ASSESSMENT OF DEVELOPMENT RESULTS
EVALUATION OF UNDP CONTRIBUTION BRAZIL

UNDP

ASSESSMENT OF DEVELOPMENT RESULTS
E V A L U A T I O N O F U N D P C O N T R I B U T I O N **BRAZIL**

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ASSESSMENT OF DEVELOPMENT RESULTS: BRAZIL

ACKNOWLEDGEMENTS

FOREWORD

This is the report of an independent country-level evaluation conducted by the Evaluation Office of the United Nations Development Programme in 2011. The evaluation examines the UNDP contributions to the development results in Brazil from 2002 to 2010. It aims to analyse UNDP strategic positioning and relevance in terms of responding to national needs and priorities and to changes in the development context. The evaluation aims to present recommendations as inputs for adjustments to current strategies and for future programming.

The evaluation found that UNDP was well positioned as a development partner of the Government of Brazil. Its positioning was based on the promotion of human development and on its capacity for project management. UNDP was helpful in supporting project implementation capacities mainly in the social sector, the modernization of the State and the environment. Important changes took place during the time under evaluation. The Brazilian Government addressed significant macroeconomic challenges, while the institutional capacity of areas traditionally supported by UNDP was strengthened, with the expansion of the public administration and the availability of additional financial resources for the implementation of social policies. These changes had a direct repercussion in the way UNDP operated in Brazil and the reduction of its portfolio of projects.

The evaluation found that the contribution to the achievement of development results by thematic area was highly relevant, moderately effective and efficient, and highly responsive. The analysis of the sample of projects used for the evaluation showed that the benefits of UNDP contributions were sustainable to a limited extent.

During the period covered by the evaluation, UNDP provided technical support to the Government to strengthen institutional development and enhance policy formulation. UNDP made positive contributions to the national development strategies, including relevant contributions to the fiscal adjustment strategy, to the reduction of inequalities with a human development perspective and to strengthening the institutional capacity in areas such as citizens' security, human rights and South-South cooperation.

Changes in the national development context and in internal rules contributed to reducing the organizational efficiency in its support to project implementation. However, the operational capacity of UNDP is positively recognized for dealing with complex and international procurement processes and for preserving the projects from potential external pressure.

The advocacy role of UNDP has decreased in the period under evaluation. The reduction of its emphasis could be understood as the result of a higher ownership by the Brazilian Government of the human development agenda, which is a positive outcome of the long-standing dialogue between UNDP and the Brazilian Government.

The evaluation has provided recommendations to allow UNDP to build on the lessons learned from its programme in the past years. It recommends the identification, in partnership with the Brazilian Government, of topics that orient a new strategy for UNDP in Brazil; topics that keep the linkages with national development strategy while effectively contributing to advance the human development in Brazil.

I hope the results of the evaluation will be useful to trigger a reflection and analysis about how to strengthen the partnership between UNDP and its national partners in Brazil to make significant contributions in the long way to human development.

Saraswathi Menon
Director, UNDP Evaluation Office

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ACRONYMS AND ABBREVIATIONS

ABC	Brazilian Cooperation Agency
ADR	Assessment of Development Results
Atlas	Brazilian Human Development Atlas
CCA	Common Country Assessment
CCF	Country Cooperation Framework
CGU	Office of the Comptroller General
CONAB	National Supply Company
CPD	Country Programme Document
CPLP	Community of Portuguese-Speaking Countries
CONAMA	National Environment Council
CNAT	National Technical Assistance Commission
CTPD/TCDC	Technical Cooperation between Developing Countries
DATASUS	Information Department of the Unified Health System
DEX	Direct execution (of UNDP projects)
FAO	United Nations Food and Agriculture Organization
GDP	Gross Domestic Product
GEF	Global Environment Facility
HDI	Human Development Index
HDI-M	Municipal Human Development Index
HIV	Human Immunodeficiency Virus
IBGE	Brazilian Institute of Geography and Statistics
IDB	Inter-American Development Bank
IPEA	Institute of Applied Economic Research
ITC	International Technical Cooperation
MDS	Ministry of Social Development and the Fight Against Hunger
MEC	Ministry of Education
MMA	Ministry of the Environment
MPOG	Ministry of Planning, Budget and Management
MRE	Ministry of Foreign Affairs
NEX	National execution (of UNDP projects)
NHDR	National Human Development Reports
OECD	Organisation for Economic Co-operation and Development
MDG	Millennium Development Goal
OAS	Organization of American States
PAHO	Pan-American Health Organization

NAP	National Action Plan to Combat Desertification
NGO	Non-governmental Organization
PBF	*Bolsa Família* Programme
PISA	Programme for International Student Assessment
PNAD	National Household Survey
PNAFE	Fiscal Modernization Programme of the Brazilian States
PNAGTI	National Indigenous Land Management Policy
PNDH	National Human Rights Plan
PNMA	National Programme for the Environment
PPA	Pluriannual Plan
PRODOC	Project Document
PRONAF	National Family Agriculture Strengthening Programme
PRONASCI	National Public Security with Citizenship Programme
PROUNI	University for All Programme
PSDB	Brazilian Social Democracy Party
PT	Workers' Party
REMS	Social Change through Sports Network
ROAR	Results-oriented Annual Reports
SEMA	Special Secretariat of the Environment
SENAI	National Industrial Training Service
SENAM/PR	Secretariat of the Environment of the Presidency of the Republic
SENASP-MJ	National Public Security Secretariat of the Ministry of Justice
SEPLAN	Planning Secretariat of the Presidency of the Republic
SIGOV	Government Information System
SIM/DATASUS	National Information System on Mortality
SISNAMA	National Environment System
SNICS	National Information System on Cities
SNUC	National Conservation Unit System
SUS	Unified Health System
SUSP	Unified Public Security System
TCU	Federal Court of Audits
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNIDO	United Nations Industrial Development Organization
WHO	World Health Organization

EXECUTIVE SUMMARY

This report presents the findings of the first Assessment of Development Results (ADR) for Brazil. The purpose of the assessment was to evaluate the achievement of the results outlined in the programme documentation of the United Nations Development Programme (UNDP), analyse the organization's positioning regarding national demands and changes in the national development agenda, and to present recommendations that may support potential adjustments in the current strategy and the next Country Programme Document (CPD) for Brazil.

The assessment had two main objectives: to analyse the contribution to the achievement of development outcomes by thematic area horizontally, and to evaluate UNDP's strategic positioning in Brazil. The methodological guidelines of UNDP's Evaluation Office were used, and the following criteria were adopted to assess the results by thematic area: relevance, efficacy, efficiency, sustainability and flexibility. The strategic positioning assessment addressed the following dimensions: strategic relevance, response capacity, value added, comparative advantages, the promotion of UN values, and contributions to the coordination of the UN system. In the evaluation by thematic area, a representative sample of actions reflecting UNDP activity during the period under study was selected and analysed.

A multi-method approach was used both to gather the information and to conduct the assessment. Data was collected from both secondary (existing documentation and various databases) and primary (interviews) sources. Triangulation techniques were employed among various sources, in addition to verification and validation methods, such as internal team meetings and discussion of the preliminary results with two different groups.

The assessment of the programme faced the following restrictions: the lack of objective goals in most UNDP programme documentation and the difficulty of the country office in providing the systematically organized quantitative data needed for the assessment. Also lacking were project output assessments performed by other institutions. These gaps were filled, albeit partially, by data provided by interviewees.

The main conclusions and recommendations of the assessment are the following:

CONCLUSIONS

Conclusion 1. The strategic relevance of UNDP's intervention was high with regard to Brazilian development topics, but changes in the national context reduced its participation as a development partner.

UNDP positioned itself as a governmental partner by assisting with project management, especially in the areas of social development, state modernization and the environment. The Brazilian Government was facing difficulties in implementing the priorities of its agenda due to the scarcity of human resources, the reorganization of the public administration after the enactment of the 1988 Constitution, and the need to promote a rigorous tax adjustment. UNDP focused on promoting human development and offering operational support for project management. That was the scenario during the initial assessment period. With the election of a new government in 2003, deep and rapid changes began to take place in the national context, in social policies and in regulations for international technical cooperation (ITC) activities. As a result, government demands for projects traditionally supported by UNDP fell. Starting in 2006 UNDP's operational capacity, advocacy and knowledge contribution functions came under pressure. The decisions made by the Brazilian Government starting in 2003 to upscale its capacity were understood as an indicator that

it was actually gaining ownership of the UNDP agenda for Brazil. The Brazilian state has since become more effective. Having overcome its macroeconomic restrictions, it structured a professionalized bureaucracy in certain sectors of the federal Government and became more active in social matters.

Conclusion 2. Changes in the rules caused by internal and external factors affecting UNDP Brazil contributed to its institutional instability.

In addition to the changes in the national context and strengthening of the Brazilian state, internal and external factors affecting UNDP generated extensive institutional change between 2002 and the beginning of 2010 and caused instability. The following external factors, among others, affected UNDP: the Brazilian Government standardized ITC; national oversight institutions became stronger and more active in international cooperation activities; the federal Government contracted loans from multilateral agencies, many of them managed by UNDP; UNDP became responsible for procurement activities previously exercised by the Brazilian Cooperation Agency (ABC), without cost recovery. Internally, the main factor was UNDP's alignment to corporate rules which slowed down its procedures, a situation that public managers were not used to. All of these factors had a great impact on UNDP's ability to deliver operational support to projects.

Conclusion 3. UNDP made a great effort to adapt to the new context.

This effort included reducing the organization's operating costs, reinforcing the area that provides operational support to projects and structuring new areas of action, especially public security and South-South cooperation, topics that were starting to appear on the government agenda. Despite this effort, UNDP's previous positioning – centred on promoting human development and offering project management expertise – together with the downsizing process and financial cuts, affected its response capacity and reduced its ability to add knowledge.

Conclusion 4. UNDP remains an important partner to advance the implementation of Brazilian public policies.

Despite having significantly reduced its financial and human resources, UNDP still plays an important role in advancing public policies in Brazil. In December 2010, UNDP managed over 100 projects, some of them extremely relevant and highly aligned to the values and objectives of the organization and the Brazilian Government. UNDP's credibility and expertise in international competitive bidding processes are regarded as highly positive by its partners.

Conclusion 5. UNDP underutilized its international knowledge network.

The thematic networks of UNDP internationally, which might have added knowledge to projects in addition to operational support, were found to be underutilized. Exceptions were nevertheless found in three projects of the sample assessed. One of the areas in which utilization of the networks is much reduced is South-South cooperation. UNDP cooperation in this field is restricted to operational aspects and is limited to cooperation offered to other countries.

Conclusion 6. UNDP contributed little substantive knowledge to the projects.

UNDP was perceived by the project participants interviewed as having contributed little substantive knowledge to the projects, except in the public security and environment areas. This is mostly due to the emphasis placed on the project management component within the organization.

Conclusion 7. The Brazilian Government incorporated various topics of the human development agenda into its policies and institutions, thus reducing the advocacy role of UNDP.

Topics on the UNDP agenda like promoting human rights and gender and race equality were explicitly incorporated into the federal Government's agenda. The Brazilian Government gave ministerial status to the human

rights, women's rights and racial equality areas. New public policies were introduced for these areas, like the quota policy for black students in federal universities and policies geared to the remaining residents of *quilombola* populations. Although the institutionalization of these topics contributed to 'emptying' the UNDP agenda, in the end it is a positive result of the dialogue process established over time with the Government and society. Meanwhile, UNDP has been working on innovative products focused on advocacy – such as localizing the MDGs at the municipal level – and plans to deliver a new National Human Development Report (NHDR) in 2011.

Conclusion 8. The assessment of the thematic areas presents similarities in terms of the areas, but differences regarding the criteria selected, the number of projects and the volume of funds.

Whether through its advocacy efforts or by supporting projects, UNDP's action was on the whole considered relevant in all the thematic areas analysed. Among the areas supported by the organization are activities linked to national strategies to reduce poverty (e.g., *Bolsa Familia*), establish a national public security programme (*Segurança Cidadã*), promote tax adjustment among Brazilian states, institutionalize structuring policies for the environmental area (e.g., National Environment Programme) and set the base for governmental action in the framework of South-South cooperation. In this sense, UNDP took part in many of the demands involved in meeting the national challenges and supported various policies that led to changes in the national context. The assessment criteria were identified as highly relevant, moderately effective, moderately efficient, with limited sustainability and high flexibility. Regarding resources for the thematic areas, the participation of UNDP in national development projects grew substantially until 2004, both financially and in terms of number of projects. Its decrease starting in 2005 resulted of the end of various projects of the state modernization and social policy and inclusion portfolios, particularly in the area of education.

Its greatest relative participation has since been in the environment area, despite a small drop in the volume of resources. The greatest increases are in the areas of public security and human rights and South-South cooperation; participation in the first area is still modest while the latter's role in the total budget is growing considerably.

Conclusion 9. UNDP used the tools and joint programming space together with the other agencies of the UN System in Brazil.

The UN agencies have made a joint programmatic effort with an analytical guiding thread that is consistent with the UN mandate and with the national development challenges. This joint programmatic effort by the agencies also offers an opportunity to generate consensus. The common argument presented in the documents that ITC still has a role to play in a country with a high degree of inequality and heterogeneous capacities is consistent with the assessments of Brazil made by different analysts and institutions. The documents are also aligned with each other and with the directives of the Brazilian Government. However, there remains the challenge of achieving a better distribution of public resources between the countless UN system agencies that operate in Brazil.

Conclusion 10. The funding and action models of UNDP affect its response capacity and hinder the contribution of substantive knowledge.

The funding model based on commissions for managing projects forced the organization to take on a large number of projects to fund itself while leaving strategic action related to promoting human development and sharing the technical knowledge of its staff with project managers in the background. When the demand for projects fell due to the changes in the national context the organization's operational capacity, advocacy and knowledge contribution functions came under pressure. Although new funding and action alternatives are being considered, they have so far proved limited and cannot be interpreted as proof of actual change in the model.

RECOMMENDATIONS

Recommendation 1. UNDP should improve the quality and format of dialogue with the Brazilian Government.

UNDP must review the bases for its dialogue with the Government in three main dimensions. In the first place, by establishing a joint thematic work agenda with its major partners, but one that also involves new partners and former partners that were important in the recent past. The changes that took place in the period assessed restricted the number of partners with which UNDP maintains political dialogue. New dialogue fronts must be created with the Government and other partners on thematic areas that reconcile topics of the UNDP mandate with the Brazilian development agenda. These thematic groups would lead to proposals for an agenda built upon actions that are induced and of interest to all the parties involved, reducing the role of dialogue based on reactive action. Although this type of dialogue is already a part of preparing UNDP programmatic documents like CPDs, which are extensively consulted with the Brazilian partners, it must go beyond defining topics and priorities for programmes. Thematic working groups in selected areas would make it possible to requalify the relationship between UNDP and the Government. The content of said agenda will be detailed in the following recommendation.

In second place, but as a consequence of the previous point, UNDP must structure itself technically to show the Brazilian Government that it is capable of contributing to more than project management.

Finally, investing in recovering the institutional memory of UNDP, by broadly publicizing a brief of its activities and contributions to Brazilian development, would also facilitate dialogue and help to rebuild the positive image of the organization.

Recommendation 2. A new thematic agenda should be identified in coordination with the Brazilian Government.

As a consequence of the aforementioned recommendation of building thematic working groups, UNDP will need to identify, together with the Brazilian Government, a new thematic agenda that allows the organization to continue contributing to the country's development strategy. As discussed in Chapter 2, despite the substantive and accelerated evolution of the agenda there are still important elements to achieve in order to advance the human development agenda. One example is social inclusion, for although the degree of social inequality is decreasing it is nevertheless very high and the country has yet to eliminate extreme poverty. Regarding universal access to public policies, important challenges persist in the areas of sanitation and education, particularly regarding early childhood and secondary education and increasing quality overall. The decentralization policy in turn still faces considerable obstacles related to low qualification of the technical staff responsible for executing the various social policies at the municipal level. On the other hand, the national human rights and public security policies are just starting to be structured. As to tax adjustment, despite the progress observed, the agenda is at a standstill due to the incomplete and complex debate on tax reform. In the area of the environment, in addition to the general challenges posed by the global warming agenda, important challenges remain in topics like water pollution, where no progress was made. Finally, South-South cooperation will require greater institutionalization as well as criteria for two-way cooperation. This recommendation aims to reposition UNDP in the country's development agenda, seeking to foresee, together with the Government, areas of governmental agenda in which UNDP might be able to add knowledge.

Recommendation 3. Together with the Brazilian Government, UNDP should explore new forms of funding for its cooperation programme in Brazil.

The Brazilian Government's expectations for more substantive action by UNDP, manifested in the last CPD and in the interviews, are hindered by the per-project remuneration model

that tends to overload the technical team and requires a relatively bulky project portfolio. In order for UNDP to upscale its knowledge contribution and substantive activities, it must seek, together with the Brazilian Government, new funding alternatives capable of releasing it from its current model, strongly focused on per project remuneration. New forms of funding like governmental budget grants are in the pipeline and expected to increase.

Recommendation 4. The profile of the UNDP technical team should be gradually changed.

Requalifying dialogue with the Government based on thematic groups and identifying new demands in the development agenda will require boosting the team's technical capacity and investing in better strategic planning. Once new topics are identified UNDP must reinforce its team with consultants that are able to begin building a thematic portfolio based on the discussions with the Government. As progress is made in the thematic areas these consultants should be replaced by permanent staff members. The appointment of an adviser for strategic matters that can support the management team, currently overburdened by routine demands, is also recommended. Making better use of the consultants' database that already exists in UNDP may be helpful to this extent.

Recommendation 5. Dialogue should be established with the national oversight institutions.

UNDP must initiate dialogue, especially with the Brazilian Federal Court of Audit (TCU). One idea would be for the ABC to propose a joint study to TCU, the Office of the Federal Comptroller General (CGU) and the Government (Ministry of Planning) to identify the main legal and administrative obstacles for UNDP and examine possible solutions. Particularly important would be identifying legal alternatives to reconcile the provisions of Brazilian law with those of the UN conventions to which Brazil is signatory. Discussing with TCU and CGU, supported by the ABC, the possibility of reviewing its rulings (See Chapter 3) based on the experience accumulated after their enactment is also recom-

mended. Despite the decreased legal uncertainty brought on by standardization, gray areas and at times conflicting interpretations persist. It is particularly important to take into account the positioning of the audit institutions with regard to the transfer of funds to NGOs. One possibility would be sharing experience with oversight institutions in other countries with which UNDP is developing projects that might be relevant to Brazil, like Colombia and Chile. This recommendation aims to forestall new legal and administrative problems and improve project management.

Recommendation 6. UNDP should offer operational support more selectively, directing it to areas with less institutional capacity, and resume the function of contributing technically to selected projects.

UNDP must make an effort to start contributing to substantive matters again, albeit in specific areas and topics, as well as to policies executed by governmental bodies with low institutionalism and reduced bureaucratic professionalization. This can be done by increasing the UNDP staff and its level of specialization. The main partners of the state modernization thematic area, for instance, must in the near future cease to be considered UNDP priorities, since their managerial and institutional capacity has already increased. Other segments of the Brazilian Government (in the environmental and social policy areas) and of the states and municipalities, where public policies are less institutionalized and not as well organized, will still be able to take advantage of the lessons learned in the state modernization area. UNDP support remains important in projects geared to federal public agencies with a lower degree of institutionalization and whose technical teams have yet to gain access to the professionalized civil service. As a result, returning to these ministries in the near future is recommended.

Recommendation 7. Advocacy, dialogue and knowledge generation should be strengthened.

Advocacy, one of the strong points of UNDP's action in Brazil, can be strengthened by appoint-

ing a full-time advocacy professional to disseminate the UN human development values. The possibility of preparing the short-term Municipal Human Development Index may also give rise to new ways of using the index. The periodicity of the NHDRs should be reviewed to better align its topics to governmental interests. In addition, the Institute of Applied Economic Research, the main federal think tank, should be involved in preparing the NHDR as it did in 1998. Finally, advocacy can be used to make Brazilian society more aware of the importance of the support offered by Brazil to less developed countries while exercising the principle of solidarity among peoples.

Recommendation 8. UNDP should optimize its functional mix (advocacy, technical assistance, knowledge generation, policy dialogue and operational support) by taking advantage of the expertise that exists within.

Several initiatives could be considered in this area. Two of them are described below. To begin with, it would be particularly important for UNDP Brazil, other UNDP offices in the countries with which Brazil keeps horizontal cooperation ties, and the ABC itself, to make use of the technical knowledge of UNDP in the different thematic areas that involve South-South cooperation. Through its partners network UNDP Brazil might be able to add knowledge to South-South projects, going beyond operational project management.

Second, UNDP should encourage interagency partnerships, considering the specific areas of action of each UN system agency. In the areas of public security and human rights, for instance, these partnerships could be very significant, since other UN agencies like UN Women and UN Office on Drugs and Crime also work in similar areas.

Recommendation 9. UNDP should adjust the operational rules.

As a result of the above-discussed dialogue with governmental agencies, the organization needs to adjust its operational rules to optimize adminis-trative processes and reduce the degree of uncertainty associated with certain types of contracting procedures. This review is expected to allow the partners to feel more secure in using the management instruments provided by UNDP and reduce the organization's response time.

In the context of this process and in compliance with the corporate rules, UNDP must promote the development of detailed manuals (for project management and procedures) prepared in coordination with all the other spheres involved to achieve a minimum consensus as to good management practices for this type of projects.

Recommendation 10. UNDP should acquire more knowledge and confer greater visibility on the network associated to the UNDP system.

To enhance the usefulness of the organizational network linked to UNDP internationally, both UNDP Brazil and the Brazilian Government need to identify more precisely what knowledge might be added by these agents. International dialogue on different agendas needs to be intensified in Brazil by promoting visits by experts and organizing events on specific topics, among others.

In the area of South-Couth cooperation, UNDP could provide more substantive support to the horizontal cooperation promoted by the Brazilian Government. Some changes need to be introduced in current procedures at headquarters level to facilitate the exchange of knowledge and experiences, reorienting the use of the extensive network of UNDP country offices.

Recommendation 11. UNDP should improve operational processes.

UNDP can also help to improve capacity among cooperation project managers. First, UNDP must contribute to the formal establishment of a network of cooperation project managers. This would allow them to be used in different projects through time and accumulate experience and technical capacity. Second, UNDP should insist on capacity building for cooperation project managers, among other things by offering specialized and detailed courses. Although the organization

has offered distance courses in cooperation with CGU in the past, this topic probably remains a bottleneck for good project management. Third, UNDP might contribute to disseminating good management practices for ITC projects and offer awards for organizations and managers, in partnership with the ABC and the CGU.

Reviewing the uses given to the planning instruments currently in place, particularly project documents, will be an important way of requalifying the operational and substantive contribution given by UNDP. Strictly speaking, it is highly desirable for both UNDP and the executing agency to give clearer detail of the targets and results pursued by the proposed projects. This does not mean that UNDP should invest in conducting outcome evaluations for all projects in which it plays an operational role, but it should help to ensure that evaluations are a routine part of project activities. Funding for these evaluations should either be included in the project budget or an effort should be made to count on

the active contribution of other agencies participating in the project that conduct evaluation processes regularly (e.g., World Bank). A better preparation and follow-up of project documents could also help to reduce the often great longevity of projects.

To conclude, UNDP must improve data organization and storage and update the information on its website constantly, as this is the port of entry for those who are interested in learning about UNDP activities in Brazil and its contribution to the country's development. UNDP has made important contributions towards the attainment of development results in Brazil, which are presented in the following chapters. As Brazil works towards consolidating and reinforcing the results achieved, it shall also face new challenges. The recommendations made in this ADR point to the path to be followed by UNDP Brazil together with the Brazilian Government, so that the country may grow more equally, eliminate extreme poverty, and promote sustainable human development.

Chapter 1

INTRODUCTION

The Assessment of Development Results (ADR) for Brazil is an evaluation conducted in 2011 by a team of independent consultants in coordination with the UNDP Evaluation Office. It aims to evaluate and analyse the contribution of UNDP to the country's development results for the 2002-2006 and 2007-2010 programme periods, and to extract lessons and make recommendations for future strategic positioning. This ADR evaluates UNDP's experience in Brazil and its contribution in addressing the problems faced by the country, particularly institutional, environmental and social issues.

1.1 OBJECTIVE AND SCOPE

Between 2002 and 2010, the UNDP country office in Brazil executed a project portfolio of $1.368 billion, funded almost exclusively by the National Treasury. However, there was a reduction in the budget and the number of projects, from $191.7 million in 2002 to $104.5 million in 2010.

The ADR Brazil has two main objectives: (1) to assess UNDP's contribution – substantive and administrative – to the country's development results and in addressing its main challenges; and (2) provide inputs for UNDP's new strategic positioning. The first objective requires the gathering of evidence indicating outcomes that were expected versus those achieved and/or were unexpected, and UNDP's capacity to respond to national challenges and priorities. The second requires an analysis of the country context and the construction of potential scenarios that may serve as inputs for UNDP's strategic positioning for the next decade. In both cases, the assessment follows a logical sequence, beginning with the definition of the assessment's criteria and subcriteria and ending with the proposed recommendations. Figure 1 summarizes the logical sequence of steps followed by this assessment.

The ADR considered the period between 2002 and December 2010, and the main programme references were the Second Country

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Figure 1. Logical Chain of the Assessment

Criteria, subcriteria and assessment issues

Evidence: gathering of evidence on evaluation criteria

Assessment: analyses of the UNDP Brazil Programme according to the defined criteria and evidence gathered

Conclusions: examination and assessment of the main characteristics of the UNDP Brazil programme and justification of assessments made in the previous phase

Recommendations: formulation of proposals of action, specifying the institutions responsible for each action

Cooperation Framework (CCF) for Brazil (2002-2006) and the 2007-2011 Country Programme Document (CPD), in addition to the Brazilian Government's 2000-2003, 2004-2007 and 2008-2011 Pluriannual Plans (PPA). The assessment also considered the UN and the UNDP Executive Board programme documents and directives.

In geographical terms, the assessment covered actions that had impact on the entire national territory or in parts of the territory, such as states or groups of states, and municipalities.

From a thematic perspective, five areas were analysed – social and inclusion policies; security and human rights; modernizing of the State; environment; and South-South cooperation – and three themes that cut across different areas – gender, race/ethnicity and governance. The participation of UNDP Brazil in national development was assessed through activities linked to specific projects and also in actions outside the scope of the projects, such as advocacy and policy dialogue, known as non-project interventions.

1.2   METHODOLOGY AND LIMITATIONS

The methodology followed the guidelines of the ADR Method Manual, March 2010, a UNDP Evaluation Office document that orients independent evaluations, to ensure not only methodological rigour, but also comparability with ADRs of other countries.

Considering its two main objectives, the ADR Brazil was carried out along two lines: to assess project and non-project outputs by thematic area and their multidisciplinarity; and to assess UNDP Brazil's strategic positioning.

Although the assessment covers two programme periods, UNDP's action was considered in terms of a single period. This was done because UNDP Brazil projects comprising the sample generally have a long life span – 5.9 years, on average. Furthermore, several projects were developed in both periods, with certain thematic areas covered in both. Therefore, the border between the two periods was not considered distinct.

The assessment of development results by thematic area was carried out based on the following criteria:

- programme relevance
- efficacy
- efficiency
- sustainability
- flexibility

The assessment of UNDP's strategic positioning considered the following six dimensions:

- global relevance
- response capacity
- value added and comparative advantages of UNDP
- human development (gender, race/ethnicity and equality)
- partnerships and South-South cooperation
- UNDP's contribution to the coordination of the UN system

During the period considered, the UNDP Brazil country office supported 411 projects and non-projects, and in 2010, its portfolio comprised nearly 100 ongoing projects. Therefore, for the assessment of the thematic areas, it was necessary to select a sample of projects and non-projects, from a database provided by the UNDP office of the projects comprising the total portfolio for the period. The projects selected from this database met the following criteria:

- geographic coverage: national, state, municipal levels; South-South cooperation; regional programmes;
- types of partnerships: government, civil society and the private sector;
- thematic coverage: social and inclusion policies; security and human rights; modernizing of the State; and the environment;
- budgetary execution of interventions (small and large projects);

- execution model: NEX (national execution) and DEX (direct execution by UNDP);

- *outliers* (pilot, innovative projects that were successful, or that did not function properly and stood out for that reason);

- time-frame: covering the two programme cycles: 2002-2006 and 2007-2010;

- projects that are ongoing, and that have been concluded;

- performance: projects that performed well or that faced problems during execution.

The list of projects and non-projects comprising the sample may be found in Annex 4.

The primary sources of information were semi-structured interviews conducted with various actors involved in the implementation of the projects and non-projects, both in UNDP and the Government, members of non-governmental organizations (NGOs), and members of the academia (see list of people consulted in Annex 3). Interviews were also conducted with high-ranking civil servants and managers in the thematic areas considered, and with strategic partners. In addition to the UNDP programme documents, documents related to the projects, to the UN system in Brazil and of the Brazilian Government were also consulted. The main secondary sources were assessments and studies carried out by independent consultants and by other international agencies, by agencies of the Brazilian Government, as well as academic studies on the thematic areas assessed. Lastly, material from the press, and statistical data of specialized government agencies such as the Brazilian Institute of Geography and Statistics (IBGE) and the Institute of Applied Economic Research (IPEA), and of the agencies responsible for the evaluated programmes were also consulted.

The assessment of the outcomes generated by UNDP's contribution is not simply a summarized outline of individual project evaluations, but an analysis of the relation between the inputs (all forms of UNDP intervention), their outputs,

and their outcomes. In this regard, projects and programmes oriented to certain results were considered in an integrated manner, seeking to identify if, and to what extent, UNDP activity produced short- and mid-term outcomes, expected or not expected, that contributed to national development goals and challenges. To achieve this, the roles of other factors were also identified and analysed, in order to verify why UNDP's contribution was more or less effective and to what extent. In other words, the aim was to determine how and why UNDP contributed in a determined manner to development. For this reason, the description and analyses of the national context were of fundamental importance to assess the output and outcomes of UNDP's activities.

The assessment of UNDP Brazil as a development partner sought to understand its role in the formulation of policies and in the construction of an institutional culture. The projects comprising the UNDP portfolio, although analysed separately, were grouped so as to investigate UNDP's responses not only to priorities, but also to the national development challenges during the referred period.

The assessment was based on evidence obtained from various sources, and was submitted to tri-angulation techniques, aiming to make the findings more robust. However, certain limitations regarding the availability of data and information affected the evaluation. The first was the absence of objective goals in most of UNDP's programme documents and especially in the specific project documents. Most project proposals did not establish goals that could be measured, and UNDP's role was defined in general terms, with a focus on operational functions. In addition, the office encountered difficulties in providing the systematically organized quantitative data needed for the present assessment, mainly due to changes in the control of information during the period covered by the present ADR. Four databases were provided containing information on the projects that required further querying due to contradictory information found by the assessment team. This same information did not coincide with that

found at the agency's website, which was even more out of date or incomplete. For example, the database used to select the sample was not the same one used in the final stage of the assessment, the latter containing more comprehensive information regarding the executed budget. In the same manner, and for the same reasons, it was not possible to obtain precise information regarding staff member changes for the period analysed.

Because of these problems, the assessment effort became increasingly dependent on interviews and statements. There were also difficulties in locating certain UNDP staff members and project and non-project managers, due to UNDP's personnel cutbacks in recent years, and the high rate of turnover of civil servants. In the latter case, an aggravating factor was that interviews were conducted precisely in the first two months of the new federal and state governments. Although there was no change in the political party at the federal level, many political appointments were made, with reflections on the various levels of government. This made it impractical to conduct certain interviews in the states. Furthermore, field research was conducted in January and February, summertime months in Brazil when people normally take vacation leave. For all of these reasons, fewer interviews were conducted. However, the team was able to interview key informants who occupied strategic positions in the all the thematic areas analysed and, thus, ensure the quality of the information obtained.

1.3 THE ASSESSMENT PROCESS

The ADR was conducted by an independent assessment team comprised of six Brazilian external evaluators, one member of the UNDP Evaluation Office, and one international adviser.

The first stage involved the visit of the Evaluation Office (EO) task manager to prepare and present the assessment to the UNDP Brazil country office and to the main national counterparts, mainly the Brazilian Cooperation Agency (ABC).

During the design mission, between 13 and 17 December, 2010, in Brasília, the team was given orientations regarding the ADR in general, and the ADR Brazil in particular, with details of the assessment's scope and methodology. Design mission participants included four of the six members of the assessment team, the UNDP EO task manager, the UNDP Brazil assessment focal point, the UNDP Brazil team, and representatives of the national reference group and of the IPEA.[1] The team addressed doubts regarding the available document sources at the SharePoint prepared by UNDP Brazil for the ADR,[2] identified gaps in the sources and discrepancies in information contained in the project databases, and defined details regarding the assessment's scope and methodology. The gaps encountered in the databases were filled by the office during the data collection and analysis process. At this stage, the team conducted several interviews, both in groups and individually, with the UNDP Brazil office staff and with representatives of both the reference group and the IPEA.

The following stage of the assessment process comprised field research and gathering of data, especially interviews, most which were conducted in Brasilia between 13 and 25 February, with the presence of all members of the evaluation team in the first week. The interviews in São Paulo and Rio de Janeiro were conducted in person by the consultants residing in these cities, and other interviews were conducted by telephone. The month of March and the first week of April were dedicated to analysing the document, cross-

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[1] The institutional reference group is comprised of representatives of the Brazilian Cooperation Agency, the Ministry of Planning, Budget and Management, the Civil Cabinet, and the Secretariat General of the Presidency of the Republic. The IPEA was requested to play the role of external adviser, along the lines of an advisory panel, on the assessment methodology.

[2]   The SharePoint may be accessed at <http://97.74.85.66/sites/adr/2010/brazil/default.aspx>;; id: adr.brazil; password: brazil2011. After the design mission, the evaluation team created a link to the prodocs of the project and non-projects of the sample, that may be accessed at <www.gmail.com>; username: equipeadrbrasil; password: 13122010.

checking the information gathered from interviews with that from other sources, and to the preparation of the first draft of the assessment. In the third mission to Brasília, between 11 and 18 of April, the results found were discussed between the team, the task manager, and the international adviser. The main results and recommendations were also presented and discussed with the UNDP Brazil office staff, the reference group and the IPEA, who provided valuable feedback to the evaluation team. The last stage comprised the preparation of the present report.

Chapter 2

NATIONAL DEVELOPMENT CONTEXT

This chapter outlines the development context in which UNDP carried out its cooperation programme in Brazil over the last eight years, highlighting, above all, the changes that took place in the national milieu. This provides the background for the application of the evaluation criteria determining the relevance of UNDP's actions (Chapter 4) and for formulating the recommendations (Chapter 5).

Brazil is a federal republic, with a population of 193.73 million, according to the 2010 census. It is an average-income country that in recent years has consolidated its macroeconomic and political stability. Brazil has promoted economic reforms aimed at greater integration with the globalized market, and has introduced social reforms aimed at alleviating poverty and inequities and at ensuring universal access to basic education and primary health.

2.1 POLITICAL CONTEXT

In 1988, a new Constitution, the result of a long deliberative process with the active participation of society, ushered in democracy in the country. With full recognition of civil, political, economic, social and cultural rights, the 1988 Constitution changed the approach to various public policies, especially in the social area. A citizens' rights perspective laid the foundation for the participation of society in the formulation, implementation and control of these policies.

