The George Washington University
WASHINGTON DC

Institute of Brazilian Business and Public Management Issues – IBI

The Minerva Program

Spring 2006

Evaluating Governmental Policies and Programs:

recent trends and experiences in Brazil and Rio Grande do Sul State

Author: Carla Giane Soares da Cunha

Advisor: Kathryn E. Newcomer

Washington, D.C. – April 2006

Table of Contents

Introduction

In the last three decades the evaluation of governmental policies and programs assumed great relevance for the functions of governmental planning and management. Despite the existence of previous experiences, the importance of evaluation increased with modernization of the Public Administration. In some countries, this movement was followed by the adoption of the principles of the managerial public administration and the transformations of the relationship between State and society.

The evaluation bases many propositions, such as: the planning and interventions formularization, the accompaniment of the implementation, reformulations and adjustments, and the decisions on the maintenance or interruption of the actions. The evaluation is an important instrument for the efficient improvement of the public expense, the management quality and the control on the effectiveness of the State action, as well as explaining what the government is doing.

Beyond the character of objective measurement of results, the evaluation also has a qualitative aspect, being a judgment on the value of the governmental interventions, on the part of the internal or external appraisers, as well as on the part of the users or beneficiaries. The decision to apply public resources in an action estimates the attribution of value and legitimacy to its objectives, and the evaluation must verify the fulfilment of the established goals.

In the more developed countries evaluation is widely practiced and along with the process, methodological proposals have been developed for international financing organizations such as the World Bank and the Inter-American Bank of Development, for institutions such as the Organization for Economic Co-operation and Development (OECD), the Economic Commission For Latin America and the Caribbean (CEPAL), as well as the Latin American Center of Administration for Development (CLAD).

There are different ways to make an evaluation. One of them is the most formal academic evaluation, with interest on the study of the effectiveness of the policies, its impacts and benefits. Another form is the evaluation promoted during the period of implementation of the policies and the governmental programs, with focus in the analysis of the efficiency and

efficacy.

In Brazil, the importance of the evaluation is recognized. Recently the Brazilian Federal Government has carried through the systematic evaluation of its programs. This evaluation has emphasis in the efficiency and efficacy of the programs that are expressed in the Plurianual Plans. States such as the Rio Grande do Sul are following this example since the last year.

The aim of this working paper is to discuss if the practiced evaluations of the Plurianual Plans in Brazil and the Rio Grande do Sul state can truly assist the decision taking process about the implementation of policies and governmental programs. To achieve this objective, first the motivations for the adoption of that evaluation will be explained. Secondly, the most useful theoretical concepts in the evaluation field will be presented. Soon after, chapter three will approach the recent international experiences in evaluation of policies and public programs. To follow, the evaluations of programs made by the Federal Government of Brazil, from 2000 to 2004 will be analyzed, as well as the experience of the State of the Rio Grande do Sul in its first evaluation of programs of the Plurianual Plan. Finally, the study will analyze briefly the possibilities and limitation of the current methodology.

1- Reasons to evaluate Governmental Policies and Programs

1.1- The utility of policies and programs evaluation

Today there is almost a consensus in the literature that the reasons to carry through public studies of evaluation of politics and programs are related to the transformation of the Public Administration in a more modern and efficient administration, although in some countries this is still only a desire. In the 1980s and 90s, the world was swept by a wave of liberal ideology that preached the "Minimum State", whose acceptance perhaps has been a consequence of the collapse of the communist State. Despite the initial enthusiasm, the possibility of existence of this State was unrealistic, mainly for the developing countries, where the public policies play a strategic role to alleviate the poverty and to make them more compatible with a market economy.

With the impossibility to substitute completely the State for the market, the crisis of this period produced a reform of this State in the majority of occidental countries. According to Bresser Pereira (1996)"In place of the old bureaucratic public administration, a new form of administration emerged - the managerial public administration - that borrowed by the private sector the immense practical and theoretical advances occurred in the 20th century in the business administration, without however losing its specific characteristic: of being an administration not driven by the profit, but for the attendance of public interest "(p. 9). The basic characteristics of the managerial public administration are the orientation for the citizen and the attainment of results, in counterpoint to the bureaucratic administration, which concentrates on the processes, without considering the involved inefficiency.

The increasing government interest in the evaluation studies is related to the questions of effectiveness, efficiency, accountability and performance of the public administration, since these studies consist in tool for managers, developers and implementators of programs and public policies. The evaluations of policies and programs allow that developers and implementators make their decisions with more knowledge, maximizing the result of the public expense, identifying successes and surpassing key points.

1.2- Main questions to be answered for the evaluations

Derlien (2001) identifies three functions attributed to policies evaluation: information, allocation and legitimation. These motivations are identified with different phases of evaluations implementation. During the 1960s, the countries that had stimulated the activity were more interested in the information. For them the ultimate issues to be answered would be: how do policies work, what effects do they produce, and how they can be improved? The second phase that began during the 1980s and predominates today, aims at the more rational budgetary allocation, and the basic questions considered are: which programs have negative results and can be cut, which are the consequences of the privatization of certain public activities, and how can programs be reorganized to reach more results with the same amount? Otherwise, the legitimation function cannot be identified to a specific phase, having always played an important role in the political context of the developed countries in North America and Europe that the author examines.

For Ala-Harja and Helgason (2000), the evaluation of programs is an improvement mechanism of the decision taking process. Although it does not destine to decide or to substitute subjective judgments, the evaluation allows the governor certain knowledge of the program results. That information can be used to improve the conception or implementation of a program, to base decisions and to improve the public accounts on policies and programs. According to these authors, besides the decision taking process improvement, the main goals of the evaluation would be: the appropriate allocation of resources and the responsibility for the parliament and the citizens.

Examining the Latin American case, Bozzi (2001) points out that the current concern about the evaluation of the public administration is inserted in a context of paradigm changes of the public administration, remodeling of the State and institutions modernization. Those changes occurred at a world-wide level, and also produced effect in countries with lower levels of development.

The documents of the Economic Commission for Latin America and the Caribbean (CEPAL), as well as the Latin American Center of Administration for Development (CLAD),

6

admit the necessity of the countries to build systems of performance evaluation. These systems should support the purpose to transform the current structure of the public administrations and to promote a development agenda that includes economic stability, more equity, better allocation of public resources and sustainable economic growth.

In Brazil particular reasons for evaluation demand can be cited. First of all, the Brazilian fiscal crisis that removed government capacity of expense and increased the pressure for bigger efficiency. In this issue, the end of the inflationary process had an important role therefore it finished with financial inflationary government income and displayed its problems with public finances. Second, the deepening of the democracy brought new social actors and new claims to the government. Third, the long economic crisis increased the Brazilian social inequality and the demand for public programs. And last, the planning apparatus that almost finished in all the government levels – Union, States and Municipalities - left the government without elements to information and evaluation (Garcia, 1997).

According to Silva (1999), the most immediate reason for the interest about the evaluation of government activities would be the concern with the effectiveness, that is, with the gauging of the expected and unexpected results reached by the programs' implementation. The second reason would be to understand the process for which the programs had reached these results, analyzing the dynamics of the state intervention and the concrete problems during the implementation process. Other important reasons would be: the organizational learning by public institutions about its activities, the decision taking on the continuity or not of the programs, and the transparency, quality and accountability in the public resources management (managers' responsibility for implemented decisions and actions).

Thus, the immediate questions and central issues to be answered for the evaluation studies can be summarized as: How much of the objectives considered in the program formularization phase were or had been reached in the implementation? How does the program work? What are the reasons that lead or do not lead the programs to reach the expected results? (Silva, 1999, p. 38 and Silva, 2002, p. 15) From these general questions, the evaluation studies can answer more specific topics, related to the information to provide the decision making process and the organizational learning.

From different motivations to evaluate, different kinds of studies are defined. Some of the possibilities and concepts will be approached in the next chapter.

2- Main Concepts

2.1- Evaluation Definition

"The definition of what is evaluation almost seems to be consensual. In accordance with the UNICEF, for example, is about the systematic and objective examination of projects or programs, finished or in course, contemplating its performance, implementation and results, with sights to the determination of its efficiency, effectiveness, impact, sustainability and the relevance of its objectives. The intention of the evaluation is to guide the decision makers, advising them to the continuity, necessity of corrections or suspension of one determined politics or program "(Costa and Castanhar, 2003, p. 972).

According to United States Government Accountability Office (GAO), program evaluations are systematic studies, conducted periodically or ad hoc, to asses how well a program is working. They can be conducted by external experts or by program managers. For the GAO, they examine achievements of program objectives in the context of other aspects of program performance or in the context in which it occurs.

