of leadership as well as strategic objectives that are comprehensive of agencies' missions.

Long-term in nature, Cross-Agency Priority (CAP) Goals are a tool used by leadership to accelerate progress on a limited number of presidential priority areas where implementation requires active collaboration among multiple agencies. CAP Goals drive cross-government collaboration to tackle government-wide management challenges affecting most agencies. As a subset of presidential priorities, these goals are used to implement the president's Management Agenda and are

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complemented by other cross-agency co-ordination and goal-setting efforts. CAP Goals are required to be set every four years but can address goals requiring longer timeframes. Performance targets will be reviewed and considered for updates at least annually with the President's Budget. When CAP Goals have achieved a level of maturity and implementation that enables those teams to demonstrate and scale the impact and institutionalise these reforms, it becomes appropriate to refocus their activities from planning toward demonstrating results. As such, these goals will continue to be tracked on Performance.gov but reporting will shift from detailed milestones and action planning to report on implementation outcomes. The re-categorisation of these goals will be noted on each CAP goal page.

CAP Goals include outcome-oriented goals that cover a limited number of cross-cutting policy areas as well as "mission-support" goals addressing areas such as those related to improving agency performance. Previous mission-support goals included:

- **Effectiveness**: Deliver smarter, better, faster service to citizens (customer service; smarter information technology [IT] delivery).
- **Efficiency**: Maximise the value of federal spending (category management; shared services; benchmark and improve mission-support operations).
- **Economic growth**: Support innovation, economic growth, and job creation (open data; lab-to-market).
- **People and culture**: Deploy a world-class workforce and create a culture of excellence.

Source: US Government (n.d.[10]), *Performance.gov*, https://www.performance.gov (accessed on 12 May 2022).

### The creation of the Public Policy Monitoring and Evaluation Council (CMAP) represents a step forward in the creation of an evaluation system

In the area of policy evaluation, Brazil's evaluation system is the result of more than 30 years of governance reforms. They were established in Brazil in the 1990s and the adoption of these procedures was embedded in the 1988 Constitution's provisions (Articles 165, 74, 37), which establish that the executive, legislative and judiciary's internal control systems must aim "to evaluate the fulfilment of the goals foreseen in the multiannual plan, the implementation of government programmes and Union budgets". The internal control system is also responsible for conducting evaluations of government programmes (Article 88). According to the government of Brazil, the main challenges faced in promoting an evaluation culture are:

- the limited availability of data related to some public policies
- the general confusion between M&Es
- the underdeveloped culture of evaluation inside line ministries
- the misalignment of the CoG and line ministries regarding the evaluation process
- the limited availability of human resources
- the insufficient training in policy evaluation tools.

To tackle these challenges, Brazil created in 2019 (by Decree No. 9.834) the Public Policy Monitoring and Evaluation Council (CMAP), a governing body of policy evaluation responsible for evaluating public policies financed by direct expenditures and government subsidies (selected annually from the PPA Finalistic Programmes). CMAP also monitors the recommendations resulting from these evaluations and is made up of the executive secretaries of the Ministry of Economy, which co-ordinates it, Casa Civil and the Office of Comptroller General. As CMAP involves key central government entities, its establishment is a step forward in systematising M&E across government. Until the establishment of CMAP, a single entity with the sole responsibility for evaluating cross-cutting goals did not exist but, there were separate bodies

responsible for evaluating the PPA, such as the Planning and Investment Secretariat of the former Ministry of Planning and the Federal Budget Secretariat. Box 4.2 explains in detail how CMAP functions.

On top of the newly created CMAP, the main actors responsible for evaluation are:

- The **Special Secretariat for Treasury and Budget** (SETO) within the **Ministry of Economy**, responsible for, among other competencies, the evaluation of the socio-economic impacts of federal government policies and programmes and the preparation of specific studies for the formulation of policies.

- The **Secretariat for Evaluation, Planning, Energy and Lottery** (SECAP) of the **Ministry of Economy**, responsible for supervising the evaluation process carried out by members or supporters of CMAP, or externally.

- The **General Secretariat** (SG) is responsible for acting in the formulation of proposals and the definition, evaluation and supervision of the actions of the state's modernisation programmes.

- The **Office of the Comptroller General** (*Controladoria General da União*, CGU), through its **Federal Secretariat for Internal Control**, the central body of the Federal Internal Audit System in the executive branch of the federal government. The CGU performs assessment and consulting services focused on public policies and aimed at supporting the evaluation of the achievement of the goals established in the Pluriannual Plan (PPA), the execution of government programmes and the office's budget, among other objectives.

- The **National School of Public Administration** (ENAP), the **Institute of Applied Economic Research** (IPEA) and the **Brazilian Institute of Geography and Statistics** (IBGE) are bodies that support, within the scope of their competencies, the development of evaluation and research activities of CMAS and CMAG.

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### Box 4.2. The functioning of CMAP

1. This council approves the criteria for the selection of public policies to be evaluated, observing the aspects of materiality, criticality and relevance, among others, and approves the annual list of public policies to be evaluated and their changes, as well as the evaluation annual plan. Each *ex post* evaluation cycle has 4 phases that last 24 months overall. Thus, the cycle of the reference year (t) begins in October of the previous year (t-1) and ends in September of the following year (t+1) (Ministerio da Economia, 2020[9]).

2. Evaluations and assessments are presented to managers who, in turn, are required to submit an action plan. This is meant to make assessment effective in transforming policies but is often disregarded by managers. There is a need to create incentives for managers to implement recommendations.

3. The council meets on an ordinary basis every six months and on an extraordinary basis whenever called by the co-ordinator. The structure of CMAP comprises:

   o The Direct Spending Monitoring and Evaluation Committee (CMAG), with the purpose of providing technical support to the attributions of CMAP with regard to public policies financed by direct spending.

   o The Committee for Monitoring and Evaluation of Government Grants (CMAS), with the purpose of providing technical support to the duties of CMAP with regard to public policies financed by union subsidies (*subsidios da uniao*).

4. CMAP committees prepare and submit to CMAP for approval:

   o The criteria for the selection of public policies to be evaluated.

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o   The annual list of public policies to be evaluated, according to the established criteria, and the evaluation schedule.

o   Benchmarks for public policy evaluation methodologies.

o   The recommendations of technical criteria for the preparation of feasibility studies for public policy proposals to the management bodies.

o   The proposed changes to the evaluated public policies.

5.  Additionally, they evaluate the selected public policies, with the collaboration of the management bodies of these policies or in partnership with public or private entities and monitor the implementation of the evaluation's recommendations (task executed by the Office of the Comptroller General). They also request information on public policies from line ministries, in particular those selected for evaluation by CMAP. Last, they ensure the active transparency of its actions and disclose to the managing bodies the methodological references and the criteria approved by the council and edit the acts necessary for its exercise of power.

6.  Figure 4.1 describes the Brazilian process and timeline for policy evaluation.

**Figure 4.1. Evaluation timeline in Brazil**
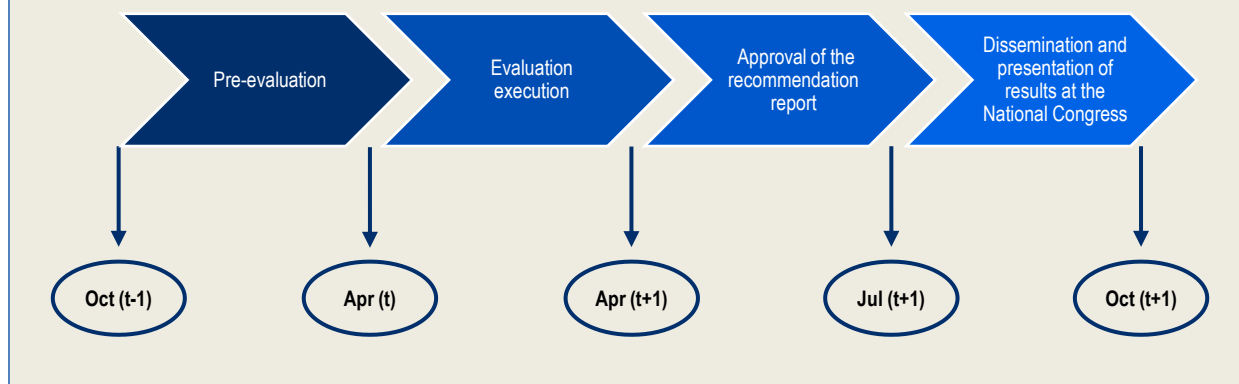


The presence of well-defined policy evaluation mandates does not imply *per se* the successful development of an evaluation system across government. Factors such as the political system, public administration cultures and the rationale for evaluation shape the development and characteristics of evaluation cultures (OECD, 2020[4]). A successful evaluation system, in which evaluations are systematically used to improve public governance practices, policy making and service delivery, requires a framework actively promoting the quality of evaluations and the use of their results in decision-making processes. This entails modifying factors outside the sphere of evaluation, such as the availability of data, the co-ordination instruments across government and the mechanisms for stakeholder engagement, among others (OECD, 2020[11]).

## Improving the quality of M&E

A sound legal framework for M&E is not enough. There should be mechanisms in place to control and improve the quality of M&E practices. High-quality M&E generates robust and credible results that can be used with confidence, enabling policies to be improved. Quality M&E also has the potential to increase policy accountability as it can provide trustworthy evidence on how resources were spent, what benefits were achieved and what the returns were. Conversely, poor-quality M&E carries the risk of providing unfit evidence, or evidence that is subject to bias and undue influence. Poor-quality M&E also implies that a

policy that is ineffective, or even harmful, might either be implemented or continue to be. Finally, opportunities to use public funds more effectively may be missed (OECD, 2020[4]).