After the impeachment of the first president elected directly by popular vote, in a process that was in strict compliance with constitutional precepts, all subsequent elections had high voter turnouts and were intensely competitive. The Government is characterized by the effective separation of the three powers, and by the construction of a legislative majority for the approval of the regulation of the rights and social policies established by the 1988 Constitution. Despite the fragmentation of the party system, the federal executive branch has been able to approve its reform agenda, many elements of which aimed at sustainable human development.[3]

Comprised of the President of the Republic and the ministers, the federal executive branch has the largest number of exclusive competencies, and also the largest share of tax revenue. These competencies range from those common to presidential systems, attributions typical of chiefs of state and of government, to those concerning the latter function that greatly increased the institutional power of the president. The Brazilian President is granted by the constitution exclusive legislative power that allows him or her to establish the congressional agenda. The federal executive branch is also granted a prerogative regarding specific public policy areas, with the power to approve directives and establish forms of funding and management, overseeing public policy even when executed in a decentralized manner. Thus, as established by the Constitution, the federal executive branch and the National Congress are the main protagonists of the Brazilian political scenario, and are important

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[3]   In 2010, there were 27 political parties registered at the Supreme Electoral Court <www.tse.gov.br/internet/partidos/index.htm>. The fragmentation of the Brazilian party system is such that the party that occupies the executive branch does not have a majority in the Congress, requiring the establishment of party coalitions to approve its agenda. According to a UNDP report (UNDP, 'Report: Project on Democratic Development in Latin America', 2004), the index of formal power of Brazilian presidents is "very high". Academic studies have shown the effects of this power of the Brazilian executive branch in successfully approving its agenda (Figueiredo, A. e Limongi, F., 'Executivo e Legislativo na Nova Ordem Constitucional', Fundação Getulio Vargas Editora, Rio de Janeiro, 1999).

institutions regarding the formulation and deliberation of the public policy agenda.

The occupants of the executive offices at the three levels of government have four-year mandates and, after the approval of a constitutional amendment in 1997, may be re-elected once. The election goes to a second round if no candidate obtains a simple majority of votes.[4] The Congress is comprised of the Chamber of Deputies and the Senate. The Chamber of Deputies has 513 members elected by proportional vote from an open list. The Senate, which represents the states, has 63 senators, three from each state, and the Federal District.

Two parties – the Brazilian Social Democracy Party (PSDB) and the Workers' Party (PT) – have dominated the national political scene since the 1994 election, but in the states and municipalities, party representation is more fragmented.

With the election of President Fernando Henrique Cardoso in 1994, the federal executive branch was run by the PSDB, comprised of a coalition of centre and centre-right parties. Mr. Cardoso was re-elected in 1998. In both terms, Mr. Cardoso was able to approve his reform agenda, many parts of which required amendments to the Constitution, and thus a qualified majority in Congress. This period was marked by a fiscal adjustment that allowed inflation to be brought under control, the recovery of tax revenue at the federal level, the opening of the Brazilian economy to foreign capital, the dismantling of several state monopolies, the introduction of conditioned cash transfer policies, and policies aimed at offering universal access to basic health and education. The great legacy of the Cardoso administration was monetary stability, which has continued until today.

In the 2002 election, the PT elected President Luiz Inácio Lula da Silva, a former union leader, who was re-elected in 2006. The coalition that supported the Government was comprised of left-wing and centre-left parties. As with the Cardoso presidency, the Lula administration approved most of the reforms on its agenda, administering the country during a period of economic growth, generating employment, expanding credit and resuming investments in infrastructure, through the Growth Acceleration Programme (PAC). The main legacy of the Lula presidency was the considerable reduction in poverty achieved through conditional cash transfer programmes and programmes aimed at more vulnerable social groups. In 2008, according to *Corporación Latinbarómetro* (2009: 99), 79 percent of respondents approved of the Government, a percentage much higher than the average for Latin America (52 percent). The President ended his term with an 87-percent approval rate, according to *Instituto Sensus*.

In 2010, Ms. Dilma Roussef of the PT was elected President in a run-off with the candidate of the PSDB. Ms. Roussef is the first woman to be elected to the highest office. In her inaugural speech, the President included among the priorities of her Government eradicating poverty and providing quality education, health and security.[5] She also included in her speech the need to promote "a political reform with changes in the legislation to allow our young democracy to move forward, strengthening the programming orientation of the parties and perfecting institutions, restoring values and giving more transparency to public activity as a whole".[6]

Despite the political, social and macroeconomic achievements of the last decades, Brazil is faced with old and new challenges that are part of the national development agenda. Some of these have been successfully overcome, such as the control of inflation and the alleviation of poverty. However, new issues have been incorporated into the government agenda, mainly on the federal level, in areas such as violence prevention and reduction. The Government has committed itself

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[4]   At the municipal level, the second round is only applicable in municipalities with over 200 thousand inhabitants.

[5]   See <www1.folha.uol.com.br/poder/853564-leia-integra-do-discurso-de-posse-de-dilma-rousseff-no-congresso.shtml>.

[6]   The issue of political reform, albeit controversial, continues to be discussed, with proposals that have been approved by the Senate, and other collegiate bodies such as the Brazilian Bar Association.

to eradicating extreme poverty and to develop-ing an ambitious programme aimed at reducing economic development bottlenecks, particularly transportation logistics and energy. As in any democracy, the old and new challenges demand intense political negotiations with both Congress and various stakeholders.

2.2 SOCIO-ECONOMIC AND HUMAN DEVELOPMENT

In the last 20 years, in particular after the eco-nomic stability established in 1994, the Brazilian economy began to advance on more solid ground, in a context of greater economic growth, bet-ter fiscal balance, and greater control of infla-tion. Between 1990 and 2009, per capita gross domestic product (GDP) on a purchasing power parity basis doubled, surpassing $10,000, accord-ing to the World Bank's World Development Indicators. The net public debt, whose situa-tion had deteriorated between 1994 and 2002, reaching nearly 60 percent of GDP, began a downward trend, leveling off at 40 percent of

GDP in 2010.[7] Inflation, after a brief period of acceleration in 2002 and 2003, has since remained within the limits established by the Central Bank, fluctuating between 4 percent and 6 percent a year. Also, some important problems concerning Brazil's external vulnerability have been adequately addressed. In 2006, Brazil paid off its debt to the International Monetary Fund (IMF), initiated an aggressive reserves accumula-tion policy and, as of 2007, has maintained its net foreign debt under control.[8]

It must be pointed out that expansion of the Brazilian economy largely took place in the last decade. In fact, while per capita GDP at pur-chasing power parity increased 4.5 percent a year between 2000 and 2009, in the previous decade, the rate of growth was 3.0 percent a year. Graph 1 illustrates this trend.

Of particular importance in the socio-economic and human development context was the increase in tax revenue of the three levels of government, especially the federal Government. This increase allowed the expansion of the public sector and of

Graph 1. Per Capita GDP at Purchasing Power Parity, 1990-2009 (US$)
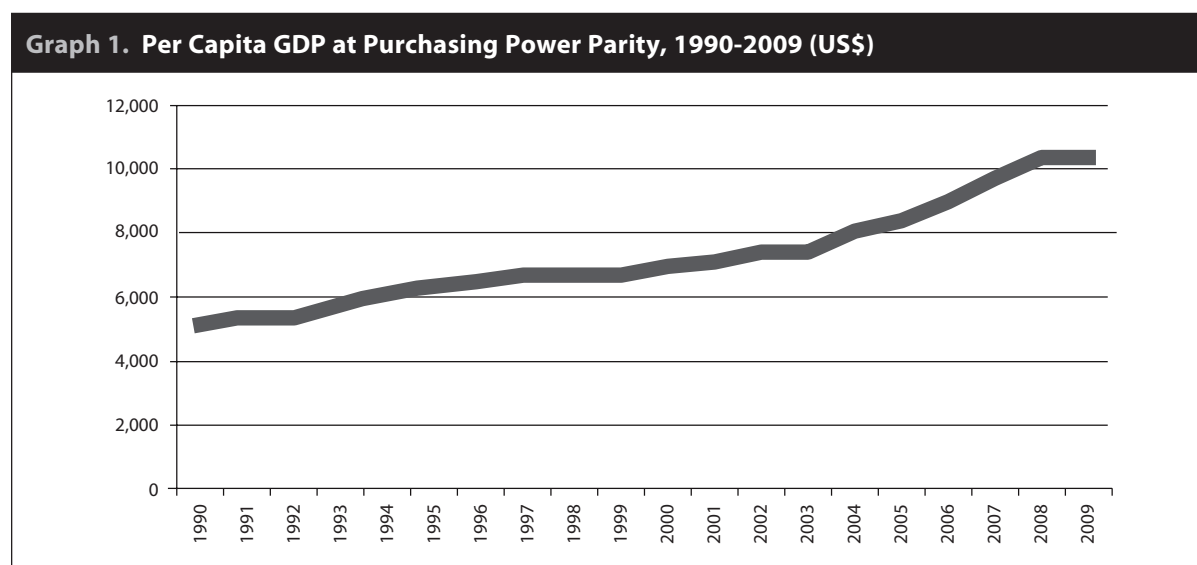
Source: World Bank, World Development Indicators

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[7]   See time series published in the Central Bank Bulletin.

[8]   Information extracted from Brasil, IPEA, 'Projeto Perspectivas do Desenvolvimento Brasileiro', Livro 10, Brasília: IPEA, 2010.

social policies. The growth in revenue and the expansion of the economy were also a result of the increase in the rates of certain taxes and contributions, and the creation of new taxes. Between 1998 and 2008 the gross tax burden increased by nearly 9 percent of GDP (IPEA, 2009: 109) and the average revenue between 2006 and 2008 was 34.7 percent of GDP, slightly below the average of Organisation for Economic Co-operation and Development (OECD), which was 38.3 percent.[9] The federal Government's gross tax revenue is presented in Table 1.

Although the federal Government is the largest collector of revenue, and part of these funds is transferred to subnational agencies, the increase in revenue by level of government was more favourable for the municipalities, which are the main implementers of federal social policies. This does not mean, however, that municipal revenue is freely allocated. The increase was accompanied by the earmarking of funds to social policy expendi-

tures. On the other hand, there were losses for the states after 1988, as may be seen in Table 2.

From a demographic perspective, the Brazilian population grew 12.3 percent between 2000 and 2010, lower than the rate observed for the previous decade (15.6 percent between 1991 and 2000). The 2010 census also revealed that there are more people in urban areas than 10 years ago: in 2000, 81 percent of Brazilians resided in urban areas, the percentage is now 84 percent (<www.ibge.gov.br>). According to the National Household Sample Survey of the Brazilian Institute of Geography and Statistics (PNAD/IBGE, 2009) the fertility rate reached a level below the replacement rate (1.95 children per woman), which means that the Brazilian demographic growth rate will tend to stabilize in the near future.

Economic growth also brought about changes in the standards of living of the population, as a result of an income distribution process. Although income inequality in Brazil continues to be very high in comparison with other countries, this dimension has improved in relation to its trend over the last two decades. The Gini coefficient, which measures income distribution, has dropped systematically in practically all years over the last 20 years, from 0.614 in 1990, to 0.543 in 2009. However, the current coefficient is still quite high and reflects the strong income inequality that persists in the country, with repercussions on access to opportunities for large segments of the population. Graph 2 depicts the recent performance of this indicator and its expected future trend, if the current rate is maintained.

Table 1. Gross Receipts of the Federal Revenue of Brazil	
Year	Total (in millions of reais) (1)
2005	496,497
2006	527,898
2007	577,418
2008	584,915
2009	566,065
2010	618,382

Note 1: At prices of the last month (IGP-DI)
Source: <www.bcb.gov.br/?INDECO>

Table 2. Distribution of Tax Revenue by Level of Government, 1960/2010 (percentage)				
Year	Federal	State	Municipal	Total
1960	59.44	34.75	5.81	100.00
1980	68.16	23.27	8.57	100.00
1988	60.09	26.61	13.30	100.00
2006	57.20	25.38	17.42	100.00
2010	57.10	24.60	18.30	100.00

Source: Adapted from Afonso (2011)

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[9]   See <stats.oecd.org/index.aspx?queryid=23113>.

The poorer share of the population dropped significantly over the last two decades. While in 1990 the share of poor families, considered those with per-capita family income below the poverty line, reached 42 percent of the population,[10] in 2009 this share was close to 21 percent. Likewise, the share of families in extreme poverty dropped from 20 percent to 7 percent in the same period.[11] The evolution of the poverty and extreme poverty indicators over the last two decades is presented in Graph 3.

Graph 2. Gini Coefficient, 1990-2030
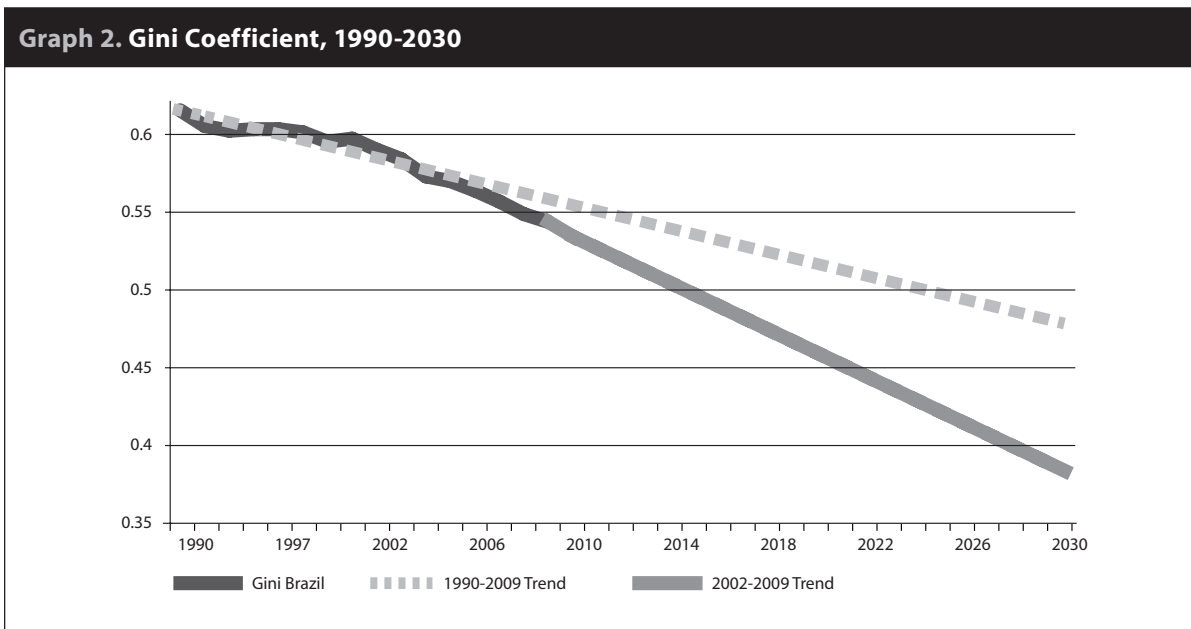
Sources: Ipeadata and World Bank Database

Graph 3. Share of Households in Situations of Poverty and Extreme Poverty, 1990-2009
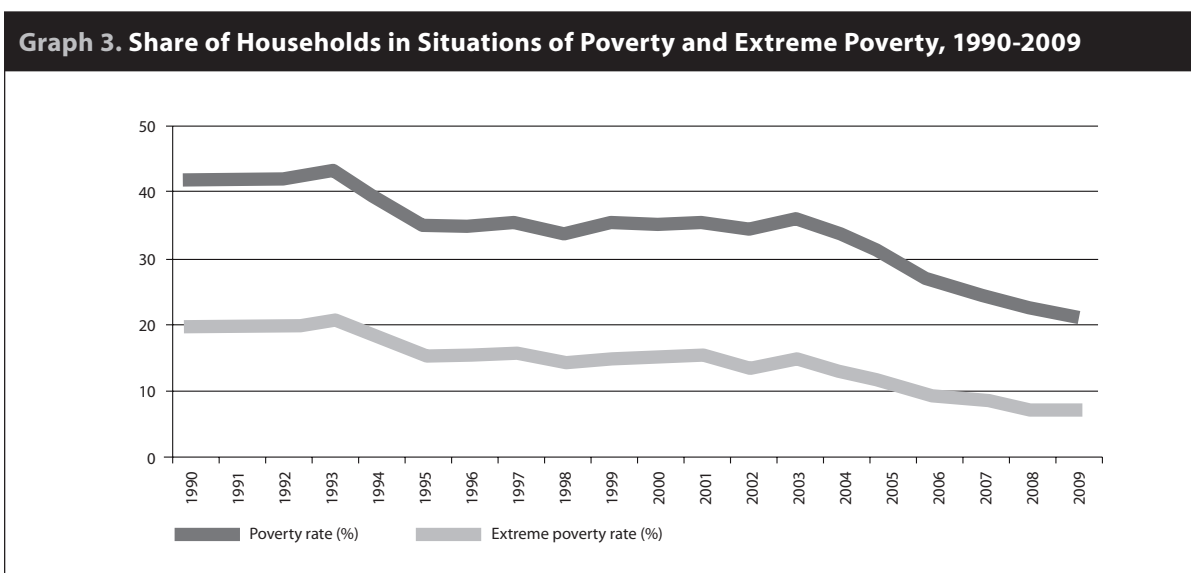
Note: The data for 1991, 1994 and 2000 were estimated, according to the average of previous and subsequent years
Source: <www.ipeadata.gov.br>

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[10] The poverty line considered by IPEA is an estimate of the cost of a food basket with the minimum number of calories needed for one person, based on FAO and WHO recommendations. Different values are estimated for the 24 regions of the country. The series is calculated based on the responses of the National Household Sample Survey (PNAD/IBGE). See <www.ipeadata.com.br>.

[11] The line of extreme poverty is half the poverty line adopted by the IPEA.

The changes in the conditions of poverty and inequality in Brazil cannot be understood solely as a result of economic growth, but also of an important expansion in the scope of social policies and public expenditures in this area.

All the elements mentioned above contributed to raising the country's Human Development Index (HDI). Despite the change in the HDI measurement methodology, which hampers comparisons, Brazil rose two positions between 2009 and 2010, ranking 73rd among 169 nations and territories.[12] According to the new criteria, the Brazilian HDI went from 0.649 in 2000 to 0.699 in 2010, placing the country among those with high HDIs. This level is higher than the world average of 0.624, and comparable to the overall index for countries of Latin America and the Caribbean (0.704). But there are 11 Latin American countries whose indexes are higher. Graph 4 describes the components of the HDI for Brazil, according to the methodology adopted in 2010.

Graph 4. Distribution of the Components of the HDI, 2010

Source: http://hdr.undp.org/en/statistics
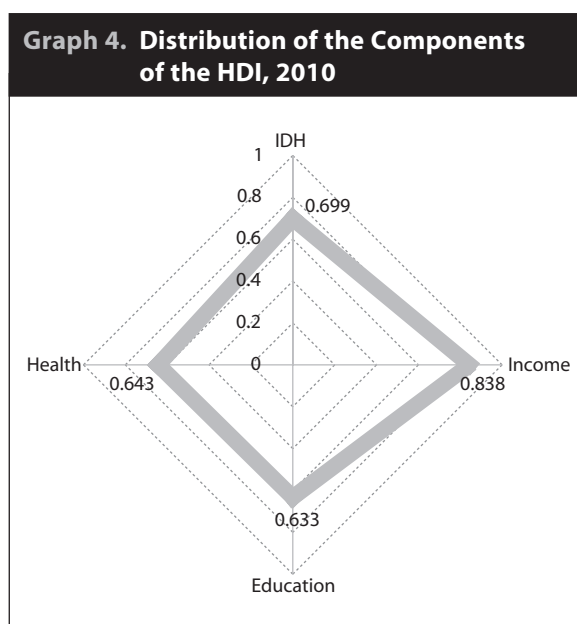
It may be observed that, according to the new criteria, the country's lowest index is education and the highest is health. Also to be noted is that the new HDI methodology changed mainly with regard to education. While in the previous methodology the index was comprised of enrolment and literacy rates, it now measures the average number of years of study and the expected number of years of study, reflecting schooling delays. Since schooling delays are still quite significant in Brazil, and the average years of study are highly influenced by the very low level of schooling of the older population, the Brazilian HDI tends to be significantly lower with regard to this component.

At least five large initiatives of the public sector verified over the last 20 years help explain the important reduction in poverty indicators and the overall improvement in social indicators in the last decades. First, the role of the Unified Health System (SUS), consolidated by the federal Government as of the mid-1990s, must be highlighted. This programme currently provides free medical coverage to the great majority of the poorer population. In 2009, the programme carried out 12 million in-patient treatments and an average of 230 million outpatient procedures per month, including medical visits, vaccinations, dental procedures, and small outpatient interventions.[13] Policies such as the community health agents − currently covering 61 percent of the population − helped bring into more close contact the health system and the population, with positive implications for the main health indicators.[14]

The infant mortality rate dropped from 31.9 percent in 1997, to 20.0 percent in 2007, with sharp reductions in the poorer regions of the country, such as the north and northeast. Life expectancy at birth increased from 63.2 years in 1991 to 69.3 years in 2008.[15] Female life

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[12]   See <hdrstats.undp.org/en/countries/country_fact_sheets/cty_fs_BRA.html>.

[13]   See <www.datasus.gov.br>.

[14]   See IPEA (2011).

[15]   See <www.datasus.gov.br>.

expectancy was much higher than the average in 2008 (76.8 years), and the great distortion between genders for this index is influenced, among other things, by the high mortality rates due to external causes among men, which include murders and accidents in general.

In spite of the substantial expansion in health services in recent years and the important improvement in basic indicators in this area, it must be pointed out that other areas have progressed more slowly. This is the case of the sanitation policy. For example, according to the latest PNAD/IBGE data, the share of households with sewage connected to an overall system increased from 45 percent in 2001 to 53 percent in 2009, an improvement of only 8 percentage points for the period.

In second place, the federal Government introduced the Continuous Cash Benefit (Benefício de Prestação Continuada da Assistência Social – BPC-Loas) programme, which, as of 1991, began providing retirement payments to elderly and disabled persons who had never contributed to social security. This programme currently covers approximately 3.4 million beneficiaries, who receive monthly benefits equivalent to one minimum salary.[16] An additional 8.2 million benefits are paid under the Rural Retirement Programme, most beneficiaries not having fully contributed to the social security system. These policies aim to substantially alleviate poverty among the elderly, with a particularly strong impact on the rural areas, that concentrates a significant proportion of the population that have never contributed to public social security.

Third, the educational policy underwent important transformations. The Basic Education Development Fund (FUNDEF), set up in the mid 1990s, helped address the chronic problem of basic education funding in Brazil, including the transfer of funds to schools in poorer states and municipalities, and the establishing of a minimum salary for teachers. Consequently, the coverage of this level of education for the 7 to 14 age group came close to universal at the beginning of the 21st century, with approximately 27 million enrolments in public schools in 2010.[17]

Also in the area of educational policies, the federal Government set up, in 2003, the Basic Education Maintenance and Development Fund (FUNDEB), aimed at improving funding conditions of pre-school and high school education. The objective of these new sources of funding is to potentialize coverage expansion for these two levels of education, whose indexes were deficient. According to the 2008 PNAD, the rate of schooling for high school reached 57 percent for persons under the age of 23.[18] Regarding pre-school education, coverage levels are still below 40 percent. The educational policy is complemented by the annual distribution of more than 110 million textbooks and the serving of more than 30 million meals per day under the School Lunch Programme.[19]

It must be highlighted, however, that highly significant problems persist regarding the quality of basic education, which end up directly affecting indicators such as the HDI. Brazil is one of the worst performers in the Programme for International Student Assessment (PISA), carried out by the OECD. In the last edition (2009), for example, Brazil ranked 53 out of 65 countries. Although the country's averages have progressed significantly in the three areas surveyed (math, reading, and science), at least half of Brazilian youngsters are not capable of attaining the

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[16] See <www.previdenciasocial.gov.br>.

[17] See <www.inep.gov.br>.

[18] Individuals aged 23 are those who have the highest rates of high school conclusion in Brazil, reflecting the relative delay in concluding this level of education.

[19] See <www.inep.gov.br>.

most basic reading comprehension level assessed by the programme.[20]

Fourthly, the federal Government instituted, as of 2003, the *Bolsa Família* Programme (PBF), which currently reaches 12.4 million beneficiary families.[21] This programme makes cash transfers to families under the poverty line that have children enrolled in public school and maintain up-to-date vaccination cards. A recent impact assessment conducted by the Ministry of Social Development and the Fight against Hunger (MDS) indicates that, when compared to a control group, benefited families have higher rates of enrolment of children and adolescents, grade progression, number of pre-natal visits among expecting mothers, vaccination, and higher child weights (Vaitsman and Paes-Sousa, 2007). As shall be seen in Chapter 4, the PBF assessments received the support of UNDP.

Lastly, the federal Government has instituted a systematic policy of real minimum salary increases over the last 15 years, which has allowed important real adjustments of this indicator, contributing to reduce inequalities. Between 1995 and 2010, while the value of the minimum salary grew 510 percent, the National Ample Consumer Price Index (IPCA) increased 296 percent. It must be pointed out that the food item component alone of this index increased 243 percent during the same period, which means that the minimum salary, when deflated by food prices, had a real increase of over 100 percent. This indicator affects a large number of workers in the formal and informal sectors, operating as a reference salary for the economy. Additionally, more than 75 percent of the 22 million social welfare beneficiaries currently receive the minimum salary.[22]

In addition to the five dimensions considered above, several other relevant social policies may be mentioned, such as the University for All Programme (PROUNI), the Family Agriculture Strengthening Programme (PRONAF) and the Oriented Productive Microcredit Programme of the Bank of the Northeast of Brazil (CrediAmigo). All these policies show that the alleviation of poverty and better income distribution in Brazil cannot be understood solely as a result of the greater economic growth observed during the period.

The Brazilian Government has made important progress in the area of social policies, and public expenditures on these policies, excluding the welfare area, reached the significant rate of 9.8 percent of GDP in 2010. This is considerably greater than the spending of most countries with similar levels of development.[23] As shall be seen in Chapter 4, UNDP was a partner of the Brazilian Government in the structuring of new social policies, notably in basic education and in monitoring and evaluating the PBF.

2.3 PUBLIC SECURITY AND HUMAN RIGHTS

Brazil, as other Latin American countries, is facing a crisis in public security, with high rates of violence and crime, which have increased significantly over the last three decades. That increase translated into a generalized and diffuse feeling of insecurity and fear of crime as identified in the survey on the perception of population regarding the level of security discussed below. These issues, together with historical difficulties faced by the judicial system in the country, represent challenges for the attainment of greater human development.

The statistics reflect the gravity of the problems in this area. Although in the last 10 years, the homicide rate has leveled off at 26 for every 100 thousand inhabitants of the country there

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[20] See <www.pisa.oecd.org>.

[21] See <www.mds.gov.br>.

[22] See <www.previdenciasocial.gov.br>.

[23] See IPEA (2011).

are important regional disparities. The rates for certain states, cities and neighborhoods surpass 100 victims per 100 thousand inhabitants. In comparative terms, countries in Western Europe, for example, have rates of less than three deaths per 100 thousand inhabitants, and the US with six deaths per 100 thousand. Between 1990 and 2009, the total number of homicides registered by the Mortality Information System (SIM/Datasus) rose from 31,989 and 49,966, representing a 56.2 percent jump, greater than the increase in population for the period, which, according to official estimates, was 31.6 percent.

According to the results of the 2008 *Latinobarômetro*, comparing 18 Latin American countries, Brazil ranked third in the number of victims of crime (40 percent), while Venezuela had the highest percentage (53 percent) and Panama the lowest (12 percent). These statistics confirm that Brazilian violence and crime statistics have become extremely high, both when compared with the indicators of other countries, and with regard to the perception of the population regarding their level of security.

Furthermore, the available surveys reinforce the predominant profile of homicide victims in Brazil: young males, between the ages of 15 and 24, black, and residing in the peripheries of the mid-sized and large urban centres.[24] There is also evidence that the conflicts responsible for most homicides are mainly related to drug trafficking.

According to the Ministry of Justice, the Brazilian Civil Police registered 903,298 thefts in 2005. Considering the Ilanud/FIA/GSI Victimization Survey[25] conducted in 2002 in four Brazilian capital cities (Recife, Rio de Janeiro, São Paulo and Vitória), which found that only 29 percent of victim lodged reports to the police, the estimated total number of thefts in Brazil is over three times the reported number.

According to System of Indicators of Social Perception published by IPEA in 2010, only 29.7 percent of the Brazilian population had confidence in the police. From a human development perspective this is a matter of concern. The low level of confidence in the police has been associated, in academic circles, to corruption by organized crime,[26] and to police violence (Lemgruber, 2004).

The difficulties in the area of citizen security in Brazil opened the way to reform and more innovative approaches. The idea of more democratic public security focused primarily on prevention, the notion of community policing that is both efficient and respectful of human rights began gaining ground in the last 10 years, and has also received the support of UNDP, as shall be seen in Chapter 4.

In 2000, shortly after the notorious incident involving the line 174 bus in Rio de Janeiro[27], President Cardoso launched the National Public Security Programme. As a result, the National Public Security Fund was set up to finance projects in the states and municipalities that meet certain requisites − efficiency, transparency, respect for human rights − and that the Government deemed as priority. The idea began to take form that the Government could induce reform policies in the states, the main entities responsible for public security, through selective funding. The

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[24] See Piquet, L. e Fajnzylber, P., 'A Criminalidade nas Regiões Metropolitanas do Rio de Janeiro e São Paulo: Determinantes da Vitimização e Políticas Públicas', in Pablo Fajnzylber, Daniel Lederman e Norman Loayza, Crimen y Violencia em America Latina, 2001; Borges, D., 'Vitimização Criminal: Prevalência, Incidência e o Estilo de Vida', in Soares, A., Dirk, R., Campagnac, V. (org.), Pesquisa de Condições de Vida e Vitimização − 2007, Rio de Janeiro: Instituto de Segurança Pública, 2008; and Waiselfisz (2011).

[25] Study conducted by the United Nations Latin American Institute for the Prevention of Crime and the Treatment of Offenders, the RJ Childhood and Adolescence Foundation, and the Brazilian Federal Institutional Security Office (Ilanud/FIA/GSI).

[26] On this issue, see Lemgruber, J., Musumeci, L, Cano, I., Quem vigia os vigias? Rio de Janeiro: Record, 2003.

[27] The hijacking of Bus 174 was a singular event, broadcast live by the country's main TV network and by CNN, publicly exposing an extreme case of urban violence.

National Public Security Programme represents a milestone in the Government's agenda.

Under President Lula's administration, the National Public Security Plan was drawn up. As of 2003, with the implementation of said plan, a new phase of the policy was initiated, in which the National Public Security Secretariat (SENASP) of the Ministry of Justice, whose activities were formerly discrete, was reorganized and strengthened to carry out the role of coordinator of the national public security policy, which was named the Unified Public Security System (SUSP). With the SUSP, the Government aims to operationally articulate interventions in the states, including their respective police forces.

Arms control was an area in which the Government was able to achieve progress, both through the enactment of the Firearms Law in 1997, which made the illegal carrying of firearms a severe crime, and the Disarmament Statute, which went into effect in 2003. The rate of homicides due to guns in Brazil, which increased significantly in the beginning of the 1990s, began leveling off as of 2004. As may be seen in Graph 5, between 1992 and 2004 this type of violent deaths increased 131 percent. However, 2004 was the first year since 1992 in which there was a decrease in the number of gun-related homicides.

In 2007, during the second Lula administration, the federal Government launched the National Programme for Public Security with Citizenship (PRONASCI). This programme aims to articulate social programmes with security policies, with priority given to preventive actions with target public, e.g., youngsters between the ages of 15 and 29 in situations of social risk.

Although the Government initiated a new phase regarding how national security policies should be understood and developed, the public security problem remains severe, with impacts on sustainable human development. The criminality remains high in almost all its modalities. Although policies are being conceived, some of which have been implemented with federal Government incentives, the public security and human rights agenda must still be advanced to include, among other issues, the creation of police corruption reduction and control policies, more intense border surveillance to control firearms and drug smuggling, and the development of municipal violence prevention policies.

Graph 5. Gun-Related Homicides
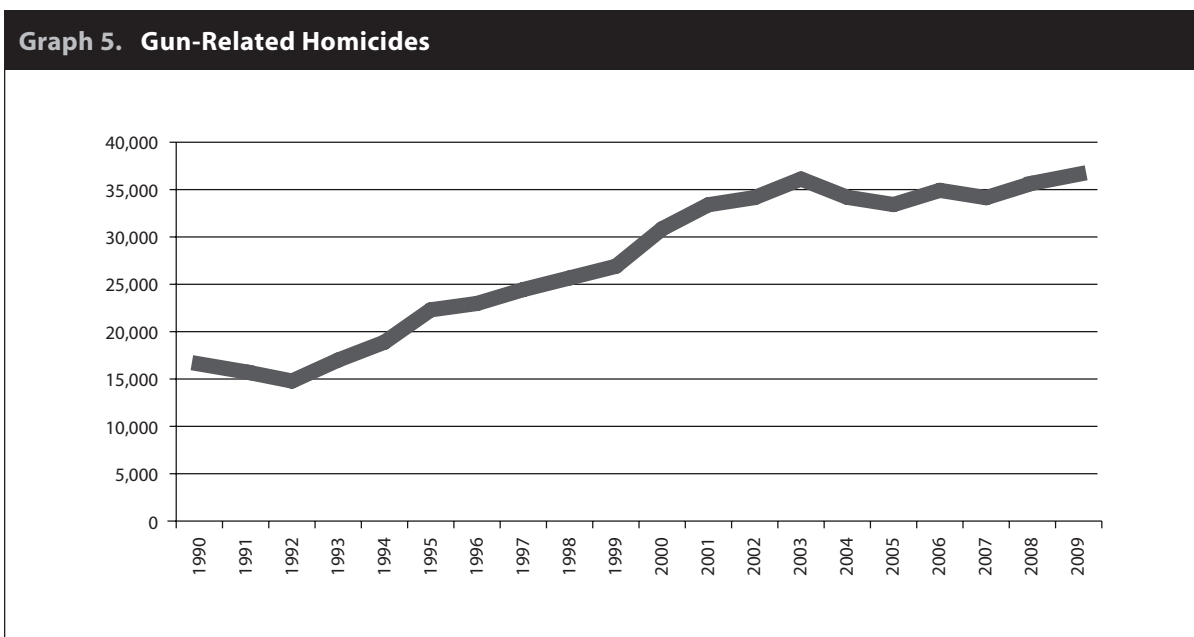
Source: Mortality Information System (SIM/Datasus)

2.4 MODERNIZING OF THE STATE

The structure and functioning of a modern Brazilian state capable of guiding and managing social and economic changes have been, since the 1930s, the object of the efforts of various political, economic and social actors, under different political regimes. These changes have also demanded the creation of new institutions to formulate and implement policies, and to adapt them to new circumstances and to address the increase in demands, mainly in public administration, due to leadership role played by the Brazilian state, especially the federal Government, in formulating, funding and managing public policies. In its initial years up until the 1980s, the modernizing of the Brazilian state received strong financial and technical support from multilateral and international agencies. As of the mid-1990s, UNDP played an important role in the creation of new institutions and in the strengthening of others, providing the federal public administration with specialized personnel.

During the period covered by this assessment, the modernizing of the state was conditioned by the terms of the 1988 Constitution. After the turbulence of the first years of redemocratization, political and institutional stability allowed the modernizing of the state agenda to be resumed. This agenda unfolded in four directions. The first aimed to promote a rigorous fiscal adjustment, capable of controlling the then rampant Brazilian inflation and recover the capacity of the political system to make decisions regarding public policies. The second was the establishment of a professional civil service, recruited by public examination. The third was put into operation the various constitutional provisions requiring the decentralization of social policies. The fourth was the expansion and strengthening of the public administration's internal and external control agencies. UNDP participated, both directly and indirectly, in the attainment of the main objectives of this agenda, including adapting its funding model and its form of action, allowing the partial achievement of the objectives of said agenda. These changes affected UNDP's role as provider of technical staff for the federal Government, and limited its intervention margin due to decisions made by control entities, as shall be seen in Chapter 3.