The Organization for Economic Co-operation and Development (OCDE), in their Glossary of Key Terms in Evaluation and Results Based Management, points out the same keywords to the evaluation definition, adding the idea of that an evaluation should provide credible and useful information, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors. The OCDE glossary says also that evaluation refers to the process of determining the worth or significance of an activity, policy or program. It is an assessment, as systematic and objective as possible, of a governmental intervention.

But some authors, Ala-Harja e Helgason, for instance, alert that there is no general agreement on what evaluation is. This is because the concept of evaluation is defined in multiple, even contradictory, ways and by a variety of disciplines such as economics, policy and administration studies, and sociology. Besides, evaluation serves at a wide range of issues, needs, clients, institutions and practitioners. How evaluation is increasingly

recognized, virtually any type of feedback or inquiry may be called evaluation.

2.2- Basic concepts

The activity of evaluation is not an isolated and self-sufficient activity, but it is one of the stages of the planning process of governmental policies and programs. It generates information and analyzes about program results that makes possible the political or technical choices, modifications, as well as reorientation of the actions to achieve the traced out objectives. Afterwards some of the basic concepts used in evaluation literature are presented.

• Policy - Silva (2002, p. 18) defines the phase of formularization of policies as being the phase when the political proposals gain form and statute, receiving minimum formal treatments, and having defined goals, objectives and resources. The policies are changed into programs when the implementation strategy is made explicit and, by an action of authority, the initial conditions for its implementation are created.

• Plan - it is a set of programs that look common objectives. The plan commands the general objectives and disaggregates them in specific objectives, which will be transformed in general objectives of the programs. The plan organizes the programmatic actions in a timing sequence, in accordance with the technical rationality and the priorities of attendance (Cohen and Franco, 2004, p. 86);

• Program - it is a set of activities organized to be accomplished in specifics time and budget, inside of the amount available for policies implementation, or either, for the creation of conditions that allow to the reach of goals of desirable policies (Ala-Harja and Helgason, 2000, p. 8);

• Project - it is an instrument to reach the objectives of a program, involving a set of operations, limited in time, resulting in an item that assists for the expansion or improvement of the government action. When these operations carry out in continuous or permanent way, they are called Activities (Garcia, 1997, p. 6);

• Objective - it is the intended situation to get along at the end of the program implementation, by means of the resources application and the accomplishment of the

foreseen actions (Cohen and Franco, 2004, p. 88);

• Goal - it is the dimension of quantity, time and space of the objective;

• Output- it is the concrete result of the program activities developed, being able to be goods or services;

• Outcome - it is what happens with the program influence. As well as the objective occurs before the beginning of the program, outcomes are resulted of the program actions. Outcomes can be intermediates, occurring during the program, or endings, that are the ones that continue after the program end. Outcomes can still be looked for, that is, had been established as objective, or not looked for, unexpected;

• Impact - it is defined as a result of the program outcome. It can be attributed exclusively to the program, after external effects are eliminated. It is the result of the program (Cohen and Franco, p. 93);

• Efficacy - it is the relation between the reached goals and the time or, in other words, is the degree that the objectives and goals of the program are reached in a determined period of time, without considering the implied costs;

• Efficiency - it is the relation between cost and benefits, searching for the minimum total cost for an amount of product or the maximum product for a total expense previously fixed;

• Effectiveness - it is the relation between the results and the objective. "The effectiveness has two dimensions related to the project propose. It is the measure of the impact or the degree objectives are reached." (Cohen and Franco, 2004, p.107);

• Performance indicator - it is the quantification that allows the program results measurement. "It is a methodological resource, empirically related, that informs something about an aspect of the social reality or about the changes that are processing in the same social reality" (Januzzi, 2003, p. 15). The same author detaches some important performance indicators classifications for the policies analysis and formularization:

1. As for the nature of the indicated phenomenon: input indicator is the measure of the resources - human, financial, equipment, etc. - endowed for the program; outcome or output indicators are the measure of the effective policies results; and throughput indicators are the measurement of intermediate operational effort for the attainment of results.

2. As for the temporality: supply indicator is the measure at a specific moment; performance or flow indicator, measures the changes happed between two distinct moments.

3. As for the programs evaluation: efficiency indicators of the resources spent; efficacy indicators in the fulfilment of the goals; social effectiveness indicators about the program impacts (Januzzi, 2003, p. 24).

2.3- Kinds of Evaluation

Evaluations can be classified according to some criteria. Considering the agent who conducted them, evaluations can be classified as (Cohen and Franco, 2004; Cotta, 1998):

External evaluation – is conducted by people or entities outside the institution responsible by the program, in general with experience in this kind of activity. Among the advantages of this evaluation, can be cited the exemption and the objectivity of the external appraisers, who are not directly implied with the process. Beyond this, there is the possibility of comparison of results with other from similar programs examined before. On the other hand, the access to data becomes more difficult and the ones that go to be evaluated can be placed in defensive position, supplying partial information and minimizing the effect of programs improvement. Sometimes is alleged, also, that the knowledge of the evaluation methodology can not substitute for knowledge on the specific program features, and that does not exist a unique methodology applicable to all cases.

Internal evaluation – is conducted inside of the institution responsible by the program, with bigger contribution from people who participate of the program. The elimination of natural resistance to an external appraiser and the possibility of reflection and learning are cited as advantages, as well as the understanding upon the internal activity of the institution. But much of the objectivity can be lost, since the ones that judge are also interested parties, therefore the same ones had formulated and executed the program. In the attempt to diminish the subjectivity, evaluation can be conducted internally to the institution, but for people who did not participate directly of the program. This situation becomes analogous at the one of the external appraiser.

Mixing evaluation - it looks for to combine the previous kinds of evaluation, making that the external appraisers have narrow contact with the participants of the program to be evaluated, in the attempt to keep the advantages and to surpass the disadvantages of the two evaluations presented above.

Participatory evaluation - used mainly for small projects, foresees the participation of the beneficiaries of the actions in the planning, programming, execution and evaluation phases.

As for the evaluation's nature, they can be:

Formative evaluation - is related to the program formation. It is conducted during the implementation phase, and refers to the analysis and production of information on the implementation step. It generates information for people who are directly involved with the program, with the objective to supply elements for the corrections of procedures to improve the program.

Summative evaluation - is related to the analysis and production of information on posterior program steps. It is conducted when the program is being implemented or after its implementation, to verify its effectiveness and to make the judgment of its general value.

When the accomplishment moment is taken in account, evaluations can be identified as (Cohen and Franco, 2004):

Ex-ante evaluation – is performed before the start of program. The main intention is to give support to the decision process about issues such as: to implement the program or not and to organize the projects according to its efficiency to reach the objectives. The central element of the ex-ante evaluation is the diagnostic or inventory, which assists the allocation of the available resources in accordance with the objectives. For this evaluation the techniques of Cost-Benefit Analysis and Cost-Effectiveness Analysis can be used. The last one is more appropriate for social programs.

Ex-post evaluation – is performed during the program execution or after the program has ended, when the decisions are based on the reached results. If the program is in execution, the institution should judge the continuity or not, on the basis of the results obtained. If the decision is positive the program can be the original formularization or suffer modifications. If the program is already concluded, the institution should decide if the same kind of program

must be implemented again or not. The ex-post evaluation is the most methodologically developed kind of evaluation, and the one that has had more application.

It is still possible to distinguish two approaches, according to the concern of evaluation (Cohen and Franco, 2004; Cotta, 1998):

Process evaluation – it occurs during the program implementation, and is related to the management dimension. It is a periodic evaluation with the objective to detect the difficulties that happen during the process, by doing corrections or adequacies. As this form of evaluation assesses the extent to which a program is operating as it was intended, it is used to improve the operative efficiency;

Impacts or results evaluation - it has more ambitious objectives than Process evaluation, answering if the program worked or not. It aims to measure how much the program reaches its objectives and what are its effects, inquiring if after the program implementation the situation-problem, that originates the program, had changed. It supports political decisions such as the program continuation and new programs formularization. It is the most complex evaluation, because the judgment on hypotheses is involved, such as: (1) is this solution applicable to other realities or only for this determined context? (2) are the changes observed in the situation-problem caused by the intervention or by other factors? (3) are the changes permanent or temporary, ceasing with the program interruption? Cotta establishes a differentiation between results evaluation and impacts evaluation: "... it depends eminently on the target of the analysis: if the objective is to inquire about the effect of an intervention on the target clientele, then it is about a results evaluation; if the intention is to catch the reflex of this same intervention in a wider context, then it is about an impact evaluation" (Cotta, 1998, p.113).