### Quality of monitoring: Lack of quality assurance mechanisms beyond the PPA and challenges in the interoperability of data

Some countries have created mechanisms to ensure that monitoring is properly conducted, that is to say that the process of collecting and analysing respects certain quality criteria. In order to do so, countries have developed quality assurance and quality control mechanisms. Box 4.3 explores in more detail the difference between both.

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**Box 4.3. Quality assurance and quality control in monitoring**

Quality assurance mechanisms ensure that monitoring is properly conducted. To achieve this, countries have developed quality standards for monitoring. These standards and guidelines serve to impose a certain uniformity in the monitoring process across government (Picciotto, 2007[12]).

While some governments may choose to create one standard, others may consider it more appropriate to adopt different approaches depending on the different purposes of data use (Van Ooijen, Ubaldi and Welby, 2019[13]). Data cleaning activities or the automating of data collection processes can also be considered quality assurance mechanisms. Some countries have invested in the use of artificial intelligence and machine learning to help identify data that deviate from established levels of quality (Van Ooijen, Ubaldi and Welby, 2019[13]).

In various countries, quality control mechanisms have also been developed. Mechanisms for quality control ensure that the data collection and analysis have been properly conducted to meet the predetermined quality criteria. While quality assurance mechanisms seek to ensure credibility in how the evaluation is conducted (the process), quality control tools ensure that the end product of monitoring (the performance data) meets a certain standard for quality. Both are key elements to ensuring the robustness of a monitoring system (HM Treasury, 2011[14]). Quality control mechanisms can take the form of audits. Approaches that seek to communicate performance data or make them available to public scrutiny can also be included in quality control efforts in that multiple eyes are examining the data and potentially confirming the quality (Van Ooijen, Ubaldi and Welby, 2019[13]).

Source: OECD (2021[1]), *Monitoring and Evaluating the Strategic Plan of Nuevo León 2015-2030: Using Evidence to Achieve Sustainable Development*, https://dx.doi.org/10.1787/8ba79961-en; Picciotto, S. (2007[12]), "Constructing compliance: Game playing, tax law, and the regulatory state", https://doi.org/10.1111/j.1467-9930.2007.00243.x; Van Ooijen, C., B. Ubaldi and B. Welby (2019[13]), "A data-driven public sector: Enabling the strategic use of data for productive, inclusive and trustworthy governance", https://dx.doi.org/10.1787/09ab162c-en; HM Treasury (2011[14]), *Magenta Book: Central Government Guidance on Evaluation*, https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/879438/HMT_Magenta_Book.pdf.

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PPA monitoring benefits from a number of systematic quality assurance and control mechanisms. Among these:

- The **PPA Technical Manual** gives guidance towards carrying out quality monitoring processes. It establishes specific criteria and objectives for monitoring the PPA. It is worth noting that the PPA Technical Manual includes guidance relating to the Monitoring Plan and a model of the plan in the annex, which can help foster quality monitoring processes for the PPA.

- The **Integrated Planning and Budgeting System** (SIOP) is a tool that gathers information about the implementation of the PPA programmes, with their respective objectives, goals, indicators and intermediate results. It involves all government entities responsible for these respective attributes (Ministerio da Economia, 2020[9]). This goes for Brazil's PPA – the baseline for government planning and budgeting – which is available transparently in open data format. That includes data about its structure, goals and initiatives, as well as the indicators used for its assessments.[1]

Beyond the scope of the PPA, there are no quality assurance mechanisms in place for monitoring (OECD, 2017[15]), potentially leading to low-quality monitoring outside of the PPA. Quality assurance is key to ensuring the robustness of evaluations so the Brazilian government should also consider developing quality assurance mechanisms for monitoring systems outside of the PPA (OECD, 2020[4]).

One element affecting the quality of monitoring is the variety of data management systems within the Brazilian government and the resulting challenges related to interoperability. Information sharing and joint data collection of the different units and institutions were reported to be challenging for the CoG's functioning. Ideally, existing data provided to the CoG creates "one version of the truth" and is effectively used to improve performance. Stakeholders interviewed during this project suggested Brazil has a large volume of data and registers but access to these platforms for monitoring and evaluation is challenging as they were largely developed by each agency for a specific purpose. In addition to data provided by public institutions, various CoG institutions started to obtain data from IPEA.

For example, IPEA has a private data-sharing platform where researchers can access a variety of data. Additionally, it established a system through which, to have access to data, in the pre-assessment meetings, entities need to indicate which data they need and make formal requests to different ministries. The CGU also tried to build a similar platform internally. Nevertheless, there is no communication mechanism to avoid the formation of information silos across different institutions.

This happens despite the existence of open data policies that make open access compulsory for evaluation and decision-making processes. Decree No. 8.777 (2016) makes it mandatory for every government body to publish an Open Data Plan, to improve the availability of the government's datasets in open data standards. The other main instruments that govern the Open Data Policy are Decree No. 9.903 of 2019 and Resolution No. 3 of the INDA Steering Committee (*Comite Gestor da INDA,* CGINDA).

Some initiatives have nevertheless been put in place to integrate these various data management systems. Among these, the Integrated Planning-Budget System (SIOP) gathers monitoring information and the Institutional Strategic Planning will be published on the website, so data will be transparent for all stakeholders. SIOP is a tool that gathers information on the implementation of the programmes, with their respective objective, target, indicator and intermediate results, and involves all of the government entities responsible for these attributes.

Additionally, aware of the need to improve the coherence of digital services provision across the federal administration, the Brazilian government launched the Digital Citizenship Platform (*Plataforma de Cidadania Digital*) in December 2016. The cross-cutting initiative is focused on transforming the delivery of public services online through the improvement of the Services Portal (*Portal de Serviços*), the development of a unique digital authentication system and an increase in the number of fully transactional services. This will better allow the evaluation of citizens' satisfaction with digital services and improve the global monitoring of digital service delivery (OECD, 2018[16]).

Evidence from the fact-finding mission suggests that the Brazilian CoG could consider strengthening its capacity to integrate and manage performance information through the creation of dialogue platforms, i.e. mechanisms that enable policy and decision-makers to engage on a regular basis across institutions, where integration among different public bodies can happen, to avoid the existing silos effect. Building centralised access to data could help achieve a clear M&E mechanism that works across institutions. By creating better access to data, the use of data-driven reviews could be incremented (Box 4.4).

> ### Box 4.4. Data-driven reviews
>
> Data-driven reviews assess data on progress, typically against priority goals, and can be a powerful tool at the CoG. Using data to regularly track progress allows for a continued focus on priorities that does not fade after major policy announcements. Additionally, the use of data-driven reviews can create a learning culture that aims at improving knowledge of what works and how to improve the implementation of programmes.
>
> Successful data-driven reviews require a clear focus on progress towards the goals and clearly defined priority goals, as well as data and sophisticated analytical skills to interpret data and present solutions for adjusting the identified issues. One of the major obstacles to data-driven reviews are limits of access, availability, sharing and quality of data across governments. Thus, it is important to identify the range of existing data that could be leveraged for data-driven reviews without having to create a new burden. Additionally, some line ministries could perceive negatively scrutiny from the CoG on implementation. Thus, for data-driven reviews to be successful, the CoG should persuade line ministries that data-driven reviews' goal is to assist with better implementation rather than just creating stronger forms of accountability.
>
> Source: Brown, D., J. Kohli and S. Mignotte (2021[17]), "Tools at the centre of government: Research and practitioners' insight".

### *Producing quality indicators is still a challenge for Brazil*

In general, indicators act as feedback mechanisms for governments to know what is working and what needs to be improved and they connect activities to objectives, strategic goals and ultimately the mission (OECD, 2017[15]). Producing quality indicators is still a challenge for Brazil, mainly due to a lack of data interoperability, competencies and guidance on assessing the quality of indicators, and time lag of available data (it is common for the information made available through indicators to be outdated).

Specifically, there is a lack of clarity regarding key performance indicators (KPIs) and/or key national indicators (KNIs). KPIs are those performance indicators that aim at measuring the progress towards meeting the highest-level goals. KPIs that focus on a broad and balanced perspective of the organisation can offer great insight into its functioning and be a helpful tool for performance management (EC, 2020[18]). While in some countries considered as KPIs, KNIs being part of a strategic planning system and referring to government activity, in others, KNIs are based on traditional macroeconomic indicators, developed by national statistical services (INTOSAI, 2013[19]).

As part of its EFD, IPEA has defined in 2020 a set of KNIs based on broad socio-economic goals. Some of them are for instance the Human Development Index or the World Economic Forum (WEF) Global Competitiveness Index. While these types of indicators can provide a broad understanding of how Brazil is performing in socio-economic areas, they do not help to measure government performance or, more specifically, how government policies are contributing to improved outcomes. There is no clarity on how these indicators are going to be used to improve policy performance in Brazil.

In addition, key stakeholders from the government of Brazil had contrasting views about the existence or not of KPIs and KNIs, which shows that there is limited ownership and socialisation of the current KNIs and a lack of clarity about their potential use to assess government performance. There was no consensus about which would be the body in Brazil in charge of developing KPIs and, most importantly, who should be in charge of monitoring them. While some actors have expressed that the PPA's indicators are the KPIs that the government uses to measure success in the implementation of public policies, other bodies have mentioned KNIs developed in the framework of the EFD. Overall, the main challenge identified by the

government of Brazil is to select a few indicators that are recognised, have a reliable statistical base and data that can be compared with indicators used by other countries.

As discussed in the previous chapters, the development of a performance framework at the CoG would facilitate a better organisation of CoG efforts around a limited set of priorities and indicators. Without a clear systematic framework which allows discussion on performance, the development of KPIs might be a futile endeavour, as no mechanisms will exist to effectively identify success factors, implementation barriers and promote organisational learning oriented to outcomes. The National Performance Framework of Scotland (Box 4.5) constitutes a good example of integrating KPIs into a broader performance framework.