The fiscal adjustment introduced by the federal Government affected all levels of government, allowing inflation to be brought under control, successive primary surpluses, and revenue increases for the governments through financial modernizing programmes. Fiscal adjustment was the main priority of the 2000-2003 PPA.[28] Developed in a context of fiscal restrictions that followed the implementation of the *Real* Plan, the PPA strongly emphasized programmes aimed at settling public accounts and promoting fiscal balance on the three levels of government. The stock of the public debt still remains a concern. Although dropping from 56.9 percent to 38.7 percent between 2002 and 2008, it increased again in 2009 to 43.5 percent (Meirelles, 2010).

The reconstruction of the civil service took place mainly at the federal level. In the first years of fiscal adjustment, aiming to restore the government's technical capacity, the strategy then was to recruit personnel through UN agencies, namely UNESCO, UNDP, FAO and WHO (OECD, 2010: 46). These personnel were allocated to various ministries and comprised what came to be known as the base or country teams. Social policies considered priority by the federal Government were managed by these specialists. Subsequently, and as a result of the intervention of the Public Labor Prosecutor's Office explained in Chapter 3, the federal Government adopted an aggressive public examination recruitment policy, with 213,015 new positions opened between 2001 and 2010.[29] In both the Cardoso and Lula administrations, the civil service issue played an

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[28] The PPA establishes long-term government projects and programmes, defining public action objectives and goals for a four-year period. It is mandated by article 165 of the Federal Constitution. The PPAs prepared as of 1996 are available at <www.sigplan.gov.br/arquivos/portalppa/>.

[29] See <http://www.servidor.gov.br/concursos/arquivos_down/vagas_aut_novembro_2010.pdf>.

important role in the agenda, albeit with different focuses and objectives. In the Cardoso administration, the objective was to introduce changes in the Constitution related to public administration and to the civil service pension and retirement systems. In the Lula administration, the aim was to professionalize the federal public service.

An OECD assessment of the Brazilian public sector shows that the total number of civil servants at the three levels of government represents a relative low share of the total number of jobs in the country. In 2008, this represented 10-11 percent of overall employment, in comparison with nearly 20 percent of the OECD. Considering the state enterprises, the percentage increases somewhat to approximately 11 percent to 12 percent, also well below the OECD average of nearly 22 percent. This percentage is also low in comparison with other Latin American countries such as Argentina and Chile. The increase in government jobs (excluding public enterprises) has accelerated in recent years at the federal and municipal levels (10 percent between 2005 and 2008). The labour force costs as a percentage of GDP started increasing after 2006, due to not only the increase in the number of servants, but also to the reforms in the career paths and the increase in salaries and retirements. If the size of the workforce is comparatively small, the same cannot be said about its cost: 12 percent of GDP, slightly above the OECD average (OECD, 2010).

Heterogeneities still persist, however, in the distribution of professional civil servants among the ministries that formulate and coordinate the various policies. In spite of the strong priority given to social programmes, a public recruitment process to fill 2,400 posts for the Social Policy Development Career, created at the end of 2010, aimed at building career staff at the Ministries of Education, Health, Social Development, Agrarian Development, Human Rights, Women's Affairs, Racial Equality, and Employment, has yet to take place. This means that these ministries still depend on temporary technical staff. Other careers, on the other hand, have already been structured, mainly at the Ministries of Finance, Planning and Foreign Affairs, the legal careers of the Executive branch, the Federal Police, and the auditors at the Office of the Federal Comptroller General (CGU).

There is also heterogeneity between the professional development of the federal civil service and that of the subnational governments. Although there are no figures on public examinations carried out on the subnational level, an internet search shows that they have been numerous, mainly in the municipalities. However, there is evidence that remuneration of civil servants of subnational governments is relatively low, with the exception of the health and tax areas, which may generate lower qualification and high turnover of the workforce.[30]

The decentralizing of the social policies was a reaction of the 1988 constitutional assembly to the excessive centralization of the authoritarian period, and was considered an important dimension of the redemocratization process (Souza, 1997). Subsequently, several constitutional amendments were passed to regulate and effectively implement decentralization recognizing that, given the country's continental dimensions, it is rational that public services be provided on the subnational level, mainly local. The decentralization of social policies assumed a variety of formats. It may be said that there is no single model, but several that have the following common characteristics: the federal Government (Executive and Legislative branches) determines the preferences regarding public policies; the policies are generally designed at the federal level and implemented in a decentralized man-

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[30] An example of the different pay scales of the federal and state civil services is the position of governmental manager. On the federal level, the salary is 12,960.77 real; in the state of Rio de Janeiro, the second most wealthy of the federation, it is 5,082.00 real. Data available at www.servidor.gov.br/publicacao/tabela_remuneracao/tab_remuneracao/tab_rem_10/tab_55_2010.pdf and <www.concursoemcurso.com.br/secretaria-de-planejamento-e-gestao-do-rio-de-janeiro-lancara-concurso-em-breve>.

ner, mainly on the municipal level; funding is shared in certain policies or is exclusively funded by the federal Government in others, and basic education is mainly responsibility of the states. However, the financial capacity of the subnational governments is very disproportionate and the bureaucracy is largely unprofessional.

Lastly, the period was also characterized by the strengthening of the civil service internal and external control agencies. Older institutions were reformed and professionalized, such and the federal and state Courts of Audits, and the Federal Police; others were created, such as the CGU and the thousands of community councils that oversee public policies and social rights. Others, such as the Prosecution Offices – federal and state – were expanded. This type of control aims to comply with one of the requirements of the modernizing of the state: accountability of public office holders – elected, designated, or permanent. The strengthening of these agencies had an impact on UNDP's form of action, which is discussed in detail in Chapter 3. The balance between the need for control and the management of policies is still being developed.

In summary, profound changes took place in the Brazilian state, with changes in roles, the legal framework and its bureaucratic component. The Brazilian state has become more present and assertive. UNDP, which has supported these initiatives, had to adapt to them, as shall be seen in subsequent chapters.

2.5 ENVIRONMENTAL CONTEXT

Environmental management has been the focus of federal government actions since the 1970s, frequently influenced by international events that led to national commitments and resulted in the current institutional arrangement, systemic and decentralized, founded on cooperation between governments and partnership with society. The Special Secretariat of the Environment (SEMA) was established in 1973, immediately after the United Nations Conference on the Human Environment held in Stockholm in 1972, which initiated national discussions on environmental issues. In the beginning of the 1980s, a National Policy was instituted, and organized by the National Environment System (SISNAMA), comprised of the National Council for the Environment (CONAMA) and by federal and state executive agencies. As a result, the Brazilian states created their state councils and agencies, and enacted specific environmental legislation, complementary to federal legislation.

Since then, during the 1980s and in subsequent decades, laws were enacted and institutions were set up that consolidated the environmental management effort. In the 1980s, the concept of sustainable development was introduced, incorporated by the 1988 Constitution, based on the discussions that took place during the United Nations Conference on Environment and Development, held in Rio de Janeiro in 1992. The Rio 92 Conference, as it came to be known, was a milestone of the 1990s, because of the complexity of the environmental and development issues discussed, and the documents produced, which had great significance for both the planet and Brazil. Resulting from the conference were the Rio Declaration on the Environment and Development, the Agenda 21, the Statement of Principles on Forests, the Framework Convention on Climate Change, and the Convention on Biological Diversity, which initiated the process that culminated with the Convention to Combat Desertification and the Effects of Drought, in 1994.

In 1990, Brazil ratified the Montreal Protocol, and nine years later stopped producing chlorofluorocarbons, products that destroy the ozone layer, one of the commitments of the protocol. Immediately after the Rio 92 Conference, the Ministry of the Environment (MMA) was created, to substitute the Secretariat of the Environment of the Presidency of the Republic (SEMAM/PR), and subsequently the National Water Resources Policy was developed, with the adoption of hydrographic basins as planning units, facilitating the balance between water availability and demands.

The participation of Brazilian society in defence of its natural assets was reinforced with the enactment of the so-called Nature Law, or Environmental Crimes Law (Law 9.605/98), which imposes civil, administrative and criminal sanctions on conduct and activities considered harmful to the environment, obliging the polluting agent to promote the recovery of the degraded area, also being subject to criminal charges and fines.

Between 2000 and 2010, Brazil began meeting its international commitments, with the implementation of national policies on biodiversity, and aimed at combating desertification and mitigation of the effects of drought, combating climate change, biosecurity, among others. Also during this period, after an entire decade of discussions, the country finally instituted the National System for Conservation Units that provided legal support aimed at protecting areas of ecological interest with the creation, implementation and management of conservation units in the various Brazilian biomes.

Issued in 2004, the National Action Plan to Combat Desertification (PAN-Brazil) was drawn up to meet the commitment assumed in ratifying the Convention to Combat Desertification and to Mitigate the Effects of Drought. It was drafted with the participation of society, together with the states affected by drought. Since then, efforts have been made to establish state action plans, in accordance with the principles and directives of the PAN.

Brazil is a signatory to the Cartagena Protocol on Biosecurity that deals with the protection of biological diversity and human health regarding possible damage that may be provoked by Genetically Modified Organisms (GMOs) released into the environment or through the ingestion of genetically modified products or food. The protocol signed in 2000 was ratified by Brazil in 2003, and in the same year, legal norms were established regarding the safety and supervision of GMOs and their derivates.

The National Biodiversity Policy was instituted in 2002, to comply with the Convention on Biological Diversity (CBD), one of the most controversial produced during the Rio 92 Conference. The subject continues to spark much discussion regarding the responsibilities and rights of countries to ensure the conservation of biodiversity, its sustainable use and the just distribution of the economic benefits of genetic resources, respecting the sovereignty of each nation regarding the natural assets in their territory.

The Framework Convention on Climate Change, signed at the Rio 92 Conference, established limits for greenhouse gas emissions at levels that mitigate the harmful effects to the environment. Brazil faces great challenges in the area of climate change, and a national policy was established in December 2009. The issue is one of the most controversial and an agreement is far from being reached, either between member countries or even among national stakeholders, regarding the actions needed to meet the carbon reduction goals.

2.6 SOUTH-SOUTH COOPERATION[31]

International technical cooperation in Brazil goes back more than 50 years. The first initiative of implementing an 'International Technical Cooperation System' in the country took place in 1950, when the Brazilian Government created the National Technical Assistance Commission (CNAT), comprised of government representatives of the Secretariat of Planning of the Ministry of Foreign Affairs (MRE), and of sectoral ministries. In 1969, the basic competencies of international technical cooperation were trans-

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[31] Since it is a relatively new theme on the Brazilian agenda, there have been few studies on South-South cooperation, on the ABC, and on Brazil's participation in this area. One exception was the report published in 2007 on UNDP's contribution to South-South cooperation, which included Brazil (UNDP, Evaluation Office, 'Evaluation of UNDP Contribution to South-South Cooperation', New York, December 2007).

ferred to the Secretariat of Planning of the Presidency of the Republic (SEPLAN) and the MRE. In 1987, the ABC was created, as part of the Alexandre de Gusmão Foundation (FUNAG), within the MRE.

In 1996, the ABC was incorporated by the Secretariat General of the MRE, becoming an agency under direct administration, responsible for coordinating, negotiating, approving, supervising and evaluating, on a national level, cooperation for development in all areas of knowledge, received from other countries and from international organizations, and between Brazilian and developing countries. Until then, Brazil had signed several Basic Cooperation Agreements, which were bilateral and very generic, but only with the creation of the ABC was an entity established to effectively coordinate Technical Cooperation between Developing Countries (CTPD) aiming "to contribute to bolster relations between Brazil and developing countries, to expand its exchanges, to promote the production, dissemination, and use of technical knowledge, to develop its human resources, and to strengthen its institutions".[32]

Since 2002, the CTPD has become increasingly important for Itamaraty's decision-making instances, especially as of 2005. During the Fernando Henrique Cardoso administration (1995-2002), the issue was not given much attention, except in the context of relations with African countries and with the Community of Portuguese-Speaking Countries (CPLP). In the Lula administration, horizontal technical cooperation began being considered an instrument of foreign policy. The most recurrent references to technical cooperation in the diplomatic discourse were associated to five main factors: the

need to reinforce South-South cooperation, in a general sense; the international struggle against hunger and poverty; the combating of the human immunodeficiency virus (HIV); cooperation with Africa, mainly, but not exclusively, Portuguese-speaking countries; and as of 2004, cooperation with Haiti.[33]

Currently, international technical cooperation is understood as being "a strategic partnership option, representing an instrument capable of producing positive impacts on populations, altering and increasing standards of living, modifying realities, promoting sustainable growth, and contributing towards social development" which is carried out "through the transfer of Brazilian technical knowledge and experience, on non-commercial terms, so as to promote the autonomy of the partners involved".[34]

Since 2001 the ABC budget, increased and it jumped to 2.40 percent in 2005. In absolute terms, this trend went from thousands of reais, to more than 4 million in 2002, and to more than 37 million in 2005 (Puente, 2010: 196). The curve continues its upward trend, with South-South cooperation practically doubling between 2005 and 2009, from 384.2 million real, to more than 724 million real, respectively.[35]

Africa has received special attention by the Brazilian CTPD, mobilizing more than 50 percent of its actions and funds. Under the Lula administration, cooperation increased 250 percent between 2008 and 2009, and cooperation with that continent was regarded by the MRE of the Lula Government as an effort to bolster national identity in foreign policy development. In 2010, 300 initiatives were expected to be implemented over a three-

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[32] This is the definition of CTPD's mission as posted on the ABC's website <www.abc.gov.br>.

[33] See Puente, Carlos Alfonso Iglesias, 'A cooperação técnica horizontal brasileira como instrumento da política externa: a evolução da cooperação técnica com países em desenvolvimento – CTPD – no período 1995-2005', Brasília, Fundação Alexandre de Gusmão, Ministério das Relações Exteriores, 2010, p.240.

[34] See website of the ABC <www.abc.gov.br>.

[35] See IPEA-ABC (2011:19). The differences in methodology and data sources did not allow a comparison between the costs of the IPEA-ABC and Puente studies.

year period, in 37 African countries, at a cost of $65 million. Although focused on agriculture, health, education and vocational training, ABC's project portfolio is diverse and involves initiatives in the following areas: e-government, public administration, environment, information technology, entrepreneurship, handicrafts, cooperatives, work accident prevention, urban development, basic sanitation, biofuels, air transportation, tourism, justice, culture, foreign trade and sports.[36] The importance of relations with Africa is reflected by the number of visits made by President Lula to 23 countries, and the opening of 17 embassies.

Notwithstanding the increase of CTPD since 2005, the organizational strengthening of ABC remains a challenge.[37] UNDP's intermediation solves the problems posed by Brazilian legislation, such as the prohibition imposed on the procurement and the contracting of services from abroad, the requirement of annual budget execution, among others, which hamper ABC's capacity to directly implement its CTPD actions. These problems are circumvented by the transfer of funds to UNDP to be allocated to 'umbrella' Brazil-UNDP technical cooperation projects, in order to execute the Brazilian CTPD.

The triangular horizontal technical cooperation carried out by the Brazilian CTPD in its initial years, now resurges but on new assumptions, aiming to maximize efforts by preserving, to the extent possible, the horizontality of the CTPD, no longer being considered a traditional project funding mechanism by the other party. This is done through the joint identification, development and approval of technical cooperation projects for third countries, between Brazil and another country or international organization.[38]

The triangular initiatives involving countries began in 1995 with Japan, a country with an extensive history of South-South cooperation support, whose importance grew as of 2004, due to the Haitian political crisis and the direct involvement of Brazil in the diplomatic efforts aimed at bringing stability of the Haiti. Concrete and sizable initiatives were introduced with other actors who also had extensive backgrounds in bilateral technical cooperation, such as Canada and Spain, and multilateral agencies, such as the World Bank. Triangular cooperation with other countries also benefited from the previous bilateral cooperation received by Brazil, since many of the partners in this type of cooperation were (and continue to be on a lesser scale) providers of technical cooperation to Brazil.

In the international context, Brazilian South-South Cooperation (CSS) is well positioned. In comparison with China, India, South Korea, Cuba, Argentina, Chile and Thailand according to eight criteria – background in CSS, geographic coverage, CTPD prevalence in CSS, untied cooperation, volume of actions, structure and organizational structure – Brazil's conditions are very similar to those in South Korea, India and even China, being ranked lower in only three criteria. However, the trend in these Asian countries is give more importance to economic and financial cooperation, with clear commercial objectives, as opposed to the Brazilian case, whose horizontal cooperation practically does not include financial cooperation components.[39] The predominance of economic cooperation has also been detected in a study on the sectors and actions of these same countries.[40]

In summary, South-South cooperation is an important issue on the Brazilian Government's agenda. It must be pointed out, however, that Brazil

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[36]   Minister Marco Farani, in the Foreword, ABC, Brazilian Technical Cooperation in Africa, Brazilian Cooperation Agency, Brasilia, 2010.

[37]   For further details on this, see Puente, 2010, pp.131-136, on which the two paragraphs are based.

[38]   See Puente, 2010.

[39]   See comparative table in Puente, 2010, p.323.

[40]   See comparative table in Lengyel e Malacalza, 2011, pp17-18.

still does not have a sizable operational structure capable of making its interventions in other countries more agile. A good technical cooperation system depends on its capacity to identify good projects, negotiate these projects and monitor their implementation. It is in this aspect that the opportunity lies for organizations such as UNDP to use its international agency network to support Brazilian South-South cooperation actions.

2.7 SUMMARY

The data and analyses in this chapter guide the remainder of this ADR. They mainly guide the assessment of UNDP's participation in the national development agenda and its positioning in light of the extensive transformations that took place in Brazil during the period analysed and outlined above.

The following chapter presents an overview of UN's presence in Brazil, and the joint proposals of the UN agencies in response to the national development challenges. The next chapter also describes UNDP's background in Brazil, and the main effects of the changes analysed here regarding its role in the country.

CHAPTER 2. NATIONAL DEVELOPMENT CONTEXT

Chapter 3

THE UNITED NATIONS SYSTEM AND UNDP IN BRAZIL

In Brazil, as well as in other Latin American countries, development challenges inherited from the past live alongside new demands, many resulting from macroeconomic and social advances in the last two decades. Moreover, the Brazilian state, its control institutions and the federal Government were strengthened both institutionally and financially, and also in terms of technical capacity (see Chapter 2). These factors contributed to a changing role for the UN system agencies in Brazil as partners in the country's development.

Since the middle of the 1980s, the country has not received substantial funding or resources from the UN system agencies. As to the financing of cooperation projects, most of the resources come from the National Treasury Department. In addition, in the last few years, the country stopped being a receiver of traditional technical cooperation, besides having adopted a foreign policy that prioritizes cooperation with the other countries in Latin America and in Africa in several sectors in which Brazil has already developed expertise.

This chapter presents a summary of the UN's presence in Brazil, from the programmatic documents of its agencies during this ADR, highlighting its response to the national development challenges. After that, it analyses UNDP's trajectory in Brazil during the last eight years, its specific programmes, as well as the evolution of its project portfolio, and its human and financial resources.

3.1 THE UN IN BRAZIL

The UN has had representation in Brazil since 1947, even though its effective presence dates from 1949, with the ratification of the Convention on the Privileges and Immunities of the United Nations by the Brazilian Government. The legal formalization of the relationship between the UN System agencies and the Brazilian Government, on the other hand, dates from December 29, 1964, when the Basic Agreement on Technical Assistance was signed.

Brazil is signatory to 22 UN conventions and declarations.[41] It is considered by the United Nations High Commissioner for Human Rights as one of traditionally strongest supporters of existing international regulations on human rights. Brazil is also a signatory to several environmental treaties and international agreements.[42]

Most UN organizations and agencies in Brazil are located in Brasilia, although some have their headquarters in Rio de Janeiro and local offices in Manaus, Belem, Sao Luis, Fortaleza, Cuiaba, Recife, Salvador, Rio de Janeiro, Sao Paulo and Porto Alegre. A little over 100 international and 677 national employees work in the UN system in Brazil.[43]

The United Nations system is represented by specialized agencies, funds and programmes that develop their activities in accordance with their specific mandates. In the scope of the Brazilian Government, the ABC, which is integrated within the MRE, negotiates, coordinates, implements and follows up Brazilian technical coop-

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[41]   See <www.unhchr.ch/tbs/doc.nsf/(Symbol)/CCPR.C.81.Add.6.En?Opendocument> for a list of all UN international instruments and declarations on the protection of human rights of which Brazil is a signatory.

[42]   See <www.cnrh.gov.br/sitio/index.php?option=com_content&view=article&id=23>.

[43]   Data from January 2011 accessed from <unicrio.org.br/unic-rio/>.

eration programmes and projects based upon agreements signed by Brazil and other countries and international organizations.

The organizations that compose the United Nations Country Team (UNCT) in Brazil are coordinated by a Resident Coordinator, a position usually occupied by the Resident Representative of UNDP in Brazil, who has among his main functions to define strategies, coordinate the work of the UNCT and share information. The Resident Coordinator also has the mission to elaborate joint initiatives among the several offices, evaluate the work of the UN in the country and coordinate the actions of the several interagency groups. The main objective of this coordination is to maximize the work done by the UN so that the system can provide a collective, coherent and integrated response to all national priorities and needs, within the framework of the MDGs and other international commitments.

The UN system in Brazil consists of 25 agencies, funds, programmes and regional committees, which are listed in Box 1. The kind of support the UNCT gives Brazil changes from one agency to the other, since they develop the tasks indi-

Box 1. UN Agencies, Funds, Programmes and Regional Commissions in Brazil
Currently, the following UN Programmes and Funds are operating in Brazil:
1. United Nations Development Programme (UNDP)   2. United Nations Children's Fund (UNICEF)   3. United Nations Environment Programme (UNEP)   4. United Nations High Commissioner for Refugees (UNHCR)   5. United Nations Population Fund (UNFPA)   6. United Nations Human Settlements Program (UN-HABITAT)   7. United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)   8. Joint United Nations Program on HIV/AIDS (UNAIDS)   9. United Nations Volunteers (UNV)   10. International Fund for Agricultural Development (IFAD)   11. United Nations Office on Drugs and Crime (UNODC)
The UN is also present in Brazil through representations of their specialized agencies. Here are the ones that currently have offices in the country:
1. International Labor Organization (ILO)   2. Food and Agriculture Organization of the United Nations (FAO)   3. United Nations Educational, Scientific and Cultural Organization (UNESCO)   4. World Health Organization (WHO) through the Pan American Health Organization (PAHO)   5. World Bank (1)   6. International Monetary Fund (IMF)   7. International Civil Aviation Organization (ICAO)   8. International Telecommunication Union (ITU)   9. United Nations Industrial Development Organization (UNIDO)   10. World Intellectual Property Organization (WIPO)
Besides the programmes and agencies mentioned above, other offices of the United Nations have representations in Brazil:
1. Economic Commission for Latin America and the Caribbean (ECLAC)   2. United Nations Latin American Institute for the Prevention of Crime and the Treatment of Offenders (ILANUD)   3. International Policy Centre for Inclusive Growth (IPC-IG)   4. United Nations Information Centre for Brazil (UNIC Rio)

Source: <unicrio.org.br/a-onu-em-acao/onu-no-brasil/>
Note (1): According to UNDP Brazil, the World Bank is not a part of the country team, even though it is a member of the UN System.

cated by their respective mandates and operate within specific areas. These agencies generally develop projects jointly with the Government – at the federal, state and municipal levels – with private companies, educational institutions, NGOs and civil society, in line with a common agenda for equitable human development.

From the viewpoint of the operational cooperation among these agencies, UNDP is responsible for all team contracts and for the purchases of several other agencies, with resources transferred by them, and also for assessing the public bidding processes of these agencies. In short, UNDP Brazil, similar to what happens in other countries, works as an operational machine of the UN system.

3.1.1 STRATEGIC FRAMEWORK

In the period analysed, the UN system agencies prepared jointly and from the perspective of the UN's mandate, two types of documents: (a) the Common Country Assessment (CCA), which analyses the country's situation and identifies its main challenges, which was elaborated in 2001, 2005 and 2010, and (b) the United Nations Development Assistance Framework (UNDAF), in which the programmatic priorities common to all agencies are defined, covering two periods: 2002-2006 and 2007-2011. The UNDAF is elaborated with the participation of government partners.

The 2001 CCA recognizes the progress achieved by the Government and the country's advances towards a more modern and equitable development process, but highlights the persistence of major problems. These problems fostered the convergence of the different cooperation modalities that the UN system proposed to develop, as well as the definition of priorities and cooperation resources. This CCA analysed the country's situation in ten different areas: economy; population; poverty, income and employment; health; social security; housing; education; environment and governance.

The 2005 CCA, as well as the previous one, identifies Brazil's potentialities in the social,

economic, political and environmental fields, as well as the challenges regarding the achievement of such potentialities. This document analysed the following topics: promotion of inclusion and reduction of inequalities; sustainable economic growth; and environmental sustainability and governance. The country's situation was also analysed as regards the MDGs. In contrast to the 2001 CCA, this one opened a section about the role of ITC in Brazil, recognizing that "helping Brazil face its challenges to develop a more inclusive, competitive, democratic and sustainable society is by itself an extremely complex task. Brazil has human, technical and financial resources that obviously overcome anything the UNCT can offer. On the other hand, the dimension of the problems Brazil has to face is gigantic in contrast with UNCT's resources". The CCA argues, on the other hand, that there are comparative advantages in the agencies that can be triggered to contribute to overcoming the country's obstacles. The CCA also identified the "existence of duplications and conflicts for space that happened in the past", stating the "growing will of all agencies to work in an integrated way". However, for many agency personnel who were interviewed for this ADR, competition among them remains.

The country's diagnosis presented in the 2001 and 2005 CCAs was unfolded, for programme priority purposes, in the 2002-2006 UNDAF, which prioritized four thematic areas: reduction of inequalities; increase of efficiency and accountability in the public sector; sustainable environmental development and promotion of human rights. This UNDAF listed 55 expected outcomes, each one corresponding to four thematic areas, and also identified the agencies in charge. In line with the strategies of the Brazilian Government for that period, defined in the 2000-2003 PPA, the UNDAF states that it will seek for partnerships with the Government and also with NGOs, including the private sector. The UNDAF also invested in partnerships with states and municipalities as a result of the decentralization promoted by the Constitution of 1988. This UNDAF recognizes that the integration of the programmes of several different agencies is dif-

ficult due to the small amount of resources in the core fund. However, the UNDAF is optimistic in relation to the coordination of policies and programmes among the UN system agencies.

The programmatic cycle of the UN system agencies was based on the 2010 CCA and on the 2007-2011 UNDAF. Up to the time of the field research, the 2010 CCA had not been concluded. The preliminary version of the document recognizes that since it has a wide range, the CCAs lose in terms of details and depth, but their main feature is the adoption of an analysis axis that is the guarantee of all fundamental human rights. The main view is that it is the UN agencies' responsibility to support Brazil in the task of ensuring "full access of all Brazilians to these rights". The preliminary text analysed the following topics: fighting hunger and extreme poverty; high quality basic education for everyone, promoting equality between genders and autonomy for women, reducing children mortality rate, maternal health, fighting the HIV, ensuring environmental sustainability and worldwide partnerships for development. Public security has received special emphasis and is considered to be a goal for beyond the MDGs.

The 2007-2011 UNDAF was based on the human rights approach. The agencies' programme is trying to develop the capabilities of the most vulnerable groups so that they can exercise their right to access public services and achieve the MDGs goals. In line with the capability development approach of excluded or vulnerable social groups agreed upon among the agencies, the UNDAF listed the following outcomes for the UN agencies' contribution to the challenges in Brazil's development: excluded and vulnerable populations' right to public services; reduction of gender and race/ethnicity inequalities, taking territorial heterogeneities into consideration; reduction of violence, with the promotion of peace, conciliation and justice; effective, transparent and participative public policies, such as mechanisms for the promotion of and for putting human rights into effect, and a more effective use of resources for the promotion of an equitable and environmentally sustainable economic development.

In accordance with the CCAs, this UNDAF also recognizes how difficult it is to define the agenda for the ITC in a country such as Brazil. The solution was to base the programming on support so that the country can optimize the use of resources to improve the quality of life of those who still suffer the violation of their rights.

The documents of the UN system present good summaries of the country's difficulties, containing an analysis conducting axis that is coherent with the UN's mandate and with the national development challenges. The joint programmatic effort of all agencies is also an opportunity to create a consensus. The common argument in these documents that the ITC still has a role to play in a country with high inequalities and heterogeneous capabilities is in line with the diagnosis about Brazil carried out by different analysts and institutions. Finally, all documents produced show an alignment both among themselves as well as with the guidelines of the Brazilian government established in the PPAs created for the periods: 2000-2003, 2004-2007 and 2008-2011.

3.2 UNDP'S PROGRAMMING

UNDP defined the priorities of its cooperation in CCF 2002-2006 and in CPD 2007-2011. Figure 2 shows the temporal distribution of the main documents that guide the evaluation of UNDP's position when facing national development challenges.

Based on the documents produced by the UN System and on the priorities of the Brazilian Government for that period, which were substantiated in the 2000-2003 and 2004-2007 PPAs, the CCF highlighted five big development components: (a) national integration and development; (b) public management; (c) environment; (d) creation of employment and income; and (e) information and knowledge. Six strategic guidelines were identified: (a) consolidate economic stability with sustainable growth; (b) promote sustainable development guided by the creation of employment and income opportunities; (c) fight poverty and promote citizenship, as well as social inclusion; (d) consolidate

Figure 2. Distribution of All Programme Documents During the ADR												
Documents	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Multi-Year Plan	←————————→											
Multi-Year Plan					←————————→							
Multi-Year Plan									←————————→			
UNDP Country Cooperation Framework (CCF)			←————————→									
UNDP Country Programme Document (CPD)								←————————→				
ADR Brazil				←——————————————————————————→								

democracy and the protection of human rights; (e) reduce inter-regional disparities: and (f) promote the rights of all minorities who are victims of prejudice and discrimination.

The CPD covers the 2007-2011 period. It was prepared from a comprehensive consultation of all Brazilian partners in order to define programmatic topics and priorities. The main idea of the document is that, despite considerable advances in macroeconomic and social policies, Brazil still needs reforms to consolidate its macroeconomic policy, accelerate social inclusion and achieve the MDGs goals in the poorest regions of the country. Regarding the development of the technical capacity within the Government, the CPD, as well as other documents, recognizes the high professionalization of the federal bureaucracy, even though it is concentrated in a few niches, and the need to promote this professionalization in sub-national spheres. This diagnosis, states the CPD, is in line with the federal Government's viewpoint that the support to the implementation of national social policies at state and municipal levels should be one of the ITC's priorities in Brazil.

The CPD establishes that the transition from UNDP's participation model based on the operational support to programmes to an approach based on knowledge should be consolidated, with a meaningful increase of technical services and use of the UN's extensive network.

The decentralization strategy for states and municipalities was also discussed in the document, in accordance with the 2002-2006 UNDAF. The CPD states that this strategy resulted in partnerships with state governments for opening up five offices. However, these offices were closed, except the one in Salvador, which is now being shared with other agencies from the UN system; they are also sharing all operational expenses.[44] Another guideline in the 2007-2011 CPD, however, was successful: UNDP's participation in Brazil's initiatives to promote South-South cooperation, as we will see below.

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[44] The evaluation team was unable to find documents about this experience. According to interviewees, the decision to close state offices was made because they were facing budget deficits. Since the idea behind the creation of these offices was for them to be financially self-sustainable and given all the budget restrictions of the sub-national spheres, discussed in Chapter 2, much bigger than the federal ones, it was not possible to make this strategy feasible. The possibility of UNDP managing loan resources from multilateral organizations for the sub-national spheres, such as what happened recently in the federal sphere, may also have been considered in the decision of opening regional offices. However, sub-national instances have been executing these loans directly for a long time. Despite the support given by the ABC to this strategy, inferred from its participation in the elaboration of the CPD, the evaluation team believes that the financial sustainability of regional offices would depend on a specific federal programme meant for this, with financial resources and incentives for the capability development in sub-national governments.

Table 3. Thematic Areas and Cross-cutting Issues – CCF and CPD[45]	
Period 2002-2006 (CCF)	**Period 2007-2011 (CPD)**
Focus on social policies and groups based on the HDI	Ensure equitable access to public services
Reduction of poverty and increase of social inclusion	Ensure gender and race equity
Development of capabilities and sustainable governance	Reduce vulnerability to violence
Management of sustainable development and energy	Promote transparent policies and human rights
	Support sustainable economic development
Cross-cutting issue: Gender	Cross-cutting issues: MDGs, governance, South-South cooperation

In short, Table 3 shows the thematic areas and cross-cutting issues that can be found in both documents. Between one period and another, we can observe the inclusion of new areas, such as human rights, violence and South-South cooperation, in accordance with the changes in the policies of the federal Government and with the new development challenges of the country analysed in Chapter 2.

The thematic areas prioritized in the CCF and in the CPD show that UNDP's response to the Brazilian development challenges was in line with the national context analysed in Chapter 2. UNDP's contribution in these thematic areas will be described below, and it will be analysed more thoroughly in Chapter 4. As shown in Chapter 1, the team aggregated the topics of the CCF, CPD and project portfolio in five thematic areas – social and inclusion policy; public security and human rights; modernization of the state; environment; and South-South cooperation – and in three cross-cutting issues – gender, race/ethnicity and governance.

Beyond the programmatic documents, UNDP's response to Brazil's development challenges, as well as the compatibility of its programmes with the existing national priorities, can be bet-ter evaluated from its project portfolio. Despite the fact that the period covered by this ADR started in 2002, data from previous years were incorporated into the analysis for two reasons: because they allow an examination of the evolution of the portfolio and because many projects that started in the 1990s continued in the following decade.[46]

Graph 6 shows the evolution of the number of projects managed by the UNDP, showing the great growth of the portfolio up to 2004 and its decrease starting in 2005.

The thematic areas that contributed more intensely to this decrease – social and inclusion policy, and modernization of the state – were the ones that received the highest investments from the Government, as shown in Chapter 2, especially the first one. The environment portfolio, which reached its peak in 2002, registered a small decrease in 2003 and kept itself relatively stable in the rest of the period and, nowadays, it is the area with the biggest number of projects. The area of public security and human rights, and South-South cooperation, even though they have a much smaller number of projects than all the others, also increased, showing that UNDP's support focused more on the areas that

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[45] The CPAP, the action plan for the implementation of the CPD, which constitutes an agreement signed between UNDP and the ABC, was signed later on, in December 2010. For further information about the UNDP documents sent to the headquarters, see <www.undg.org/unct.cfm?module=Benchmark&CountryID=BRA&page=CountryBench markPreview&ListType=HarmonizedCycle>.

[46] The analyses presented here are based on a database supplied by UNDP's office in Brazil, with information for each one of the projects (a total number of 411).