2.4- Difference between evaluation and other feedback mechanisms

Some authors call attention to the differentiation between evaluation and monitoring. Therefore, while the monitoring is an internal management activity, carried through during the execution and operation phases, the evaluation can be carried through before, during, and

sometimes after the program implementation. When the program had achieved all its impacts, the concern is centered on the what, why and how of the outcomes.

According to Mokate (2002, p.91) the monitoring "makes an accompaniment of the actions and products of the evaluated initiative. The UNICEF (1991) defines the monitoring as 'a systematic and periodic accompaniment of the execution of an activity, that intends to determine the degree that its outcome coincides with the programmed one, with the intention to opportunely detect deficiencies, obstacles and/or necessities of adjustment'

Thus, according to these definitions, monitoring and evaluation are complementary however the evaluation goes beyond, as it verifies if the transformations intended by the original plan were effectively reached to subsidize definition of future public policies. But the evaluation needs the information proceeding from the monitoring to make the judgment that fits to it, regarding the program's efficiency, efficacy and effectiveness.

The GAO defines performance measurement as the ongoing monitoring and reporting of program accomplishments, particularly progress toward pre-established goals, conducted by program or agency management. Performance measures may address the type or level of program activities conducted (process), the direct products and services delivered by a program (outputs), or the results of those products and services (outcomes). Both performance measurement and program evaluation aim to support resource allocation and other policy decision, but performance measurement can serve as an early warning system to management because of its ongoing nature.

According to Newcomer (1997), performance measurement is a fairly inclusive term that may refer to the routine measurement of program inputs, outputs, intermediate outcomes, or end outcomes (p.7). Program evaluation methods aim to answer why and how questions, while performance measurement captures quantitative indicators that tell about program outputs and perhaps outcomes but does not address the why and how questions (p.10).

Table 1 summarizes the difference between evaluation and other forms of feedback or consults.

Table 1

Difference between Evaluation and other Feedback Mechanisms

Scientific Studies	Evaluations focus on practical use of information.
Traditional Audits	Evaluations study public spending from a wider viewpoint - also questioning whether the objectives of the program are appropriate and efficiently and effectively achieved (the distinction between audit and evaluation is often somewhat blurred).
Monitoring	Evaluation is often conducted as a single effort and seeks to gain more in-depth information of a program in question, although the existence of well-functioning, regular monitoring systems is often a necessary basis for successful evaluations.
Performance Measurement	Evaluation strives for more: it tries to find explanations for observed outcomes and understand the logic of public intervention (however, well-designed performance measurement systems are, for example in the USA, often identified as one form of evaluation).
Policy Analysis	Evaluations focus on ex post assessment. Policy analysis is sometimes defined as ex ante evaluation in studying future policy options.

Source: Ala-Harja and Helgason, 2000, p.9.

The European Commission (1997) Guide of Ex Post and Intermediate Evaluation presents a recent innovation known as performance audit, which is conceptually close to evaluation. According to the European Commission, performance audit is strongly concerned with questions of efficiency (of a program's direct outputs) and good management. Performance audit and evaluation share the same aim of improving the quality of programs, but evaluation goes further because it also looks at issues such as sustainability, relevance and the longer-term consequences of a program.

On the other hand, monitoring examines the delivery of program outputs (the goods

and services produced by the program) to intended beneficiaries. It is a continual process, carried out during the execution of the program, with the intention of immediately correcting any deviation from operational objectives. Evaluation is specifically conducted at a discrete point in the life cycle of a program, and consists of an in-depth study, but monitoring often generates data which can be used in evaluation.

Since the difference between intermediate and ex post evaluations, besides a question of timing, is that in many cases intermediate evaluations often focus on a program's outputs and do not attempt a systematic analysis of its impact. They therefore tend to rely quite strongly on information provided by the monitoring system. Intermediate evaluations may also tend to have a formative bias, a concern with improving the program's delivery mechanisms. In other cases, intermediate evaluations do look at impact, but only in a limited way. Ex post evaluations are more likely to be summative in nature, and are often conducted with the declared intention of analyzing a program's impact. However, since the information needed to assess a program's impact may often not be fully available until several years after the end of the program, even ex post evaluations can be limited in the extent to which they can provide a complete assessment of impact (European Commission, 1997, p.24).

3- Foreign Evaluation Experiences

3.1- Europe

In its former phase, in the 1960s and 70s, the evaluation process was related to the planning and programming in European countries such as Sweden and Germany. In the 80s, the evaluation passed to take up of questions related to output and budget resources in the United Kingdom, the Netherlands, Norway and Sweden, become the issue of policy or program impact something less prior. In this period, the evaluation also started to interest the Parliament. The different evaluations adopted by each country had varied according to legal obligation of the Executive branch to inform to the Congress or Parliament, the independence or autonomy of the appraisers, as well as the degree of governments centralization (Derlien, 2001).

In Sweden, the former evaluations had been carried through during the 50s by commissions in charge of the policies formularization and the decision making process. After the 60s, research agencies and other institutions had been established with the evaluation as their main activity. In the 80s, the evaluation activities had been systemized and linked more firmly to the budgetary process. The objective was to make the previous ad hoc evaluation a formal component of the decision making process. The public agencies would have to present an annual report with the results and to carry through deep revisions every three years. Currently deep revisions are lead only by formal request of the ministries. The agencies are requested to evaluate and to present a performance and results report that are used mainly for policies adjustments.

During the 90s, some European national evaluation systems had been strongly influenced by European Union advice, especially the countries that receive great amounts of resources from this institution. The evaluation of policies in Ireland, Spain and Germany received important stimulus from European Union (Derlien, 2001).

In the Netherlands the government established, in the beginning of the 90s, that the evaluations should be made at ministerial level, and should be external, internal, ex ante,

intermediate and ex post. The Treasury Department and the budgetary directions are responsible by the evaluations orientation and coordination, as well as by the popularization of evaluations' use. The Court of Accounts has for task to examine the efficiency of the management, the organization of the evaluations, as well as to divulge the evaluations results periodically.

In Finland, the evaluations generally are carried through ad hoc, but some sectors such as development and education make systematic use of evaluation procedures. From 1995 to 1997 the government organized an evaluation program with 12 studies, with the objective of to systemize the information on the reforms in the public sector and to fortify the culture of evaluation in the public administration.

The European Union motivates institutionalized evaluation in areas such as development, research and technological policies and in programs financed by the Structural Funds. The operational services are responsible for their own programs evaluation, by tracing their evaluation annual plan. The European Union recommends that the actions financed by budgetary resources are evaluated every six years. The integration between budget and evaluation occurs through the requirement of that the proposals of programs are followed of a financial demonstrative and an evaluation plan. Moreover, the proposals of new programs must be based on ex ante evaluations, and the proposals of renewal programs also must be supported in evaluations. Without evaluation, it does not have allocation of resources (Ala-Harja and Helgason, 2000). To improve an evaluation culture, had been established nets of appraisers, normative manuals and training seminaries.

In the United Kingdom the managerial approach on the public administration emerged during the government of Margareth Thatcher in 1979. She carried through a deep and successful administrative reform. According to Bresser Pereira (1996), a series of programs introduced in the United Kingdom - the Efficiency Units that involved the evaluation of the costs of each State agency, the Next Steps that introduced the executive agencies, and the Citizens Chart - had contributed to become the public service more flexible, decentralized, efficient and citizen-guided. The traditional British public service passed by a deep transformation, lost the bureaucratic traces and acquired managerial features.

The plan to reform public administration in Britain were three main dimensions: first,

the power of the civil service was to be diminished to make the state apparatus more responsive to political direction; second, private sector management practices were to be introduced to promote economy and efficiency in government and third, individual citizens were to have increased freedom to counter the domination of state control over the design and delivery of public services. Focus on the second dimension brought major changes in organizational design and managerial practice, resulting in what came to be called the Modern Public Management or New Public Management.

Modern Public Management advocates the application of classical managerial principles and instruments (from Fayol and Taylor) in the organization of public administration, such as a clear analytical distinction between politics and administration, resulting in a practical and physical separation between the process of political decision making (by Cabinet, Ministries and Parliament) and the administrative implementation of these decisions (concentrated in agencies, placed at a certain distance from the Ministries) (Mierlo, 1996).