Additionally, as mentioned in Chapter 3, Brazil does not carry out performance budgeting as a general practice. Consequently, the KPIs will not be able to measure spending performance, nor can they be used to link spending performance to the achievement of strategic planning objectives. This is in line with the general siloed approach in this area, which often results in limitations on the effectiveness of the M&E system overall. Brazil would like to consider developing integrated efforts to link, in the future, performance budgeting to a set of KPIs.

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### Box 4.5. The National Performance Framework of Scotland

The National Performance Framework of Scotland offers a goal for the Scottish society to achieve. To help achieve this purpose, the framework sets National Outcomes that reflect the values and aspirations of the people of Scotland, which are aligned with the United Nations Sustainable Development Goals and help to track progress in reducing inequality. These outcomes include:

- "We have a globally competitive, entrepreneurial, inclusive and sustainable economy", in regard to the Scottish economy.
- "We are healthy and active", in regard to health.
- "We respect, protect and fulfil human rights and live free from discrimination", in regard to human rights.

Each National Outcome has a set of 81 outcome-level indicators updated on a regular basis to inform the government on how their administration is performing concerning the framework. A data dashboard where citizens can access data on these indicators is available on the Scottish Government Equality Evidence Finder website.

Source: Government of Scotland (2020[20]), *National Performance Framework*.

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Finally, while involving a technical body such as IPEA in the definition of indicators is aligned with OECD good practice, the lack of clarity about the existence or not of KPIs among key CoG stakeholders is an indication of their lack of socialisation/ownership within and outside the administration. Increasing stakeholder engagement in the development of KPIs can increase their legitimacy as well as their quality, as stakeholders may sometimes be better placed in order to identify which dimensions of change should constitute the focus of attention (DG NEAR, 2016[21]).

Concerning the quality of indicators, a number of guidelines on producing quality indicators exist in Brazil, but they are not systematically used. These include:

- The Federal Court of Accounts – Brazil (*Tribunal de Contas da União*, TCU) 2010 *Performance Audit Manual* elaborates on challenges managers may face in creating performance information, including inadequate or unreliable information systems as well as the difficulty in linking outcomes

to specific policies or actions (TCU, 2010[22]). The manual offers general considerations for assessing the quality of indicators (OECD, 2017[15]).

- The *Guide for Strategic Management* (*Guia técnico de Gestão Estratégica*), elaborated by the Special Secretariat for Debureaucratisation, Management and Digital Government (*Secretaria Especial de Desburocratização, Gestão e Governo Digital*) within the Ministry of Economy, which provides recommendations for the formulation of indicators, especially for Institutional Strategic Plans (PEIs).
- The Secretariat for Evaluation, Planning, Energy and Lottery (SECAP) *Guidelines of Indicators* of the PPA 2020-2023. These guidelines have the following objectives:
  o Present a theoretical-conceptual review of indicators.
  o Assist line ministries and agencies in choosing the most appropriate indicators for the M&E of its PPA 2020-2023 programmes.
  o Encourage and induce the use of indicators to improve programme governance and actions, considering the aspects of efficiency and, above all, effectiveness.

Despite the existence of these guidelines, one of the main barriers has to do with the lack of competencies in government institutions for the definition and analysis of KPIs. The Office of Comptroller General (CGU), for example, is trying to establish indicators but is encountering difficulties in doing so. The Public Policy Monitoring and Evaluation Council (CMAP) is working to establish a set of indicators based on the results of some evaluations but also as a way to generate evidence that can support decision-making in the budget cycle. Thus, institutions sometimes reach for support in the design of indicators from external institutions such as the National School of Public Administration (ENAP).

Last, some entities are publishing their indicators. The Minister of Economy, for example, will soon publish its indicators on its website. Nevertheless, even when indicators are publicly available, this does not ensure effective communication to the larger public.

### *Quality of evaluations: Guidelines on policy evaluation and other mechanisms to promote quality*

Like the majority of countries (20 out of 31 countries, of which 17 are members of OECD) (OECD, 2020[4]) Brazil has developed guidelines that seek to address both the technical quality and good governance of evaluations. Guidelines developed by countries address a wide variety of specific topics including: the design of evaluation approaches, the course of action for commissioning evaluations, planning out evaluations, designing data collection methods, evaluation methodologies or the ethical conduct of evaluators. Table 4.3 gives an overview of the different quality standards, in terms of governance and quality that OECD and non-OECD member countries have included in their guidelines.

Guidelines on policy evaluation and other mechanisms to promote quality are available to the Brazilian CoG:

- The *Practical Guide for Ex Ante Analysis* (*Guia Prático de Análise Ex Ante*) (Ipea, 2018[23]) includes useful guidance on the following matters:
  o When an *ex ante* analysis should be carried out and who has the competencies to execute it. It also includes a checklist and practical examples for *ex ante* analysis.
  o Technical information related to logical models, creation of indicators and SWOT (strengths, weaknesses, opportunities, threats) analysis.

- o Information on the objectives of budgetary and financial analyses, implementation strategies, strategies to build confidence and support, general strategies on monitoring, evaluation and control, and measurement of economic and social return. Although this information is all useful to the design of a policy, including its evaluation, it does not provide practical guidance regarding the execution of quality *ex ante* evaluation processes.

- The *Practical Guide for Ex Post Analysis (Guia Prático de Análise Ex Post)* (Ipea, 2018[24]) is intended to be a reference for the CMAG (for budgetary policies that it evaluates) and the CMAS (for public policies financed by the union's subsidies). This guide provides:

  - o A definition of public policy evaluation, public policies and monitoring. It also clearly states the importance to distinguish monitoring from evaluation practices.

  - o Examples of M&E systems in other countries.

  - o A figure detailing a chronologic and co-ordinated evaluation process: selection of public policies to be evaluated, execution of evaluation, presentation of results and propositions for improvements, pact for improvements to be made in public policy, implementation of improvements and finally the improvement of the public policy.

  - o A description of a federal government information and data system, such as the Govdata platform,[2] and its legal framework.

  - o A list of steps to manage information for the integration of policy evaluation.

  - o Information on different types of evaluation (evaluation of results, impact, efficiency, etc.) and their objectives.

  - o Information on the link between evaluation and budgetary management and requirements.

  - o Technical information for carrying out evaluations, such as a step-by-step guide to realise executive evaluations, evaluations of design, implementation, governance of public policies, results, impact and economic and social return evaluations (with examples).

- The *Brazilian Regulatory Impact Analysis Guidelines (Guia de Análise de Impacto Regulatório)* (SEAE, 2020[25]) is an example of a useful document for driving quality evaluations. In June 2008, the Brazilian government issued its first *Regulatory Impact Analysis (RIA) Guidelines* (published as *RIA Guidebook*). It is co-ordinated by the Undersecretariat for Analysis and Assessment of Government Policies (SAG) (Guimaraes, 2020[26]). In the scope of the *RIA Guidebook*, SAG has also worked with the Ministry of Finance and the Ministry of Planning (which both merged under the Ministry of Economy in 2019).

  - o With regards to stakeholder engagement, the guidelines stress the importance of public consultations during the RIA process and provide recommendations on when these should occur (Guimaraes, 2020[26]). Stakeholder engagement has been one of the key concerns of SAG and several other regulatory bodies, which recommend occurrence during two moments of the RIA process: before the new rule is drafted or amended and after the RIA report is agreed upon.

  - o They refer to the Magenta Book[3] to describe different types of evaluation (i.e. process, impact and economic evaluations) and how stakeholders should be engaged in each (Guimaraes, 2020[26]).

  - o They also make a clear distinction between *ex ante* and *ex post* M&E (Guimaraes, 2020[26]).

  - o They draw attention to Regulatory Outcome Evaluation (ROE), which they define as "the systematic evaluation process of an intervention to determine whether its objectives have been achieved" (SEAE, 2020[25]) and describe as a form of *ex post* evaluation. They oppose it to RIA, a "form of *ex ante* policy analysis" and stress that ROE should not be confused with RIA's inspection of the monitoring process. As for ROE, or *ex post* RIA, the guidelines also state when an ROE should be conducted, i.e. the different cases in which they should be conducted and the timing for their conduction.

## Table 4.3. Quality standards included in evaluation guidelines

| | Technical quality of evaluations | | | | | | Good governance of evaluations | | |
|---|---|---|---|---|---|---|---|---|---|
| | Identification and design of evaluation approaches | Course of action for commissioning evaluations | Establishment of a calendar for policy evaluation | Identification of human and financial resources | Design of data collection methods | Quality standards of evaluations | Independence of the evaluations | Ethical conduct of evaluations | None of the above |
| Australia | ○ | ○ | ○ | ● | ○ | ○ | ○ | ○ | ○ |
| Austria | ○ | ○ | ○ | ● | ● | ○ | ○ | ○ | ○ |
| Canada | ● | ○ | ○ | ○ | ● | ● | ● | ● | ○ |
| Colombia | ● | ● | ○ | ○ | ○ | ○ | ● | ● | ○ |
| Costa Rica | ● | ● | ● | ● | ● | ● | ● | ● | ○ |
| Czech Republic | ● | ○ | ○ | ○ | ● | ● | ● | ● | ○ |
| Estonia | ● | ● | ○ | ● | ● | ● | ● | ● | ○ |
| Finland | ○ | ● | ● | ○ | ○ | ● | ● | ● | ○ |
| France | ● | ○ | ○ | ○ | ○ | ○ | ○ | ○ | ○ |
| Germany | ● | ● | ● | ● | ● | ● | ● | ● | ○ |
| Great Britain | ● | ○ | ● | ● | ● | ● | ● | ● | ○ |
| Greece | ● | ● | ● | ● | ● | ● | ● | ○ | ○ |
| Ireland | ● | ○ | ○ | ○ | ● | ● | ● | ○ | ○ |
| Italy | ○ | ● | ○ | ● | ○ | ○ | ● | ○ | ○ |
| Japan | ● | ○ | ● | ○ | ● | ● | ○ | ○ | ○ |
| Korea | ● | ○ | ● | ○ | ● | ● | ○ | ○ | ○ |
| Latvia | ● | ● | ● | ● | ● | ● | ○ | ○ | ○ |
| Lithuania | ● | ○ | ○ | ● | ● | ○ | ● | ○ | ○ |
| Mexico | ● | ● | ● | ○ | ○ | ● | ● | ● | ○ |
| Netherlands | ○ | ○ | ○ | ○ | ○ | ● | ○ | ○ | ○ |
| New Zealand | ● | ● | ○ | ● | ● | ● | ● | ● | ○ |