Graph 6. Number of Projects Managed by UNDP
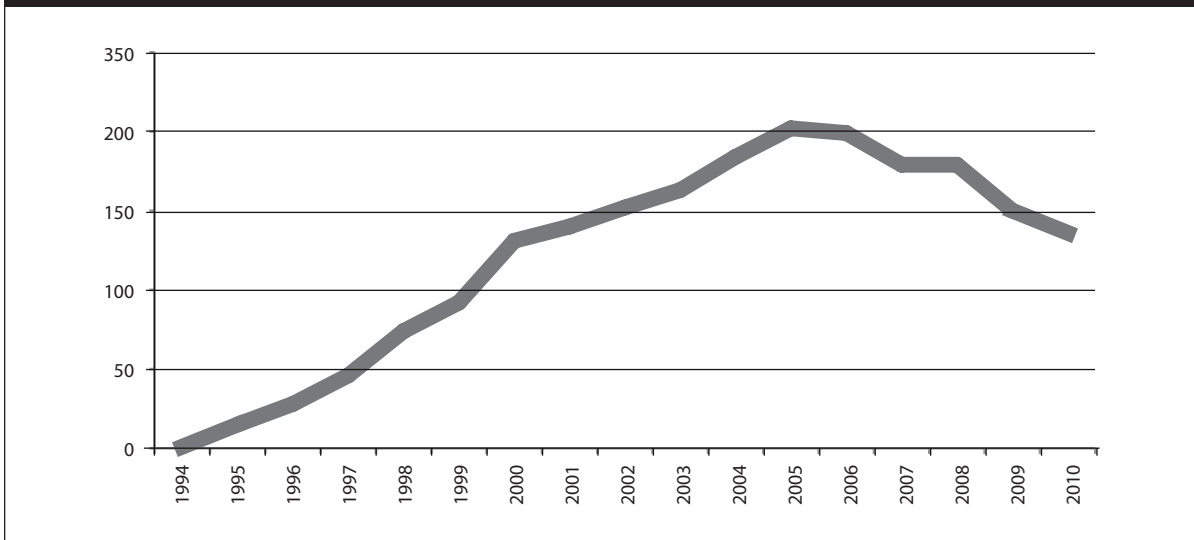
Source: Elaborated by the evaluation team based on information provided by UNDP in April 2011

Graph 7. Number of Projects Managed by UNDP Per Thematic Area
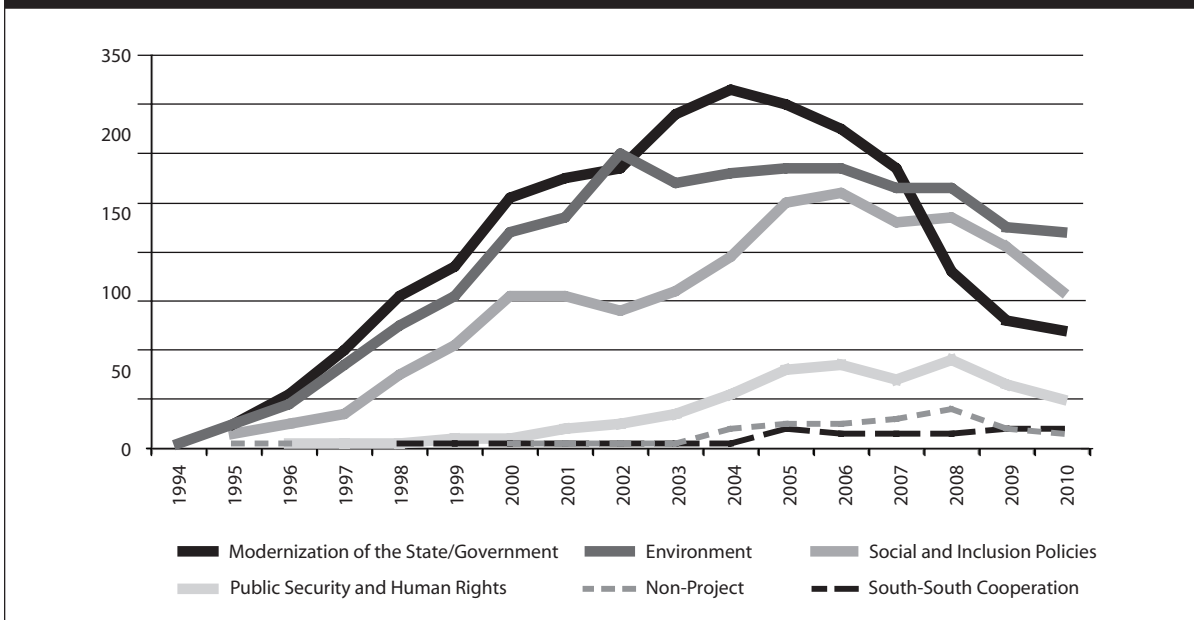
Legend: Modernization of the State/Government — Environment — Social and Inclusion Policies — Public Security and Human Rights — Non-Project — South-South Cooperation

Source: Elaborated by the evaluation team based on information aprovided by UNDP in April 2011

more recently became a priority in the federal Government's agenda.[47]

In all thematic areas, UNDP's support takes place predominantly with the federal Government; a general percentage is 70 percent, which is more or less homogeneous in all areas. In the area of modernization of the state, however, there was significant support to the states (approximately one third of the total number of projects).

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[47] Regarding South-South cooperation, the number of projects is not a good indicator of how important UNDP's support is, since the projects managed are umbrella projects, that is, the actions are not separated/specified by project, but integrated into three big projects.

This is a result of the importance of the fiscal adjustment programmes that were negotiated at the beginning of the last decade and analysed in Chapter 2. In all other areas, the states are the second partner, in spite of having a less relevant presence. NGOs come in third place and municipalities in last. The private sector is almost a non-existing, absent partner, with only one project.[48]

The details of the portfolio per thematic area are presented below.

Social and inclusion policy

Between 1994 and 2010, UNDP took part in 103 projects, corresponding to 25 percent of the portfolio, with resources totaling approximately $420 million. The areas of greater relevance were education, health and poverty reduction as well as regional development and social inclusion. What is noteworthy is the significant reduction in the number of projects in the field of education, which practically disappeared from the portfolio recently. This topic will be discussed in more detail in Chapter 4.

Public security and human rights

UNDP supported 31 projects in this area, mobilizing around $74 million. UNDP already had a background of projects in the area of human rights, but the issue of public security is a recent topic. Until 2002, UNDP had only three projects in this thematic area, but starting in 2003, that number has grown to 29. Most of the total value of the projects managed in this area was executed from 2004 onwards.

The project portfolio specifically aimed at public security has been consolidated and expanded in the organization. UNDP's participation in projects that seek to promote human rights diminished in the last seven years. Unlike other thematic areas, UNDP's participation in the support to public security projects has increased, reflecting the organization's new position and its more active participation in topics that had only started to become part of the federal Government's agenda.

Modernization of the state

During this ADR period, UNDP provided operational support to 126 projects in this thematic area (31 percent of the portfolio), mobilizing around $408 million. The data show the decrease in the number of projects that began in 2002, followed by a fall in the average values executed. The average value of projects in this area went from $1.7 million in 2002 to $777,000 in 2003, dropping even more from 2007 onwards.

The classification of projects per thematic sub-area shows a concentration in capability development and fiscal adjustment that, jointly, represented more than 80 percent of the portfolio of the modernization of the state. The largest number of projects took place in 2004; however, the largest amount of resources happened in 2000, which corresponds to the period when the federal Government made great efforts in the field of fiscal adjustment in the states.

As in the area of social and inclusion policies, the portfolio of modernization of the state shows a considerable reduction in the number of projects and in the amount of resources executed, whose total amount surpassed $322 million in 2006 to $86 million in 2010.

Environment

Between 1995 and 2010, UNDP was engaged in 91 projects in the thematic area of environment and energy, with a total amount of approximately $373 million.

UNDP's portfolio in environment is extremely diversified, with greater focus on sustainable development and reduction of poverty, as well as on local capability development, especially of traditional populations and indigenous peoples. In the last six years, projects have evolved from a profile of institutional support to sustainable production projects, developed with ample social participation.

The area presented a decrease in the value of the projects after 2004 as a result of the consolidation of the MMA. Even though it was created

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[48]   The database does not contain information for 30 percent of the projects.

in 1992, the institutionalization of the MMA, strongly supported by UNDP through its country team and mainly through the support to a significant number of big projects, it was only consolidated at the beginning of the 2000s. Such a result reflects the higher level of organization of the environment field in the federal Government, which led to a greater concentration of projects supported by UNDP, of smaller volume, in the thematic areas of biodiversity and energy.

South-South cooperation

Starting in 2004, the role of South-South cooperation in Brazil's foreign policy increased and intensified the ABC's operations. In 2008, for example, the ABC approved and coordinated the implementation of 236 projects and isolated activities of technical South-South cooperation, helping 58 countries in their development. [49]

Currently, three CTPD projects, supported by UNDP, are in progress. The two biggest are umbrella projects that, giving continuity to previous contracts, one from 1998, include all the cooperation projects with developing countries executed by the ABC.

Several external and internal factors explain the evolution of UNDP's project portfolio mentioned above. These factors are described in the following section.

3.2.1 TRAJECTORY, STRUCTURE AND ORGANIZATION

Brazil, one of the founding Member States of the United Nations, incorporated the UN Charter into its legal system through Executive Law No. 7,935 of September 4, 1945. UNDP, as an integral part of the United Nations, executes its activities according to the Basic Agreement on Technical Assistance with the United Nations Organization, their Specialized Agencies and the International Atomic Energy Agency, signed by the Brazilian Government and the United

Nations on December 29, 1964. The agreement was approved by Legislative Decree No. 11 of 1966, and promulgated by Decree No. 59,308 of 23 September 1966 (Basic Agreement). According to the paragraph 2 of article 1 of the Basic Agreement: "Technical assistance will be rendered and received according to the resolutions and decisions made in assemblies, conferences and other agencies of the Organization". Therefore, there is no application of local legislation within the context of the execution of UNDP's international cooperation projects in the country. UNDP, through its Executive Board, of which Brazil is a member, establishes the norms and regulations regarding operational and programmatic issues related to the implementation of cooperation projects in the countries where it operates, including internal audits. External audits are carried out by the United Nations Board of Auditors.

The trajectory of UNDP in the last decades can be divided into three phases. The first one, which started at the end of the 1960s and continued until the beginning of the 2000s, marked the expansion of UNDP's activities in the country, both in terms of human resources as well as in financial resources, and its contributions to the Brazilian development were very important.[50] The second phase, which began in 2002-2003, was characterized by the reforms of the Brazilian state aimed at huge investments in the social area, strengthening the technical capacity of the federal Government, regulating the operations of the ITC agencies, and strengthening the control institutions described in Chapter 2.[51] In this phase, and as a result of the changes in the Brazilian State, there was a deep restructuring of UNDP's office. The third phase started at the end of the 2000s and is marked by the search for a new financing model for human development activities, new topics capable of contributing to the country's challenges, and greater legal security, both for UNDP as well as for its partners, which has reduced transaction expenses. Describing the second phase

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[49] ABC's website <www.abc.gov.br>.

[50] See 'Summarized Report of UNDP's Activities in Brazil: 1960-2002' (s.d.)

[51] All the legal documents that rule the ITC in Brazil can be accessed at <www.cgu.gov.br/AreaAuditoriaFiscalizacao/FinanciamentoExternoECooperacao/>.

in greater detail is important because during most of this ADR period, UNDP faced institutional instability and the reduction of human and financial resources. This is also important as background for the analyses developed in Chapter 4.

Briefly going back to UNDP's trajectory in Brazil, up to the 1980s, the organization presented several comparative advantages in performing its role in the country's development agenda. One of the main advantages was its role as a protagonist and its advocacy in a country with enormous social inequalities, deepened even more in the years of the military regime.

The 2000s started a new phase for UNDP, triggered by changes in the country's political and macro-economic conjunctures analysed in Chapter 2, as well as by the effective implementation of several provisions from the Constitution of 1988. Besides, decisions made by UNDP Brazil and by headquarters also contributed to the changes that took place during the 2000s. These changes, which affected UNDP as an organization, reflected upon its project portfolio and can be attributed both to external factors, that is, the national context and public policies, as well as to internal factors.

In the external context, the results of national elections, which began happening again in 1993, created a new development agenda. UNDP took part in this agenda by supporting projects considered to be a priority by the governments of that time: fiscal adjustment, promoted by President Cardoso, universal access to health care and basic education, and the income transfer programmes, reinforced by President Lula's election. UNDP's project portfolio described above reflects this participation and also the changes that happened in the Brazilian state, with the creation of technical capacity in the federal sphere, the consolidation of the adjustment of public accounts in the states, and the achievement of the main goals of universal access to basic health care services and basic education.

Until 2002, one of the possible partnerships between UNDP and the Brazilian Government was to hire consultants to create and manage priority programmes and projects, which were allocated in the ministries, then technically dismantled and with certain restrictions for hiring personnel directly, as described in Chapter 2. From 2002 on, this modality of support underwent an intervention from one of Brazil's legal supervision agencies, the Labor Prosecutor's Office (MP). The MP's intervention resulted from the interpretation that these employment contracts infringed the Brazilian Constitution, which requires a public exam for anyone to work in the public sector. Soon, new federal legislation and the growing participation of control agencies from the executive and legislative branches concerning the ITC affected many of the activities that the office performed until then. Since UNDP was, and continues to be, the UN system agency in Brazil with the biggest portfolio, these changes required a deep restructuring of the office. The chronology of the external factors is presented in Table 4.

The internal factors are summarized in Table 5.

UNDP's organizational structure

The office is currently organized as follows:[52]

- UN Coordination in Brazil and UNDP Representation

- Programme Units: Democratic Governance and Eradication of Poverty; Environment and Development; Strategic Planning and Capacity Development

- Volunteer Unit

- Operations Unit

UNDP's team in Brazil currently has 83 employees: 63 of which are permanent, 12 in a service contract regime and eight are consultants who work directly in the office.[53]

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[52] Data collected on <www.undp.org.br>.

[53] Information provided by UNDP's office in April of 2011. For the same reasons mentioned in Note 1, under Table 5, it is not possible to obtain information about personnel per year and/or per unit; besides, the system does not have a filter that separates UNDP employees from others in the UN System in Brazil.

Table 4. External Factors Influencing UNDP's Role	
Year	**External factors**
2002	Signing of the Conduct Adjustment Term between the federal Government and the Labor Prosecutor's Office to gradually end all Country Teams. Closing of the Project Management Unit (UAP) of the ABC, transferring it to UNDP.
2002–04	Adoption by the Brazilian Government of the SWAp modality for loans from the World Bank and the IDB, which drastically reduced foreign resources for projects, affecting UNDP's role as the manager of part of these resources(1).
2005	Federal decree 5,151 established the following rules and procedures for projects of the federal public administration managed by ITC agencies: NEX modality for projects financed with resources from the federal Government, with public servants in charge of managing and carrying them out; administration fee of up to 5 percent for ITC agencies; participation of these agencies limited to technical consultancy or knowledge transfer activities; ban on hiring consultants who are linked to the public sector; hiring of consultants for a pre-determined period of time and per product. In the cooperation performed by Brazil for developing countries, the decree considers the NEX modality to be an exception.
2006–10	Adoption by the Brazilian Government of a sponsorship policy for ITC agencies, connecting each agency of the UN system to a ministry that is close to the agency's mandate, affecting UNDP's participation mainly in educational projects.
2009–10	Legal decisions 1,339 and 1,256 from the TCU, forbidding UNDP and UNESCO to pay for activities that are typical of the public administration (production, printing and distribution of material for training courses; organization of events, implementation of common services, such as spelling and grammatical revision of texts and printing services; acquisition of office and computer supplies).

Note (1): Regarding the adoption and the results of the SWAp financing modality in Brazil, see Batley, Cabral and Souza (2007).

Table 5. Internal Factors Influencing UNDP's Role	
Year	**Event**
2002	Growth of the project portfolio through the support of the federal Government's priorities at that time, such as hiring consultants through the Country Teams (1) and the fiscal adjustment of the states. Adoption of a customized control system, the SAP (2). Transfer of ABC's UAP to UNDP, without recovering expenses or charging for the services.
2002–05	End of the Country Teams, which generated 417 lawsuits in the justice system, some of which froze UNDP's bank accounts, because many judges understood that the immunities agreed upon in the Geneva Convention did not apply to the ITC agencies. This legal discussion is now being held at the Federal Supreme Court and UNDP's defence in these lawsuits is being carried out by the Brazilian Government.
2003	Opening of five regional offices.
2004	TCU's legal decision regarding UNDP's Convergence Manual, with corporative rules on public biddings.

Table 5. Internal Factors Influencing UNDP's Role *(continued)*	
Year	**Event**
2006–08	Extensive restructuring of UNDP in order to improve its finances affected by the end of the Country Teams, transfer of the UAP without recovering expenses and reduction of loans from multilateral organizations.
	Substitution of the SAP for the Atlas, which is UNDP's corporate system, generating the typical problems when information and control systems are changed.
	Submission of public biddings for purchases and services above a set value to the analysis of the Regional Office in Panama or headquarters and elimination of the granting of authority to project executors to purchase goods worth up to $30,000.
	Reduction of office operational expenses: elimination of services such as call centres and legal aid to partners; closing of regional offices, except the one in Salvador; dismissal of about 50 percent of all staff, with the payment of severance packages (3); hiring of a limited number of new professionals.
	Increase of the administration fee from 3 percent to 5 percent.
	Payment of the Government Contribution to Local Office Costs (GLOC) by the ABC, delayed for 10 years.
2010	More stability of all legal rules and regulations applicable to ITC, search for new modalities of project financing, thorough analyses of emerging thematic areas, and search for new operation areas.

Notes:

(1) We estimate that between 8,000 and 10,000 professionals were allocated in ministries via contracts with UNDP. However, it is not possible to recover this information and indicate more precise numbers, because there were contracts prior to the SAP system, due to the substitution of the SAP System for the Atlas, and because the deadlines of several contracts were only extended.

(2) *Systemanalyse und Programntwicklung* (System Analysis and Programme Development)

(3) The statement regarding the reduction of personnel after 2006 is based on the interviews carried out.

During this ADR, the position of Resident Representative was filled by six individuals, as shown in Table 6.

Table 6. UNDP Resident Representatives, 2002-2010	
Name	**Período**
Walter Franco	Until May 2003
Carlos Lopes	June 2003-October 2005
Lucien Munoz (acting)	October 2005-May 2006
Kim Bolduc	May 2006-October 2009
Eduardo Gutierrez (acting)	December 2009-March 2010
Jorge Chediek	April 2010-present

3.3 ASPECTS OF FINANCIAL MANAGEMENT

The analysis of UNDP's financial management firstly considers the relationship between the expenses with all end-activities, that is, expenses from supporting projects, and office overhead expenses. After that, the evaluation team analysed the resources managed by UNDP in its project portfolio.

Table 7 lists all expenses with the total execution of the programme, which include projects and non-projects managed by UNDP in Brazil, with all office overhead expenses, listing the different sources that contribute to the office overhead expenses. As we can see, expenses on routine activities remained between 4 percent in 2004 and 6 percent in 2010. The evolution of these expenses shows that the decrease of resources for

projects corresponded to a percentage increase in administrative expenses.

The information related to the evolution of the total budget executed in managing projects, between 1994 and 2010 (Graph 8), shows three peaks in the amount of resources managed by UNDP – 1997, 2001 and 2006. The first, in 1997, is a result of the considerable increase in expenses with social and inclusion policies. The second resulted from the increase, which started in 1999, in expenses with the modernization of the state. The third is due to the high expenses of

the digital inclusion project in the State of Paraná, with the disbursement, that year, of most of its budget. After this peak, expenses with social policies went back to the decreasing trend that started in 2007. The increase in expenses on environment projects also contributed to this peak.

The evolution of the budget executed per thematic area shows a growth of the amount of resources managed from 1997 on, third year of President Cardoso's first term in office. Beginning in 2002, this amount starts to decrease; in 2006 it had an unusual year, whose high value was mainly

Table 7. Distribution of the Budget Executed Per Thematic Areas and Period (percentage and dollars thousands)						
	2002-2006 A		2007-2010 B		Total 2002-2010	
Social and inclusion policies	31.75	263,000.23	29.38	157,300.21	30.82	420,300.43
Public security and human rights	2.38	19,692.14	10.27	54,981.16	5.48	74,673.30
Modernization of the state	38.92	322,419.14	16.07	86,057.63	29.95	408,476.77
Environment	24.65	204,212.77	31.70	169,750.04	27.42	373,962.81
South-South cooperation	1.45	11,971.47	10.79	57,802.53	5.12	69,774.00
Non-projects	0.85	7,063.99	1.79	9,585.85	1.22	16,649.84
Total	100.00	828,359.73	100.00	535,477.42	100.00	1,363,837.15

Source: Elaborated by the evaluation team based on information provided by UNDP in April 2011

Graph 8. Budget Executed by UNDP
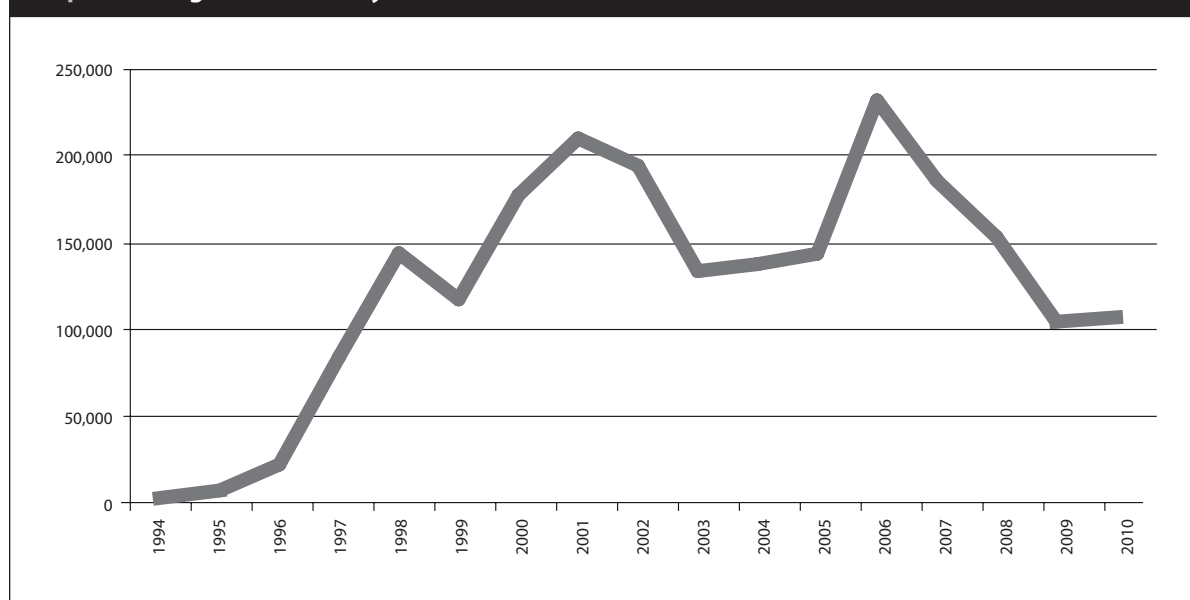
Source: Elaborated by the evaluation team based on information provided by UNDP in April 2011

Graph 9. Budget Executed by UNDP Per Thematic Area
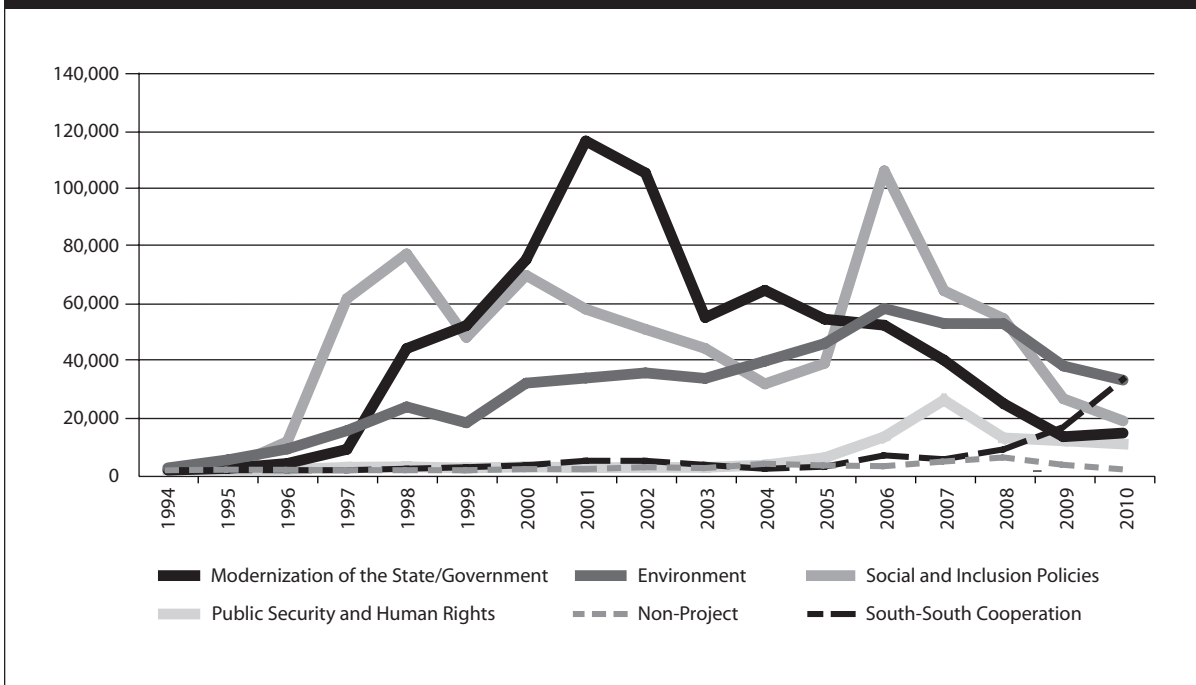
Legend:
- Modernization of the State/Government
- Environment
- Social and Inclusion Policies
- Public Security and Human Rights
- Non-Project
- South-South Cooperation

Source: Elaborated by the evaluation team based on information provided by UNDP in April 2011

Graph 10. Average Budget Executed by UNDP Per Thematic Area
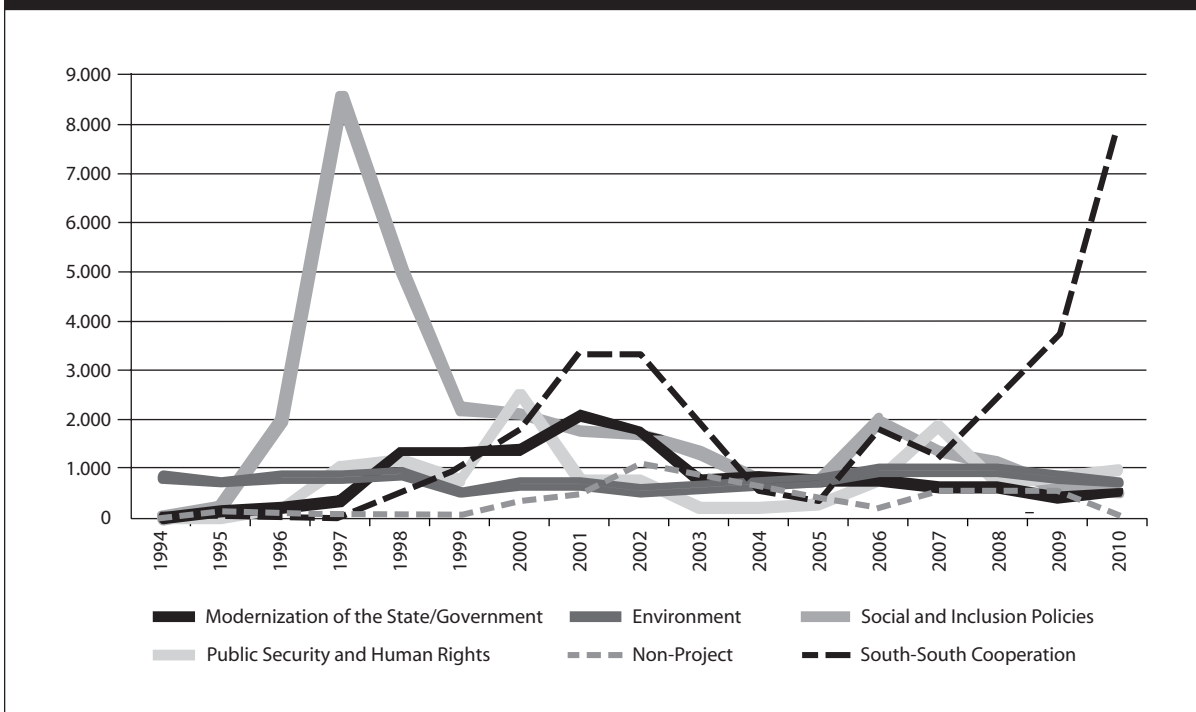
Legend:
- Modernization of the State/Government
- Environment
- Social and Inclusion Policies
- Public Security and Human Rights
- Non-Project
- South-South Cooperation

Source: Elaborated by the evaluation team based on information provided by UNDP in April 2011

due to the digital inclusion project in the State of Paraná. Starting in 2003, the beginning of President Lula's term in office, only the area of South-South cooperation has an increase of resources that, in 2010, corresponds to more than 30 percent of the total amount managed by UNDP.

Considering now only the period covered by this evaluation, Table 7 shows how we can distribute, per thematic area, the total volume in two periods. The values clearly show a change in the budget composition of UNDP of the different thematic areas. Both main areas – modernization of the state, and social and inclusion policy – underwent a significant loss in the amount of resources in the second period – the former also loses its relative position in the contribution to the agency's total amount of resources. The environment area, in spite of a small drop in the amount of resources, is the one that begins to give the highest relative contribution. The biggest increases are in the area of public security and human rights, and South-South cooperation – the contribution of the former is still very small, while the latter increases its participation in the total budget in a significant way.

The evolution of the average budget executed per area, that is, the relationship between resources and the number of projects in each area, shows that, from 2003 on, UNDP began to manage a smaller average amount of resources in all areas, except in South-South cooperation. In this case, however, the comparison with other areas is flawed because two of the three projects that UNDP supports are umbrella projects, that is, they include several cooperation projects. However, it is important to highlight that starting in 2008 the average values of all areas, except public security and human rights, show a decreasing trend, mainly the non-projects.

From the viewpoint of financiers, in all thematic areas, resources from the National Treasury Department are predominant. Loans from the IDB and the World Bank for the federal Government were also managed by the UNDP, with greater participation of the IDB, which was also the main financial agent of the fiscal adjustment projects in the states. The World Bank also participated in the fiscal adjustment programme, but its loans were meant for the federal Government.

Table 8. UNDP Brazil Execution and Management Expenses							
	2004	2005	2006	2007	2008	2009	2010
A. Total programme execution (million dollars)	140,051	149,355	235,058	190,457	150,882	102,242	104,527
B. Total management expenses (million dollars)	5,644	6,741	7,823	7,696	6,979	5,589	6,384
B.1 Management Exp. from Regular Resources (core)	736	876	764	1,079	1,110	1,054	1,160
B.2 Management Exp. from Other Resources (XB)	4,908	5,865	7,059	6,617	5,869	4,535	5,224
C. Regular UNDP resources (million dollars)	2,113	884	1,083	531	501	950	1,357
D. Ratio C:A (%): regular resources/execution total	1.5	0.6	0.5	0.3	0.3	0.9	1.3
E. Ratio C:B (%): regular resources/management expenses	37.4	13.1	13.8	6.9	7.2	17.0	21.3
F. Ratio B:A (%): management/total execution expenses	4.0	4.5	3.3	4.0	4.6	5.5	6.1

Source: UNDP Executive Snapshots

3.4 SUMMARY

The UN System has a significant presence in Brazil and UNDP was always the agency with the biggest portfolio. In the initial years covered by the ADR, UNDP supported the Brazilian Government in its effort to restructure the state. The state needed to organize itself in order to face the challenges created by the re-democratization process and by the promulgation of a new Constitution. In this phase, UNDP also contributed to make several agendas of the federal Government feasible, especially: the fiscal adjustment of the states, universal access to basic health care and basic education, and the institutionalization of the MMA.

Throughout this process, external factors changed the role played by the organization in Brazil's development agenda up to that time. The Brazilian state started to become more efficient, with the clear definition of its macro-economic restrictions and the structuring of a more professional bureaucracy in some sectors of the federal Government, as shown in Chapter 2. International technical cooperation activity was also standardized, with restrictions regarding the practice of functions considered typical of the public administration (see TCU's legal decisions mentioned above). UNDP responded to these changes in two different ways: it reduced its operational expenses and started to operate in thematic areas that had only begun to enter the national agenda – South-South cooperation and public security.

The following chapter discusses UNDP's project portfolio in detail, during the ADR, as well as the advocacy and discussion activities in each programmatic area and in cross-cutting issues, aiming at evaluating its contribution to Brazil's development goals.

Chapter 4

UNDP'S CONTRIBUTION TO DEVELOPMENT RESULTS

4.1 ASSESSMENT BY THEMATIC AREA

This section aims to assess the relevance, efficacy, efficiency and sustainability of UNDP's project portfolio, and to assess advocacy and dialogue activities in each programme area and cross-cutting theme to answer the questions raised in the evaluation matrix (see Annex 5). This chapter shall highlight, in particular, UNDP's contribution to human development in Brazil and to the national development agenda discussed in Chapter 2. The chapter follows the criteria and subcriteria proposed in the ADR Method Manual and in the design report, as outlined in Chapter 1.

In general, UNDP's contribution, through both advocacy and project support, was relevant in all thematic areas covered in this ADR. The areas supported by the organization include activities related to national strategies aimed at alleviating poverty (such as the *Bolsa Família* Programme), at establishing a national public security policy (Citizen's Security Programme), at the fiscal recovery of Brazilian states, at institutionalizing

structuring policies in the environmental area (such as the National Environmental Programme) and at establishing governmental action guidelines for South-South cooperation. In this sense, UNDP participated in most of the demands involved in meeting the national challenges, and supported policies that resulted from changes in the national context (see Chapter 2).

Table 9 summarizes the results of the assessment based on the selected criteria. A scale of one to five was considered, with five being the highest assessment.

It was identified by the assessment that UNDP's action was effective in most cases analysed. However, in some of the supported projects, outcomes were not fully attained or attained at all. However, in most cases, this was not because of decisions made by the incoming public managers who decided to either interrupt or not execute certain activities at all. The areas where efficacy was considered low were environment, and human rights and public security. It is not by chance that these areas are undergoing

Table 9. Summary of the Assessment Based on the Selected Criteria					
Criterion	**Relevance**	**Efficacy**	**Efficiency(1)**	**Sustainability**	**Flexibility (2)**
Social and inclusion policies	+++++	++++	+++	++++	+++++
Human rights and public security	+++++	+++	+++	+++	++++
Modernizing of the state	+++++	++++	+++	+++	+++++
Environment	+++++	+++	+++	+++	+++++
South-South cooperation	+++++	++++	+++	+++	+++++
All areas combined	+++++	++++	+++	+++	+++++

Notes:

(1) For cases in which there were assessments of project outputs, efficiency was analysed based on the perception of interviewees.

(2) The flexibility criterion was added to those listed in the ADR Method Manual and the design report because interviewees consistently mentioned it.

organizational structuring. Yet, it was precisely in these two areas that UNDP's substantive contribution was more present. In the others, the shift in focus from operational support of projects to a more substantive approach – as established in the CPD[54] – was not verified: the majority of project managers stated that the provision of knowledge by UNDP was limited, and that UNDP's involvement in the majority of the projects analysed regarded operational support of financial execution. Although the operational role is relevant, it falls short of the goal established in the CPD, namely that of providing a substantive contribution, and of content, to projects.

It must be noted, however, that UNDP was flexible in accommodating changes in the design of various projects during their implementation. This characteristic must be considered positive, especially because there persists in the country a relatively high rate of turnover in top public management posts, which frequently affects the pace of execution of the programmed activities, as well as their content. Also noteworthy is that flexibility became necessary because the project preparation process, through project documents, does not always incorporate a precise specification of the expect outputs.

The efficiency of UNDP's action is the most problematic of the criteria analysed. Although in most projects analysed this aspect was adequately addressed with regard to resources and the sustainability of the funding model, operational problems were detected in practically all projects. Most interviewees mentioned UNDP's lack of agility in supporting project execution. Also mentioned, for example, were increases in process execution time-frames and greater difficulty in contracting. These changes were supposedly due the corporate systems adopted by UNDP as of 2008, and to the increase in regulation by Brazilian external and internal control agencies overseeing the ITC mentioned in Chapter 3. These changes had

consequences because of the time involved in budget execution.