These and other measures as proposed by this movement emphasize not external control on bureaucracy, but 'internal control': separation between politics and administration implies at the same time a stronger control of the bureaucracy by the political authorities. But, efforts to improve internal as well as external control of the bureaucracy by politics have more less failed thus far and have resulted in much less success than modern theories of public administration have predicted, says Mierlo (1996).

Thatcher's approach was quickly emulated in the early 1980s by other Western governments that had identified similar priorities: the reduction of public spending, deficit and debt, a reversal of the serious decline in public trust in government, and the need to modernize and streamline public service management in the new era of global competition. The resulting changes in public management, shifted public sector organization from its traditional, classical bureaucratic model (hierarchy, control, rule-based and cautious) to a post-bureaucratic model, involving innovation, flexibility, less central control, empowerment, competition, continuous learning and quality service and results oriented focus. Thus, a new form of public management has been evolving over the last two decades. Its emphasis on increased flexibility, enhanced responsiveness and careful management of resources and

programs requires that public servants, both managers and staff, be prepared to demonstrate the basic skills of risk-taking, innovation, and creative planning. It amounts to a transformation of the public sector, one that has been supported more enthusiastically by some than by others.

Reform attempts have met with varied success, and countries such as the United Kingdom, Australia, New Zealand, Canada and the United States, that have struggled to revitalize, modernize and even 'reinvent' their public services.

3.2- New Zealand and Australia

The Modern Public Administration truly began in New Zealand, according Kettl (2000) that classifies the New Zealand case as part of Westminster model of reforms, including U.K., Canada and Australia. The reforms began with a top-down approach, privatizing programs and focusing in outputs and results instead of inputs and budgets.

Four different stages were identified in the New Zealand reform: (1) from 1978 to 1985, the "managerialist" phase introduced private sector style management into public administration, (2) from 1986 to 1991, the "marketization" phase brought economic approaches to government management, including contracts, market competition and individual self-interest, (3) from 1992 to 1996, the strategic phase tried to introduce a comprehensive view of government programs, to reduce the fragmentation that came from the second phase, (4) after 1997, the adaptive capacity phase concentrated on developing the capability in human resources, specially (Kettl, 2000, p.10).

The ideas behind the New Zealand reform were to increase the transparency of government specifying the goals of government programs and reporting on results. "In general, the reformers tried to separate policymaking from policy administration, replace traditional government bureaucracy and authority with market-driven competition and incentives, make goals and outputs transparent, and give government managers flexibility in determining how to reach these goals (Kettl, 2000, p.11)."

In the 80s, during the process of the Australian public administration reform, the

strategy of evaluation integrated to the management and planning of the organizations and programs was introduced by the government. All the public programs are evaluated every three or five years, and the main proposals of public policies include an evaluation plan. The results of the evaluation must be divulged to the population.

In Australia, the evaluations were lead by the programs' managers, guided by performance, based on good principles, and coordinated by who were responsible for the resources allocation. The Treasury Department was responsible for the coordination of the evaluation in the diverse government agencies, and the General Accounting could intervene on activity.

The evaluation was associated with the budgetary process, being the effectiveness of the programs the main criterion for the allocation of new resources. Ala-Harja and Helgason (2000) commented that, in the formularization of the 1994/1995 budget, the evaluations results had influenced 77% of the new policies proposals, 65% of the economy of resources done and 68% of the deliberations of the government about the proposals.

The success of the evaluation in Australia could be associated with: the diverse reforms in the public sector addressed to the final results, requirements of evaluation endorsed by the first step of government and supported by key-ministries. The consensus and motivation about the necessity of evaluation were also important, as wells as the nets of appraisers and central offices of appraisers in the ministries, and finally the planning, coordination, quality and good performance information systems (Ala-Harja and Helgason, 2000).

3.3- United States of America

The United States has tradition in making evaluations at the federal, state and municipal levels. The agencies responsible for the programs implementation carry through its evaluations and frequently the Congress legislates on the accomplishment of evaluations in wide scale. The Government Accountability Office (GAO), that advises the Congress on their functions of executive branch supervision carries through a great number of performance

audits and programs evaluations.

But according to Derlien (2001) evaluation have experienced a decline in the American executive branch and in the American Congress (with the GAO). The American version for the New Public Management could have contributed to the loss of interest in evaluation by emphasizing the output instead of the impact of programs, and tending to evaluate institutions instead of programs. Besides, decentralized institutions that implement programs tend to report outputs, too.

A considerable amount of what is called program evaluation by state and local governments in the United States is more similar to performance measurement than in-depth program evaluation. Performance measurement refers to the regular reporting of performance information, especially related with outcome information about the programs of an agency, during the process of implementation. Outcome measurement focuses on the part of program evaluation that deals with estimating program outcomes but does not attempt to identify how important is the program to the caused outcomes. Program evaluation tends to be more expensive and require special capabilities that a small number of states and municipalities are able to do. In many cases, evaluations are done in state and local level by legislative evaluators or auditing organizations, not by the executive branch (Hatry, H. in Newcomer, 1997).

At federal level, in 1993 the Government Performance and Results Act (GPRA) legislated about the necessity of strategic planning and performance measurement in the agencies of the American federal government. The agencies must develop strategic plans for more than a year and annual performance plans, with reports related to each program. After 1997 began to be demanded from the agencies: (1) the declaration of vision and strategic mission, (2) the establishment of long term objectives and goals as well as annual performance goals, (3) the development of performance indicators, (4) the use of performance indicators to improve the programs effectiveness and (5) communication of the outcomes for society (Cavalvanti and Otero, 1997).

Simultaneously, the American executive branch carried through the National Performance Review (NPR), targeting the best work of the federal government with a smaller cost. Thus, the National Performance Review recommended the bureaucracy and agencies

reduction and the processes modernization. On the other hand, with the Government Performance and Results Act, the Congress focused the performance measurement and programs' improvement, requiring the incorporation of evaluation results in the establishment of the annual and long term agencies plans.

The Government Performance and Results Act and the National Performance Review had created an environment of strong pressure for changes, with big demands for more efficient and effective governmental services, in an environment of scarcer resources (Cavalvanti and Otero, 1997).

The NPR Reinventing Government was a strategy to make government cheaper, smarter and more effective, but focused in changing bureaucracy' behavior more than government's structures and processes, according to Kettl (2000). The same author identifies three phases in this movement: (1) works better, costs less, from 1993 to 1994, (2) what should government do, from 1994 to 1998 and (3) search for political relevance, after 1998.

The first phase was when agencies identify opportunities for decreasing waste and improving management through motivation and empowering of employees to do a better job and elimination of unneeded programs and positions. In this phase, procurement regulations were simplified to give managers more flexibility to save money, and customer services were developed.

The second phase was characterized by review everything, programs or agencies. But, for political problems, the number of cabinet agencies remained the same, as well as the number of federal programs. In the end, budgets cut by the Congress and political discussion destroyed the initial enthusiasm, remaining downsizing and cost savings as the keystones of the NPR.

In the third phase, the focus of the NPR changed, as well as their name, to National Partnership for Reinventing Government. The new role was implementing information systems and technologies that could improve the government efficiency, concentrating efforts on thirty two high-impact agencies that worked directly with citizens. Searching for political relevance, the NPR distanced from its ability to achieve and produce measurable results, and the government made promises that could not directly fulfill, as viewed by Kettl (Kettl, 2000).

With relation to the objectives of better attendance to the public, the NPR elaborated a

document named the Best Practices in Performance Measurement where is distinguished that as for the utility of the evaluation, the information must be effectively useful for the decision making process and for correction of routes. They must be adjusted in time, relevant and concise for the decision making and control processes, in view of the fulfilling of the goals and objectives of each organization level. The extensive collections of data with the exclusive ends of information are dispensable (Toledo Silva, 2002).

As for the performance measurement and its evaluation, the managerial principles of the NPR are essentially informal, being the intent formalizing in the budget, public finances and control systems. Thus the GPRA regulated the evaluation applied to the programs. The GPRA is recognized for both, the agents of government and the scholars of the reforms in the United States as having central importance in joining the planning and control areas with the planning of the actions of government. The reform process already came developing in the areas of budget, finances and control before the creation of the NPR, and its beddings retrace to the 1950s.

Little before the GPRA, the Chief Financial Officers Act of 1990 determined the incorporation of performance concepts related to the efficiency and efficacy of the public expense in the actions of budgetary and financial control. The same Act determined uniformity criteria of programs evaluation to different areas of governmental action, incorporating non strict financial elements in the evaluation of the federal programs without, however to foresee how the change would operate.