| | Technical quality of evaluations | | | | | | Good governance of evaluations | | |
|---|---|---|---|---|---|---|---|---|---|
| | Identification and design of evaluation approaches | Course of action for commissioning evaluations | Establishment of a calendar for policy evaluation | Identification of human and financial resources | Design of data collection methods | Quality standards of evaluations | Independence of the evaluations | Ethical conduct of evaluations | None of the above |
| Norway | ● | ○ | ○ | ● | ● | ○ | ○ | ○ | ○ |
| Poland | ○ | ○ | ● | ○ | ● | ● | ● | ○ | ○ |
| Portugal | ○ | ● | ○ | ○ | ○ | ○ | ○ | ○ | ○ |
| Slovak Republic | ● | ○ | ○ | ○ | ○ | ● | ● | ○ | ○ |
| Spain | ● | ● | ○ | ● | ○ | ● | ● | ● | ○ |
| Switzerland | ○ | ○ | ● | ● | ● | ● | ● | ● | ○ |
| United States | ● | ○ | ● | ● | ● | ● | ● | ● | ○ |
| **OECD total** | | | | | | | | | |
| **● Yes** | **20** | **12** | **12** | **15** | **18** | **20** | **19** | **13** | **0** |
| **○ No** | **8** | **16** | **16** | **13** | **10** | **8** | **9** | **15** | **27** |
| Argentina | ○ | ● | ● | ○ | ● | ○ | ○ | ○ | ○ |
| Brazil | ● | ● | ○ | ● | ● | ● | ● | ○ | ○ |
| Kazakhstan | ○ | ○ | ● | ○ | ○ | ○ | ○ | ○ | ○ |

Note: n=31 (28 OECD member countries). Eleven countries (9 OECD member countries) answered that they do not have guidelines to support the implementation of policy evaluation across governments. Answers reflect responses to the question: "Do the guidelines contain specific guidance related to the: [see column headings] (Check all that apply)".

Source: OECD (2020[4]), *Improving Governance with Policy Evaluation: Lessons From Country Experiences*, https://doi.org/10.1787/89b1577d-en.

The *Practical Guide for Ex Ante Analysis* (Ipea, 2018[23])and the *Practical Guide for Ex Post Analysis* (Ipea, 2018[24])are provided by Casa Civil, with the collaboration of the Institute of Applied Economic Research (IPEA), the Ministry of Economy, the Office of the Comptroller General (CGU) and other line ministries, and have been approved by the Inter-ministerial Governance Committee (CIG). They can be used by other actors than CMAP (CMAG/CMAS). It should be noted that all evaluations submitted to CMAP must follow the guidelines of the *Practical Guide for Ex Ante Analysis* and/or the *Practical Guide for Ex Post Analysis* for the evaluation of public policies.

The CGU performs consulting assessment services, within the scope of its role of internal audit, in accordance with the Technical Reference (Normative Instruction SFC/CGU No. 3, of 9 June 2017). The Technical Reference, together with the manual of technical guidelines for the governmental internal audit activity of the Federal Executive Branch (Normative Instruction SFC/CGU No. 8, of 6 December 2017), provide a framework for assessments of various objectives evaluated within the scope of internal audit activities, as well as serving as a subsidy to the assessment work conducted by its teams within the scope of CMAP.

Additionally, during the last cycle, CMAP has improved evaluation networks and strengthened the roster of evaluators. Evaluators have different backgrounds, such as research institutes, universities, non-profit organisations and international organisations.

Finally, the CGU has developed guidelines based on international best practices for the internal audit activity for planning and carrying out evaluations based on risks and supported by evidence, with targets for increasing its level of technical maturity according to the internal audit capacity model. The experience and improvement of audit teams acquired by conducting public policy evaluations, as well as their physical presence throughout the national territory, allows them to obtain evidence in different ways, whether through the use of big data techniques or often by collecting the necessary evidence directly from the policy's beneficiaries.

### Skills and capacities for M&E are heterogeneous across institutions in Brazil

Relevant competencies and capacity for M&E are important as individuals with the right skillset are more likely to produce high-quality and utilisation-focused evaluations and assessments (McGuire and Zorzi, 2005[27]). The right competencies imply having the appropriate skills, knowledge, experience and abilities. In Brazil, the Ministry of Economy promotes training to develop skills, competencies and/or qualifications of evaluators. The government runs this training through its schools of government – such as the National School of Public Administration (ENAP) – and has the technical assistance of IPEA. This is in line with other OECD countries, the majority of which have recognised the important role of competencies in promoting quality evaluations. In fact, survey data show that the majority of countries (17 main respondents, of which 13 OECD countries) use mechanisms to support evaluators' competencies development (OECD, 2020[4]).

Despite the existence of well-developed capacities, in Brazil, there is a lack of experts trained to carry out evaluations. The number of existing experts does not sustain the need for assessments, especially in times of emergency. Sectoral organs are encouraged to make assessments in their own body but this can be challenging as they rarely have a large enough workforce to sustain their needs. Therefore, capacity building and training could be helpful in Brazil. Moreover, this could create a multiplying effect and lead to a significant increase in the number of professionals able to carry out evaluations.

Some actors closely related to the CoG, such as ENAP, IPEA and the IBGE have the capacities and competencies to ensure that quality evaluation activities are conducted. The secretariats of the Ministry of Economy (National Treasury Secretariat - STN, Federal Budget Secretariat - SOF, SECAP) and the CGU are also capable of co-ordinating and executing different types of evaluations.

- IPEA, for instance, can itself carry out evaluations and has contributed to the co-ordination and execution of evaluations, besides supporting CMAP in a project to develop an Inventory of Federal Public Policies. They also have a programme to foster research through scholarships and bring evaluators from academia to help with assessments.

- The IBGE can help with the provision of data and information bases.

- ENAP can provide training to policy makers in charge of the evaluation. The school has an increasing role in disseminating good practices or guidelines to foster quality processes and results. ENAP offers training, especially practical courses on both *ex ante* and *ex post* assessment of public policies and technical advice on public policy evaluations.

- The CGU can assist in evaluation activities by offering consultancy. This is possible because of its capillarity in the national territory and because audits, including those aimed at evaluating public policies, are processes conducted in a systematic and disciplined manner, including with the existence of a quality assurance programme. The expertise CGU gained over the years can serve as a reference for sectoral bodies when carrying out their own public policy assessments.

These bodies may also exercise the function of co-ordinator or executor of the evaluations carried out within the scope of CMAP. The co-ordinator is responsible for preparing the work plan, ensuring the execution of the evaluation, assessing the risks that may impact the results, presenting the intermediate products to the committee, the final evaluation report and the recommendations report.

Another interesting initiative for the promotion of capacity building is the collaboration between ENAP and the CLEAR Initiative, which is part of the World Bank Independent Evaluation Group (IEG). They hold seminars and workshops on M&E for civil servants, in addition to the co-operation for capacity development in evaluation through ENAP's Evaluation Advisory Services.

Although ENAP has been contributing to building the capacity of evaluation in the line ministries independently and also as an important supporter for CMAP, the way that line ministries carry out evaluations is heterogeneous in the federal government. Some ministries have excellent capacities but this is not true for others. Also, within ministries, there can be specific sectors that are more advanced than others in terms of capacities and skills for M&E. Brazil should make sure that there are basic analytical skills for M&E in all ministries, a critical mass of evaluation skills within each ministry in order to make sure that they can conduct evaluations and skills to commission and supervise evaluations at the senior civil service level.

A first step in strengthening the analytical capacities of the Brazilian public sector would be to assess the capacities and needs of the Brazilian government in terms of M&E skills. Such an exercise could be undertaken by IPEA or ENAP and inspired by the United Kingdom (UK) example of developing a Framework for Digital Professionals (Box 4.6).

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**Box 4.6. The UK Framework of Digital Professionals**

In 2015, the UK Government Digital Services (GDS) started conducting a broad mapping of digital skills in the government to evaluate the capacities and needs of the UK government, to promote a modern and agile digitally driven civil service. This mapping looked at digital professionals as well as product manager, user researcher and delivery manager roles – all of which are indispensable for well-functioning digital services. This mapping exercise has shown that employees with such digital skills had different job titles, functions and salaries within the British public sector.

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> Based on this mapping, the GDS developed the Digital, Data and Technology Capability Framework that includes 37 jobs and identifies the skills needed for each of them, as well as the competencies needed to advance to a higher-level title within each job. This framework has helped the UK civil service address the issue of digital professionals' recruitment and career advancement, identify capacity gaps to design training and facilitated the creation of a community of practice.
>
> Source: OECD (2021[28]), "The future of the public service: Preparing the workforce for change in a context of uncertainty", https://doi.org/10.1787/1a9499ff-en.

Also, according to the interviews carried out during the fact-finding missions, the allocation of capacities, i.e. how capacities are distributed among entities' departments and/or teams, represents an issue. As a matter of fact, capacity allocation within entities can be dictated by inertia from past allocations and not adapted to the internal changes in capacity needs and thus, with a risk of resulting in a misallocation of the existing capacities and an under-exploitation of the existing human resources. A possible solution to this issue lies in co-ordination but this resulted in being problematic due to the high heterogeneity of actors.