Also observed were conflicts between the application of UNDP procurement rules and those established by Federal Law 8666/93, although national regulation does not apply to international organizations. Furthermore, the contracting of consultancies linked to products is considered another difficulty faced by projects, due to the lack of personnel in various supported areas. However, this is currently a requirement of Brazilian legislation (see mention of Decree 5151 in Chapter 3).

In summary, factors internal to UNDP, as well as external factors, have been affecting the 'operational support' model in effect until now. But this situation is more due to the lack of communication between control agencies, the various interpretations of the Brazilian legislation and the difficulties in harmonizing national regulation and that of international organizations to allow the execution of activities that the Government considers, in many cases, as priority. Although these transformations reduced UNDP's efficiency, the problems identified were not due to the UNDP Brazil team, but to the adoption of new corporate rules and new national legal restrictions, with which interviewees were not accustomed. If UNDP's efficiency was affected by these difficulties, its image regarding transparency remains satisfactory.

With regard to the sustainability of the project outputs, this aspect was difficult to ascertain, since the project documents did not clearly specify the expected outputs in various cases. In spite of these difficulties, external assessments obtained from other sources indicated that certain projects supported by UNDP had attained sustainable outputs, for example in the areas of social inclusion and the dissemination of the Agenda 21.

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[54]   See Chapter 3.

Most of the interviewed managers considered UNDP's continuing support as positive, but were troubled by the procedural difficulties. Nevertheless, UNDP's support is becoming less necessary in those government agencies in which a stable and professional bureaucratic structure has been consolidated. This support remains important for programmes developed by public agencies with low institutionalism and less professional bureaucracy. Outlined below are the issues mentioned above by thematic area analysed.

4.1.1 SOCIAL AND INCLUSION POLICIES

UNDP's action in Brazil was strategic in the area of social and inclusion policies during the period assessed by the ADR, although this participation has decreased in recent years, as observed in Chapter 3. During the period of this assessment, the agency produced advocacy initiatives with relevant impact on the social policy area, and supported strategic projects in the area of cash transfers and health, in addition to various other projects in the areas of education, regional development and social inclusion.

Several of the supported projects were national in coverage, involving social policy decentralization processes, mainly through local management capacity building. This also took place in the areas of health, education, poverty alleviation and urban and regional development. The end beneficiaries of these actions belonged, in several cases, to the country's most vulnerable groups, including families in situations of extreme poverty, indigenous populations, physically disabled persons, and former *quilombo* communities. In summary, central aspects of the national and UNDP development goals, established in the 2002-2006 CCF and the 2007-2011 CPD, were addressed by the agency's activities examined in this assessment.[55]

Relevance

UNDP's action is this thematic area was relevant. One the one hand, the agency influenced, through its advocacy initiatives, the dissemination and use of social policy indicators. On the other, the projects supported had relevant goals regarding cash transfer, health, education, urban and regional development, and social inclusion policies. For example, UNDP acted in strengthening the institutional capacity of social policy management agencies. Such support was provided in the form of incentives that led to the design of the monitoring and evaluation component of the cash transfer policy, to the structuring of information systems in the areas of health and housing, to the contracting and training of technical teams and, in certain cases, to carrying out social policy assessments.

UNDP's most general action in the area of advocacy – characterized, above all, by the publishing of the NHDRs and by promoting the MDGs – contributed to Brazilian social policies in at least three main aspects. First, the Municipal Human Development Index (HDI-M) project was a pioneering effort aimed at producing social statistics on a municipal level, which later led to the development and dissemination of social indicator systems in the areas of health, education, housing and cash transfers. The HDI-M was also used in the beginning of the 1990s, as a criterion to determine the focus of the first cash transfer programme, the Alvorada Project.

Second, both in its advocacy actions and in its project support, UNDP helped disseminate evidence-based public administration practices. In areas such as education, health and housing, the use of indicators has become widespread, being a reference for local managers and for the dialogue between the federal Government, states and municipalities. It must be noted, however, that

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[55] "The intervention of UNDP in social policies was focused on (i) the implementation of social policies aiming to strengthen critical sectors for human development; (ii) support to decentralization policies and empowerment at the local level, especially in the health and education sectors; (iii) advocacy of related MDGs and sustainable human development concepts through projects; (iv) institutional development and capacity-building on all levels of government; and (v) the build-up of new networks and partnerships with the private sector and civil society. Human rights protection, human security, gender mainstreaming, race issues, transparency, and local governance have been innovative issues that benefited from intense and high quality cooperation from the United Nations System." (CPD 2007-2011).

this area requires much improvement, as shall be discussed later.

Third, UNDP made a contribution with regard to the exposure of inequalities and prejudice. Despite the advances in social indicators (Chapter 2), the levels of inequality in Brazil remain high, with specific groups facing discrimination in the labour market and in other instances of social life. In addition to the projects developed in the area, the NHDRs contributed to this debate, even at the cost of generating controversies within the Brazilian Government, a point that shall be discussed in more detail later.

UNDP also supported certain projects that were strategic for the country in the area of poverty alleviation, such as the *Bolsa Família* Programme (PBF). In this area, UNDP involvement contributed to the managerial organization of the Ministry of Social Development and Fight against Hunger (MDS), towards the design of the PBF monitoring and evaluation system, and to the operational support aimed at organizing the social assistance policies in the State of São Paulo and the municipality of São Paulo.

In the area of education, the agency carried out relevant projects aimed at educational inclusion and special education on the federal level, and at organizing the educational policy information support system. Especially noteworthy are the support of state Education Secretariat initiatives, such as in Santa Catarina (decentralization), Paraná (digital inclusion), São Paulo (expansion of secondary education) and Ceará (school of the millennium). However, the number of projects supported by UNDP in the area of education dropped significantly after 2005, as discussed in Chapter 3.[56]

Lastly, in the area of health, there was a component in UNDP's actions aimed at organizing information systems and at building the capacity of professionals at decentralized centres in states and municipalities. Particular mention must be made of the support towards organizing epidemic surveillance, which was an important contribution for the improvement of the information system related to diseases that are contagious and of mandatory notification.

Efficacy

With regard to efficacy, the context is also positive, albeit more ambiguous. Most of the projects analysed produced relevant outputs – as pointed out in the interviews and according to information gathered from four available assessments.[57] However, there were projects in which the proposed products were not executed or in which the planned budget was not fully executed.

One encouraging aspect to be highlighted is that certain activities induced unanticipated positive outputs. One such case was the National Cities Information System (SNICS), from which a kit of services was developed that provides city governments with geoprocessing software at no cost, and training provided by local universities which were capacitated by the Ministry of Cities, aimed mainly at permanent city government staff members.[58] More than three thousand kits have been distributed. It must be noted that UNDP, in this case, was flexible enough to adapt the plan to the new type of demand.

Efficiency

As mentioned in the introduction of this chapter, the efficiency of UNDP's interventions was a more

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[56] The federal Government education portfolio migrated mainly to the Organization of Ibero-American States for Education, Science and Culture.

[57] See World Bank, 'Final Report of the VIGISUS II Project', Brasília: World Bank, 2010; Vaitsman, J. and Paes, R., 'Evaluation of MDS Policies and Programmes: Results: *Bolsa Família* Programme and Social Assistance,' Brasília, DF: MDS; SAGI, v. 2, 2007; Social Assistance and Development Secretariat of the State of São Paulo, 2008. Evaluation of the Impact of the project "*Avaliação e Aprimoramento da Política Social no Estado de São Paulo*". São Paulo: SEADS/IDB; Hoepfner D.L., 'Evaluation of the Project "Portal da Educação do Estado do Paraná": Consultancy in digital content and material evaluation', Curitiba: Education Secretariat of the State of Paraná, 2009.

[58] This is a project of the modernizing of the state area that, given its social relevance, was considered in this assessment. This project, however, was not computed in the statistics of the social and inclusion policy area.

problematic issue, and the area of social and inclusion policies is no exception. Nearly all those interviewed declared that the agency's project execution support was hampered by operational difficulties.

In a certain sense, the adoption of corporate rules by the UNDP Brazil country office, as unquestionable as it may be, jeopardized one of the main corporate advantages that the agency had in the past in the social area: the capacity to contract consultants and procure products and services in a rapid and efficient manner. In addition, several of projects in the sample were audited by the CGU, that began questioning procedures related the contracting of consultants and services, especially that type of contract known as Letter of Agreement.[59] The delays that took place in the execution of certain projects were also detected in the CGU audits. However, UNDP's expertise in international tenders was important for the contracting of a multinational company to design the new management model of the *Bolsa Família* Programme.

Sustainability

The outputs of the projects analysed are becoming sustainable, with certain exceptions. There was significant progress during the period covered by the assessment in most of the indicators of supported policies, as shown in Chapter 2. The assessments mentioned above (see note 59) also indicated progress in the specific progress indicators.

The evaluation may also affirm that, on the federal level, a gradual process of institutionalization of social policies is taking place. This is occurring as social policies become consolidated and the technical teams, although with significant variations, are gaining stability through public examinations. Of the policies analysed, the ones that attained greater levels of consolidation were cash transfers, urban development and epidemic surveillance. The indigenous health and regional development policies, however, presented a lower

level of institutionalization, and may still require intensive support in coming years.

4.1.2 PUBLIC SECURITY AND HUMAN RIGHTS

Public security in Brazil, as per constitutional mandate, has always been understood as the exclusive jurisdiction of the states. However, this does not mean that the federal Government is constitutionally forbidden to participate. The federal Government took its first steps in public security after the crime rate increased, as shown in Chapter 2, although in strict terms there is no truly federal policy for the area yet. Until recently, law-enforcement agencies operated without an integrated planning that would enable information sharing and associated operations. As also seen in Chapter 2, it was only in 2001 that security became a priority in the federal Government's agenda. That was also when that matter of reducing and preventing violence and crime was introduced in UNDP programmatic document as part of the human development agenda.

In fact, the 2007-2011 CPD highlights reducing vulnerability to violence and promoting human rights policies as key components of facing development challenges in Brazil. Specifically regarding public security, two actions were considered priorities: integrating violence reduction programmes and policies and achieving a modern and humanized legal system. As to human rights, the 2007-2011 CPD emphasized the need for actions to enhance the exercise of citizenship, stimulate civil society participation and prepare instruments to increase participation and dialogue by social players.

UNDP activities in the area of public security and human rights in the period of this ADR were developed in consonance with the national priorities and CPD proposals. These aspects will be detailed below.

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[59] The Letter of Agreement is an instrument used to contract non-profit organizations and other public agencies such as universities and research institutes. The CGU has disagreed with the accountability of these agencies, which nevertheless comply with UNDP regulations, requesting additional requirements in this area.

Relevance

In the beginning of the first decade of the 21st century UNDP and the Ministry of Justice developed technical cooperation projects aimed at strengthening the public security and justice institutions. The most meaningful support was given to the Citizen Security project developed by the National Public Security Secretariat (SENASP-MJ). UNDP contributed to this partnership by defining and guiding the institutional architecture of the Unified Public Security System (SUSP), a relevant measure aligned to the new national demands and strategies.

UNDP also partnered with the federal Government to structure and implement projects in the area of human rights. This partnership aimed to consolidate to governmental strategies set forth in the National Plan for Human Rights (PNDH). Some of these strategies were turned into programmes and actions that received budget allocations through the Annual Budget Laws and 2000-2003 PPA. As such, UNDP has been able to meet the country's demand for a consolidated conception for promoting human rights.

As to the scope of the projects, most UNDP partnerships were national. Nevertheless, several actions were local and targeted specific groups in socially vulnerable situations in different regions of the country. Because federal action in this area is quite recent, several programmes still face operational difficulties. UNDP's contribution in this area is mostly linked to hiring consultants. This aspect will be discussed in further detail later.

Efficacy

Several of the activities and projects evaluated were effective in meeting the target goals. Particularly noteworthy are the Citizen Security project, which aims to establish the Unified Public Security System (SUSP) and the Live Culture project, geared to building a system to

foster, disseminate and preserve the national culture that is open to various social segments and is underpinned by equity, respect and appreciation for diversity. According to the managers interviewed and to an external evaluation, most of the results of these two projects were achieved.[60]

The interviews raised important issues, however, like the nonexistence of adequate legal and management instruments within the Government and the fact that it is not prepared to effectively support these policies. As regards IPEA's assessment of the Live Culture programme, the results showed a need to increase the programme's institutionalization in terms resource management capacity and the regulatory and legal procedures that permeate its different actions, as well as regarding training for project managers to conduct the participatory processes that are essential to achieve the programme goals.

One significant aspect that came up in the interviews was that, unlike in other areas analysed in this ADR, UNDP contributed substantively to the programme. According to the managers interviewed, the agency's interventions were significant, since UNDP has specific technical networks and shared them with its partners.[61] UNDP made a difference in the formulation of projects to enable current national security policies, having indicated experts and provided the SENASP-MJ with relevant information on the Colombian citizen security model.

UNDP also proved highly flexible in adapting to the changes in the national context. As mentioned previously, UNDP played an important role in conceiving a new approach for the area, combining violence and crime reduction goals with the basic principles of respecting and promoting fundamental rights. The flexibility of UNDP was also identified in its participation in the course of the projects and in its ability to

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[60] Silva, F. B. e Araújo, H. E., (org.) Cultura Viva: Avaliação do programa arte educação e cidadania, Brasília: IPEA, 2010.

[61] The following agencies participated in the process: Regional Office of Panama, Bureau of Crisis Prevention and Recovery (BCPR), United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean (UNLIREC) and United Nations Department for Disarmament Affairs (UNDDA).

meet governmental demands like reviewing the Citizen Security project and changing the procurement strategy of the Live Culture project.

To analyse the efficacy of UNDP in this thematic area it is important to take into account the fact that recent national policies have yet to impact significantly on the situation analysed in Chapter 2. Being a new area in the federal agenda, many gaps remain to be filled, like the dissemination of good practices that respect the fundamental rights of citizens in the routine activities of law enforcement officers in the country, particularly concerning crimes against life.

Efficiency

In terms of efficiency, the UNDP evaluation pointed to a more ambiguous scenario. Some of the managers interviewed believe UNDP has been an important partner, for despite having developed some capacity in project management the Government still needs to solve its managerial structure problems. The agency facilitated procurement of a large array of services, especially consulting services, and until the modality was forbidden by the audit institutions, UNDP supported the production of teaching and dissemination materials. There are also negative perceptions, however. The Atlas was considered complicated and hard to use, for instance. The training offered was deemed insufficient, forcing project unit managers to learn to operate the system by themselves.

Another difficulty concerns communication between UNDP and its partner institution. Some of the respondents declared dialogue to have been flawed during the execution of the project. The evidence indicates communication difficulties between UNDP and the project management units. Despite the difficulties, because of its stable rules and transparent competitive bidding procedures respondents see UNDP as the ITC agency that offers the best guarantees to area managers.

Sustainability

A number of public security and human rights projects were developed in accordance with the organization and structure of federal bodies. The area is relatively new, however, and its results have not yet been consolidated. In this sense, sustainability remains to be achieved and will depend on continuing the initiatives for a longer period.

Also to be noted is that despite its increased capacity, the federal Government still presents bureaucratic frailty in the area of public security. Upon developing the Citizen Security project, for instance, SENASP had neither a specialized team nor adequate infrastructure to execute some of the project actions. The Government still depends on UNDP to execute some actions in security and human rights, particularly concerning operational aspects.

4.1.3   MODERNIZING OF THE STATE

Over the past decade UNDP had a strategic role in modernizing the state, although its participation decreased in the last years (see Chapter 3) due to the consolidation of policies like tax adjustment that no longer require national programmes, and to the structuring of technical corps within several key UNDP partners for this thematic area. The Brazilian state also became more modern in several areas, professionalizing part of the federal bureaucracy, adopting managerial information systems and producing refined social indicators for budget allocation decisions related to public policies.

In accordance with the 2002-2006 CCF and the 2007-2011 CPD, most of the projects supported by UNDP concerned capacity development followed by support to tax adjustment, especially in the states. The latter generated new modern and transparent management instruments. In this sense, core topics both of the national agenda and in the CCF and CPD were a fundamental part of the organization's activities.[62]

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[62]   "Capacity development and sustainable governance" is one of the four priority topics of CCF 2002-2006. In CPD 2007-2011 "endowing the public administration with modern and transparent management instruments" is part of the programme to "Promote and expand citizenship and strengthen democracy".

As shown in Chapter 2, the state modernization agenda goals were largely achieved in Brazil and many projects were supported by UNDP. Nowadays the federal Government is more effective and active in several public policy areas, for which it relies on a professionalized bureaucracy and modern and transparent management instruments. Nonetheless, as was also discussed in Chapter 2, this professionalization remains incomplete at the federal level and is yet to begin at the subnational level.

Relevance

As a partner of the Brazilian Government in priority topics of the state modernization agenda, particularly in capacity development and improving public management, UNDP's activities were considered relevant. Its participation in achieving capacity development can be gauged by its contribution to restructuring the technical corps of the federal Government through the base teams until the beginning of the last decade.[63] The ABC, for instance, recognizes this aspect.[64] UNDP participation can also be gauged by the volume and value of capacity development projects that were managed by UNDP and referred to in Chapter 3.[65]

There is strong evidence that UNDP helped to improve public management by fostering the adoption of modern and transparent management instruments. This is because the state management project portfolio during the first period of this ADR focused on managing IDB loans to modernize the fiscal structure in the Brazilian states. The programme that became known as the Fiscal Modernization Programme of the Brazilian States (PNAFE) involved 21 states and the federal district and mobilized more than $300 million. It is important to note that tax adjustment is important for Brazil to achieve its development objectives (see Chapter 2). UNDP

also supported projects to improve pre-existing administration systems and build information systems. As evidenced in the documents examined and interviews conducted, this support materialized in the form of technical teams hired for operational policy-related activities, professional capacity building, and implementation of new information systems that allow these initiatives to operate.

Regarding human development objectives, most of the state modernization projects analysed are not directly relevant to their achievement. Projects in this area overall contributed to improving the operational conditions of the Brazilian Government, which only affects the performance of other government areas indirectly, (e.g., effect on public policies) through improved human resources to achieve relevant development goals. As to UNDP's democratic governance mandate, several projects helped to ensure transparency in public management.

A comparison between the UNDP programme and the above-described national state modernization agenda shows that UNDP participated by managing resources for priority programmes of the executive branch at the federal and state levels, but also for entities like the Federal Police and the TCU. Furthermore, during the period analysed the UNDP state modernization portfolio included various capacity development projects. Finally, all the respondents agreed that the UNDP programme was relevant to achieve the national development objectives.

Efficacy

Regarding efficacy, the goals for UNDP activities were partially achieved. On the one hand, projects like the PNAFE were effective. An evaluation of the programme showed positive results regarding the provision of internet services by

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[63] Capacity development was not restricted to base teams. Although there is no follow-up for UNDP staff members, many respondents were part of the team at some point and are currently in the federal Government or other UN system agencies.

[64] See <www.abc.gov.br>.

[65] See also <www.UNDP.org.br/projetos/governanca/>.

the state revenue services.[66] Another evaluation conducted by consultants hired by the IDB concluded that the programme had highly positive effects.[67] On the other hand, the same cannot be said for decentralization. UNDP proposed to strengthen local technical capacity, but the state modernization project portfolio does not show governmental participation at the local level.

The evidence gathered shows that the public spending control and information systems foreseen were only partly implemented in part of the projects analysed. This was not due to UNDP's operations, however, but to changes in the preferences of public managers and to new technical-operational solutions. Furthermore, implementing a new administration system and/or managerial information system usually involves disruptive routines that are accompanied by an inevitable redistribution of tasks and bureaucratic power within the organizations involved.

As to the efficacy of UNDP's contribution, and as previously discussed in this chapter, the respondents were almost unanimous in reporting an absence of substantive contribution in the last years, but most of them emphasized the tremendous importance of services procurement (consultants and information systems) for project efficacy.

Also noteworthy is the fact that UNDP had the flexibility to adapt its work plans to a new type of demand, as in the review of the project proposed by the São Paulo State Finance Secretariat. Another example was how UNDP contributed by funding or advancing funds to begin implementing tax adjustment projects before the office was forced to cut back costs.

Efficiency

Besides the project execution problems discussed in the introduction of this chapter, several respondents also mentioned the difficulties in hiring that resulted from conflicts between the procedures of UNDP, the World Bank, and the Brazilian audit institutions (TCU and CGU). As in other thematic areas, the rules of the different entities are not harmonized.

Finally, as was the case in other areas, the deadlines established were mostly not even close to being met.

Sustainability

State modernization results are quite clearly sustainable. Tax adjustment was implemented and had extensive impacts on tax collection and macroeconomic stabilization. Consolidated bureaucracies are currently in place in the areas most supported by state modernization projects – Ministries of Finance and Planning and State Finance Secretariats – and the need for UNDP operational support has become less frequent. In comparison with other areas, the respondents were more critical regarding the need for future support by the organization. In this sense, the projects developed contributed to developing technical capacity.

The continuity of some of these projects is guaranteed. Six of the seven projects in the sample analysed remain active despite no longer being supported by UNDP, which shows the existence of governmental *ownership*. This means that most of the projects analysed gained sustainability, with one single exception: one of the information systems proposed was developed, but not implemented (Monitoring System for Federal Government Investment Projects). In another case, although the Governmental Information System (SIGOV) is being used, the technical group involved does not propose its expansion to other governmental agencies and does not recommend investing in long-term maintenance for the system adopted. According to the project managers interviewed, despite having been adapted (with UNDP funds) to become an open system following the Brazilian Government's directive, this adaptation did not occur at the desired speed. Respondents also noted that the SIGOV would have been unable

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66   See <www.fazenda.gov.br/ucp/pnafe/docs/E-fisco&Benchmark.pdf>.

67   See Brasil, PNAFE, '2004 Final Report', 2004.

to accompany the constant technological updates required in the information systems. Despite this technical opinion, subnational governments of states like Amazonas are currently adopting the system.

4.1.4 ENVIRONMENT

The UNDP contribution to the environmental area in Brazil has been going on since the beginning of its institutionalization, with important contributions for structuring of the sector, conception and implementation of policies and tools for environmental management, as well as the development of projects for the use and conservation of biodiversity, reduction of pollutants, renewable energy sources and energy efficiency. In addition, since 2000 the environment portfolio has had projects funded by the Global Environment Facility (GEF), with 12 completed projects out of 20 implemented ones.[68]

The 2002-2006 CPD programme in the environmental area involved two large groups, the first related to biodiversity and climate change and the other involving projects in the area of regulation, energy supply and sanitation services. In this period, UNDP supported projects for sustainable use of natural resources, considering the rights of indigenous peoples and traditional populations, the strengthening national capacities for implementing international commitments and the development of cleaner production technologies. The support to the technology area was directed to research and the use of technologies for generation of renewable energy and efficient systems for energy transmission, and the consolidation of independent regulating agencies in the sectors. There were also part of this agenda the pilot projects of hydrogen cells for public transportation, generation of solar energy and biomass.[69]

The 2007-2011 programme produced a reorientation regarding decentralization, proposing

institutional training at state and municipal levels. The monitoring and assessment of projects would be the priority. Another relevant issue was the concern over the insertion of the environmental variable in themes of development and social inclusion. It predicted a group of products aimed at the incorporation of environmental aspects and sustainability in the design, implementation, monitoring and evaluation of projects, programmes and public policies. The 2007-2001 programme also predicted a participation of UNDP aimed at promoting the development of environmental markets such as the carbon. In the medium and long term, the agency intended to become an important partner to support the country in the post-Kyoto Protocol period in developing capacity for new trading mechanisms, adaptation policies and in research.

In the 2002-2006 and 2007-2011 periods, the projects supported by UNDP in the environmental area developed activities related to issues of conservation and sustainable use of natural resources, climate change, conservation of biological diversity, international waters, desertification, ozone layer protection, cleaner production technologies, upgrading of sanitation and energy sectors, energy efficiency and energy generation from renewable sources. They are in a category that involves the environment and development, with actions aimed at mitigating environmental impacts of productive activities, considering the vulnerability of populations and seeking to make their livelihood sustainable.

Relevance

There were interventions in the areas of environment and development, which are relevant for answering government priorities and aligned with the goals of UNDP. For instance, the organization has contributed by supporting projects for the construction of Brazilian Agenda 21 and the Brazilian National Environmental Programme. More generally, UNDP has supported the Government in fulfilling the commitments made

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[68] Data gathered from <www.undp.org.br> and provided by UNDP from its intranet accessed on February 11, 2011.

[69] UNDP, 'Second Country Cooperation Framework (CCF) 2002-2006', 2001.

by the country in international treaties, such as the Montreal Protocol, Convention on Climate Change and the Convention on Biological Diversity, which resulted in the consolidation of policies related to these themes. Its participation in the strengthening of the environmental institutional framework enabled a better structuring of the MMA and the establishment of the logic and the guidelines of the environmental area in Brazil. More recently, there is the development of the National Policy for Management of Indigenous Lands (PNAGTI), concomitantly with the construction of the Project Catalysing the Contribution of Indigenous Lands for Conservation of Brazilian Forest Ecosystems, whose implementation began in 2011.

Regarding the role played by UNDP, there was an evolution over time towards the reduction of contributions of knowledge and the predominance of administrative actions. Nevertheless, this performance is different, depending on the structure level of the institution responsible for implementing the project. In newer and poorly structured departments, the participation of UNDP becomes important and provides more substantive contribution to projects, as was discussed in the introduction to this chapter, in addition to being a facilitator of the procurement and contracting processes, even considering the restrictions by the Brazilian control offices and some delay in action.

Nowadays the cooperation is geared more towards projects aimed at mitigating environmental impacts by promoting the sustainable use of resources, protection of biodiversity and ecological services, taking into account the vulnerability of populations. The focus is development with poverty alleviation and reduction of carbon consumption.

In short, the actions of the organization meet the national priorities and are compliant with UN values. The UNDP country programme for Brazil is also aligned with the priorities established by the Government for improving energy efficiency, reducing energy consumption and developing alternative energy sources. Most of the projects are nationwide. However, some of them are regionally developed with the states.

Efficacy

The projects analysed within the scope of the sample present products that demonstrate the efficiency of performed actions. Most of these projects have achieved their goals, contributing to the results of the country development by strengthening the National Environmental System (SISNAMA) and the National System of Conservation Units (SNUC), as well as to fulfill the commitments made by Brazil in international treaties on biodiversity, climate and reduction of pollutants. However, the results have not been sufficient to improve, among other indicators related to water pollution, soil contamination by pesticides and fertilizers, deforestation, illegal trade of Brazilian biodiversity and CO_2 emissions, as discussed in Chapter 2.

The construction of the Brazilian Agenda 21, initiated in the 1990s, took place through a participatory process that built the capacity of local actors, government and civil society and strengthened social leadership. UNDP participated in choosing the work method, which favoured the multisectoral approach and sought to focus the interdependence of environmental, economic, social and institutional dimensions, and supported the development of the Brazilian Agenda 21 document. Although some challenges are still present, the implementation of the Agenda 21 is consolidated and it is now one of the tasks of the MMA.[70]

The Brazilian National Environmental Programme – PNMA II – Phase 1 – strengthened the SISNAMA, providing greater capacity to state agencies for implementing environmental policy instruments and establishing inter-institutional cooperation. The environmental licensing made significant advances in 12 Brazilian states,

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[70]   Prodoc BRA/00/010 and Progress Report 2010- BRA/ 00/010.

provided by interventions in the areas of computerization, personnel capacity building, updating of legal and administrative procedures. Ten states have benefited from the expansion of its network monitoring water quality and organization of the database, although there is no evidence to assess whether these results were effective in improving the environmental quality, which requires specific post-project evaluation. The project also supported the development of specific legislation for management of solid waste and water resources and implemented environmental management models that articulate the environmental policy with sectoral policies. Strictly speaking, this project presented results beyond expectation. For example, there was increased support for policies of sanitation and solid waste, and there was the leveling at the national level regarding the use of information technology, through the promotion of exchange of experiences among states and the availability of support tools for environmental licensing.

However, it is important to mention that in some cases, the effectiveness is related to actions that are external to the project, such as the Project Catalysing the Contribution of Indigenous Lands for Conservation of Brazilian Forest Ecosystems. Many of the expected results depend on government actions for which there are no guarantees of achievement, for example, in relation to the creation of financing mechanisms for indigenous lands and regulatory frameworks for resource transfers, which are key issues for achieving results.

On the other hand, it is noted that several goals proposed by UNDP in relation to its final CPD were not achieved. Besides the little progress in the field of generation of new substantive contributions, discussed in the introduction to this chapter, the strengthening of work with the states was only partially achieved, the challenges in relation to municipalities are still present, as well as the implementation of systematic guidelines for project monitoring and evaluation. Although there are projects supported by UNDP in the areas of productive inclusion and sustainability,

highlighting the concern about the inclusion of the environmental variable in the themes of development and social inclusion, such efforts have an even more modest dimension.

Efficiency

In general, the interviews showed the importance of UNDP as a partner, as a facilitator of the procedures for procurement and contracting. For example, according to information by the Team of National Supply Company (CONAB), the financial execution by UNDP brings advantages in relation to Law 8666/93, although the procedures are time consuming because of poor administrative apparatus of UNDP. There is more flexibility in contracting rules and guarantee of UNDP resources in the budget in case of contingencies. However, there is a tendency to reduce this flexibility due to conflicts with Brazilian legislation and the activities of the government control offices.

Another common aspect to some of the projects in the sample is related to the difficulty of budget execution, to the detriment of the project schedule. This is the case of the Support to Public Policies for Sustainable Development project, whose budget was not fully executed. This issue was also verified in the case of the PNMA II Phase 1, which failed to apply all the national resources in 2010. In addition, there were delays caused by insufficient number of UNDP staff to meet the demands of all its clients. Even with these difficulties, the informants understand that international cooperation is important, because without it there would be even more difficulties for procurement of goods and services.

Sustainability

The results of the projects are sustainable and rely on legal frameworks and government policies, but some still rely on government actions related to institutional strengthening to ensure the continuity of the actions developed within the executing agencies and co-executors. The environmental projects require time to mature and generate results, whether by depending on the implementation of innovative tools focused

on participatory planning and management or due to the very nature of the environmental interventions.[71]

The sustainability of project results can be better assessed in those actions that are incorporated into long-term policies, such as Agenda 21, ecological and economic zoning, the National Environmental Fund and the strengthening of family agriculture. There was also sustainability in projects whose design fit the structure of the executing institution, or that are aimed at institutional strengthening, such as the project that supports sustainable development policies in the MMA and that restructured the CONAB.

On the other hand, some projects have their results linked to actions or resources that are not predicted in the project itself, such as the project that deals with indigenous areas and that is still under early implementation. Its sustainability is linked to the participation of indigenous peoples in project implementation and the creation of its instruments (use of funds), which is up to the state. The challenge lies in starting the project, which is complex, precisely because of its large participation.

Another aspect is related to capacity building, and Brazil has developed human resource, financial and technical capacities, largely with support of international cooperation, which would ensure the sustainability of project execution, had it not been so difficult for the Government to maintain its technical teams. However, given the lack of teams, this is not fully guaranteed yet. For example, the MMA, despite having benefited from actions to strengthen institutional capacities of the teams that developed in the management of projects, currently does not have complete teams in its ranks, as several had temporary contracts.[72]

4.1.5 SOUTH-SOUTH COOPERATION

Technical Cooperation between Developing Countries has become an important foreign policy instrument for the Brazilian Government, which has been used by the country to secure a positive and growing presence in countries and regions considered of top interest. However, the country still does not consider South-South cooperation as a two-way process, concentrating its content in the area of cooperation provided.

The 2007-2011 CPD defined South-South cooperation as a priority, requiring the country office to work more intensively with the UNDP network of offices in various countries and to adapt procedures to various cultures. The document expected that UNDP define, together with the MRE, the directives for this type of cooperation.

The role that South-South cooperation has assumed in foreign policy as of 2004 increased the demand and the involvement of the ABC. In 2008, for example, the ABC approved and coordinated the execution of 236 projects and individual activities in South-South cooperation, benefiting 58 developing countries. Brazilian South-South technical cooperation is concentrated in the areas of agriculture (including agricultural production and food security), professional training, education, justice, sports, health, the environment, information technology, work accident prevention, urban development, biofuels, air transportation and tourism. Other areas such as culture, foreign trade and human rights are addressed in more recent projects and activities.[73]

Relevance

UNDP Brazil's interventions in the area of South-South cooperation may considered highly pertinent considering the priority role this activity

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[71] For instance, verification of improvements in environmental quality in a certain territory requires post-project evaluation, taking into consideration the adequate indicators, which was not the case of the analysed projects. Likewise, the implementation of some policy instruments, for example, territorial order instruments, such as the Economic Ecological Zoning (ZEE) can only be evaluated with monitoring over time.

[72] Testimony of interviewees and progress report 2010 of BRA/00/010 show concern with the termination of temporary contracts, since it could jeopardize the results.

[73] Website of the ABC <www.abc.gov.br>.

has assumed in Brazilian foreign policy (Chapter 2) and the role attributed to it by the UNDP Executive Board. In the period evaluated, UNDP supported the ABC's horizontal cooperation activities, although most were in the operational area. Three projects are currently being executed. Two are umbrella projects implemented on a national level (NEX), aimed at identifying, developing and implementing projects and activities of horizontal cooperation in general, and of CTPD with Latin America, Africa, the Community of Portuguese-Speaking Countries (CPLP). These projects actually expand the support already provided to these countries. In addition to the general collaboration with CTPD/ABC, UNDP is also responsible for carrying out administrative tasks; organizing human resource capacity-building actions, preparing the financial and budget reviews and review of the work plan; managing the human resources of the project; and publishing monthly financial execution reports. The third project, of the direct execution (DEX) modality, aims to provide the operational framework to expand South-South cooperation activities.

Efficacy

As to the efficacy of UNDP's interventions, the assessment is a bit more complex. The interviewees unanimously recognized the importance of the agency's support towards the institutional development of the ABC. There was a consensus that the ABC would not be able to carry out its cooperation agenda without UNDP's support. Yet, there was also a consensus among the interviewees that the contribution of UNDP was limited to operational support, through the procurement of services and equipment, and the network of UNDP offices in beneficiary countries.[74]

For UNDP the issue is the following: how can the current operational demand be satisfactorily met and, at the same time, greater capacity be created to meet future demands for knowledge, experience and technical capacity, i.e., more substantive support? From the interviews conducted, all actors were apparently aware of the issue, although the possible solutions remain unclear.

In fact, project documentation did not call for much more than operational support. In this case, UNDP has been partially carrying out the role of supporting the assessment of the ABC's actions, holding tripartite meetings on an annual basis, aiming to discuss project reports (activities that correspond more to monitoring than to assessment). According to interviewees, these have been held regularly, and the meetings have proven to be effective for project implementation. But the external evaluation called for in the documents was not conducted. And the ABC does not have mechanisms to evaluate its projects.

The records kept of projects and cooperation experiences are more a disclosure of actions carried out or under negotiation than a systematic presentation of results.[75] The increase in the number of projects negotiated or being negotiated indicates that cooperation in fact has been intensified, but the results of such expansion cannot be precisely evaluated. Not even the results of older projects that have been considered successful, such as projects in agriculture and professional training, can be more accurately assessed. All the interviewees mentioned training experiences carried out by the National Industrial Training Service (Senai) and the role of the Brazilian Agricultural and Livestock Research Company (EMBRAPA) in agriculture projects, and health projects, mainly on HIV.

From an efficacy perspective, staff members of both UNDP and the ABC mentioned the importance of UNDP's collaboration, regarding both the internal and external networks, in addition to its cooperation experience in Brazil.

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[74] One of the interviewees considered the contracting of consultants a technical contribution, but does not have this view regarding the ABC.

[75] One example is the document Technical Cooperation between Brazil and the Countries of North and Central America and the Caribbean, Technical Cooperation between Brazil and the Countries of Africa, and Technical Cooperation between Brazil and the Countries of South America, published in 3 volumes and 4 languages. There is a complete list of projects at the agency's website.