While the Results Act does not require a specific format for the annual performance plan, it does require the plan to (1) identify annual goals and measures covering each of its program activities, (2) discuss the strategies and resources needed to achieve annual goals, and (3) describe the means the agency will use to verify and validate its performance data.

To assist the Congress in the analysis of the strategic plans, as well as the planners and appraisers of programs of executive branch, the GAO published a manual to guide the process of general evaluation of consistency of the performance plans, with three core questions related to (1) Annual Performance Goals and Measures: To what extent does the agency's performance plan provide a clear picture of intended performance across the agency? (2) Strategies and Resources: How well does the performance plan discuss the strategies and

resources the agency will use to achieve its performance goals? (3) Validation and Verification: To what extent does the agency's performance plan provide confidence that its performance information will be credible? (United States, 1998).

The analysis system of the GAO established uniform principles to the internal criteria of evaluation considered by each entity to neutralize part of the inherent vices of evaluations made for programs executors.

After five years of the Government Performance and Results Act the GAO in 1998 still indicated big challenges to be surpassed in the plans elaboration and in the performance evaluation, among which (Toledo Silva, 2002):

• Some programs performance success cannot be determined only on the basis of the performance indicator. It is required complete evaluations of the programs;

• The availability of performance information in the appropriate time has shown difficult include for the programs of short duration;

• Research and development programs can involve decades to present tangible resulted, becoming difficult the annual evaluation;

• The necessity to implant, to develop and to apply trustworthy systems of performance measurement, that supply valid information with the compatible costs and practical application for the daily management;

• The difficulties in identifying adequate performance indicators, and the lack of data for setting quantitative goals and evaluate its reach.

Toledo Silva also points out that the NPR, with its emphasis in the user's satisfaction evaluation, finished by do not considering the ample reach of the policies and governmental actions, just taking care of the immediate programs results. Although the importance of user's satisfaction for the reform legitimation, "… this cannot be seen as substitute of the public policies social effectiveness indicators, therefore nor always the main objective of this is restricted to the universe of direct users."(Toledo Silva, 2000, p.113).

It is observed thus that, despite the efforts, the production of useful information for governmental programs review and routes correction continues an opened challenge although the improvement of the control, accompaniment and evaluation systems.

4- Brazil - Plurianual Plan (PPA) evaluation

4.1- PPA's characteristic and current law

Currently there are important efforts in Latin America for a systematic use of indicators and evaluations of public programs and policies. Beyond Brazil, Argentina, Chile and Colombia are some of the countries that are incorporating the new ideas of public administration (Bozzi, 2001, Toledo Silva, 2002, Silva and Costa, 2002).

An Information System was created in Argentina in 1995, the Social Programs Evaluation and Monitoring (SIEMPRO), financed by the World Bank. At that time the Argentine government and the World Bank had detected a relatively high expense in the social area, however with low efficiency and effectiveness of the social programs.

In Chile the function evaluation recovered importance after the democratization process, as well as the objective to modernize the public administration. Chile did not have a unique system of governmental evaluation. The task was attributed to the Ministries of the Planning, the Finance and the General Secretariat of the Republic Presidency, that act articulated in the Program of Evaluation of Governmental Projects (PAPG) originated in 1997 by congressional demands.

Colombia implanted the National System of Evaluation of the Management and Results (SINERGIA) in 1991, as an instrument to accompany and to evaluate the national plans of development. However, the politic circumstances of the country had transformed the measurement system in a only bureaucratic activity.

In Brazil, the Federal Constitution of 1988 established that the Executive branch must submit to the Legislative branch a Plurianual Plan (PPA). The plan has to include four years of planning and to contend the directive lines, the objectives and the goals of the federal public administration for the capital expenditures and the programs of long duration. Beyond the PPA, the Constitution established that the Laws of the Budgetary Directives (LDO) and the Federal Annual Budget (OGU) were instituted as component of an integrated system of planning and budget. All the national, regional and sector plans and programs also must be

subordinated to the PPA. The period of the plan is different of the presidential mandate, the way that in the first year of government the President executes the actions foreseen in the previous mandate and elaborates the plan for the next four years.

However, in the early years after the Constitution, the inflation made the medium and long run planning impracticable. The first PPA (from 1991 to 1995) did not have the plan features. It was a budgets consolidation, following the pattern of the previous legislation. The second PPA (from 1996 to 1999) had as main landmark the implementation of the Program "Brazil in Action".

According to Costa and Silva (2002), the policy defined by the federal government in the PPA 1996-1999 "was the most including attempt of public policy action to make possible the strategic objectives of State modernization, reduction of regional and social disequilibria and competitive insertion of the country"(p.38). The law that approved the PPA for this period also determined the elaboration of a plan accompaniment report.

However, the report of 1997 was more descriptive than analytical, without a consolidation of performance indicators. Some of the faced problems had been the incompatibility between the PPA and the Federal Budget (OGU) and the absence of parameters that allowed the evaluation of the government performance about the goals reached.

To leave these difficulties, the Planning, Budget and Management Ministry defined a new strategy and selected 42 PPA projects to integrate the Program "Brazil in Action". These projects had been submitted to a special regimen of accompaniment and management with the objectives of (1) guiding the budgetary process, signaling priorities, (2) to detect implementation problems by introducing corrections, (3) to create a database of information to attract investors and to facilitate public-private partnerships (Silva e Costa, 2002).

The selected projects identified objectives, physical and financial goals, localization, executors, sources of financing and execution time. A manager was assigned for each project. An informational system was available for managers and executors to bring up to date the initial planning, to follow and to evaluate the execution of the project, to elaborate reports, to anticipate problems and to consider ways for overcoming problems.

The "Brazil in Action" served as a project-pilot for the PPA 2000-2003 popularized as

"Advances Brazil" that extended the management organization for all federal government programs. According to diverse authors (Barbosa and Garcia, 2001, Calmon and Gusso, 2002, Gartenkraut, 2002, Toledo Silva, 2002) the elaboration process of the PPA 2000-2003 programs was preceded of innumerable technical discussions, involving especially the Planning, Budget and Management Ministry and the Applied Economic Research Institute (IPEA). Also a study was contracted to subsidy the new plan elaboration. The study, called National Axles of Integration and Development, was made for an international trust of companies, aiming at the identification of strategic investments by the country development.

The PPA 200-2003 innovated methodologically to: (1) using the Strategic Directives of the President as reference for the ministries programs elaboration (2) to integrate the plan and the Federal Budget (3) to organize all the governmental actions in programs, making them the management unit (4) to structuralize the programs with objectives, beneficiaries, values, time, indicators and goals, aiming at the accompaniment and evaluation (5) to adopt a model of modern management, aiming at the achievement of results (6) to assign a manager for each program (7) to consider the annual evaluation of the programs reached objectives.

4.2- Choosing a PPA 2000-2003 evaluation methodology

The law that stipulated the "Advances Brazil" considered that the annual evaluation of the PPA execution must be available to base the eventual plan revisions, the Law of Budgetary Directives and the annual Federal Budget. The time for the evaluation is short because plan revisions must be made through the LDO that is submitted to the Congress each April month. The annual evaluation report must contain: (1) the performance evaluation of the macroeconomic indicators that had based the elaboration of the plan, (2) the demonstrative of the physical, financial and regional programs execution, (3) the demonstrative of the performance programs indicators and (4) the physical and financial achievement goals evaluation and the programs indicators evolution (Law 9,989/2000).
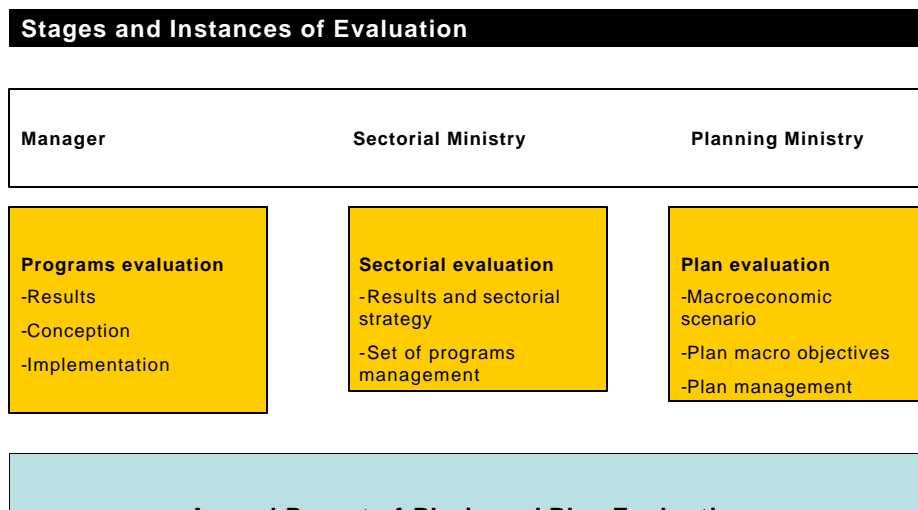
However, the premises of evaluation had remained generic and inexact until the beginning of the plan implementation, when the earlier decisions about the process had been

taken. Moreover, the stated period for the planning agencies reorganization in the ministries and for the programs elaboration was insufficient for the sizeable change proposal. The imperfections in the previous stages of evaluation had culminated in problems in the objectives statements, the programs indicators and in the consistency of the other problems elements, such as goals and resources (Toledo Silva, 2002).