Last, investment in analytical capacities for M&E usually happens at the individual level. Instead, it would be advisable to put in place analytical structures for investment in analytical capacities within line ministries at the institutional level rather than at the individual level. This requires the elaboration of a government-wide strategy to attract and retain highly qualified analytical staff members. The Brazilian public sector could create an analytical track within the civil service framework, which could provide training in policy analysis and evaluation methods, appraisal methods, data and advanced quantitative methods, and applied economics. The graduates from this analytical track would be hired centrally and, then, dispersed to the analytical units within various ministries. These analysts could be offered relatively higher salaries, well-defined career trajectories and secondment opportunities, to increase the attractiveness of this professional stream. Several other OECD countries have created dedicated policy analysis tracks within the civil service (Box 4.7).

### Box 4.7. Policy analysis tracks in France, Ireland and the UK

In **Ireland**, the Irish Government Economic and Evaluation Service (IGEES) has a role as an economic and analytical resource co-ordinator across government. The IGEES manages a network of analytical staff who are hired centrally and later posted in line departments. IGEES staff conduct economic analysis and evaluations, and more generally contribute to better policy making in the line departments. The IGEES was launched in 2012 in the aftermath of the global financial crisis, initially aimed at ensuring the quality-for-money of public policies in response to budgetary pressures.

On average, 20 recent graduates are hired through this scheme every year, which brings the total number of analysts hired by the IGEES to over 150 across the government. The IGEES also supports network building and knowledge sharing by providing its staff with incentives for mobility: after an initial two-year period, staff will move either within the department or to another department. A Learning and Development Framework has also been established whereby IGEES staff receive training in the following areas: policy analysis and evaluation methods, appraisal methods, data and advanced quantitative methods, and applied economics.

In the **UK**, there are around 15 000 "policy professionals" that work as analysts across the different government departments. The term regroups several professional tracks such as the government economic service, the government statistical service and the government social research service. The policy profession framework includes a two-year apprenticeship programme, as well as a three-year

graduate scheme. There is also a common framework for all policy professionals, which includes a shared skillset (18 competencies in 3 areas: analysis and use of evidence, politics and democracy, policy delivery), 3 levels of expertise, as well as a clear training and career progression framework.

In **France**, the National Institute of Statistics and Economic Studies (INSEE) has an inbuilt tertiary educational system, which trains a set of specialists in economic, statistical and econometric analysis through the ENSAE school, and statisticians and data scientists at the ENSAI school. A share of the graduates from these schools are to be enrolled in the civil service and receive a stipend during their studies in exchange for working in the civil service for a minimum period of eight years. Within the civil service, graduates from ENSAE/ENSAI serve in the analytical offices in each ministry, as well as a variety of public institutions such as France Stratégie or the Central Bank. At entry level, this pool of graduates is co-ordinated centrally by INSEE, thus creating a shared marketplace for analytical and statistical skills across the public sector. In addition, the national institute also has an important role in fostering and developing analytical competencies across government, by providing professional training aimed at all civil servants, organising seminars to foster knowledge sharing and encouraging mobility of analytical staff between line ministries. The scheme, which has been operating since the inception of INSEE in 1946, was part of a set of key reforms aimed at modernising the civil service in the after-war recovery period to ensure that the French state apparatus would be well equipped to deal with modern challenges.

Source: OECD (2021[29]), *Mobilising Evidence at the Centre of Government in Lithuania: Strengthening Decision Making and Policy Evaluation for Long-term Development*, https://dx.doi.org/10.1787/323e3500-en.

## Promoting the use of M&E results

Using a system to measure the results in terms of performance and delivery is the main purpose of building an M&E setup. In other words, producing M&E results serves no purpose if this information does not get to the appropriate users in a timely fashion so that the performance feedback can be used to improve policies. Effective use of M&E results is key to embed them in policy-making processes and generate incentives for the dissemination of M&E practices. It is a critical source of feedback for generating new policies and developing a rationale for government interventions. If M&E results are not used, gaps will remain between what is known to be effective as suggested by evidence and policy, and decision-making in practice. Simply put, M&E results that are not used represent missed opportunities for learning and accountability (OECD, 2020[4]).

### *M&E information is shared and made public through different channels, depending on the issuing institution and the data involved*

Making results public is an important element to ensure impact and thus increase the use of evaluations. Public access is an important factor in data use, as analysts may not otherwise be aware of existing data sets or may not have access to them. Evaluation results are increasingly made public by countries, through increased openness and transparency. As shown in Figure 4.2, the majority of countries make evaluation findings and recommendations available to the general public by default, for example by publishing the reports on the commissioning institution's website. Such availability is important to promote use as, if citizens are aware of the results and implications, it may also build pressure on the policy makers to pay attention to the results and ensure that they feed into policy making (OECD, 2020[4]).

In Brazil, the sharing mechanisms for M&E information vary according to the issuing institution and the types of data involved. Some examples are:

- The annual Pluriannual Plan (PPA) monitoring report provided for in Article 16 of Law No. 13.971, from 2019, forwarded to the National Congress, from 2021, until August of each year, and made available on the Ministry of Economy website[1] (Ministerio da Economia, 2020[9]). A report with the results of the evaluations is also sent to the National Congress annually, starting from the 2020 Evaluation Cycle. Final evaluation reports and recommendation reports are available to the public, managers and public officials on the CMAP website.[2]

- The Ministry of Economy's Delivery Unit is responsible for collecting the updated information from implementation departments and compiling it in reports that are sent to the executive secretary. Not only do these reports bring updated information about priority indicators but also show the status of action plans and identify risks in implementation proposing suggestions for mitigation. These reports are used by the leader of the system in meetings with the Crisis Cabinet and the minister, and ultimately also serve for any updates with the president. A streamlined version of the same reports is also sent to the Communications Unit to be shared with citizens in external communications (media releases, social media and websites).

- The Special Secretariat for Federative Affairs of the Secretariat of Government is responsible for the Federative Diagnosis, an online, real-time IT solution that shows the use of federal resources of all 5 570 Brazilian municipalities.

As a general rule, every impact assessment report is available by law, although some information may be totally or partially restricted due to a legal exemption such as fiscal information protection or property right protection.

## Figure 4.2. Publicity of evaluation results
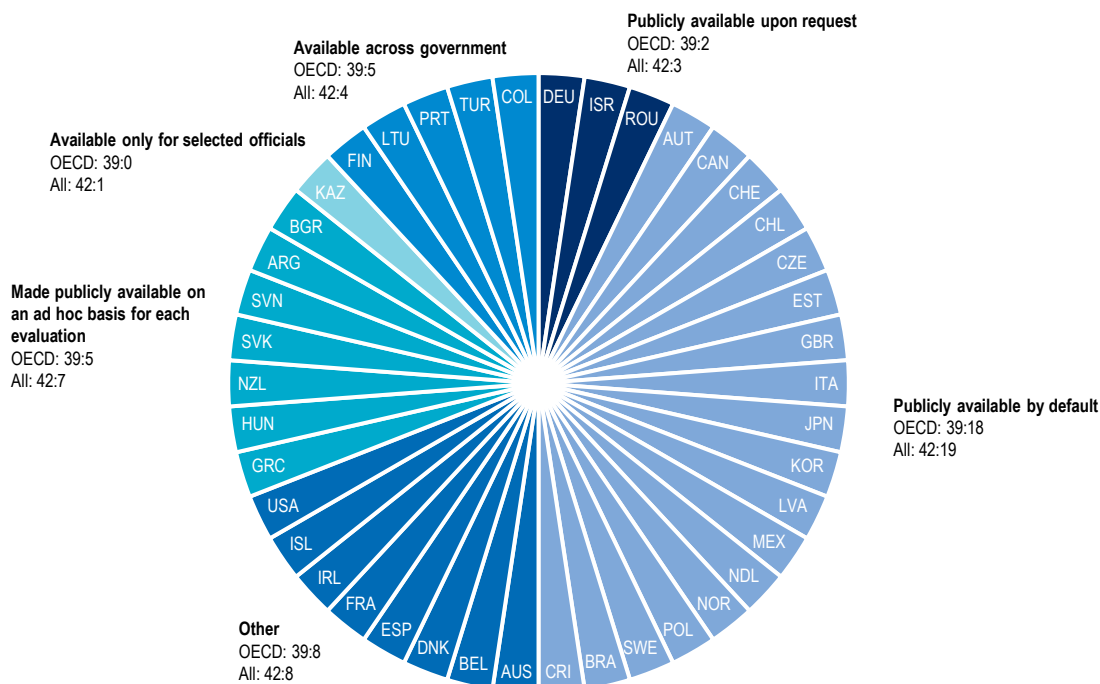


Note: n=42. Answers reflect responses to the question: "The results of the evaluation are: [possible answers listed in the figure]". In "Other", the majority of countries agreed that the public availability of evaluation results will depend on the specific agency that commissioned the evaluation and in its organisation.
Source: OECD (2018[7]), "Survey on Policy Evaluation", OECD, Paris.

***While monitoring reports are created and published, the publication format sometimes fails to promote their use by policy makers***

The results of monitoring of federal government activities should be used to redirect public policies according to the government's strategic objectives, to review the pertinence of these strategic objectives and to reformulate and eventually interrupt or terminate federal actions or programmes. Nevertheless, while the use of monitoring results is intended to contribute to policy learning in Brazil, the actual use of evidence for policy making is still at an early stage of development and is yet to be seen. While monitoring reports are created, they sometimes do not yet abide to standards or procedures that might facilitate their use by policy makers. Additionally, monitoring reporting should be fit for purpose and reports should be tailored to their recipients and users. The Mexican state of Jalisco's MIDE monitoring strategy described in Box 4.8 can be an example of a transparent and well co-ordinated reporting of monitoring information.