Notwithstanding the relevance of its operational role, the support provided does not meet what is required in the existing project documentation, and also falls short of the goals established in the country programme and the UN decisions aimed at promoting South-South cooperation.[76]

Efficiency

The dependence of the ABC on UNDP's operational support is undisputed and recognized by all the actors interviewed. Without UNDP, there would be no CTPD. Nor would there be contracting and equipment procurement, i.e., no cooperation. However, the changes in corporate rules introduced in 2008, discussed above, had a substantial impact on South-South cooperation. Depending on the amount, a single purchase can take up to eight months, according to interviewees from both UNDP and the ABC. Since the volume of cooperation also increased, the situation has become more complex. Thus, UNDP is losing one of its main comparative advantages: its capacity to contract and procure products and services in an agile manner.

As discussed above, this situation is due to the lack of specific legislation that allows the development of an activity that the Government itself considers a priority, and the absence of public careers in the area of international cooperation. Only then would UNDP's operational support no longer be necessary. The solution for the ABC thus depends on political factors that are external to the agency. On the other hand, to be sustainable, UNDP cannot lose its technical capacity when its operational support is no longer needed. This leads to the issue of sustainability.

Sustainability

An assessment from a sustainability perspective proved difficult, in light of the situation outlined above. As already seen, UNDP's contribution to the institutional consolidation of the ABC was considerable. UNDP also contributed to administrative personnel capacity building, mainly through the project management unit experience, created at the beginning of the 1990s, and extinguished in 2001, with cooperation projects being executed within the agency itself.[77] It is in this regard that the sustainability issue is considered, given that an exit strategy has yet to be developed.

In the new government, it is still unclear whether CTPD will have the same importance it had during the Lula administration. If the priority is maintained, a solution to the ABC's legal and administrative problems becomes feasible. Even if this process is slow, it is expected that this problem be addressed in the mid-term. The goal of finding better operational conditions permeates the discourse and appears to be strengthening the ABC.[78] And the position of the Brazilian Government to "focus international cooperation on technical capacity-building", had already been announced in 2005.[79]

4.1.6 CROSS-CUTTING ISSUES

Of the cross-cutting issues considered and outlined in Chapter 1, the activities of organizing the areas of poverty, inequality, security and human rights have helped the country meet the MDGs. UNDP's advocacy and the initiatives it supported contributed to ensure more equal access to public services for the population, allowing indicators and the new information systems to highlight in more specific terms the social and regional heterogeneity of public service offerings.

With regard to the activities analysed, there were projects developed in the area of technical cooperation with UNDP that carried out actions addressing ethnic and gender issues. There were advances towards better race and gender equality,

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[76] According to the Results Oriented Annual Reports, UNDP's role is modest in South-South initiatives, with mention made only of participation in international conferences.

[77] Mentioned as a success in the statement of one interviewee, the UAP worked as an "embryo of an ABC that needs to assume its functions".

[78] For certain interviewees, the ABC is aiming to secure its operational independence.

[79] ABC/MRE – Annex Of/ABC/nr. 333, of March 22, 2006. 2nd UNDAF discussion meeting, 2005.

either through the development of specific projects in this area, or that addressed the issue through the execution of activities of projects in other areas (such as health, education, public security, environment and human rights). From this perspective, it must be pointed out that part of the beneficiaries was comprised of highly vulnerable groups, such as indigenous communities residing in remote areas of the country, or other social groups subject to poverty, environmental degradation and violence that significantly affect Brazilian urban areas.

Lastly, an assessment of UNDP's website, in addition to the unanimous opinion of interviewees, shows that the project management procedures and rules adopted by UNDP are institutionalized and transparent. This aspect generates confidence in the Government and stimulates partnerships. Also observed was the importance of UNDP's procurement regulations in protecting the Government against market pressure in a sensitive area such as information system procurement.

4.1.7 SUMMARY

As shown throughout this chapter, UNDP has been involved over the last decade in a wide range of activities and projects, and has substantively contributed to the various thematic areas analysed herein. The main aspects of UNDP's contribution to development results – which surpass the specific results of each project – may be summarized as follows:

- Contribution to highlight the inequities and prejudices existing in Brazilian society.

- Development of monitoring and information systems on a municipal level, above all in the area of social policies.

- Reinforcement of a new evidence-based public management model.

- Contribution to the national fiscal adjustment strategy.

- Contribution to the increase in the federal Government's technical capacity.

- Contribution to the development of capacities.

- Support of the structuring of emerging areas in the national agenda, such as the environment, security, and human rights.

- Support of the regulation of environmental policy in compliance with the commitments assumed in international conventions.

- Basic assistance to the structuring and operation of the South-South cooperation.

It must pointed out that in those segments in which public bureaucracy has not been fully structured, UNDP's support allowed new policies to produce outputs sooner that would be expected if implementation depended on normal Brazilian procedures. It has also been observed that several of these outputs were influenced by UNDP's advocacy, and not to outcomes in specific projects. However, as public policies become more institutionalized, for example, through the recruitment of permanent staff and the contracting of technical teams, new challenges to the agency's positioning are posed. These shall be discussed in detail below.

4.2 ASSESSMENT OF UNDP'S STRATEGIC POSITIONING

The aim of this section is to provide an assessment of UNDP's strategic positioning between 2002 and 2010, considering the organization's relevance and response capacity, the use of its comparative advantages and its international network of agencies and partners, and the promotion of human development values. To perform this assessment, certain aspects of UNDP's action in Brazil that were addressed in previous chapters shall be discussed again.

The significant growth of UNDP Brazil in the 1990s, in terms of budget, number of staff and project portfolio,[80] was based on a positioning that had two main pillars. One was the role of

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[80] See UNDP, 'Summary of UNDP's Activities in Brazil: 1960-2002' (s.d.).

advocacy, based on the preparation and publishing of NHDRs and, subsequently, the promotion of the MDGs. During this period, the HDI project was recognized by the national and sub-national governments, the media and civil society through initiatives such as, first, the HDI in the states, and later the Municipal HDI, as well as its use in social policies.

The other regarded the agency's positioning as partner of the Government, assuming the role of supporter in project management, above all in the social areas, as well as modernizing of the state and the environment. During this period, the Government faced difficulties in carrying out these tasks due to the lack of human resources, the reorganizing of public administration after the enactment of the 1988 Constitution, and the orientation to reduce the size of the state, through a reform and privatization agenda.

While the other UN agencies had specific missions regarding education, culture, environment, etc., UNDP centred its positioning on promoting human development and offering project management expertise. This positioning, focused on advocacy and management, made UNDP the most widely visible international agency in the country, responsible for managing a significant budget and a staff of professionals (including those contracted under the country team modality). This scenario was present during the initial period covered by this assessment, i.e., between 2002 and 2005.

However, there were problematic aspects with regard to this positioning that became more evident in the period after 2005. The funding model based on project-management commissions, because of UNDP's headquarters' decision concerning the funding of offices in middle-income countries, demanded a large number of projects to generate revenue, shifting the focus from more strategic interventions aimed at promoting human development and at providing project managers with its technical expertise. When the demand for projects dropped because of the changes in the national context,

outlined in Chapters 2 and 3, the agency's operational, advocacy and expertise capacities came under pressure.

The changes in the national context discussed in Chapter 2 posed new challenges in three main aspects. First, the Government adopted the policy of reorganizing its structure and professionalizing its bureaucracy. New agencies were created aimed at social policies UNDP was involved with. Some of these agencies administered, and still administer, sizable budgets. Among them are the Ministry of Social Development and the Ministry of Cities, which have begun managing large-scale social projects, such as the *Bolsa Família* Programme and the *Minha Casa Minha Vida* Programme, respectively. The significant shift in public policy orientation in this area was, over time, becoming less relevant in absolute terms and, above all, regarding UNDP's contribution to government project management. These changes also had an impact on UNDP's revenue, as seen in Chapter 3. The federal Government's decision to reduce loans to multilateral agencies, many of which were administered by UNDP, also contributed to the reduction in the agency's portfolio.

The reduction in the project portfolio is considered desirable according to the statements made by certain actors in strategic positions. In fact, if the reduction in the portfolio is due to the increase in government capacity, which appears to be the case in the areas of modernizing of the state and social policies, it may be considered an indicator of success of UNDP's interventions in Brazil. This reduction is also interpreted as positive by UNDP managers – who were seeking to streamline the agency to concentrate on substantive issues and on projects of more social impact. However, the reduction in the portfolio – with no changes in the agency's funding model – place additional pressure on UNDP's management, which had limited funds to execute relevant

institutional missions, such as advocacy and more substantive contributions to projects.[81]

Second, the Brazilian Government began assuming a more leading role in the international arena. Fueled by economic stability, higher rates of growth, the advent of the BRICs[82] and of the G20[83], the country assumed a more assertive stance. This positioning generated greater participation in the Latin American and African contexts, and a new relationship with developed countries. UNDP supported this new role through its participation in South-South cooperation. However, the new context poses new challenges to UNDP's previous form of action, based on national project management. In this new scenario, the idea of receiving technical cooperation, which prevailed in the 1990s, started being regarded with more reservation in various areas of government.

Third, the government oversight agencies, namely TCU and CGU, were strengthened and professionalized to better carry out their institutional functions. As discussed above, several restrictions to UNDP's previous form of action were imposed by these agencies, after the issuance of the two TCU rulings mentioned in Chapter 3.

At the same time, a series of changes were made in the corporate rules of UNDP to which the country office had to adapt. This made the bidding and procurement processes more sluggish, as discussed in section 4.1 of this chapter, and in Chapter 3. The role of UNDP in the procurement area also became less important with the creation and subsequent perfecting of the federal electronic bidding system. In spite of the sluggishness, UNDP's team image remains positive in the eyes of most of the public managers interviewed. It is also considered the most secure ITC agency due to its stable and transparent tendering regulations. Lastly, most of UN staff

members interviewed mentioned that one of UNDP's comparative advantage is that its operational capacity is placed at the service of the UN system.

In summary, all these new restrictions, both internal and external, reduced UNDP's comparative advantages in the project management area. UNDP was an important player in Brazilian public policies up until the end of the 1990s, contributing to establish permanent government staff and to streamline the procurement of goods and services. By the end of the first decade of the 21st century, however, UNDP has become a smaller agency in financial terms, and has not been able to meet the expectations of greater contributions in the field of knowledge as manifested in the 2007-2011 CPD, and demanded by several interviewees. On the contrary, given the existing funding model, the smaller project portfolio affected the agency's response capacity. In other words, the public visibility of UNDP's actions in the 1990s in light of the impact of the HDI and it advocacy actions hid the fact that its expansion at that time, in terms of personnel and projects, was due to the operational support provided to government projects and programmes. This subsequently also substantially affected its technical activities.

Paradoxically, the positioning during the previous period restricted the agency's office maintenance alternatives. Because of its financial necessities, the agency was forced to assume, with fewer staff, operational activities that the Government still needed, and interrupt the technical support the government was dismissing in certain areas. The reduction in the budget funded by projects was accompanied by an adjustment in the size of its technical team, overloading its staff and response capacity, including in the area of advocacy.[84]

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[81] To be noted is that the expectation of a more substantive contribution by UNDP was already present in CPD 2007-2011 (see Chapter 3).

[82] Brazil, Russia, India and China.

[83] Group of the world's 19 largest economies and the European Union.

[84] In the 2009 Staff Survey, for example, 41 percent of UNDP Brazil's staff considered their workloads acceptable. This number is lower than the average of all UNDP units (55 percent) and all offices (56 percent).

In spite of the sharp reduction in size and funds, UNDP still has an important role to play in advancing public policies in Brazil. Currently, UNDP administers more than 100 projects, some of which are extremely relevant and highly aligned with values and goals of the agency and of the Brazilian Government, as discussed above.

UNDP is now aligned with various national priorities. With regard to its form of action, first, the joint programming of activities with other UN agencies may be highlighted, including the active participation of Brazilian partners. The documents of the last programming cycle show the compatibility of the programming with the country's new scenarios and demands, recognized the importance of its contribution, but also the limitations of ITC in a country such as Brazil (see Chapter 3).[85] The second realignment was the support of emerging issues on the Brazilian agenda, such as public security and South-South cooperation. UNDP also continues to prospect new areas of activity, such as civil defence and consumer rights. The third was the launching of a pilot project aimed at developing the capacity of smaller municipalities, seeking private-sector funding and adopting a capacity development model that is more accessible to smaller municipalities than the traditional model. The fourth was the preparation of a new NHDR, resuming its advocacy role.

Concerning the funding model, new alternatives are being sought. The examples found were (a) expansion of the type of contracting called complementary adjustment, which allows UNDP to receive funds to develop its own projects through the direct execution (DEX) modality[86];

(b) dialogue with the Ministry of Education (MEC) to resume certain education projects through donation funds allocated by the MEC in the federal budget 2011, to be managed by UNDP in the DEX modality; and (c) expansion of the products based on knowledge and technology developed by UNDP, such as the SIGOV.

The above initiatives highlight the fact that the agency is seeking an alternative to the current operational model and attempting to diversify its funding options.[87] However, these new initiatives are, at present, limited and cannot be interpreted as evidence of a substantial change in the agency's operational and funding model in Brazil. In fact, if the current situation is maintained, the smaller project portfolio – in case an alternative funding model is not found – reduces the agency's possibilities of producing substantive contributions and powerful advocacy, including as a result of financial restrictions. This shall be discussed later.

4.2.2 USE OF THE INTERNATIONAL AGENCY AND PARTNER NETWORK

If Brazil's new international profile has partially compromised the type of international cooperation it has engaged in until now, it has also opened new windows of opportunity for UNDP action with regard to its international agency network. In the period covered by this ADR, UNDP helped the Brazilian Government provide technical assistance to other countries through this network. South-South cooperation was the area that received the most funds, as discussed in section 4.1, and UNDP's support remains concentrated on operational aspects.

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[85]   In this area, the role played by the UNDP Representative, who also represents all ITC, was considered by many interviewees of the UN system, and by the Resident Representative (RR), as difficult to reconcile, also because of the number of agencies present in Brazil and by the amplitude of UNDP's mandate. If, on the one hand, the ample mandate makes the RR the appropriate interlocutor to represent the various agencies, on the other, it makes the representation of the agency's interests more complex.

[86]   There is a Complementary Adjustment signed in 2007 with the MPOG that funded, among other things, part of the preparation of the new NHDR, the MDG Portal, the follow-up of the MDG7 goals, UNDP initiatives in the area of developing capacities and adaptation of the SIGOV. However, there is controversy whether this type of adjustment is DEX. The legal framework for the Complementary Adjustment is the 1964 Agreement between Brazil and the UN, mentioned in Chapter 3.

[87]   A bill is currently being prepared by the federal Government to change current Brazilian legislation that prohibits donations to ITC agencies.

In certain specific areas, the agency was able to activate its international networks, making substantive contributions to Brazilian public agencies. A case in point is the SIGOV system, mentioned in section 4.1, and the use of the UNDP network in the area of public security. Nonetheless, the use of said networks remains limited, considering the existing possibilities.

Such difficulties are not only the responsibility of UNDP Brazil because, in certain cases, Brazilian public administration assumes a relatively insular role in the country, due to its size and for being the only Portuguese-speaking country in the region. The analyses and knowledge of similar experiences in other countries in the area of development is not common. There is also little general interest in receiving cooperation of other countries of the South, as pointed out in section 4.1. This means the country benefited less than it could have from UNDP's international network regarding the exchange of relevant experiences in the field of human development.

4.2.3 PROMOTION OF HUMAN DEVELOPMENT VALUES

UNDP advocated human development values mainly through institutional initiatives like the NHDR and MDGs. Although projects managed by UNDP already presented elements of such initiatives, these consisted mostly of voluntary activities developed by the organization that had a great impact on its public visibility and positioning in Brazil.[88]

The country produced its first NHDR in 1996. The subsequent reports adopted the Atlas format that disaggregates the HDI by state, municipality and in some states by metropolitan area and neighbourhood. The first NHDR had a great impact and generated incentives for governments, legislators, policy formulators, journalists, academics NGOs, business community and advocacy groups to discuss and adopt human development principles. In fact, when Brazil began to adopt policies to combat poverty and provide universal access to basic education and health, the HDI was used as an instrument to select the territories in which to implement these policies. A list of reports published and topics addressed is detailed in Table 10.

Brazil was an example of a country in which human development principles managed to obtain high visibility and extensive media coverage, and influenced public policy decisions for close to a decade.[89] UNDP is still able to

Table 10. Human Development Reports and Atlas		
Year	Title	Main topics
1996	Human Development Report for Brazil, 1996	HDI (country and states)
2000	Atlas of Human Development in Brazil, 1991-2000 (soft copy)	Socio-economic and regional inequalities HDI disaggregated by states and municipalities
2005	National Human Development Report: Racism, Poverty and Violence (book and soft copy)	Racial inequalities in the areas of income, education, health, employment, housing and violence
2010	National Human Development Report, 2009-2010: Brazil: Point to Point	Notebook that presents the outcome of a broad open consultation process to Brazilian society to select the topic for the Brazilian Human Development Report – 2009/2010

Source: <http://hdr.undp.org/xmlsearch/reportSearch?y=*&c=n%3ABrazil&t=*&lang=en&k=&orderby=year>

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[88] UNDP Brazil had a special advocacy unit that was closed some time before 2010.

[89] For an analysis of the NHDR of Brazil see Souza, C., 'Evaluation of the National Human Development Report System: Case Study Brazil', UNDP Evaluation Office, 2006; for other countries see UNDP, Evaluation Office, 'Evaluation of the National Human Development Report System', New York, 2006.

disseminate its values to large masses, however, as it did during Carnival 2001 in Salvador.[90] Five years after the NHDR on race, a report on values is expected to be published in 2011. According to the former coordinator of the next NHDR, the methodology used to define the topic was a first in the world. The private sector and the media were mobilized to encourage Brazilians to answer the following question: "What needs to improve in Brazil so that your life improves for real?"[91]

Since the 2005 NHDR, however, there have been controversies between the federal Government and the UNDP team on the topics selected, the methodology used and the database. A preliminary version of the 2011 NHDR also proved to be controversial. Tensions arise whenever Brazil's HDI is published in global or regional reports, particularly when there are changes in the methodology or when the database is old and fails to capture the recent changes in Brazil. The Human Development Report for Latin America and the Caribbean for 2010 once again resulted in disagreements between the governmental and UNDP teams.

The Brazilian Municipal Human Development Index, based on the census, is part of the reports and can be accessed at the UNDP website. Greatly important in the 1990s, the HDI-M became less relevant in governmental allocation decisions because social policies in Brazil became more sophisticated in terms of information systems, which are also updated faster than those of the census. Furthermore, because until the initial years of the 21st century changes in social indicators came slowly, if ever, the HDI still reflected the country's reality. Even so, the HDI-M continues to be distributed to several institutions, like the National Confederation of Municipalities,[92] which disseminates it as "a reference for municipal management, with essential information and indicators for public administration and for the development of Brazilian society".

In the context of the public sector, social policy decisions came to be based on more detailed indicators. Having a HDI disaggregated by cities was important to call attention to the high levels of social inequality and regional heterogeneity, which was particularly significant for UNDP advocacy. Today, however, the option of disaggregating HDI data, one of the great advances of the 1990s, competes with more encompassing and up-to-date indicator families and faster changes in the indicators. The possibility of creating a short term HDI-M that is currently being debated within UNDP should be discussed in light of the existence of this new generation of indicators. Nevertheless, two people interviewed noted that a short term HDI-M might be prepared to support decisions on distribution of part of the pre-salt oil royalties.

If the HDI-M has been less appropriate for social policies, the same cannot be said of the Brazilian HDI published in the global reports. Despite being based on less up-to-date data than the ones used by the Government, the index remains important for Brazilians to get to know and debate their position in the global human development ranking vis-à-vis other countries. It is important to note that UNDP has always prioritized liaisons with the media to publicize both the NHDR and the HDR.[93] Media strategies are created to explain the HDI to journalists, including the methodology used and Brazil's position in the global ranking.

It is worth noting, however, that there is evidence that the HDI has become less important in the context of the country's social debate. To examine this hypothesis we used the trend analysis tool Google-Trends, which assesses the evolution

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90   See <content.undp.org/go/newsroom/2011/march/brazil-carnival-highlights-anti-poverty-goals.en>.

91   Detailed information of the research data can be accessed in two websites <www.brasilpontoaponto.org.br> and <www.mostreseuvalor.org.br>. The first site has a link to press and TV reports that call on Brazilians to participate.

92   See <www.cnm.org.br/dadogeral/brmain.asp>.

93   The company hired by UNDP to measure mass media coverage (national and regional) of the 2005 NHDR estimated that almost 7 million people learned of its existence (Souza, 2006).

in the volume of references made to a certain expression in the internet through time. This information can be seen in Figure 3. One can see that references to the expression HDI have dropped substantially through time, reaching peaks in 2006 and 2008 and becoming increasingly less intense in the last two years.

This loss of relevance occurred partly because the information systems that support public management became increasingly sophisticated as information technology advanced in the public administration. Building upon the example set by the HDI-M, data-producing entities like the IT Department of the Unified Health System (Datasus) in the area of health and the Anísio Teixeira National Institute for Educational Research and Studies (INEP) in education became better able to meet information needs at the local level through improved data gathering and better secondary data, and by building specific indicators for public policies in these areas. Similar initiatives were also developed in the Ministries of the Cities and Social Development, supported by UNDP.[94] The Brazilian Institute for Geography and Statistics also started producing more detailed information

through new surveys it developed and by gathering and organizing administrative information.

As to the proposal to disseminate the MDGs, it stumbled upon the difficulties related to the rapid progress made by the country on the social indicators considered within the initiative. In other words, the MDGs were not ambitious enough for a country that was investing heavily in social policies (Chapter 2). As an alternative, UNDP disaggregated the objectives by states and municipalities. The idea makes sense, for although it is true that Brazil practically achieved and surpassed the targets in national terms, it is also true that the country is heterogeneous in regional terms. But although that solution makes logical sense, in a way it diluted the impact the initiative might have had among a wider audience.

There are four main initiatives developed around the MDGs, all of them connected to each other: the MDG portal, a website geared to promoting topics related to the goals; the MDG award, which encourages local actions and projects that contribute to achieving the goals; the MDG primer, a document to inform and disseminate information on the goals at a national scale; and support to the "nós podemos" [Yes we can!] units,

Figure 3. References to HDI in Brazil

Search Volume Index

2004   2005   2006   2007   2008   2009   2010

News reference volume
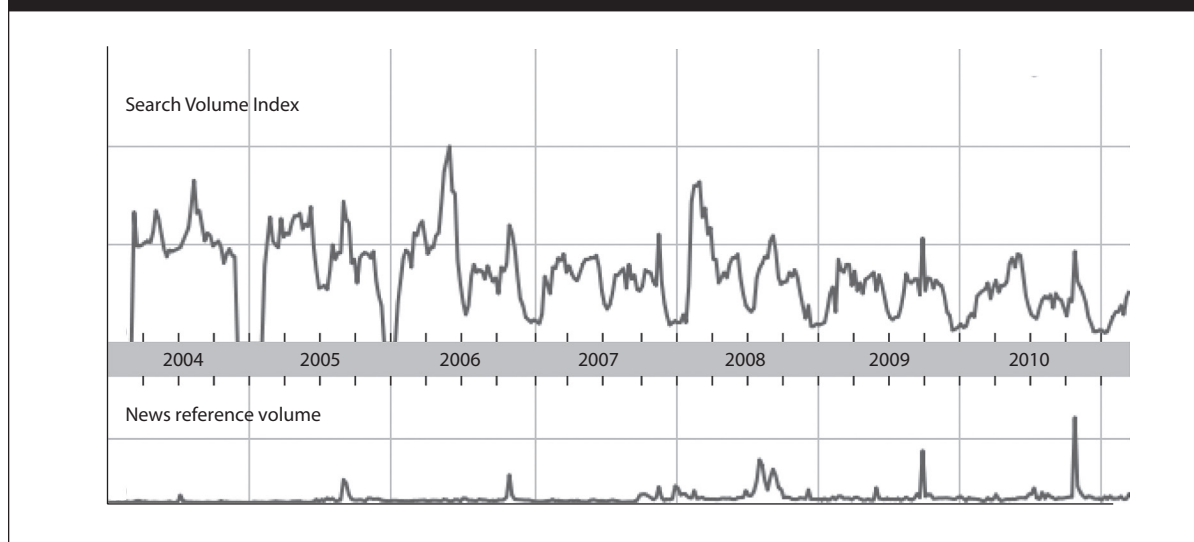
Source: Google Trends. Data extracted on 3 April 2011.

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[94]   See section 4.1 of this chapter.

local volunteer units that campaign to advance the MDGs.

The MDG portal is a website that enables municipal monitoring of the millennium goals.[95] The portal provides a system of municipal indicators to monitor the goals, news on the millennium goals, dissemination of good practices related to the goals and a multimedia library with associated information materials. The portal also offers access to information on other initiatives like the millennium award and the "Yes we can!" network.

The MDG Award is technically coordinated by IPEA and the National School of Public Administration (ENAP).[96] The award is currently in its third edition. Nine hundred and twenty projects competed for the first award. In the second edition held in 2007 the number reached 1,062. In 2010 the third edition focused on localizing the MDGs at the municipal level and received 1,477 projects, 785 from of civil society organizations and 692 from municipal city halls.

The MDG primers are documents that disseminate information on the millennium goals to specific groups. The evaluation team identified three examples: The Santa Catarina MDG Primer, developed by the Regional Development Observatory of the Blumenau University; the Belo Horizonte MDG Primer, developed by the Millennium Observatory of Belo Horizonte, an organization that incorporates public and private institutions of Minas Gerais; and the MDG Primer for Women, prepared by the Solidary Communication Institute as part of the dissemination of the Second National Plan of Policies for Women. Also part of the package is the document 'MDG: Municipal Management Strategies' developed by Orbis Institute, a member of the organizational system formed by the Industry Federation of Paraná.

Finally, the "Yes, we can!" units are organized by the National Movement for Citizenship and Solidarity, a nonparty volunteer organization that aims to achieve the MDGs in Brazil.[97] Almost all the Brazilian states and several municipalities have this type of unit. Created in 2004 with the encouragement of UNDP, the movement is a civil society initiative formed by companies, local governments and other social organizations to engage society in enforcing the MDGs.

The information above indicates that initiatives to localize the MDGs at the municipal level in Brazil have branched out extensively to involve different forums and relevant public and private stakeholders. From what the evaluation team could gauge, the strategy of organizing and liaising local governments and civil society players can be considered successful, especially in the southern and southeastern states. Even so, it must be said that the UNDP managers themselves failed to give these results the merit they deserve during the interviews.

In short, the reduced advocacy role played by UNDP in promoting the MDGs is partly due to the country's success in achieving these goals. Given the speed at which social policies are advancing in Brazil the millennium goals have mostly become insufficiently ambitious for the country. UNDP repositioned this objective to promote targets locally and was successful in the initiative. But the movement reduced the project's national visibility.

UNDP also produced other activities in the framework of the non-projects category, such as support to the creation of the Sport for Social Change Network (REMS) that was launched in 2007 to promote human development through stimulus to sports.[98] REMS is the result of a partnership between UNDP and Nike. The network coordinates over 30 organizations in the country that work with sports associated to

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95   See <www.portalodm.com.br>.

96   See <www.odmbrasil.org.br>.

97   See <www.nospodemos.org.br>.

98   See <www.rems.org.br>.

education, diversity, gender and other human development topics.

UNDP also helped to develop an information portal by and for the members of the Public Ministry, which aims to gather information on judicial and extrajudicial measures by the ministry geared to promoting collective rights.[99] In addition to disseminating human development indicators, the portal provides information on recommendations made by the members of the Public Ministry, among others, and publicizes the Conduct Adjustment Terms (TAC) issued in the context of extrajudicial measures.

Finally, UNDP and CGU have started offering an online course to disseminate a project management model entitled 'results-based management'. The initiative is geared to ITC project managers. Among other elements, the course includes human development, international cooperation, results-based management, and project control concepts, with emphasis on audits and legislation. Besides CGU, the course is also supported by the Ministry of Planning and by the School of Finance Administration (ESAF). Its tutors come from CGU and UNDP.

Partly because of the overall advocacy effort, the UNDP agenda items related to promoting human rights and gender and racial equality were explicitly incorporated to the federal Government's agenda. Human rights, women's rights and promotion of racial equality were given ministerial status by the Brazilian Government (Special Secretariat for Human Rights, Special Secretariat for Women's Policies and Special Secretariat for Racial Equality). New policies were introduced for these topics, such as the quota policy for black students in federal universities and policies for the remaining residents of quilombola communities. Paradoxically, all of these elements contributed to 'emptying' the UNDP agenda, since the national government incorporated these topics more actively to its agenda.

4.2.4 SUMMARY

Despite its importance and respectability, starting in 2005 UNDP's response capacity in the area of operational support to project management – its main comparative advantage in the 1990s – came into question due to the various elements within and outside the organization discussed above and in Chapter 3. That is certainly one of the main challenges and opportunities for the organization now, and requires careful attention by its managers so that project management activities could be directed to functions and units where UNDP organizational skills prove to be strategic.

As to advocacy, the relative emptying of UNDP Brazil can be understood in light of its human development agenda. Once the agenda was mainstreamed into public policies, it ceased to be innovative. In this sense, UNDP stopped challenging the country with new ideas and intriguing projects. Although this might be regarded as an indicator of the success of the organization's growing profile in Brazil, it places the challenge of identifying new agendas in the forefront.

These elements show that UNDP needs to reposition itself in the country. And in spite of the difficulties faced by the organization in the last decade, there is still space for more purposeful action. This action may have to be more selective and less diversified that in the past. There are also new topics in the human development agenda that have not been fully incorporated into the governmental agenda and that might be addressed by the advocacy area as a second-generation agenda.

There is evidence that UNDP has the capacity to reposition itself to respond to the country's demands. Two examples illustrate this statement. The first is when the ABC decided to close its Project Administration Unit (UAP). The unit was responsible for procurement and was absorbed by UNDP. Unfortunately, the financial and operational burden of this transfer is still felt today. The second example refers to when CGU

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[99]   See <www.simmp.org.br/index.aspx>.

began to audit NEX international cooperation projects, which led UNDP programme officers to have access to the audit reports and try to correct the mistakes pointed out. The pilot project for capacity development in the municipalities discussed earlier in this paper is also evidence of UNDP's ability to reposition itself.

Such repositioning has as of yet failed to produce a substantive review of its funding and action models in Brazil, however, as a result of which it has ended up channeling almost all of its organizational energy to project management activities. The subject shall be discussed in the conclusions.

Chapter 5

CONCLUSIONS AND RECOMMENDATIONS

This chapter presents the main conclusions on the role played by UNDP in Brazil in the 2002-2010 period and summarizes the recommendations made by the evaluation team based on the evidence gathered.

5.1 CONCLUSIONS

As presented in Chapter 2, there were substantial changes in the national context during the period assessed. Several macroeconomic challenges were overcome and institutional capacity increased in the thematic areas analysed. The public machinery grew and public funds became more readily available, especially for social policies. There were improvements in the main social and some environmental indicators; public security was one of the exceptions. The country assumed a greater profile in the international arena and considerably expanded its South-South cooperation activities. On the other hand, the Government changed the rules for ITC. Audit institutions were strengthened and became more active in ITC activities. The federal Government contracted loans from multilateral agencies, UNDP took on ABC's procurement activities without cost recovery and the sponsorship model was adopted.[100] UNDP's alignment with the corporate rules also had a relative impact on its project-management capacity.

The aforementioned changes affected UNDP's form of action and led to a sharp decrease in its project portfolio, as detailed in Chapter 3. The Government boosted its capacities, increasing its technical staff and strengthening the bureaucracy. In this sense, the fact that the Government gained strength in strategic areas should be interpreted as a positive result of UNDP's action over the last decade. But it also meant a reduced demand for the project-management services provided by UNDP.

The drop in the project portfolio entailed a significant adjustment process within the organization. UNDP downsized its staff by almost 50 percent. At the same time the organization repositioned itself by reinforcing its operational area, improving internal control and structuring new thematic areas like public security and human rights, and South-South cooperation.

Regarding the thematic areas assessed in Chapter 4, the projects of the sample supported by UNDP were identified as having very high relevance, average effectiveness, average efficiency, limited sustainability and high flexibility. UNDP offered several positive contributions to the country's national development strategies, including relevant contributions to strategies for tax adjustment, reducing social inequalities, and organizational structuring of the two new areas mentioned above.

As described in Chapter 4, the changes in the national context and in the rules within and outside UNDP analysed in Chapters 2 and 3 also had a negative impact on the organization's project management efficiency. This reduced efficiency translated into greater delays in the requested procurement and contracting processes, and difficulties in communicating with the project management units. UNDP's operational role is nevertheless still regarded as highly positive in complex and international competitive bidding processes and is believed to help protect the Government against pressure exercised by a number of business sectors.

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[100] To learn more of the sponsorship model, see Chapter 3.

However, information on projects with UNDP participation was found to be limited and insufficiently organized within the organization, including information on project results. For instance, most of the project documents examined seemed to be merely formal in nature and lacked substantive targets, often presenting confusing logical frameworks that failed to clearly identify the project results (Chapter 1). Although project documents go through a tripartite approval process (UNDP, project executing agency and ABC), UNDP should strive to turn these documents into efficient instruments to support the projects. This could be done through a more precise description of the quantitative and qualitative targets to be achieved. Another example comes from the testimony given by governmental project managers regarding UNDP's limited substantive contribution to the projects (Chapter 4). These aspects underscore the more general observation that the organization has ceased to be recognized as a partner capable of contributing substantively to the projects it manages. This suggests that UNDP's positioning, to a great extent geared to operational aspects, seems to have been unable to transmit the message to public managers that the organization might be equally capable of adding value to projects through ideas, networking, specific technical capacity, etc. The partners nonetheless considered the public security and environment areas as exceptions to which UNDP was able to offer substantive contributions.

The ADR identified the underutilization of UNDP international's thematic networks as one of the reasons for the organization's limited ability to offer substantive contributions, as they would have made it possible to go beyond operational aspects and add knowledge to the projects.[101] One of the areas in which there seems to be a limited use of these networks is South-South cooperation. UNDP cooperation in this field is restricted to operational aspects and is perceived as cooperation offered to other countries. In this sense, the country has seldom benefited from the good practices developed by other countries with a similar development level. Nor is the knowledge of UNDP Brazil made available to countries in which South-South cooperation is present.

Finally, as detailed in Chapter 4, the evaluation team identified a decreasing emphasis on the advocacy role played by UNDP. This reduced emphasis, probably due to the greater budgetary restrictions faced by the organization, could also be understood as resulting from a greater ownership of the human development agenda by the Government, which is doubtless a positive result of the dialogue process established over time.

This analysis convinced the evaluation team that UNDP needs to continue restructuring itself, including its current positioning as well as its action and funding models. Regarding the funding model, as discussed in Chapter 3 the recent period displays an additional reduction in the rhythm in which new projects are prospected, accompanied by a decrease in the budgeted values (2009-2010). As detailed below, addressing this aspect will require advancing the debate on the role of UNDP in Brazil.

Throughout the restructuring process UNDP must not only maintain and improve its operational contribution, but also seek to act more substantively. Its action must focus on selective (public security, for instance), emerging (South-South) and innovative (capacity development in small municipalities) topics that are of interest to the Brazilian Government and consistent with the UNDP mandate. To do so it will need to identify topics to guide its new action strategy in Brazil, working in partnership with the Brazilian Government. These topics must be connected to the national agenda and contribute effectively to advancing the human development agenda. These elements are detailed below.