These facts had been jointed with the work dimension, since they had about 350 managers for 380 programs. At last, the evaluation process was defined in three stages:

• The first one, by the manager responsibility: identification to the results of the program to the society, the analysis of the physical and financial performance of program actions and the judgment about adequacy of the program conception and execution to the results achievement

• The second one, elaborated by the responsible for the planning and the management of sectorial policies: evaluation of the programs results, having as reference the Strategic Directives of the President and the Sectorial Orientations.

• The third one, co-ordinated by the Planning, Budget and Management Ministry: analysis of the complete programs set having as reference Strategic Plan Orientations (Brazil, The Planning, Budget and Management Ministry, Report of Evaluation - Exercise 2000).

The steps of programs and sectors evaluation had been carried through multiple choice questionnaires added by some open questions. The questionnaire was filled by the program manager and the executive secretariat of each ministry by in the Management and Planning Information System (SIGPLAN), available by the InterNet. Although they have been carried through modifications and perfectionings along the process, in synthesis the stages and instances of evaluation are the following ones:

Stages and Instances of Evaluation

Manager	Sectorial Ministry	Planning Ministry
Programs evaluation -Results -Conception -Implementation	**Sectorial evaluation** -Results and sectorial strategy -Set of programs management	**Plan evaluation** -Macroeconomic scenario -Plan macro objectives -Plan management

Annual Report of Plurianual Plan Evaluation

The SIGPLAN was implanted to support the planning, execution, monitoring, management and evaluation of the plan. The system adds the data of budgetary and financial execution of each program and action of the federal government, beyond information of monitoring and management supplied by programs managers, sectorial ministries and the Planning, Budget and Management Ministry. The integration between the Plurianual Plan and the Budget allows that budgetary and financial execution was made weekly, and the managers periodically complement information of physical performance. The technician of the Planning Ministry monitors the information in the SIGPLAN. The system has also a module developed to inform to the society about the course of programs.

4.3- Main results and problems faced

According the vision of Garcia (2000) the PPA 2000-2003 programs elaborated were to much heterogeneous, reduced, sectorial and non accurate. The budget also presented problems, being done in unrealistic bases with goals that did not correspond to the agencies operational capacities nor to the foreseen endowments. In the phase of evaluation, one of the great confronted problems was that many programs and action had not been drawn to be evaluated. Many programs had inadequate indicators, with not comparable historical series, not trustworthy and without significant relationship with the problems that originated the programs. The information about the programs accompaniment was also insufficient (Barbosa and Garcia, 2001).

Although the SIGPLAN is a well structuralized system and on easy access its success

depended on the quality and regularity of the information. Among the main detected problems in the update of the system that had caused negative effect in the evaluation phase, Calmon and Gusso (2002) detached: (1) the non adequacy or non existence of internal systems of programs' accompaniment, (2) the insufficiency of human resources in the programs' management and accompaniment, (3) absence of qualified human resources for the evaluation, (4) non adequacy of indicators (5) non accuracy about the goals and costs programs' information.

Regarding the three defined steps of evaluation, one of the challenges was to establish the nexus between the physical and financial programs' performance, the sectorial objectives and directives and the government macro objectives. In other words, was to establish the chaining of the programs' objectives and goals and the objectives of the governmental policies. Due to the heterogeneous macro objective and programs and their quantity, "the evaluation of final results related to the programs set and government macro objectives consists on a gigantic task very difficult of being made for all the programs simultaneously"(Toledo Silva, 2002, p.247).

The use of standardized questionnaires for the attainment of the evaluations and the short time of training given to the managers in both elaboration and evaluation phases had been also criticized. The short time dedicated to qualification did not allow that the new model of planning was consolidated such as a culture in the federal government. The program manager was a new character introduced in the administrative structure that would demand more time by had consolidated its role and could surpass the organizations resistance.

According to Calmon and Gusso (2002) analysis it was perceivable the managers' difficulty to answer to the questions related with programs' results. In many cases, the information was not available due to the non adequacy of indicators and the non existence of annual measurement. In those cases, managers had informed on the reach of goals as reply to the questioning on results, becoming poorer the evaluation. The low quality of answers for the scarcity of information and for the lack of qualification suggested the necessity of investment in managerial and evaluation qualifications. Another problem was subjectivity, due to the internal evaluation, carried through for the managers in charge of the programs' implementation.

The plan evaluation, in turn, consisted of verifying if the programs had been implemented correctly to contribute for the reach of the macro objectives. It was made on the basis of the information of the managerial reports and in the specialized knowledge of the technician. Plan management analysis corresponds to an added vision on the programs and the ministries performance in the proposed model of management. The information of the sectorial evaluation stage had been also used in this phase. However, persisting information difficulties in the monitoring and programs' evaluation phases, the plan evaluation could only have been done with great subjectivity.

Additionally, the responsibility for results had not been so effective, since overhead measures was not followed of corrective actions. The programs managers' did not have legal or administrative autonomy to correct or to solve many problems detected in the monitoring and evaluation processes. The new model of programs management was not totally assimilated, existing superposition between the managerial and the formal administrative structures of the federal government. This fact finished for generating conflicts of decision and ability between the two instances.

The advances proportionate by the PPA 2000-2003 evaluation experience were the stimulation to the discussions on the monitoring and evaluation that technician and agencies involved in the process had been submitted. This consists of an important step to spread the culture of evaluation in the public administration and to incorporate these practical in the decision making processes, improvement of the management and organizational learning. But it takes time for consolidation. Even so the use of the information is still restrictive, the periodic spreading of the information to the society and the obligation to give accounts to the Legislative branch are steps that hardly could be retroceded.

Moreover, in function of legislation and approval of the federal government practice, many states had adopted the principles of modernization of the public administration using the same pattern of program' elaboration, evaluation and spreading of results, between them the Rio Grande do Sul State.

The PPA 2004-2007, called "Brazil, a Country of All", was elaborated on the basis of the same concepts and methodological beddings of "Advances Brazil". The model of management, the organization by programs and the information system already used had been

kept. The basic difference was the introduction of a participatory strategy in the formularization of the plan where some contributions of civil society organizations had been incorporated. Also public consultations to the 26 States and the Federal District had been carried through. The programs elaboration phase was split into two, one for the qualitative aspects, such as objective definition, beneficiaries and programs indicators, and another one for the quantitative aspects. The evaluations and managers recommendations on the previous programs had served of subsidy to the PPA 2004-2007 programs' elaboration.

The same three instances of evaluation had been kept in the model of management of PPA 2004-2007. The differences in relation to PPA 2000-2003 are basically two.

The first one is that the program manager is the bearer of the administrative unit to which the program is tied. Also, the action coordinator is the bearer of the administrative unit to which the action is tied, as Decree 5,233/2004 that regulates the Plan law (Law 10,933/2004). This initiative can previously minimize the mentioned conflicts between the management structure and the administrative structure.

The second one is that the Plurianual Plan Monitoring and Evaluation System was created and its structure was integrated to the Plan management model. The Plurianual Plan Monitoring and Evaluation System (SMA) has as main function to assure that the evaluation is integrant part of the management of the programs and that gives subsidies for the decision making process. The system is composed by a Monitoring and Evaluation Commission (CMA) and for Monitoring and Evaluation Units (UMA) in each sectorial ministry and special secretariat. According to Decree nº 5,233/2004, the CMA will have as general attribution to elaborate proposals of norms and general procedures relative to programs' monitoring and evaluation, as well as to offering technician elements that guide the processes of budgetary allocation of financial resources and the programs. The Monitoring and Evaluation Units (UMA) will be the main agent of the System. It will be UMA attribution supporting the elaboration of management plans, the monitoring and the evaluation of the programs. The CMA and the UMA's work will be to integrate some systems of evaluation and monitoring such as: Annual evaluation of the PPA, Evaluation of selected programs, Evaluation of sectorial initiative, Evaluation of not governmental initiative, Evaluation of the Conciliation Pacts (Brazil, Report of Evaluation - Exercise 2004).