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**Box 4.8. MIDE Jalisco: Good practice of transparent reporting of monitoring information**

MIDE Jalisco is the comprehensive monitoring strategy of the state of Jalisco, operated by its Planning, Administration and Finances Secretariat and involving 35 state executive agencies and entities. It facilitates dynamic and periodic monitoring of the quantitative indicators pertaining to the goals of the state's Governance and Development Plan. This monitoring mechanism contains 27 long-term impact-level indicators on the development of the state, 133 mid-term indicators measuring direct impact on the population, as well as 194 indicators that capture short- and mid-term information on the implementation of programmes and policies. MIDE Jalisco has data dating back to 2006 for most of its indicators. In addition to being a well co-ordinated, inter-institutional and centralised platform for monitoring Jalisco's strategic planning instrument, MIDE Jalisco represents good practice for effectively communicating monitoring results to stakeholders. This is because MIDE Jalisco is hosted on an online platform, where members of academia, the press, civil society organisations (CSOs) and the public can access the indicators as open-source data. Furthermore, since these indicators are updated at least once a month (and more frequently if the source of the data allows), relevant stakeholders can access monitoring results in real (or near-real) time. Thus, this system fosters citizen participation and accountability. This participation is further facilitated by the existence of MIDE Jalisco's Citizen Council, which allows for the collaboration between public servants, experts and citizens to improve indicator selection and target setting.

Source: State of Jalisco (2020[30]), *Open Government Partnership;* Elmqvist, T. et al. (eds.) (2018[31]), *Urban Planet: Knowledge Towards Sustainable Cities*, Cambridge University Press; OECD/CAF/ECLAC (2018[32]), *Latin American Economic Outlook 2018:Rethinking Institutions for Development*, https://dx.doi.org/10.1787/leo-2018-en, in OECD (2021[1]), *Monitoring and Evaluating the Strategic Plan of Nuevo León 2015-2030: Using Evidence to Achieve Sustainable Development*, https://dx.doi.org/10.1787/8ba79961-en.

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Additionally, well-functioning mechanisms for generating and using evidence require both interest from political leadership and capacities within a government to provide timely and reliable analysis (i.e. the supply of evidence), as well as to use evidence (i.e. the demand for evidence). In Brazil, the awareness of and demand for evidence from M&E is still insufficient from a number of actors within the government, in spite of the recognition of its importance. Moreover, the creation of new public policies still lacks the recurrent use of quality evidence. Similarly, there is a lack of use by managers of quality evidence in the design stages, choice of intervention and monitoring alternatives. This influences the appropriate allocation of public resources, impacting the probability of solving the problem listed by the political agenda. The Brazilian CoG could consider encouraging the use of monitoring results by, for example, making them user-friendly, including an executive summary and making them concise and clear.

***Increasing the impact of monitoring results will require developing a performance framework focused on addressing implementation barriers***

It is pivotal that monitoring results be presented in a way that is compelling to its audience. Connecting performance objectives (see recommendations in Chapters 1 and 2) and monitoring activities is therefore key. Dashboards should include a narrative on performance, interpreting and using the results to understand implementation gaps and propose corrective policy action in a way that creates a coherent and impactful narrative (Vági and Rimkute, 2018[3]). The government of Brazil will need to filter the relevant data and focus the information presented on the most pressing bottlenecks or the reforms with the biggest potential impact. Key messages, takeaways and suggested courses of action should accompany any raw data (i.e. indicators).

Institutional arrangements and mechanisms constitute a sound foundation for use of evidence in policy and decision-making. Mechanisms that enable the creation of feedback loops between monitoring and implementation of policies can be incorporated either:

- In the monitoring process itself, such as through the performance cycle (whereby performance evidence is discussed either at the level of the individual line ministry or the CoG).
- Through the incorporation of performance findings into other processes, for instance, the policy-making cycle, the annual performance assessment of senior public sector executives, the budget cycle or discussions in Congress.

The creation of a structured performance dialogue, i.e. working routines, could allow practitioners and decision-makers to use monitoring evidence in order to identify implementation issues, constraints and adapt their efforts/resources in order to solve them. In particular, linking the strategic objectives with individual performance objectives is key to creating incentives for results in government, particularly at the level of senior public sector executives and leadership. There is a need to ensure the participation of government officials, such as heads of agencies or departments, and that their organisation is contributing to the achievement of high-priority cross-government outcomes. In Chile, for example, both collective and individual incentives have been used in order to promote public sector performance in line with strategic objectives (see Box 4.9 for a more detailed explanation of this system).

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**Box 4.9. The monitoring systems and accompanying incentives for performance in Chile**

The Chilean monitoring system has three main actors: the Ministry of Finance, the Ministry of Social Development and the line ministries. The system is comprised of four sub-systems that monitor the following elements:

- The H Form (*Formulario H*), a document that accompanies the Budget Bill and comprises performance indicators that include qualitative information on public goods and services. This is under the responsibility of the Ministry of Finance.
- Programme monitoring with the objective of following up on programme execution and measuring progress against targets, under the responsibility of the Ministry of Finance.
- Social programmes monitoring, under the responsibility of the Ministry of Social Development.
- Internal management indicators (*Indicadores de Gestión Interna*) that focus on internal processes and procedures.

In parallel, there are three main mechanisms to create incentives for performance:

- The Management Improvement Programme (*Programa de Mejoramiento de la Gestión*) that grants bonuses to public servants who reach specific targets.

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> - Collective performance agreements (*Convenios de desempeño colectivo*) that encourage teamwork within work units towards annual institutional targets.
> - Individual performance agreements (*Convenios de desempeño individual*) that set strategic management targets for every civil servant.
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> Source: Irarrazaval, I. and B. Ríos (2014[33]), "Monitoreo y Evaluación de políticas Públicas", http://dx.doi.org/10.13140/2.1.4072.2886; OECD (2021[1]), *Monitoring and Evaluating the Strategic Plan of Nuevo León 2015-2030: Using Evidence to Achieve Sustainable Development*, https://dx.doi.org/10.1787/8ba79961-en.

### *More strategic communication of evaluations results could foster their use*

As shown in Figure 4.3, the use of evaluation results in policy making was identified as the main challenge for promoting policy evaluation across government by several respondents to the OECD questionnaire.

In Brazil, the country's political and regulatory environment is developing to allow for the use of evidence in decision-making. Within the scope of the regulated sectors, in 2019, legislation was enacted to extend the compulsory use of regulatory impact assessment from the regulatory agencies to other regulators in the administration (Law No. 13.874/2019). The use of RIA by regulatory agencies and the publication of the results of hearings and public consultations is spreading. Gradually, there is a perceived effort from the agencies to improve their technical notes, disclose the contributions received from society and produce reports commenting on the contributions and supporting the decisions made. It is expected that the use of evidence and transparency of information will increase as they are essential elements of RIAs. In that sense, if the use of RIA becomes normalised, the political environment might change and the use of evaluation, in general, might become a common practice of the Brazilian government too (OECD, 2018[16]).

As previously mentioned, the Public Policy Monitoring and Evaluation Council (CMAP) was recently instituted and is not yet well-adapted to promoting the use of evaluation results. Indeed, every year, CMAP selects, based on objective criteria, a group of policies for priority evaluation and manages their evaluation, summarises results and provides recommendations to the CoG (all of which are publicised on the website).[3] The bodies responsible for PPA programmes must submit to CMAP, when appropriate, an implementation plan based on the recommendations approved for the evaluated public policies. Based on evaluation results, a report with recommendations for policy improvements is prepared. This report is considered by the respective committee (CMAG or CMAS) and approved by CMAP. CMAP CoG bodies consider the recommendations report. The internal governance committees of the governing bodies of the evaluated policies – or, before implementation, the sectoral bodies of the Federal Planning and Budget System (*Sistema de Planejamento e Orçamento Federal*, SPOF) – will be the main contact units of CMAP and its committees and this during the process of evaluating and monitoring the implementation of proposals to change public policies resulting from the evaluation. They are responsible for mediating communication with the relevant technical areas, whenever necessary (Ministerio da Economia, 2020[9]).

Nevertheless, there is no clarity on when and how the CoG will use the evaluation information generated by CMAP. As a matter of fact, despite promoting the evaluation of selected public policies and encouraging the use of evaluation results to improve the programme's outcomes and performance, according to fact-finding mission participants, most of the findings are used in the political discussion on public policies but not in a systematic way. As previously explained, mechanisms for the promotion of the use of evaluation results apply exclusively to the PPA as no such arrangements exist for other planning instruments beyond the PPA. The Secretariat for Evaluation, Planning, Energy and Lottery (SECAP) has prepared the first annual CMAP report, which was sent and presented to Congress in August/September 2021. As provided for in Law No. 13.971/2019, this report submits the results of the evaluations of the 2020 cycle: eight federal subsidy policies and eight policies or programmes funded by union subsidies (*subsidios da uniao*), selected from the PPA's Finalistic Programmes. Each evaluation, with the exception

of one, also presents proposals for policy improvement, which are embodied in recommendations by CMAP.