Conclusion 1. The strategic relevance of UNDP's intervention was high with regard to Brazilian development topics, but changes in

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[101] As discussed in Chapter 4, however, this did happen in a number of cases as exemplified by the SIGOV and certain projects of the public security and environment areas.

the national context reduced its participation as a development partner.

UNDP positioned itself as a governmental partner by assisting with project management, especially in the areas of social development, state modernization and the environment. The Brazilian Government was facing difficulties in implementing the priorities of its agenda due to the scarcity of human resources, the reorganization of the public administration after the enactment of the 1988 Constitution, and the need to promote a rigorous tax adjustment. UNDP focused on promoting human development and offering operational support for project management. That was the scenario during the initial assessment period. With the election of a new government in 2003, deep and rapid changes began to take place in the national context, in social policies and in regulations for ITC activities. As a result, government demands for projects traditionally supported by UNDP fell. Starting in 2006 UNDP's operational capacity, advocacy and knowledge contribution functions came under pressure. The decisions made by the Brazilian Government starting in 2003 to upscale its capacity were understood as an indicator that it was actually gaining ownership of the UNDP agenda for Brazil. The Brazilian state has since become more effective. Having overcome its macroeconomic restrictions, it structured a professionalized bureaucracy in certain sectors of the federal Government and became more active in social matters.

Conclusion 2. Changes in the rules caused by internal and external factors affecting UNDP Brazil contributed to its institutional instability.

In addition to the changes in the national context and strengthening of the Brazilian state, internal and external factors affecting UNDP generated extensive institutional change between 2002 and the beginning of 2010 and caused instability. The following external factors, among others, affected UNDP: the Brazilian Government standardized ITC; national oversight institutions became stronger and more active in international

cooperation activities; the federal Government contracted loans from multilateral agencies, many of them managed by UNDP; UNDP became responsible for procurement activities previously exercised by the ABC, without cost recovery. Internally, the main factor was UNDP's alignment to corporate rules which slowed down its procedures, a situation that public managers were not used to. All of these factors had a great impact on UNDP's ability to deliver operational support to projects.

Conclusion 3. UNDP made a great effort to adapt to the new context.

This effort included reducing the organization's operating costs, reinforcing the area that provides operational support to projects and structuring new areas of action, especially public security and South-South cooperation, topics that were starting to appear on the government agenda. Despite this effort, UNDP's previous positioning – centred on promoting human development and offering project management expertise – together with the downsizing process and financial cuts, affected its response capacity and reduced its ability to add knowledge.

Conclusion 4. UNDP remains an important partner to advance the implementation of Brazilian public policies.

Despite having significantly reduced its financial and human resources, UNDP still plays an important role in advancing public policies in Brazil. In December 2010 UNDP managed over 100 projects, some of them extremely relevant and highly aligned to the values and objectives of the organization and the Brazilian Government. UNDP's credibility and expertise in international competitive bidding processes are regarded as highly positive by its partners.

Conclusion 5. UNDP underutilized its international knowledge network.

The thematic networks of UNDP internationally, which might have added knowledge to projects in addition to operational support, were found to be underutilized. Exceptions were nevertheless

found in three projects of the sample assessed. One of the areas in which utilization of the networks is much reduced is South-South cooperation. UNDP cooperation in this field is restricted to operational aspects and is limited to cooperation offered to other countries.

Conclusion 6. UNDP contributed little substantive knowledge to the projects.

UNDP was perceived by the project participants interviewed as having contributed little substantive knowledge to the projects, except in the public security and environment areas. This is mostly due to the emphasis placed on the project management component within the organization.

Conclusion 7. The Brazilian Government incorporated various topics of the human development agenda into its policies and institutions, thus reducing the advocacy role of UNDP.

Topics on the UNDP agenda like promoting human rights and gender and race equality were explicitly incorporated into the federal Government's agenda. The Brazilian Government gave ministerial status to the human rights, women's rights and racial equality areas. New public policies were introduced for these areas, like the quota policy for black students in federal universities and policies geared to the remaining residents of quilombola populations. Although the institutionalization of these topics contributed to 'emptying' the UNDP agenda, in the end it is a positive a result of the dialogue process established over time with the Government and society. Meanwhile, UNDP has been working on innovative products focused on advocacy – such as localizing the MDGs at the municipal level – and plans to deliver a new NHDR in 2011.

Conclusion 8. The assessment of the thematic areas presents similarities in terms of the areas, but differences regarding the criteria selected, the number of projects and the volume of funds.

Whether through its advocacy efforts or by supporting projects, UNDP's action was on the whole considered relevant in all the thematic areas analysed. Among the areas supported by the organization are activities linked to national strategies to reduce poverty (e.g., *Bolsa Familia*), establish a national public security programme (*Segurança Cidadã*), promote tax adjustment among Brazilian states, institutionalize structuring policies for the environmental area (e.g., National Environment Programme) and set the base for governmental action in the framework of South-South cooperation. In this sense, UNDP took part in many of the demands involved in meeting the national challenges and supported various policies that led to changes in the national context. The assessment criteria were identified as highly relevant, moderately effective, moderately efficient, with limited sustainability and high flexibility. Regarding resources for the thematic areas, the participation of UNDP in national development projects grew substantially until 2004, both financially and in terms of number of projects. Its decrease starting in 2005 resulted of the end of various projects of the state modernization and social policy and inclusion portfolios, particularly in the area of education. Its greatest relative participation has since been in the environment area, despite a small drop in the volume of resources. The greatest increases are in the areas of public security and human rights and South-South cooperation; participation in the first area is still modest while the latter's role in the total budget is growing considerably.

Conclusion 9. UNDP used the tools and joint programming space together with the other agencies of the UN System in Brazil.

The agencies have made a joint programmatic effort with an analytical guiding thread that is consistent with the UN mandate and with the national development challenges. This joint programmatic effort by the agencies also offers an opportunity to generate consensus. The common argument presented in the documents that ITC still has a role to play in a country with a high degree of inequality and heterogeneous capacities is consistent with the assessments of Brazil made by different analysts and institutions. The documents are also aligned with each other and with the directives of the Brazilian Government.

However, there remains the challenge of achieving a better distribution of public resources between the countless UN system agencies that operate in Brazil.

Conclusion 10. The funding and action models of UNDP affect its response capacity and restrict the contribution of substantive knowledge.

The funding model based on commissions for managing projects forced the organization to take on a large number of projects to fund itself while leaving strategic action related to promoting human development and sharing the technical knowledge of its staff with project managers in the background. When the demand for projects fell due to the changes in the national context the organization's operational capacity, advocacy and knowledge contribution functions came under pressure. Although new funding and action alternatives are being considered, they have so far proved limited and cannot be interpreted as proof of actual change in the model.

5.2 RECOMMENDATIONS

Changing the funding and action models and achieving a new strategic positioning for UNDP will require both structural and incremental changes, the later associated to improvements in its operational processes.

The evaluation team worked on the recommendations based on five structuring arguments. The first is that UNDP can enhance the quality of dialogue with the Brazilian Government either by expanding and improving political dialogue or by deepening the debate on its role and funding model. The second is that UNDP must strengthen the process of identifying new topics for its action in Brazil together with the Brazilian Government. The third is that the organization must be more selective in offering operational support and increase its substantive contribution to projects. The fourth has to do with finding opportunities to resume its advocacy function. The fifth consists of optimizing the organization's functional mix.

Recommendation 1. UNDP should improve the quality and format of dialogue with the Brazilian Government.

UNDP must review the bases for its dialogue with the Government in three main dimensions.[102] In the first place, by establishing a joint thematic work agenda with its major partners, but one that also involves new partners and former partners that were important in the recent past. The changes that took place in the period assessed restricted the number of partners with which UNDP maintains political dialogue. New dialogue fronts must be created with the Government and other partners on thematic areas that reconcile topics of the UNDP mandate with the Brazilian development agenda. These thematic groups would lead to proposals for an agenda built upon actions that are induced and of interest to all the parties involved, reducing the role of dialogue based on reactive action. Although this type of dialogue is already a part of preparing UNDP programmatic documents like CPDs, which are extensively consulted with the Brazilian partners, it must go beyond defining topics and priorities for programmes. Thematic working groups in selected areas would make it possible to requalify the relationship between UNDP and the Government. The content of said agenda will be detailed in the following recommendation.

In second place, but as a consequence of the previous point, UNDP must structure itself technically to show the Brazilian Government that it is capable of contributing to more than project management.

Finally, investing in recovering the institutional memory of UNDP, by broadly publicizing a brief

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[102] A new type of dialogue is beginning to take shape. In 2010, for instance, UNDP entered a strategic partnership agreement with Brazil signed by UNDP Administrator Helen Clark.

of its activities and contributions to Brazilian development, would also facilitate dialogue and help to rebuild the positive image of the organization.

Recommendation 2. A new thematic agenda should be identified in coordination with the Brazilian Government.

As a consequence of the aforementioned recommendation of building thematic working groups, UNDP will need to identify, together with the Brazilian Government, a new thematic agenda that allows the organization to continue contributing to the country's development strategy. As discussed in Chapter 2, despite the substantive and accelerated evolution of the agenda there are still important elements to achieve in order to advance the human development agenda. One example is social inclusion, for although the degree of social inequality is decreasing it is nevertheless very high and the country has yet to eliminate extreme poverty. Regarding universal access to public policies, important challenges persist in the areas of sanitation and education, particularly regarding early childhood and secondary education and increasing quality overall. The decentralization policy in turn still faces considerable obstacles related to low qualification of the technical staff responsible for executing the various social policies at the municipal level. On the other hand, the national human rights and public security policies are just starting to be structured. As to tax adjustment, despite the progress observed, the agenda is at a standstill due to the incomplete and complex debate on the tax reform. In the area of the environment, in addition to the general challenges posed by the global warming agenda, important challenges remain in topics like water pollution, where no progress was made. Finally, South-South

cooperation will require greater institutionalization as well as criteria for two-way cooperation.[103] This recommendation aims to reposition UNDP in the country's development agenda, seeking to foresee, together with the Government, areas of the governmental agenda in which UNDP might be able to add knowledge.

Recommendation 3. Together with the Brazilian Government, UNDP should explore new forms of funding for its cooperation programme in Brazil.

The Brazilian Government's expectations for more substantive action by UNDP, manifested in the last CPD and in the interviews, are hindered by the per project remuneration model that tends to overload the technical team and requires a relatively bulky project portfolio. In order for UNDP to upscale its knowledge contribution and substantive activities, it must seek, together with the Brazilian Government, new funding alternatives capable of releasing it from its current model, strongly focused on per project remuneration. New forms of funding like governmental budget grants are in the pipeline and expected to increase.

Recommendation 4. The profile of the UNDP technical team should be gradually changed.

Requalifying dialogue with the Government based on thematic groups and identifying new demands in the development agenda will require boosting the team's technical capacity and investing in better strategic planning. Once new topics are identified UNDP must reinforce its team with consultants that are able to begin building a thematic portfolio based on the discussions with the Government. As progress is made in the thematic areas these consultants should be replaced by permanent staff members. The appointment

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[103] The list contains only a number of aspects related to the areas covered in this report. UNDP is already making the initial efforts to come up with new thematic areas, as noted in Chapter 4. The interviews conducted pointed to other topics that were not detailed in this report. Among them were the national difficulties in organizing information systems, judicial restructuring in the civil service, improving monitoring and evaluation processes for social policies, the need for a disaster prevention and risk mitigation programme – an area in which the UN system has considerable experience – and supporting the Brazilian Government for the Rio+20 Conference, the 2014 World Cup and the 2016 Olympics. Most of these topics are still as relevant as ever and might be the object of systematic support by UNDP should they be of interest to the Brazilian Government.

of an adviser for strategic matters that can support the management team, currently overburdened by routine demands, is also recommended. Making better use of the consultants' database that already exists in UNDP may be helpful to this extent.

Recommendation 5. Dialogue should be established with the national oversight institutions.

UNDP must initiate dialogue, especially with the TCU.[104] One idea would be for the ABC to propose a joint study to TCU, CGU and the Government (Ministry of Planning) to identify the main legal and administrative obstacles for UNDP and examine possible solutions. Particularly important would be identifying legal alternatives to reconcile the provisions of Brazilian law with those of the UN conventions to which Brazil is signatory. Discussing with TCU and CGU, supported by the ABC, the possibility of reviewing its rulings (See Chapter 3) based on the experience accumulated after their enactment is also recommended. Despite the decreased legal uncertainty brought on by standardization, gray areas and at times conflicting interpretations persist. It is particularly important to take into account the positioning of the audit institutions with regard to the transfer of funds to NGOs. One possibility would be sharing experience with oversight institutions in other countries with which UNDP is developing projects that might be relevant to Brazil, like Colombia and Chile. This recommendation aims to forestall new legal and administrative problems and improve project management.

Recommendation 6. UNDP should offer operational support more selectively, directing it to areas with less institutional capacity, and resume the function of contributing technically to selected projects.

UNDP must make an effort to start contributing to substantive matters again, albeit in specific areas and topics, as well as to policies executed by governmental bodies with low institutionalism and reduced bureaucratic professionalization. This can be done by increasing the UNDP staff and its level of specialization. The main partners of the state modernization thematic area, for instance, must in the near future cease to be considered UNDP priorities, since their managerial and institutional capacity has already increased. Other segments of the Brazilian Government (in the environmental and social policy areas) and of the states and municipalities, where public policies are less institutionalized and not as well organized, will still be able to take advantage of the lessons learned in the state modernization area. UNDP support remains important in projects geared to federal public agencies with a lower degree of institutionalization and whose technical teams have yet to gain access to the professionalized bureaucracy. As a result, returning to these ministries in the near future is recommended.

Recommendation 7. Advocacy, dialogue and knowledge generation should be strengthened.

Advocacy, one of the strong points of UNDP's action in Brazil, can be strengthened by appointing a full-time advocacy professional to disseminate the UN human development values. The possibility of preparing the short term M-HDI may also give rise to new ways of using the index. The periodicity of the NHDRs should be reviewed to better align its topics to governmental interests. In addition IPEA, the main federal think tank, should be involved in preparing the NHDR as it did in 1998. Finally, advocacy can be used to make Brazilian society more aware of the importance of the support offered by Brazil to less developed countries while exercising the principle of solidarity among peoples.

Recommendation 8. UNDP should optimize its functional mix (advocacy, technical assistance, knowledge generation, policy dialogue and operational support) by taking advantage of the expertise that exists within.

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[104] According to two UNDP informants, dialogue with the Office of the Comptroller General (CGU) has been fruitful; UNDP even developed courses for its auditors.

Several initiatives could be considered in this area. Two of them are described below. To begin with, it would be particularly important for UNDP Brazil, other UNDP offices in the countries with which Brazil keeps horizontal cooperation ties, and the ABC itself, to make use of the technical knowledge of UNDP in the different thematic areas that involve South-South cooperation. Through its partners network UNDP Brazil might be able to add knowledge to South-South projects, going beyond operational project management.

Second, UNDP should encourage interagency partnerships, considering the specific areas of action of each UN system agency. In the areas of public security and human rights, for instance, these partnerships could be very significant, since other UN agencies like UN Women and UNODC also work in similar areas.

Recommendation 9. UNDP should adjust the operational rules.

As a result of the above-discussed dialogue with governmental agencies, the organization needs to adjust its operational rules to optimize administrative processes and reduce the degree of uncertainty associated to certain types of contracting procedures. This review is expected to allow the partners to feel more secure in using the management instruments provided by UNDP and reduce the organization's response time.

In the context of this process and in compliance with the corporate rules, UNDP must promote the development of detailed manuals (for project management and procedures) prepared in coordination with all the other spheres involved to achieve a minimum consensus as to good management practices for this type of project.

Recommendation 10. UNDP should acquire more knowledge and confer greater visibility on the network associated to the UNDP system.

To enhance the usefulness of the organizational network linked to UNDP internationally, both UNDP Brazil and the Brazilian Government need to identify more precisely what knowledge

might be added by these agents. International dialogue on different agendas needs to be intensified in Brazil by promoting visits by experts and organizing events on specific topics, among others.

In the area of South-South cooperation, UNDP could provide more substantive support to the horizontal cooperation promoted by the Brazilian government. Some changes need to be introduced in current procedures at headquarters level to facilitate the exchange of knowledge and experiences, reorienting the use of the extensive network of UNDP country offices.

Recommendation 11. UNDP should improve operational processes.

UNDP can also help to improve capacity among cooperation project managers. First, UNDP must contribute to the formal establishment of a network of cooperation project managers. This would allow them to be used in different projects through time and accumulate experience and technical capacity. Second, UNDP should insist on capacity building for cooperation project managers, among other things by offering specialized and detailed courses. Although the organization has offered distance courses in cooperation with CGU in the past, this topic probably remains a bottleneck for good project management. Third, UNDP might contribute to disseminating good management practices for ITC projects and offer awards for organizations and managers, in partnership with the ABC and the CGU.

Reviewing the uses given to the planning instruments currently in place, particularly project documents, will be an important way of requalifying the operational and substantive contribution given by UNDP. Strictly speaking, it is highly desirable for both UNDP and the executing agency to give clearer detail of the targets and results pursued by the proposed projects. This does not mean that UNDP should invest in conducting outcome evaluations for all projects in which it plays an operational role, but it should help to ensure that evaluations are a routine part of project activities. Funding for these evaluations should either be

included in the project budget or an effort should be made to count on the active contribution of other agencies participating in the project that conduct evaluation processes regularly (e.g., World Bank). A better preparation and follow-up of project documents could also help to reduce the often great longevity of projects.

To conclude, UNDP must improve data organization and storage and update the information on its website constantly, as this is the port of entry for those who are interested in learning about UNDP activities in Brazil and its contribution to the country's development. UNDP has made important contributions towards the attainment of development results in Brazil, which are presented in the following chapters. As Brazil works towards consolidating and reinforcing the results achieved, it shall also face new challenges. The recommendations made in this ADR point to the path to be followed by UNDP Brazil together with the Brazilian Government, so that the country may grow more equally, eliminate extreme poverty, and promote sustainable human development.

　　　　　　　　　CHAPTER 5. CONCLUSIONS AND RECOMMENDATIONS

Annex 1

TERMS OF REFERENCE

1. INTRODUCTION

The Evaluation Office (EO) of the United Nations Development Programme (UNDP) conducts country evaluations called Assessment of Development Results (ADRs) to capture and demonstrate evaluative evidence of UNDP's contribution to development results at the country level, as well as the effectiveness of UNDP's strategy in facilitating and leveraging national effort for achieving development results. ADRs are carried out within the general provisions contained in the UNDP Evaluation Policy. The overall objectives of an ADR are to:

- provide substantive support to the Administrator's accountability function in reporting to the Executive Board;

- support greater UNDP accountability and transparency to the national stakeholders and partners in the programme country;

- serve as a means of quality assurance for UNDP interventions at the country level;

- contribute to learning at corporate, regional, and country levels.

The ADR in Brazil will be conducted in collaboration with the Brazilian Government in the second half of 2011, with a view to contributing to the preparation of the new country programme starting from 2012. The ADR, in particular, will count on the collaboration of the Brazilian Cooperation Agency (ABC), the Ministry of Planning, Budget, and Management (MPOG),

the Office of the Presidency and the General Secretariat of the Presidency. These institutions will act as members of the ADR institutional reference group, whose purpose is to ensure the accuracy and quality of the assessment and the full participation of the Brazilian Government in the evaluation process (see section 6 for further details on the reference group).

2. CONTEXT

ANALYSIS OF BRAZIL'S SITUATION

Brazil is a nation of 193.73 million inhabitants with an area covering half of the continent of South America. It has the fifth largest land area and the fifth largest population in the world. The country, considered an emerging economy, is a member of the G20.[105] Brazil has the ninth largest economy in the world in purchasing power parity (2008), the eighth largest in nominal GDP (2009) and is the largest Latin American economy.[106] The country has an average income per capita of $10,847 with a high human development rating. In 2009, with a Human Development Index of 0.813, Brazil ranked 75th among 177 nations surveyed.[107]

Despite the impact of the global financial crisis, Brazil has been exhibiting a positive social and development context compared to other countries in a similar situation.

From a political perspective, too, Brazil has shown progress. The Brazilian executive branch has been able to advance its reformist agenda

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[105] The G-20 is a forum for cooperation and consultation on matters related to the international financial system. It is made up of finance ministers and central bank chiefs from the 19 largest economies in the world. The European Union, represented by the rotating Council presidency and the European Central Bank, is the 20th member.

[106] According to sources from the World Economic Outlook Database.

[107] Source: Human Development Report 2009: Brazil. <hdrstats.undp.org/en/countries/country_fact_sheets/cty_fs_BRA.html> Human Development Report, 2009 (Tables): <hdr.undp.org/en/reports/global/hdr2009/>.

geared towards sustainable human development. Standing out, among other measures, are conditional cash transfer programmes and growing investments in infrastructure with an emphasis on energy, basic sanitation, housing, and transportation sectors.

On human development, the Brazilian Government has contributed to reducing poverty and disparities in incomes, education, food, healthcare, safety, housing, among other public services and products. The implementation of conditional cash transfer programmes, specially the *Bolsa Família* programme, has been considered the main reason for the reduction of poverty, and better wealth distribution.

Yet Brazil still confronts vast regional and social disparities, along with high levels of inequality and income concentration. The Gini coefficient remains at 0.56, making Brazil one of the five most unequal societies in the world. The share of population with an income below PPP US$1 per day has already dropped from 11.6 percent in 1992 to 7.5 percent in 2009. Still, the number of people living below the poverty line remains significant. The number of Brazilians living in extreme poverty conditions (population with family income below a quarter of the monthly minimum salary per capita) was estimated at more than 20 million in 2003. The total number of poor people in the country (population with family income lower than half of a monthly minimum salary) was estimated at 54 million in 2003. Moreover, the gap between the poor and rich in Brazil has not changed. The share of poor people is larger than the rural population, the African descendents, and the inhabitants of the northeast region. Homicide, crime, and prevalence of infectious-contagious diseases rates remain high.[108]

Regarding the Millennium Development Goals (MDGs), Brazil has already met goals 1, 2, 3 and 6 and is on track regarding goals 4, 5, 7, and 8.[109]

UNDP COUNTRY PROGRAMMES BETWEEN 2002 AND 2010

During the evaluation period, two programme documents were prepared with the aid of the ABC: the Country Cooperation Framework (CCF), covering the 2002-2006 period; and the Country Programme Document (CPD) covering the period between 2007 and 2011.

The elaboration of the current programme has taken into account the Common Country Assessment and the United Nations Development Assistance Framework (UNDAF). The CPD focuses on the areas where UNDP holds a clear comparative advantage within its duties and mandate.

The UNDP programme in Brazil is one of the largest within the organization in terms of accomplishments, with costs almost entirely supported by funds from the national treasury (see Table A1.1 and Figures A1.1 and A1.2 on budgeted and accomplished actions).

Still, in the past years, the supported programmes had a reduction in budget and interventions (a drop from $195.7 million in 2002 to $141 million in 2005 and to $100 million in 2009), strengthening a greater thematic concentration and in UNDP comparative advantage areas (see Figure A1.3).

3. OBJECTIVES, SCOPE, AND EVALUATION ISSUES

The objectives of the Brazil ADR are:

- To provide an independent evaluation of advancements made towards meeting the expected results in the UNDP programming documents. The ADR will also highlight unexpected results (positive or negative), or any missed opportunities, if relevant.

- To present an analysis on the UNDP

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[108] See UNCT in Brazil, 'CCA, Country Joint Assessment', August 2005.

[109] Source: MDG Monitor: <www.mdgmonitor.org/factsheets_00.cfm?c=BRA&cd=76>.
Current MDG 'status' in accordance with national reporting. (Last updated 17 January 2008).

Table A1.1.	Programme Financial Details (Brazil) 2004-2009 – Trends (Core and Non-Core Funds for Development Activities) (US$ thousands)					
	2004		**2005**		**2006**	
Focus Area	Budget	Expenditure	Budget	Expenditure	Budget	Expenditure
Democratic governance	82,368	81,462	452,520	76,303	409,807	100,690
Environment and sustainable development	65,313	38,878	252,626	43,510	168,559	48,750
Poverty reduction and MDG achievement	27,815	19,746	168,802	26,948	143,158	74,990
Undefined	5,063	30	2,789	2,617	49,488	10,655
Total	180,559	140,116	876,737	149,378	771,012	235,085

	2007		**2008**		**2009**	
Focus Area	Budget	Expenditure	Budget	Expenditure	Budget	Expenditure
Democratic governance	412,163	131,974	240,586	63,237	106,967	36,413
Environment and sustainable development	109,842	21,561	188,962	48,036	130,287	43,859
Poverty reduction and MDG achievement	91,013	30,511	136,560	38,428	46,710	12,673
Undefined	26,237	6,411	3,013	1,366	19,963	2,082
Total	639,255	190,457	569,121	151,067	303,927	95,027

Source: <home.undp.org> (Strategic overview), Atlas (Exec Snapshot)

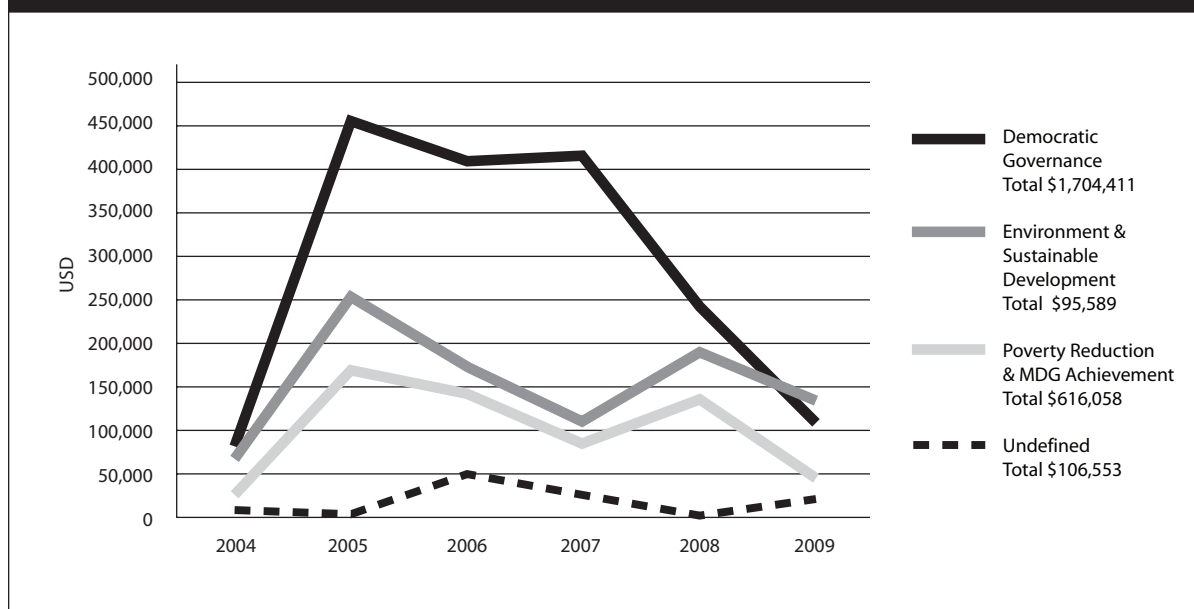**Figure A1.1. UNDP Budget for Brazil By Practice Area**

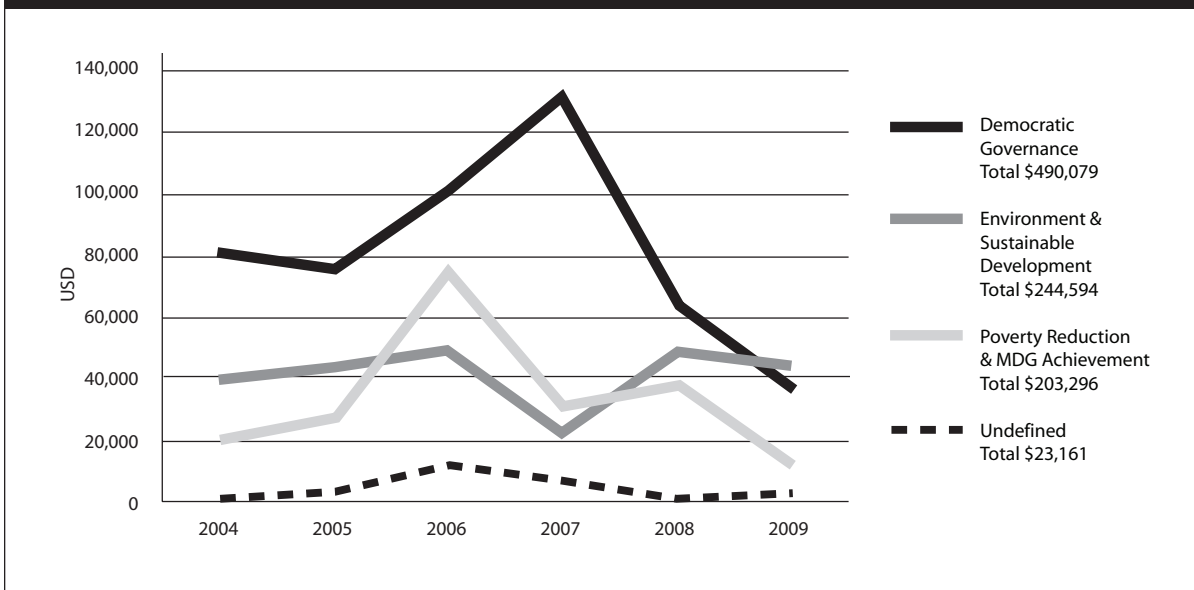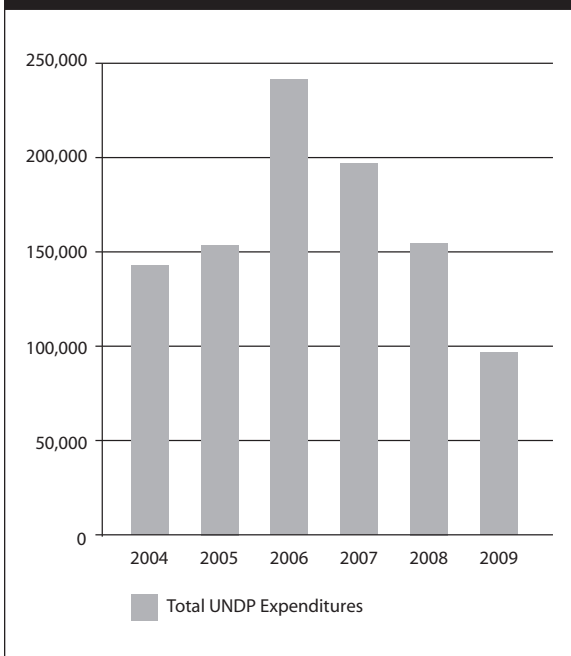**Figure A1.2. UNDP Expenditures for Brazil By Practice Area**

Democratic
Governance
Total $490,079

Environment &
Sustainable
Development
Total $244,594

Poverty Reduction
& MDG Achievement
Total $203,296

Undefined
Total $23,161

Figure A1.3. Total UNDP Expenditures in Brazil

Total UNDP Expenditures

strategic positioning and on the added value of its response, concerning national needs and possible changes in the national development context.

■ To show the results accomplished, draw lessons learned, highlight what went well or not, and provide a set of recommendations to UNDP and to the Government to allow adjustments toward the next country programme strategy.

SCOPE AND FOCUS

The ADR will analyse UNDP's experience in Brazil and its contribution in solving political, economic, institutional, and social challenges. The evaluation will cover the current and previous country programmes (2002-2006 and 2007-201); although the most recent interventions will receive greater emphasis because of greater availability of data, etc. Yet, efforts will be undertaken to examine the development and implementation of UNDP programmes since the beginning of the period.

The evaluation will cover the period between 2002 and 2010. Table A1.2 shows how the evaluation schedule of the development outcomes is related to each national plan and both UNDP programme documents. The diagramme explains links of goals presented in each of these documents. The evaluation will perform a global and integrated review of the UNDP programme portfolio during the period under review, specifically examining the contribution of UNDP to

development results at the national level. This is not a sum of project evaluations, but a macro-analysis of the relationship between the inputs (including the project portfolio), the products, and especially the outcomes. The projects and programmes targeted at a particular outcome should be analysed in an integrated manner.

EVALUATION ISSUES BY ASSESSMENT CRITERIA AND/OR SIZE

The evaluation has two main components, the analysis of the outcomes by thematic area and the strategic positioning of UNDP in the country.

The evaluation will encompass a global review of UNDP programmes portfolio (current and previous), including an evaluation of results accomplished:

- key interventions

- advances in the achievement of the current programme

- factors that have affected the results (UNDP strategic positioning, capacities/competencies, alliances and support to elaborate policies)

- UNDP contribution in the thematic areas, relating them to the Millennium Development Goals and to UNDAF

The evaluation would also point out the anticipated challenges and possible strategies to forthcoming interventions based on identified lessons and recommendations.

Results by thematic area

The analysis of the results by area will use a set of core evaluation criteria related to the design, management, and implementation of the interventions in Brazil:

Relevance: To what extent have the formulation of interventions in the different areas been relevant to the national strategies, the challenges of the development, and UNDP's own mandate?

Effectiveness: To what extent have the outcomes planned in both UNDP country programmes been met or are about to be? What are the strengths and weaknesses of both programmes? Were there positive and/or negative or even unexpected results? Is there a need to make programmatic adjustments in the current cycle? Or to review the fundamental principles for the cooperation model between UNDP and the Brazilian Government for the new cycle?

Efficiency: To what extent have UNDP's human and financial resources, procedures, mechanisms, and information systems been used taking into account the objectives previously outlined? Do the resources comply with the expected

Table A1.2. Calendar of Key Strategic Documents and of Brazil ADR												
Documents	**2000**	**2001**	**2002**	**2003**	**2004**	**2005**	**2006**	**2007**	**2008**	**2009**	**2010**	**2011**
Multi-Year Plan	←			→								
Multi-Year Plan					←			→				
Multi-Year Plan									←			→
UNDP Country Cooperation Framework (CCF)			←				→					
UNDP Country Programme Document (CPD)								←				→
ADR Brazil			←									→

objectives? What could be done to ensure a more efficient use of the resources, at the national and corporate level? To what extent is the current UNDP financing model most suitable for the Brazilian context? Are there administrative constraints? How do they affect the programme effectiveness and, more specifically, what has been the contribution of UNDP in overcoming such barriers?

Sustainability: To what extent are the results achieved sustainable after the termination of UNDP support? Are the benefits of UNDP interventions sustainable? How were the beneficiaries (direct and/or final) actually benefiting from the support of UNDP? To what extent has UNDP developed an effective training and knowledge transfer strategy? To what extent has UNDP prepared an exit strategy?

Additional efforts will be made to examine the contribution of UNDP towards capacity development, knowledge management, and equality of gender and race.

Analysis at strategic level

The evaluation will assess the strategic positioning of UNDP, both from the organization's perspective[110] as well as the development priorities of the country. Thus, such analysis will include a systematic study on UNDP operating niche, as part of the development policy in Brazil, and a study on the relevance of the strategies used by UNDP on strengthening its position in the development field and of its mandate in human development.

It will also examine a set of evaluation criteria related to UNDP strategic positioning:

Programmatic relevance, strategic importance and responsiveness of UNDP: To what extent has the overall programmatic response of UNDP been relevant to the needs and priorities? To what extent has UNDP's strategic positioning taken into account the level of development and the challenges faced by the nation? Has UNDP been able to respond to a context of national

change, and urgent demands of their partners? Will it be able to focus on substantive issues, without losing the thread? Has its capacity to respond to national priorities been consistent with its mandate as well?

Value Added: To what extent does UNDP contribution bring added value to the development of Brazil? To what extent has UNDP intervened in areas where it has comparative advantages over other development partners?