5- Rio Grande do Sul State - Plurianual Plan 2004-2007 first evaluation

5.1- PPA's state legislation

According to State of Rio Grande do Sul Constitution (Art. 149), the law that approves the Plurianual Plan will establish, in regional way, the programs' directives, objectives and goals quantified physically and financially by the direct and indirect State administration.

The Plurianual Plan evaluation consists in a State Administration obligation. Is foreseen in the State Laws nº 10,336/1994 and nº 11,180/1998 the publication up to May 30rd of each year: (1) the demonstrative of revenues by source and expenditures by program, (2) the estimate of the capital expenditures specified by program, (3) the goals that will have to be reached quantified physically and financially, by agency and program, relatively to the state given services.

The Rio Grande do Sul State has already elaborated four Plurianual Plans since the legal determination to make it, as well as published the foreseen annual reports. However, as pointed out by the State Court of Accounts regarding PPA 2000-2003, this accompaniment was limited due to the inexistence of specific indicators related to the programs' objectives. About this PPA, the same State Court of Accounts indicated that the adequacy to new methodology introduced by the federal government must have been implemented along the years after PPA approval. The year of 2003 was the last one to be contemplated by PPA 2000-2003 that, for not including the measurement of programs through indicators, harmed the evaluation of the planned one in comparison with the executed one by the State.

From January 2003 had occurred diverse initiatives to discuss the methodological modernization of the State Plurianual Plan. The main objective was to fit it to Federal Decree nº 2829/98 and Inter-ministerial Decree nº42/99 already followed by the other states of the country.

The State Law nº 11,945/2003 instituted the Plurianual Plan 2004-2007 and determined (Art 8º) that the programs' accompaniment and evaluation will be carried through performance indicators and goals. The goals' indices have to be refined periodically and have

the purpose to measure the reached results. It will be carried through annual physical and financial evaluation of the achievement of the programs' objectives.

5.2- Fitting the federal experience to the Rio Grande do Sul case

The PPA 2004-2007 elaboration is one of the attempts to introduce the modernization in state public administration together with other actions such as management contracts, electronic government, public-private partnerships, integrated services centres, electronic biddings, etc.

Aiming at the adoption of new practices of management addressed to the attainment of results the PPA 2004-2007 organized the state government action in 242 programs. All programs had objective, indicators and a set of actions whose execution allow reaching the objectives tracings. The actions had been identified in the Annual Budgets such as projects or activities. In this way it was established a line of integration that allows to follow the financial execution of the Plurianual Plan from the budgetary execution.

The date of plan delivery already had been delayed through modification of the previous law from March 15th to May 15th of the first year of each new government. This prolonged stated period allowed more discussion in the programs' elaboration stage. The suggestions of the 22 Regional Advice of Development that represent some organizations of the civil society could have been incorporated to the plan.

Moreover, the figure of the Program Coordinator was introduced as well as implanted the Management and Planning Information System of Rio Grande do Sul State (SIGPLANRS), conceived as a tool of support the management in its diverse instances. The Information System was given by the Planning, Budget and Management Ministry to the State Secretariat of Coordination and Planning and adapted to the local characteristics and peculiarities. In the same way, the function of Program Coordinator was an adaptation of the Program Manager adopted by the federal government. The difference is that this responsibility was not legalized in the State.

In 2004 was carried through the first revision of PPA 2004-2007 resulting in the

creation of 15 new programs and in the exclusion of 25 by the original version of the Plan, beyond alterations in action and indicators. Concluding a complete management cycle was made the first PPA program evaluation. It was made from the registered information by the Programs Coordinators in the SIGPLANRS. The possible reports extracted from the answers were related to: (1) the quantitative indicators evolution, (2) the physical and financial goals of the actions, (3) as well as some analyses about issues such as the results, the execution and the conception of the programs and the sector sets of programs (Report of Evaluation - Exercise 2004).

5.3- Main results and problems of the 2004 evaluation

As well as in the elaboration and evaluation of Federal PPA 2000-2003 the experience of methodological modification in PPA 2004-2007 of Rio Grande do Sul State faced problems and resistances. It can be said that the experienced difficulties had been similar to the observed ones at the federal level.

Such as in the federal government, the qualification of technicians in charge of the Plan elaboration was fast and insufficient, as much in the coordination, the position of the Secretariat of the Coordination and Planning as in other agencies. The teams in charge of the Plan coordination and the sectorial planning are small in all state agencies. The deficiencies in the qualification of human resources involved in the process had caused problems in posterior stages, even so have been made a big effort to surpass them.

Another noteworthy difficulty is related to the drawing of the programs. Although only four government directives were determined, the relationship established between them and the programs was vague. The directives were: (1) attraction of investments and economic development stimulus, (2) combat against regional inequalities, (3) promotion of social inclusion and (4) modernization of management and public services.

The intention expressed in the PPA elaboration programs instructions was that each program would be conceived to attack problems of the society. However, the programs were already conceived by each agency when a justification for its existence was looked. Because

of this, many programs' actions reflect more the administrative structure of the agencies that the cause relations and the necessary fronts of action by the problem resolution. Another relative difficulty to the drawing was the indicators non definition, its non verification and its non adequacy in relation to the programs objectives. Sometimes the goals had been transformed into indicators and vice versa.

The Program Coordinators, who had been an adaptation of the function of the federal Program Manager, equally did not have responsibility by results and nor administrative autonomy. In the case of the Rio Grande do Sul State, the factor aggravation is that most of the coordinators were technicians assigned to fill the information in the SIGPLANRS, and really did not co-ordinate the program. This fact causes delays in the update of the SIGPLANRS, since these coordinators did not withhold information on the programs, having to search them in higher stages. In the State the monitoring of some actions with priority was carried through for another information system, without integration with the SIGPLANRS until the moment.

Initially it had resistance of the agencies in the integration of the PPA and the budget. The entailing between actions of the plan programs and the projects or activities of the annual budget made a planning usually did not widely practiced by the state public agencies necessary. They also had difficulty in the costs allocation and consequent predominance of the general administrative expenditures costs' allocation.

The first plan revision was made to proceed to the correction from some technician errors at the PPA initial version, as well as searching a bigger entailing with the budget projects and activities. The revision was conceived such as an integrated part of the PPA management cycle. However, either for the newness, either for the non understanding, the first plan revision provoked too many critical and political use on the part of the Legislative branch of the State.

The state PPA 2004-2007 first evaluation followed the same molds of the evaluation made by the federal government, in three stages: (1) through questionnaire directed to the coordinators of programs, (2) through questionnaire directed to the sectorial coordinators, (3) analysis and consolidation of the answers by the Secretariat of the Coordination and Planning. These analyses consisted in important contribution for the qualification of the processes of

planning, budget and management. Besides guiding the revision of the PPA indicating the necessary re-formularization of programs the evaluation also guided the qualification of diverse processes related to the management such as resources allocation, management procedures and supply of information.

The orientations that had guided the perfectionings introduced in the Plurianual Plan 2004-2007 of the Rio Grande do Sul State had the following objectives: (1) to propitiate the integration and compatibility between basic planning and budget instruments: the Plurianual Plan, the Law of Budgetary Directives and the Annual Budget, (2) to organize in programs all the government actions that resulted in goods or services to attendance society demands, (3) to assure that programs were lined up with the compatible government directives and with resources availability, (4) to provide that resources allocation in the annual budgets is compatible with the objectives and directives established in the Plan and with the programs execution performance, (5) to improve the management performance of public administration, having as basic element the responsibility by costs and results, (6) to allow the programs performance evaluation in relation to objectives and goals specified in the Plan, (7) to offer elements to relate the physical and financial programs execution with the results of the government performance, (8) to create conditions for the continuous and measurable improvement of quality and productivity of public goods and services, (9) to give transparency to the application of public resources and results.

Despite the still restricted use of the evaluation results, the process as a whole was an important step for the modernization of state public administration. The intended objectives are ambitious and would be reached in the long run, therefore they involve changes in a big structure. Despite this, and such as observed in relation to the federal government, to retroced become difficult after some conquests, such as the PPA and annual budget integration. Advances are still necessary but something to be perfected had been established.

Final Considerations

The government interest in the public programs and policies evaluation is related to the concern about effectiveness, efficiency, efficacy and accountability of its actions. Evaluations studies can provide to managers and public administrators answers about the quality of their work, as well as the possibility to show their work' results to the society and the Legislative branch.