### Figure 4.3. Challenges for promoting policy evaluation across government
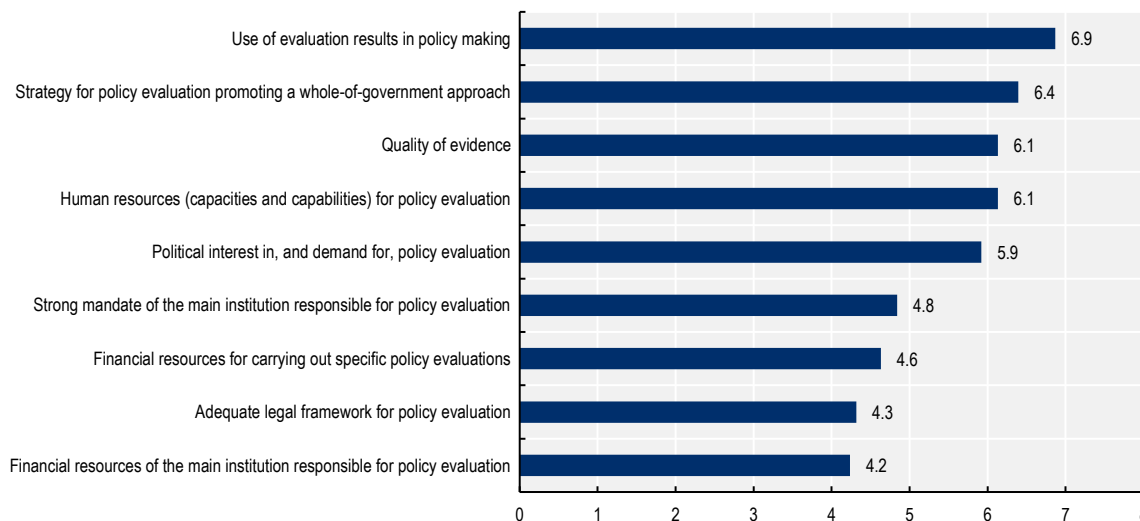


Note: For the main institution, n=42 (37 OECD member countries). Answers reflect responses to the question: "What are the government's current challenges for promoting policy evaluations?". Perceived challenge from 0 to 10.
Source: OECD (2018[7]), "Survey on Policy Evaluation", OECD, Paris.

In order to promote the use of evaluations, countries have adopted the following mechanisms:

- conducting utilisation-focused evaluative processes
- promoting access to evaluations
- supporting the uptake of evaluations results
- increasing demand for evaluations through competency development
- embedding use in the institutional setup, within and outside of the executive.

Good practice mechanisms to promote the use of evaluations implemented by other countries can be found in Boxes 4.10 and 4.11.

### Box 4.10. Evaluation portals to promote the use of evidence

**Poland's national evaluation database for the evaluation of cohesion policy**

All evaluations commissioned in Poland, including those concerning the implementation of EU funds, must be made accessible to the public. Concerning the evaluations related to cohesion policy, a national database has been created: all evaluations are published on the website www.ewaluacja.gov.pl. This platform shares the results of more than 1 000 studies conducted since 2004, as well as methodological tools aimed at evaluators.

**Norway's evaluation portal**

Norway's evaluation portal (https://evalueringsportalen.no/) is a publicly accessible web service that gathers all the findings of evaluations carried out by the central government. This database is operated

by the Directorate for Financial Management and the National Library of Norway. It contains evaluations carried out on behalf of government agencies from 2005 until today, as well as a selection of central evaluations from 1994 to 2004. Evaluation reports are registered in the database as soon as they are made available to the public. Moreover, the portal provides evaluation guidelines, a calendar of the key activities in the evaluation area, and news and professional papers. By increasing accessibility to evaluation results, the portal allows the use and reuse of the knowledge and findings from evaluations in all state policy areas, in future evaluations and in society as a whole. It ultimately allows increased legitimacy and transparency regarding government activities.

Source: OECD Survey on Policy Evaluation (2018), in OECD (2020[4]), *Improving Governance with Policy Evaluation: Lessons From Country Experiences*, https://doi.org/10.1787/89b1577d-en.

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### Box 4.11. Guidelines for the construction of Evidence Gaps Maps: A tool for decision-making in Colombia

The Colombian National Planning Department (DNP) created guidelines for the construction of evidence gap maps (MBEs) to strengthen evidence-based decision-making. MBEs systematise and synthesise the evaluation results in a clear way, giving decision-makers easy and comprehensive access to them and ultimately reinforcing use.

These guidelines can be used by any national public entity and international organisation interested in improving their decision-making processes. They present the steps required for the construction of an MBE, accompanied by concrete examples and recommendations. They also describe the human resources needed to build the team responsible for constructing the MBE as well as the optimal planning for it.

Source: Ministry of Planning of Colombia (2019[34]), *Guideline for the Construction of Evidence Gaps Maps: A Tool for Decision Making*, in OECD (2020[4]), *Improving Governance with Policy Evaluation: Lessons From Country Experiences*, https://doi.org/10.1787/89b1577d-en.

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The Federal Court of Accounts (TCU) could also play an important role in raising awareness of evaluation results and sharing guidance on how to foster their effective use. First, the TCU gathered relevant data assessing the maturity of Brazil's M&E system, with a particular focus on the use of "evaluative knowledge". In 2013, the TCU conducted an audit of 27 federal agencies to assess the maturity of M&E systems across government. The maturity index (iSA-Gov) quantified the level of institutionalisation of systems, looking at four elements:

- demands for evaluation
- production of evaluative knowledge
- organisational learning capacity
- use of evaluative knowledge.

Managers who responded to the survey considered themselves as having a high capacity to use results (TCU, 2013[35]). While the iSA-Gov tool found that the use of evaluative knowledge was, on average, "present, sufficient and satisfactory to meet the needs of the actors", other audits of TCU suggest room for improvement in this area – particularly in the use of performance information for budgeting (OECD, 2017[15]).

As mentioned in Chapter 3, in Brazil, approximately 94% of the budget is determined by the allocations that are set in legislation, while only 6% of the incremental expenditure is available to be allocated to the

government's priorities. The mandatory allocation of expenditures does not leave space for the use of evaluation results and does not have regard for innovation, quality or the volume of services that may be required as the majority of the budget is completed before the budget process begins. Even in mandatory spending, evaluations, if well customised, can promote efficiency and effectiveness, potentially leading to better allocation of resources. As previously mentioned in this chapter, Brazil does not carry out performance budgeting as a general practice. Consequently, evaluation information is not used to link spending performance to the achievement of strategic planning objectives. This general siloed approach often results in limitations on the effectiveness of the M&E system overall.

## Case study on business environment reform in Brazil

Over the past few years, business environment reform has emerged as a cross-cutting, high-level priority for the government of Brazil. The aim of this reform effort or programme is to simplify the setting up and operation of a business, attract foreign direct investments through an improved institutional context, while improving its position in international business environment rankings (in particular the World Bank Doing Business Index). In the context of this reform effort, Brazil has enacted a new Business Environment Law (No. 14.195/2021), developed numerous memoranda of understanding that set out plans to modernise the business environment and implemented various policy initiatives.

Three international indicators are used to monitor the objectives of the business environment reform in Brazil (see Chapters 1 and 2 for more information):

- The World Bank Doing Business indicator: In September 2021, the World Bank suspended the publication of the Doing Business report 2021 due to data inconsistencies. Nevertheless, the executive report of the "Doing Business" Project 2021, prepared by the Special Secretariat for State Modernization (SEME) with the purpose of presenting a synthesis of the work developed and results obtained by the Brazilian government in relation to the modernisation of the business environment, is based on the themes of the Doing Business report. The executive report (Government of Brazil, 2021[36])presents the main actions developed and presents a simulation of the evolution of Brazil in the Doing Business indicator. An online dashboard was also created for the monitoring of each indicator and theme. The government target was defined as a position in the Doing Business ranking but this can be a difficult target to manage due to the movement of the other countries in the ranking. In fact, Brazilian progress may be outshined by the progress of other countries, or some countries may experience a rank drop and the Brazilian rank may increase without a corresponding enhancement in the business environment dynamism. For this reason, greater emphasis could be put on thematic targets defined by points, a simpler metric to plan and control.
- In addition to Doing Business, Brazil uses other international indices to assess the business environment, in particular the WEF Global Competitiveness Index.
- The index of Economic Freedom by the Fraser Institute.

As previously mentioned in the chapter, producing quality indicators is still a challenge for Brazil and, while international indicators can provide a broad understanding of how Brazil is performing in socio-economic areas, they do not help to measure how government policies are contributing to improving outcomes.

With the definition of the Business Environment Modernization Plans (*Planos de Modernização do Ambiente de Negócios*, PMAs), Memoranda of Understanding (MoUs) are agreed upon with the authorities responsible at the federal level for the issues set out in the Doing Business report. The MoUs are intended to record the commitment to promote the modernisation of the business environment through the employment of all necessary efforts by the signatories to increase Brazil's position in the Doing Business ranking. The document defines the shared responsibility with federal managers for the topics assessed in the report, the setting of targets and the configuration for monitoring the actions and activities necessary for the success of the project.

Targets are defined for each of the ten Thematic Action Groups (Grupo *Temático de Ação*, GTA) to monitor the evolution of the plans. In order to achieve targets, ten actions were defined and the corresponding activities were developed. For example, the first action "Starting a business" has eight corresponding activities, among which: creating a single business start-up form (one-stop-shop) and a business hotline for opening a business, etc.

The monitoring of the Business Environment reform would benefit from mid-term milestones and performance indicators. The monitoring of PMAs is conducted through quarterly meetings, with the presence of the top management of the involved agencies (Special Secretaries, General Director of the Brazilian Electricity Regulatory Agency [*Agência Nacional de Energia Elétrica*, ANEEL], Central Bank Director, President of the Securities and Exchange Commission [*Comissão de Valores Mobiliários*, CVM] and the Special Secretariat for State Modernization [SEME]), responsible for carrying out the monitoring of actions and projects that may have an impact on the themes of the Doing Business report. These are structured meetings with a well-defined discussion order. As a matter of fact, in each meeting, minutes from the previous meeting are consulted to check if commitments have been accomplished. New commitments are not created before existing ones have been addressed. Nevertheless, these commitments are not reflected in any specific indicator but are rather part of an informal conversation (through WhatsApp, Google Drive, etc.). There is no clarity about the performance data employed to sustain those discussions and assess if the current efforts will lead to the expected outputs and outcomes and there are no performance indicators. In order to achieve greater clarity, on top of the existing result indicators, performance indicators and mid-term milestones could be developed to improve decision-making and accountability.