According to the analysis of foreign experiences, the main concerns of current evaluations are the outcomes, the rational budgetary allocation and the reorganization of the programs to achieve the planned goals. These are the answers that evaluations can offer to the decision taking process during the programs and policies implementation.

The initiatives of Brazilian federal government follow the international trends in the evaluation process, looking at the social pressures for better quality in public service provision and demands for reduced public expenditures. The systematic application of program evaluation in the Brazilian public administration is a new practice, as well as in state governments, especially in all PPA's programs.

The type of evaluation chosen by the Brazilian federal government and the state of Rio Grande do Sul could be characterized an intermediate evaluation, of formative nature, conducted mostly inside of the institutions responsible for the programs. This kind of evaluation aims to help and advice to the program planners, developers and managers about potential problems and improvement needs.

The external and ex post evaluations made after the program implementation, with academic features, are criticized by not taking care of the practical necessities of the responsible for the implementation of programs. According to many critics, to convert the evaluation into useful tool by the public administration is necessary that it was integrated to the organizations and to the actual decision taking process.

The analysis showed that it is necessary to make some adjustments in the evaluation system of both levels of government, what is natural part to the improvement of a process recently implanted.

One of them is the necessity of bigger integration of the monitoring and evaluation

processes to the other stages of the management cycle, especially in what is related to the budget resources allocation and the decision taking of the managers. This is especially true to the Rio Grande do Sul state, where the monitoring system is separated of the one of evaluation and where there is still a big work of costs appropriation to be made.

The second issue is that intermediate evaluations focus on program's outputs, with concern at improving the program's delivery mechanisms and do not attempt a systematic analysis of its impact. Maybe it was the main limitation of the current methodology. The fulfilment of a physical goal or the availability of a service can be a necessary condition, but not enough to solve determined problem, with low impact of government action on the society.

In the Rio Grande do Sul case this kind of evaluation concerned with the effectiveness of programs can only be made after the PPA 2004-2007, because this is the first one provided by specific goals and performance indicators. Despite the difficulties and the imperfections in the programs designs, this effort must be made to improve the organizational learning and to provide more technician knowledge by the next PPA's elaborations and evaluations.

References

Ala-Harja, Marjukka; Helgason, Sigurdur. Em Direção às Melhores Práticas de Avaliação. Brasília, Revista do Serviço Público, ano 51, n. 4, out./dez., 2000.

Barbosa, Frederico; Garcia, Ronaldo C. A Propósito da Avaliação do PPA: lições da primeira tentativa. Brasília, IPEA, Boletim de Políticas Sociais: acompanhamento e análise, n. 3, ago., 2001.

Bozzi, Sonia O. Evaluación de la Gestion Pública: conceptos y aplicaciones em el caso latinoamericano. Brasília, Revista do Serviço Público, ano 52, n.1, jan./mar., 2001.

Brasil. Ministério do Planejamento, Orçamento e Gestão. Relatório de Avaliação – Plano Plurianual 2000-2003 – Exercícios 2000 a 2003. http://www.planejamento.gov.br/ planejamento_investimento/conteudo/relatorio_ppa/index_relatorio_ppa.htm.

Brasil. Ministério do Planejamento, Orçamento e Gestão. Relatório de Avaliação – Plano Plurianual 2004-2007 – Exercício 2004. http://www.planejamento.gov.br/ planejamento_investimento/conteudo/relatorio_ppa/index_relatorio_ppa.htm.

Bresser Pereira, Luiz C. A Administração Pública Gerencial: estratégia e estrutura para um novo Estado. Brasília, ENAP, 1996 (Texto para Discussão).

Calmon, Katya M. N.; Gusso, Divonzir A. A Experiência de Avaliação do Plano Plurianual (PPA) do Governo Federal no Brasil. Brasília, Planejamento e Políticas Públicas, n 25, jun./dez., 2002.

Cavalcanti, Bianor S.; Otero, Roberto B. Novos Padrões Gerenciais no Setor Público: medidas do governo americano. Brasília, ENAP, 1997 (Texto para Discussão).

Cohen, Ernesto; Franco, Rolando. Avaliação de Projetos Sociais. Petrópolis, Vozes, 2004.

Costa, Frederico L.; Castanhar, José C. Avaliação de Programas Públicos: desafios conceituais e metodológicos. Rio de Janeiro, Revista de Administração Pública, 37 (5), set./out., 2003.

Cotta, Tereza C. Metodologias de Avaliação de Programas e Projetos Sociais: análise de resultados e de impacto. Brasília, Revista do Serviço Público, ano 49, n. 2, abr./jun., 1998.

Derlien, Hans-Ulrich. Uma Comparación Internacional em la Evaluación de lãs Políticas Públicas. Brasília, Revista do Serviço Público, ano 52, n.1, jan./mar., 2001.

European Commission. Evaluating EU Expenditures Programmes: A Guide to Ex Post and Intermediate Evaluation. Luxembourg. January, 1997.

Fitz-Gibbon, Carol T.,; Morris, Lyn L. How to Design a Program Evaluation? Beverly Hills, Sage Publications, 1978.

Garcia, Ronaldo C. Avaliação de Ações Governamentais: pontos para um começo de conversa. Brasília, IPEA/CENDEC, out., 1997.

Garcia, Ronaldo C. A Reorganização do Processo de Planejamento do Governo Federal: o PPA 200-2003. Brasília, IPEA, maio, 2000 (Texto para Discussão n.726).

Garcia, Ronaldo C. Subsídios para Organizar Avaliações da Ação Governamental. Brasília, IPEA, jan., 2001 (Texto para Discussão n.776).

Gartenkraut, Michal. Brasil: uma análise do Plano Plurianual – PPA 2000/2003. Relatório Técnico. Cooperação Técnica BID-IPEA. Brasília, IPEA, 2002.

Hatry, Harry P. Where the Rubber Meets the Road: Performance Measurement for State and Local Public Agencies. In: Newcomer, K. (ed.) Using Performance Measurements to Improve Public and Nonprofit Programs. San Francisco, Jossey-Bass, 1997.

Jannuzzi, Paulo de M. Indicadores Sociais no Brasil: conceitos, fontes de dados e aplicações. Campinas, Editora Alínea, 2. ed., 2003.

Kettl, Donald F. The Global Public Management Revolution: a report on the transformation of governance. Washington D.C., Brookings Institute, 2000.

Lynn Jr., Laurence. Requiring Bureaucracies to Perform: what have we learned from the US Government Performance and Results Act (GPRA)? The University of Chicago, 1998. http://harrisschool.uchicago.edu/About/publications/working-papers/pdf/wp-lynn.pdf.

Mierlo, J.G.A. The Experience of OECD Countries with Public Management Reform and its Relevance to Central and Eastern Europe. The University of Maastricht, 1996. http://ideas.repec.org/p/dgr/umamet/199621.

Mokate, Karen M.. Convirtiendo el "Monstruo"en Aliado: la evaluación como herramienta de la gerencia social. Brasília, Revista do Serviço Público, ano 53, n. 1, jan./mar., 2002.

Newcomer, Kathryn. Using Performance Measurement to Improve Programs. In: Newcomer, K. (ed.) Using Performance Measurements to Improve Public and Nonprofit Programs. San Francisco, Jossey-Bass, 1997.

Rio Grande do Sul. Secretaria da Coordenação e Planejamento. PPA 2004-2007. Relatório Anual de Avaliação. Exercício 2004.

Silva, Pedro L. B. (coord.) Modelo de Avaliação de Programas Sociais Prioritários: relatório final. Programa de Apoio à Gestão Social no Brasil. Campinas, NEPP-UNICAMP, 1999.

Silva, Pedro L. B.; Costa, Nilson R. A Avaliação de Programas Público: reflexões sobre a experiência brasileira. Relatório Técnico. Cooperação Técnica BID-IPEA. Brasília, IPEA, 2002.

Silva, Pedro L. B.; Melo, Marcus A. B. O Processo de Implementação de Políticas Públicas no Brasil: características e determinantes da avaliação e programas e projetos. Campinas, NEPP-UNICAMP, 2000.

Toledo Silva, Ricardo. Eficiência e Eficácia da Ação Governamental: uma análise comparativa de sistemas de avaliação. Relatório Técnico. Cooperação Técnica BID-IPEA. Brasília, IPEA, 2002.

United States. General Accounting Office (GAO). The results act. An evaluator's guide to assessing agency annual performance plans. GAO/GGD-10.1.20, 1998.