Additionally, the informality of monitoring meetings on the one hand makes them more recurring but, on the other, makes them less structured and difficult to institutionalise. Brazil would benefit from creating regular feedback loops and structured discussions around the development of the different actions. In particular, it would be important to improve the systematisation and standardisation of procedures, which confirms the diagnostic outlined earlier in this chapter.

There is currently no evaluation planning in the programme. A more structured monitoring process will support not only project implementation but also eventual evaluations or reviews for further editions and communication with society. Not only do these practices complement each other but policy evaluation also has a distinctive role to play in providing credible evidence for various public management efforts, such as monitoring or performance budgeting (OECD, 2020[4]). As previously mentioned in the chapter, the creation of CMAP signals the relevance of evaluation practices in Brazil and the business environment reform should be no exception.

## Recommendations

In recent years, Brazil has put in place a number of initiatives to strengthen its M&E system. The evaluation system in Brazil has recently been restructured with the introduction of CMAP in 2019. This change has the potential of improving the Brazilian evaluation system but given how recent this is, the results are yet to be seen.

The monitoring system is mainly linked to the PPA, which represents a relevant mid-term planning tool to organise the work of line ministries. Nevertheless, the PPA's design, in terms of timing and structure, does not allow the definition and monitoring of cross-government/cross-cutting policy priorities. This has resulted in the development of alternative monitoring practices, systems and bodies, both in Casa Civil and in the Ministry of Economy.

However, the overall M&E system remains at an early stage of development. It still lacks sufficient institutionalisation and the actors mobilised for M&E practices are not always well co-ordinated. Moreover, evidence suggests that mechanisms to foster the quality and use of M&E results are neither widespread nor systematically used. A particular challenge for the government is the access to quality data and lack of use of the budget to evaluate the pursuit of strategic planning objectives through spending indicators in a performance-based budgeting system. The government should continue its efforts to institutionalise key processes, enhance co-ordination and promote the quality and use of M&E.

## Recommendations

**Building a sound institutional framework for monitoring and evaluating policy priorities**

- Adopt a comprehensive definition of monitoring and/or evaluation to establish a shared understanding of their objectives and modalities within the public sector, and the difference between them.
  - o Clarify, for example through guidelines, the different set-ups – including the actors involved, timeline, methodology and tools for monitoring, for each objective pursued by monitoring activities, such as:
    - – Monitoring cross-cutting policy priorities at the CoG: closely related to Casa Civil's key responsibilities.
    - – Monitoring the use of resources, the efficiency of internal management processes or the outputs of a given policy initiative, under the responsibility of the Ministry of Economy and linked to the Pluriannual Plan (PPA).
  - o The adoption of a definition of evaluation could be the outcome of a collective exercise within the Public Policy Monitoring and Evaluation Council (CMAP).
- Clearly define mandates and responsibilities for whole-of-government performance monitoring in Brazil.
  - o This includes assigning responsibilities and avoiding gaps, overlaps and improving co-ordination, especially between the Undersecretariat for Articulation and Monitoring (SAM), the Undersecretariat for Analysis and Assessment of Government Policies (SAG) and the Ministry of Economy concerning data collection, data analysis, data use, co-ordination of the monitoring process, promotion of monitoring across government, capacity building and the design of monitoring guidelines. The functional review recommended in Chapters 1 and 2 should be used for this purpose as well.
  - o Consider the progressive development of a performance management framework (see recommendations in Chapters 1 and 2), which links collective and individual incentives for performance. Consider progressively aligning and/or integrating PPA key data and monitoring information into this performance framework. Casa Civil could start this process with some pilot programmes.
- Develop and harmonise monitoring tools and working routines within Casa Civil.
  - o Set up a performance dialogue in order to improve decision-making in the CoG.

- – Centre this performance dialogue on a clear performance framework, with results-oriented objectives and clear impact (long-term), output and process indicators (see Chapters 1 and 2).
- – Set up a clear procedure to discuss performance with line ministries (for instance on a biannual basis). Take measures to ensure the presence of high-level authorities in the meetings.

o Focus the performance dialogue on policies and programmes that require cross-ministerial co-ordination and create focal points in each ministry and agency.

o Based on the platform *Governa*, develop a dashboard for performance dialogue which integrates information concerning both the implementation of policy priorities and their contribution to the PPA, as well as the overarching performance framework/long-term plan. Provide fit-for-purpose and user-friendly analysis in the dashboards. Dashboards should include a narrative on performance, interpreting and using the results to understand implementation gaps and propose corrective policy action in a way that creates a coherent and impactful narrative. The government of Brazil will need to filter the relevant data and to focus the information presented on the most pressing bottlenecks or the reforms with the biggest potential impact. Key messages, takeaways and suggested courses of action should accompany any raw data (i.e. indicators).

o Elaborate clear written guidelines for the report, discussions and follow-up actions to be undertaken after performance dialogue meetings. This includes how to conduct performance reviews, the agenda of review sessions and how decisions should be taken and followed up.

### Promoting the quality of M&E

- Strengthen the robustness of key national indicators (KNIs).

o Update and/or validate these indicators through a stakeholder engagement process, in order to create ownership and promote accountability.

o Clearly explain how each strategic objective of the Federal Development Strategy 2020-2031 (EFD) is linked with the KNIs.

o Continue investing in a single architecture data interoperability (in line with the recommendations of the OECD 2018 Digital Government Review). This could contribute to the availability and quality of data and evidence which are needed for planning purposes (see Chapter 2).

- Develop a set of robust indicators to ensure the monitoring of policy priorities.

o Each indicator should be explicitly linked to at least one KNI, for the development of this causal chain between policy priorities and long-term goals.

o Diversify the type of indicators used to measure the achievement of each policy priority, in order to capture all core aspects of the policy/programme (such as design, process, context, output indicators).

o Develop, for each indicator to be used within Casa Civil, key background information, including baselines and targets, in order to facilitate M&E.

o Assess the robustness of indicators against the RACER model and replace the indicators that do not meet these criteria. The RACER model state that all indicators should be: relevant, accepted, credible, easy, robust.

- Develop quality assurance mechanisms for the monitoring system in Casa Civil to ensure the credibility and relevance of the monitoring process.

- o Design specific guidelines for the monitoring of policy priorities to be applied by every line ministry to strengthen the quality of the data collection process. Clarify the criteria for escalating issues from the line ministry level to the CoG level in these guidelines.

- o Make use of the tools and experience already developed for monitoring the PPA. The government could consider incorporating the monitoring of priorities defined by the CoG in PPA dynamics and bringing it closer to Casa Civil. The Governa platform and a public panel could also be powered by SIOP, the same system used in PPA management and also in the budget process.

- Increase CoG capacities to monitor policy priorities:

- o Further develop skills in Casa Civil, including analytical skills as well as communication skills.

- o Dedicate specific resources to monitoring, in order to have a critical mass of technically trained staff and managers, and the appropriate IT tools.

- Invest in the development of M&E analytical capacities within line ministries, at the institutional level rather than at the individual level. To this end:

- o Map the analytical skills in each ministry and across the government, to evaluate needs and opportunities. This exercise would require establishing a shared understanding of what these skills entail.

- o Elaborate a government-wide strategy to attract and retain highly qualified analytical staff members, which can include the creation of an M&E analytical track within the civil service framework. The graduates from this analytical track would be hired centrally and then dispersed to the analytical units within various ministries. These analysts could be offered relatively higher salaries, well-defined career trajectories and secondment opportunities, to increase the attractiveness of this professional stream.

- Develop explicit and systematic quality assurance and control mechanisms within CMAP to ensure the credibility of the evaluation process, such as:

- o Develop appropriate evaluation competencies:

  - – Strengthen (or promote the development) of evaluation societies and networks.

  - – Develop strategic alliances with evaluation networks to foster training for public officials.

  - – Map evaluation capacities across government and create a public and up-to-date roster of evaluators.

  - – Develop capacities for commission evaluations across government.

- o Develop explicit and systematic quality control procedures for evaluations to ensure that evaluation design, planning and reporting are properly conducted. This includes putting in place procedures to:

  - – Design a self-assessment checklist for evaluators to control the quality of their work.

  - – Peer review (process and content) evaluations by experts before they are published.

  - – Conduct meta-evaluations.

## Promoting the use of M&E results

- Require institutions to publish monitoring reports in a user-friendly way, both at the whole-of-government and ministerial levels.

- Ensure that all evaluation reports (produced by all ministries but also some externals like business associations, etc.) and findings are easily available to Casa Civil and other CoG bodies.

- Develop a public dashboard to inform citizens and stakeholders about the progress made by the government on the implementation of policy priorities and their expected outcome.

- Produce a communication plan which includes publicly presenting, once a year, the government's progress in implementing their policy priorities (see Chapter 5 on public communication).

- Elaborate a communication strategy to adapt the way in which CMAP research findings are presented to their potential users, including:

  o Further develop the CMAP website to make it more user-friendly. The website could include executive summaries and key figures for each evaluation, which are especially useful for decision-makers.

  o Systematise the use of infographics, tailored synthesis of research evidence, simpler language and visual dissemination through social media.

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## Notes

[1] See http://dados.gov.br/dataset/plano-plurianual-2016-2019-programacao-qualitativa and http://dados.gov.br/dataset/plano-plurianual-2016-2019-avaliacao.

[2] See https://www.govdata.gov.br/.

[3] The Magenta Book provides guidance on evaluation in the UK government: its scoping, design, conduct, use and dissemination as well as the capabilities required of government evaluators.

[1] See https://www.gov.br/economia/pt-br.

[2] See https://www.gov.br/economia/pt-br/acesso-a-informacao/participacao-social/conselhos-e-orgaos-colegiados/cmap.

[3] Idem.