Use of networks and experiences in other countries: To what extent has UNDP used its global network of knowledge, drawing on experience and expertise to find solutions to problems and approaches in Brazil? To what extent has it helped the Brazilian Government to seize the opportunities for South-South cooperation? Was the partnership strategy effective and appropriate?

United Nations Values: To what extent has UNDP promoted United Nations values from the perspective of human development with focus on contribution to equality of gender, race and ethnicity, issues of fairness, in general, including the ability to focus on the poor and vulnerable groups?

The evaluation will also address UNDP's contribution to coordination within the UN system, specifically highlighting the development of joint programmes with other agencies, UN funds and programmes in Brazil and in the region.
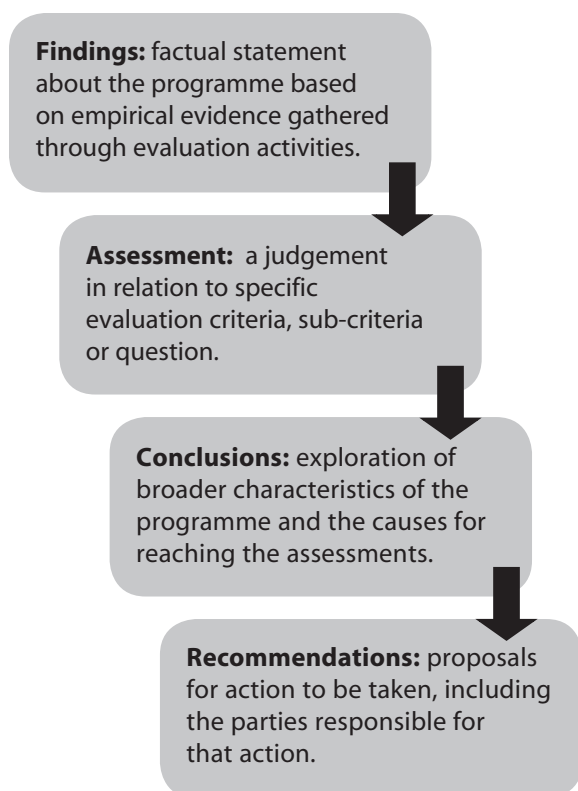
4. EVALUATION METHODS AND APPROACHES

The evaluation team will be invited to consult and feed the SharePoint to ADR Brazil. A repository of documents and data originally created by the UNDP Evaluation Office, this resource should be consulted by the selected team and also fed with new information. It will be a working tool for the assessment team.

The evaluation methodology must be consistent with the new ADR Manual. The evaluation will

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[110] UNDP's Strategic Plan, see <www.undp.org/execbrd/pdf/dp07-43Rev1.pdf>.

document and assess the results obtained in relation to the expected effects and links between activities, products, and outcomes. The evaluators will use the evaluation criteria as the basis of their analysis, findings and recommendations.

The process is illustrated in following figure.

> **Findings:** factual statement about the programme based on empirical evidence gathered through evaluation activities.

> **Assessment:** a judgement in relation to specific evaluation criteria, sub-criteria or question.

> **Conclusions:** exploration of broader characteristics of the programme and the causes for reaching the assessments.

> **Recommendations:** proposals for action to be taken, including the parties responsible for that action.

SAMPLE SELECTION

The selection of the sample of projects, programmes, and non-projects, e.g., policy dialogue, advocacy, counseling, and ability to notice and coordination, will be held during the design mission of the evaluation.

Note: The purpose of this first larger sample (prepared by the UNDP office in Brazil in response to the selection criteria determined by the UNDP Evaluation Office) is to provide a working base to the evaluators.

Later on, the team (during the design phase), must refine and reduce the actual sample to a maximum number of 45 projects and a set of soft aid activities. Among the selected projects, the evaluation office has chosen a set of projects to be part of the final sample

The team must develop its own evaluation strategy meeting the quality requirements and standards required to produce a comprehensive analysis of UNDP intervention outcomes in Brazil, according to the methodology used in the ADR assessments.

Criteria to select the projects, programmes and non-project activities to compose the sample:

- time-frame: covering two programming cycles: 2002-2006 and 2007-2012

- geographical coverage, scope:
  - □ national
  - □ state
  - □ municipal
  - □ South-South cooperation
  - □ regional programmes

- partnerships with:
  - □ Government
  - □ civil society
  - □ private sector
  - □ activities related to UNDP contribution to UN system coordination, including joint projects with other agencies

- thematic coverage:
  - □ social inclusion and reduction of social inequalities and public safety
  - □ governance, democracy and human rights, and gender, race/ethnicity, equality
  - □ economic and job opportunity growth
  - □ environment and energy
  - □ poverty and MDGs, and reduction of regional inequalities
  - □ decentralization
  - □ procurement

- budgeting of interventions (small and large projects)

- execution model – NEX (directly executed by the country) and DEX (executed by UNDP), others

- outliers (pilot projects, innovative, which worked well but also those that did not and outstand for such)

DATA COLLECTION

At the core of the data-collection process is the evaluation matrix that connects each one of the assessment criteria and issues related to data sources and methods of information gathering. The data collection provides a logical approach, using the evaluation criteria.

The evaluation will use a multi-method approach to data collection, which may comprise:

- review of documents (UNDP documents in Brazil – CCF, CPD, CCA, UNDAFs; documents relating to programmes and projects that will be subject to the assessment, monitoring and evaluation reports, annual result reports (Results Oriented Annual Report) local or national demographic data; international and national reports concerning the object of study, indicators and data on the socio-economic and environmental situation)

- workshops, group and individual interviews, focus groups

- site visits

- questionnaires

- case studies

The appropriate methods will be defined and properly justified in the inception report. It will be very important to use qualitative methods of data analysis in the organization and processing of information whether it comes from interviews or from document review.

VALIDATION

The evaluation team will use a variety of methods to ensure that the data is valid, including the use of triangulation and methods of qualitative data analysis. The accurate methods of validation will be detailed in the inception report.

STAKEHOLDER PARTICIPATION

The assessment will identify key stakeholders, including representatives of ministries and government agencies, civil society organizations, private sector representatives, UN agencies, multilateral organizations and beneficiaries.

5. EVALUATION PROCESS

The evaluation will be conducted independently, according to the UNDP Evaluation Policy. The Evaluation Office will direct all its efforts to ensure the active participation in the evaluation process of the stakeholders, specially the UNDP country office in Brazil, the institutional reference group, and the national authorities.

This process may be divided in three phases, each consisting of several steps.

PHASE 1. PREPARATION

Document Analysis – initially implemented by the Evaluation Office (identification, collection and mapping of documents and other relevant data) and continued by the evaluation team. The review will include the analysis of general documents related to Brazil's development, as well as an overview of the UNDP programme during the period under review.

Evaluation design mission: The main tasks:

- Identify and gather additional information; interview UNDP programme officers.

- Validate the mapping of the programmes implemented in the country. Establish the sample of projects, programmes and non-project activities to be analysed in depth in the assessment; identify the projects that will be subject to site visits.

- Identify the appropriate methods for collecting and analysing data.

- Address the issues related to the management of the remaining evaluation process, including the division of tasks between team members and schedule updating.

This phase culminates with an inception report including the evaluation design to be adopted. A workshop will be held with the evaluation team for the preparation of this report.

PHASE 2: DEVELOPMENT AND PREPARATION OF THE ADR REPORT

Main Mission – The independent evaluation team will conduct a three-week mission with a focus on collecting data and validating information. The team will consult UNDP's key partners and beneficiaries, including UNDP staff, and visit sites of projects selected in the inception report.

In-depth analysis, synthesis and preparation of the first assessment report version. This version will pass through a quality control by the Evaluation Office and the advisory panel. The revised version will then be shared with the UNDP country office and the reference group for factual comments, possible errors of interpretation and/or omissions. A third version will then be distributed during the final workshop with all UNDP's partners – Government, civil society, UN agencies, embassies, and UNDP staff.

The evaluation team, in close collaboration with the Evaluation Office, will complete the assessment report, based on inputs received. It will also prepare an audit trail to show how the comments were taken into account in reviewing the report.

PHASE 3: MANAGEMENT RESPONSE AND COMMUNICATION

UNDP will request a management response to the ADR from the relevant units (usually UNDP country office in Brazil). The evaluation report will be made available to the UNDP Executive Board by the time of approving a new Country Programme Document. The report, together with the management response, will be published online and distributed widely to the main UNDP partners in Brazil and internationally.

6.   ADMINISTRATIVE MEASURES

UNDP EVALUATION OFFICE

UNDP Evaluation Office will be responsible for coordinating the evaluation process and ensuring its quality. The Evaluation Office will support the evaluation team by providing continuous feedback and ensuring the quality of all inputs. Depending on the need, the EO task manager may participate in the missions. The Evaluation Office will cover all the costs related to the conduct of the ADR.

UNDP COUNTRY OFFICE

The country office will liaise between the Evaluation Office, the Government and other partners. The country office will support the evaluation team in contacting key partners and will make available all necessary information concerning UNDP activities in Brazil, and help to arrange meetings with stakeholders. The country office will also provide office space for the team and other logistical support.

The evaluation and monitoring team of the country office in Brazil will contribute to the evaluation design, by producing a first sample of projects and programmes, as well as to provide support to the evaluation team in understanding the outcomes mapping, especially in links between inputs, outputs, and outcomes. Whenever possible and relevant, it will participate in meetings with the evaluation team.

The country office will provide comments on the inception and final reports. In addition, it will support the evaluation office in organizing the final workshop to present the assessment to the UNDP partners in Brazil.

REFERENCE GROUP

The ADR will rely on the collaboration of the Brazilian Government, specially the national reference group comprising representatives of the ABC, the MPOG, the Civil Cabinet, and the Secretariat General of the Presidency of the Republic. The group will discuss and comment

on the evaluation outputs, checking for factual or interpretation/omission mistakes, or information gaps.

The reference group will help the evaluation team gain prompt access to information from the Government and safeguard the evaluation's independence. It will organize the final meeting with the stakeholders to present the outcomes and recommendations. The group will be accountable, within the Government, for the use and disclosure of the final results of the assessment.

ADVISORY PANEL

The Evaluation Office will receive technical and methodological advice from the Institute of Applied Economic Research (IPEA), which was requested to play the role of external adviser, along the lines of an advisory panel. The objective of this panel is to provide fair and constructive feedback on the outputs, thereby helping to improve the quality and usefulness of the evaluation. Accordingly, the technical advice shall be structured and constructive, and have concrete suggestions for improvements.

EVALUATION TEAM

The evaluation team will consist of at least four national members and an international expert (senior evaluator), who will be selected separately by the Evaluation Office.

The evaluation team will coordinate with the task manager of the UNDP Evaluation Office in New York and, and with other staff members of UNDP Brazil, if necessary. UNDP will provide the necessary support to the evaluation team to develop its activities according to the ADR methodology.

The core team shall consist of:

1. **Leader of the national team, senior evaluator** – whose main responsibility will be to provide direction, leadership, and coordination of the evaluation process. He or she will be the main person accountable for the evaluation outputs, including: evaluation design report and the final evaluation report together with the international expert, the team members and the evaluation official of the evaluation office (estimated working days: 60 days).

2. **Expert on issues of democratic governance, public safety, public management and modernization of the state, human rights, and decentralization**, who will provide his/her expertise on the key issues of the evaluation and will be accountable for developing parts of the report (estimated working days: 45 days).

3. **Expert on social policy issues (education and health), MDGs and poverty** that will provide his/her expertise on the key issues of the evaluation and will be responsible for developing parts of the report (estimated working days: 40 days).

4. **Expert on environment and energy issues,** which will provide his/her expertise on the key issues of the evaluation and will be accountable for developing parts of the report (estimated working days: 30 days).

Qualifications of the team leader:

- Experience in evaluation of complex programmes and/or public policy, and mastery of techniques and methods for qualitative and quantitative analysis in the evaluation and/or research field. Experience in conducting interviews and focus groups with different types of partnerships.

- Knowledge of human development issues and their connection with the Brazilian reality, including the cross-cutting issues of gender equality, race and ethnicity, and strategic thinking.

- In-depth knowledge of Brazilian social-economic reality.

- Theoretical knowledge on building strategic partnerships.

- Excellent analytical skills.

- Availability and suitability for teamwork.

- Master's degree (preferably Ph.D.) in social sciences or policies.

Team experts:

- Thorough knowledge of human development issues and of the specific areas under evaluation.

- Expertise in evaluation and/or research, including methods and techniques of data collection, interviews, and qualitative and quantitative analysis.

- Graduation (preferably master's degree) in courses related to the areas under evaluation.

- At least five years of professional experience in the areas to be evaluated.

- Excellent analytical skills.

- Availability and suitability for teamwork.

- Knowledge concerning the cross-cutting issues of gender equality, race, and ethnicity.

The evaluation team will conduct its work according to the Evaluation Rules and Standards of the UN Evaluation Group and will comply with the Code of Ethics.[111]

7. EXPECTED OUTPUTS

Inception report (up to 15 pages):

- design, methodology, evaluation matrix (evaluation criteria and questions, relevant indicators, information sources, methods of data collection, coding for qualitative analysis), sample of projects, programmes, and non-project activities, indicating the regions to be visited (maximum 5), the evaluation process, the division of labour between the evaluation team and updated schedule;

Main analytical report:

- evaluation outcomes, conclusions and recommendations (maximum of 50 pages, excluding annexes), together with an audit trail showing how the comments were taken into account. A PowerPoint presentation to show the evaluation results in the meeting with the members and respective meeting report.

Evaluation summary (2 pages):

Presentations in information sessions, if necessary, and at the stakeholders meeting.

Note: The evaluation process will last about eight months; however, there will be a continued involvement of the team throughout this period (but at specific times and according to the estimated number of days).

Table of Products, Payments, and Delivery Dates (See Calendar)		
Products	**Payments**	**Delivery Date**
Inception report (design)	30%	10 days after initial mission
PowerPoint presentation of preliminary results and recommendations – Debriefing	20%	7 days after main mission
Evaluation report (first draft)	40%	30 days after mission
Final evaluation report	10%	

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[111] <unevaluation.org/unegnorms> and <unevaluation.org/unegstandards>.

8. TIME-FRAME

Activity	Dates
ToR conclusion and team recruiting & admission	June/July
Evaluation design mission	December 13-17
Preparation of design report	December 20 to January 7-14
Design report sent to the Evaluation Office	January 7-14
Comments from Evaluation Office, country office, advisory panel, reference group	January 21
Data collection, interviews, focus groups	Jan/Feb
Analysis	March 14-18
First version of report sent to the Evaluation Office	April 11
Comments from the Evaluation Office and national external experts (advisory panel)	April 18
Second version of report sent to UNDP Brazil and to RBLA	April 25
Comments from UNDP Brazil, RBLA	May 9
Third version sent to the Government (reference group)	May 18
Comments from the Government (reference group)	June 1
Fourth version revised for presentation in the workshop with stakeholders	June 15
Workshop with stakeholders in Brasília	June 22
Final version	Late June
ADR and CPD presentation in the executive board	September 2011

Online Resources:

UNDP

Evaluation Resource Centre (UNDP) – Online evaluation reports

<erc.undp.org/index.html>

UNEG

Evaluation Norms and Standards

<unevaluation.org/unegnorms>
<unevaluation.org/unegstandards>

UNDP Brazil

Brazilian Institute for Geography and Statistics

National Institute for Applied Economic Research

OECD/DAC

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Annex 3

PEOPLE CONSULTED

FEDERAL GOVERNMENT

BRAZILIAN COOPERATION AGENCY (ABC)

Minister Marco Farani, Director

Márcio Corrêa, Manager of General Coordination of Multilateral Technical Cooperation Received – CGRM

Renalva Miranda, Project Manager

Alessandra Ambrosio, Manager of Multilateral Cooperation Programmes

SENIOR OFFICIALS

Romulo Paes de Sousa, Executive Secretary, Ministry of Social Development

Francisco Gaetani, Executive Secretary, Ministry of the Environment

Líscio Fábio de Brazil Camargo, Sub-Secretary for Corporate Affairs of the National Treasury Secretariat and Project Director, STN/MF

Ana Fonseca, Special Secretary for the Eradication of Extreme Poverty, Ministry of Social Development

PROJECT MANAGERS

Silvio Isopo Porto, Project Manager, Conab – National Agency for Supply

Eduardo Soares, Adviser, Conab – National Agency for Supply

Marcela Nunes Menezes, Coordinator, FUNAI – National Indian Foundation

João Francisco Amaral, UGP Manager, FUNASA – National Foundation for Healthcare

Francisco Gaetani, Adviser, FUNASA

Regina Coeli Pimenta de Melo, General-Coordinator, MS – SVS – Secretariat for Health Inspection

Maria de Jesus Cardoso de Araújo, Adviser, MS – SVS – Secretariat for Health Inspection

Antônia Rangel, Project Manager, Ministry of Culture (MinC)

Frederico Carelli Brito, Adviser, Ministry of Culture (MinC)

Patrícia Franco, Adviser, Ministry of Culture (MinC)

Fábio Eduardo de Mello Cunha, Director, Ministry of National Integration (MIN)

Sergio Castro, Adviser, Ministry of National Integration (MIN)

Luana Roncaratti, Adviser, Ministry of National Integration (MIN)

Adriana Alves, Adviser, Ministry of National Integration (MIN)

Verônica Castro, Adviser, Ministry of National Integration (MIN)

Elcione Diniz Macedo, Director, Ministry of the Cities

Gilberto Koji Nagata, Coordinator, Ministry of Land Development (MDA)

Patrícia Ribeiro, Assessor, Ministry of Land Development (MDA)

Ana Lúcia Tostes de Aquino Leite, Coordinator, Ministry of Environment (MMA)

Eduardo Antunes de Paiva, Deputy Coordinator of the National Environment Program – PNMA, MMA

Flora Cerqueira, Director, Office of Institutional Articulation and Environmental Citizenship, MMA

Luiz Rodrigues Oliveira, Coordinator, MMA

Robert Miller, Coordinator, MMA

Nazaré Lopes Bretas, Project National Director, Ministry of Planning, Budget, and Management (MPOG)

Corinto Meffe, Adviser, Ministry of Planning, Budget, and Management (MPOG)

Pehkx Jones, Citizen Safety Project Manager, Federal Police

Maria do Carmo Rebouças da Cruz, Project Manager, Special Secretariat for Human Rights (SEDH)

Orlando Amantea Neto, Assistant, Ministry of Revenue/STN

Antônio de Pádua F. Passos, Project Director, Ministry of Revenue/CODIV/STN

Divina Andrade, Department for Cultural Promotion and Investment, Ministry of Foreign Affairs

Luciana Reigota Naves, Adviser, Ministry of Foreign Affairs

Valéria C. Allemand Cotia, Adviser, Ministry of Foreign Affairs

CIVIL SOCIETY ORGANIZATIONS

Malak Poppovic, Managing Director, Conectas

Donald Sawyer, Founder and Assistant, ISPN NGO

OTHERS

Letícia Pinheiro, Professor, International Affairs Institute, PUC-RJ

Marcel Bursztyn, Professor, Universidade de Brasília

Juliana Barroso, Sub-Secretary of Education and Prevention Programmes, Safety Department of Rio de Janeiro State

Ignacio Cano, Professor, University of Rio de Janeiro State (UERJ)

José Carlos Libânio, Consultant, Former UNDP employee (Responsible for HDI project in Brazil between 1995-2006)

INTERNATIONAL AGENCIES

Helder Muteia, Resident Representative, FAO

Gustavo Chianca, FAO

Maurício Meirelles, FAO

Lucimar Coser, Programmes Analyst, WHO

Rebeca Tavares, Resident Representative, UN Women

Cristina Montenegro, Coordinator of Environment Department, UNEP

Vincent Defourny, Resident Representative, UNESCO

Harold Robinson, Resident Representative, UNFPA

Bo Matiassan, Resident Representative, UNODC

UNDP

Jorge Chediek, Resident Representative

Kim Bolduc, Resident Representative (2006-2009)

Arnoud Peral, Associate Resident Representative

Lucien Munhoz, Resident Representative, a.i., (2003-2005)

Carlos Castro, Coordinator, Environment and Development Unit

Rosenely Diegues Peixoto, Programme Officer, Environment and Development Unit

Maria Celina Arraes, Coordinator, Strategic Planning Unit and Capacity Development

Ana Rosa Monteiro Soares, Programme Officer, Strategic Planning Unit and Capacity Development

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Aline Briseno, Programme Assistant, Strategic Planning Unit and Capacity Development

Maristela Baioni, Coordinator, Unit for Democratic Governance and Poverty Fighting

Érica Machado, Programme Officer, Unit for Democratic Governance and Poverty Fighting

Moema Dutra Freire, Programme Assistant, Unit for Democratic Governance and Poverty Fighting

Daniel de Castro, Communication Analyst, Unit for Democratic Governance and Poverty Fighting

Caroline Fernandes, Coordinator, Finance Unit

Ananda Dantas Osório, Assistant, Coordinator, Operations Unit

Adelina Paiva,   Head of Purchasing Unit

Daniel Scott, Legal Analyst

Daniel Furst, Programme Officer, South-South Cooperation

Flavio Comim, Consultant, National Human Development Report

SAMPLE OF PROJECTS AND NON-PROJECT ACTIVITIES

It was not possible to conduct interviews related to some projects of the sample below, due to difficulties in locating the person to be interviewed. However, it was possible to consult documents and/or evaluations found on the projects. This occurred with two projects in the state modernization area (BRA03039 and BRA03029), and three in the social policy and inclusion area (BRA03015, BRA05018, BRA03036). In the environment area, three projects (BRA02011, BRA99G32, and BRA02G31) were excluded from the sample due to lack of information for analysis. All of these projects were already financially closed. Finally, seven activities related to the non-project category, besides the two that were originally set were included in the sample.

SAMPLE OF PROJECTS AND NON-PROJECTS

Area: Social and Inclusion Policies								
Project #	Project Name	Budget Used	Year Start	Year End	Project Status	Implementation Partnership	Loca-tion	Modal-ity
BRA03015	Qualification in Social Management	$901,714.73	2003	2011	Financially Closed	Municipal Department for Social Welfare and Develop-ment	São Paulo	NEX
BRA05018	Evaluation and Improvement of the Social Policy in the State of São Paulo	$1,125,438.74	2005	2010	Financially Closed	Municipal Department for Social Welfare and Develop-ment	São Paulo	NEX
BRA03036	Basic Education and Digital Inclusion in Paraná	$31,763,606.32	2003	2009	Financially Closed	Education Department of the State of Paraná	Curi-tiba	NEX
BRA04024	Socioeconomic Devel-opment Project for Underdevelopment Regions in the North-east of Brazil	$701,141.30	2005	2011	On-Going	Ministry of National Integration	Brasília	NEX
BRA04056	Strengthening of the Actions on Indigenous Health and Sanitation in Remaining Quilom-bola Communities	$5,290,161.90	2004	2010	On-Going	National Foundation for Healthcare	Brasília	NEX
BRA04028	Project for Support to the *Bolsa Família* Social Programme – Phase I	$5,587,720.11	2004	2011	On-Going	Ministry of Land Development	Brasília	NEX
BRA04048	Modernization of the National System for Health Inspection – Vigisus II	$17,013,830.63	2005	2010	On-Going	Secretariat for Health Inspection – SVS (Ministry of Healthcare)	Brasília	NEX

Jurisdiction: ☐ Municipal ☐ State ☐ Federal

Area: **Public Safety and Human Rights**								
Project #	Project Name	Budget Used	Year Start	Year End	Project Status	Implementation Partnership	Loca-tion	Modal-ity
BRA07019	Strengthening the Special Secretariat for Human Rights to work on new themes	$486,108.27	2007	2010	On-Going	Special Secretariat for Human Rights	Brasília	NEX
BRA04051	Cultura Viva Project	$7,314,126.30	2004	2010	On-Going	Ministry of Culture	Brasília	NEX
BRA04029	Security for Citizenship	$8,480,708.70	2004	2011	On-Going	National Department for Public Safety	Brasília	NEX
BRA05H01	SUR – Human Rights Network 2005	$983,106.89	2005	2009	On-Going	SUR – Human Rights Universi-ties Network	São Paulo	NEX

Jurisdiction: ☐ Federal ☐ NGO/Other Public Institutions

Area: State Modernization								
Project #	Project Name	Budget Used	Year Start	Year End	Project Status	Implementation Partnership	Loca- tion	Modal- ity
BRA05035	Modernization of Strategic and Operational Man- agement Capacities of the São Paulo Mayoral Office	$89,731.72	2005	2009	Financially Closed	City Hall of the city of São Paulo/ PRODAM	São Paulo	NEX
BRA03038	Modernization of Tax and Financial Administration of the Revenue Department of the State of São Paulo	$12,079,450.16	2004	2009	On-Going	Revenue Depart- ment of the State of São Paulo	São Paulo	NEX
BRA03039	Modernization of Tax Administration of the State of Goiás	$2,672,430.19	2004	2008	Financially Closed	Revenue Department of the State of Goiás	Goiânia	NEX
BRA06023	Strengthening of the Management Capacity of the Ministry of Plan- ning, Budget, and Management	$84,506.89	2006	2009	Financially Closed	Ministry of Planning, Budget, and Management	Brasília	NEX
BRA03029	Strengthening the Management Capacity of the Office of the Presidency of Brazil	$293,409.26	2003	2006	Financially Closed	Management Department of the Presidency	Brasília	DEX
BRA06024	Monitoring Pilot Project for Investment Projects of the Federal Government	$1,115,189.83	2006	2010	On-Going	Ministry of Finance/National Treasury Depart- ment – COAPI	Brasília	NEX
BRA01007	Project for Strengthening of Tax and Financial Management	$3,704,770.80	2001	2008		National Treasury Department of the Ministry of Finance and Department of Planning and Strategic Invest- ments of the Ministry of Plan- ning, Budget and Management	Brasília	NEX
BRA99031	Enhancing the Competitiveness of Brazilian Companies Through Export and Investment Promotion	$13,541,680.39	2000	2009		Ministry of Foreign Affairs	Brasília	NEX
BRA04022	National System for City Information	$1,210,135.39	2004	2008	Financially Closed	Ministry of the Cities	Brasília	NEX

Jurisdiction: ☐ Municipal ☐ State ▨ Federal

Area: Environment

Project #	Project Name	Budget Used	Year Start	Year End	Project Status	Implementation Partnership	Loca-tion	Modal-ity
BRA09G32	Catalyzing the Contribution of Indigenous Lands to the Conservation of Brazil's Forest Ecosystems	$87,769.10	2008	2009	On-Going	Ministry of Environment	Brasília	NEX
BRA06010	Consolidation of Public Policies for Strengthening Family Farming as Centre of Sustainable Development	$5,321,075.67	2006	2011	On-Going	Ministry of Land Development	Brasília	NEX
BRA00022	Support for Sustain-able Development Public Policy	$8,749,807.48	2001	2010	On-Going	Ministry of Environment	Brasília	NEX
BRA03034	Revitalization Project of the National Agency for Supply	$13,086,760.38	2003	2010	On-Going	Conab – National Agency for Supply	Brasília	NEX
BRA00013	Support for Public Policies in the Environmental Area – Sub-project III	$6,523,329.27	2000	2010	Concluded	Ministry of Environment	Brasília	NEX

Jurisdiction: ☐ State ☐ Federal

Area: South-South Cooperation

Project #	Project Name	Budget Used	Year Start	Year End	Project Status	Implementation Partnership	Loca-tion	Modal-ity
BRA09008	Capacity Support for South-South Cooperation	$675,741.00	2009	2010	On-Going	DEX–UNDP	Brasília	DEX
BRA04044	Implementation of CTPD projects and activities with Latin America, Africa, and the CPLP	$5,986,956.40	2004	2009	On-Going	TCDC/ABC-Coordination of Technical Cooperation for Developing Countries of ABC	Brasília	NEX

Jurisdiction: ☐ UNDP ☐ Federal

Area: **Non-Projects**								
Project #	Project Name	Budget Used	Year Start	Year End	Project Status	Implementation Partnership	Loca-tion	Modal-ity
BRA06018	Project Development and Dissemination of Products for Human Development	$473,494.39	2006	2008	On-Going	UNDP	Brasília	DEX
BRA08013	Project to Support a Supplementary Adjustment Signed between UNDP and MPOG	$258,728.94	2008	2009	On-Going	Ministry of Planning, Budget, and Management	Brasília	NEX
	MDGs Portal				On-Going	Observatory of Sustainability Indicators, Sesi programme of Paraná state, Fiep System and Promotion and Development Institute	Curitiba	
	MDGs Award				On-Going	IPEA	Brasília	
	MDGs Manual				On-Going	City Halls		
	Nuclei "we can"				On-Going	City Halls		
	Sports Network for Social Change				On-Going	Nike	Rio de Janeiro	
	Information Portal for members of the State Attorney Office				On-Going	State Attorney Office	Brasília	
	Online course to spread a project management model named "management by results".				On-Going	Brazilian Inspectorate-General, Ministry of Planning and Finance Administration School	Brasília	

Jurisdiction: ☐ UNDP ☐ Federal

Annex 5

EVALUATION MATRIX

Criteria/ Subcriteria	Main Issues	Attention Focus	Source	Data Collection Methods
Results by Thematic Area				
PROGRAMMATIC RELEVANCE				
Relevance of goals	• Are UNDP activities relevant to the national strategies? By different projects or other cooperation means? • Are the interventions consistent with the human development challenges and with UNDP mandate?	• In compliance with UNDP actions and goals and national strategies, the country goals and UNDP mandate.	• Reference Group • PRODOCs • PPAs • CCF, CPD, CCA. UNDAF • Partners´ survey	• Document analysis • Individual interviews
Relevance of approaches	• Are the approaches, resources, used models and the conceptual framework appropriate to reach the expected outcomes?	• Adequacy level of the concrete strategies of intervention against the problems and the country reality	• PRODOCs • PPAs • CCF, CPD • Partners´ survey	• Document analysis • Individual interviews
Coverage	• What is the scope of the results (local, regional, national)?	• Level of territorial balance of UNDP actions	• PRODOCs • CCF, CPD	• Document analysis
Actions towards fight against poverty and promotion of equality	• Who are the main direct and indirect beneficiaries (poor, not poor, vulnerable groups)?	• To what extent UNDP actions reach the neediest groups	• PRODOCs	• Document analysis
EFFECTIVENESS				
Progress related to the achievement of expected outcomes	• To what extent has the UNDP programme met the goals set and has helped to achieve the expected short- and long-term outcomes? • What are the main factors that explain whether or not the outcomes were achieved? • Has UNDP helped to trigger changes that might come up in the long term?	• Identify the concrete effects, comparing them with the planned outcomes. • Identify factors (UNDP weaknesses and strengths) that influence the quality of the results.	• PRODOCs • Evaluation reports • CCF • CPD • Beneficiaries • Implementing agencies • Partners´ survey • Media	• Document analysis • Individual interviews
Generation of unexpected results	• To what extent were there indirect or unexpected outcomes, both positive and negative, and how were they managed by UNDP?	• Identify unexpected effects and the ability of UNDP to identify and reduce them if negative	• Beneficiaries • Non-beneficiaries' groups • Implementing agencies • Results of evaluation reports • Media	• Individual interviews • Focus groups, if possible • Document analysis

Criteria/ Subcriteria	Main Issues	Attention Focus	Source	Data Collection Methods
Results by Thematic Area				
EFFICIENCY				
Management efficiency	• Are the funds, rules and internal corporate procedures (information systems) proportional and appropriate to generate the results? Are they compatible with the national context? • Is UNDP's financing model efficient and sustainable from a financial perspective? • Are the programmes implemented according to the schedule and within anticipated costs? • What are the obstacles to meeting the schedule and the budget? • Have UNDP and the respective partners taken decisions promptly to solve implementation problems?	• Relationship between management systems and outcomes achievement • Check if the financing and implementation model (NEX) is in compliance with the principles of the cooperation efficiency followed by UNDP	• Implementing agencies • UNDAF • Information management systems of UNDP including SAP and Atlas • UNDP employees	• Document analysis • Individual interviews
Programmatic efficiency	• Has UNDP effectively used its resources (human and financial) to make a contribution to the development results? • Are there synergies between the different UNDP actions that contributed to cost reduction but at the same time kept searching for outcomes?	• Relationship between human and financial resources existing and the quality and comprehensiveness of the outcomes • Use of the accumulated experience to improve programmatic efficiency	• Partial and final reports of projects • UNDP financial reports • Implementing agencies • UNDP employees	• Document analysis • Individual interviews
SUSTAINABILITY				
Design for sustainability	• Were the interventions planned to have sustainable effects over time, taking in consideration the risks identified? For example, were exit strategies included in the interventions?	• Check if the projects are designed so the effects of interventions are sustainable	• PRODOCs • UNDP employees	• Document analysis • Individual interviews
Sustainability of effects	• Are the benefits of UNDP interventions sustainable over time?	• Analyse to what extent the intervention effects have survived over time. Focus: projects already concluded	• Beneficiaries • Implementing agencies • Media	• Individual interviews • Statistical data • Document analysis
Pilot initiatives	• In case of pilot initiatives already replicated, were they done so effectively? • If these initiatives were not replicated, was there a diffusion strategy of the lessons learned?	• Identify pilot initiatives and to prove what happened to them, once completed	• Implementing agencies • UNDP employees	• Document analysis • Individual interviews
Capacity building	• Has the country already developed its own capacity (human, financial, and technical) so that UNDP can plan its exit or change its role?	• Identify the role of international cooperation agencies in mid-income countries	• Reference Group • UNDP employees • Academics • Implementing agencies	• Individual interviews • Data on professionalization of public employees and financial indicators of the country

Criteria/ Subcriteria	Main Issues	Attention Focus	Source	Data Collection Methods
Analysis of Cross-Cutting Issues: Gender, Race/Ethnicity, Governance				
Gender and race/ ethnicity	• To what extent are gender and race/ethnicity issues mainstreamed in the programmes (at the level of design, budget and implementation)?	• Check if the considerations of gender or race/ethnicity are included in the different subject areas, describe its shape and its main results	• Beneficiaries • Implementing agencies • Documents of programmes and of public policies • PRODOCs	• Individual interviews • Analysis of aggregated data • Document analysis
Governance	• Are there transparent rules and procedures for planning and management of government programmes/policies that relate to projects/actions analysed in the thematic area? • Are the rules and procedures to implement the policies transparent and broadly publicized? What is the level of formalization/ institutionalization and transparency? What is the degree of transparency and disclosure of the programme outcomes?	• Check for rules and procedures, institutionalized and transparent, for planning, implementation, and management of the policies referred related to the projects in the several thematic areas and UNDP's contribution to the output.	• Beneficiaries • Implementing agencies • Documents of programmes and of public policies • Media	• Individual interviews • Document analysis • Internet
Analysis of UNDP Strategic Positioning				
GLOBAL RELEVANCE				
Relevance to national challenges and development priorities	• To what extent has UNDP supported the development priorities and national strategies? • To what extent has UNDP facilitated the implementation of national development strategies and played a complementary role to the Government?	• Analyse UNDP programme in its entirety (non-specific projects). To give special emphasis on non-projects, i.e., political dialogue, advocacy, etc.	• Implementing agencies • PPAs • CCF • CPD	• Document analysis • Individual interviews
Relevance of programmatic approaches	• Was there a balance between macro-level interventions (focused on the federal Government and national policies) and micro-level interventions (focused on communities and local institutions)? And between the capital and the regional and local levels? • What were the scope and range of the results in terms of geographical coverage and target groups? • Were the scope and range in compliance with the principles of equality and poverty reduction sought by UNDP?	• Analyse the correspondence between the groups that actually benefited from UNDP contribution and the groups part UNDP mandate goals • Check if UNDP programmes were able to reach these groups • Check the range of geographic coverage of UNDP actions	• Implementing agencies • PRODOCs • CCF, CPD • Media • Projects reports	• Document analysis • Individual interviews

Criteria/ Subcriteria	Main Issues	Attention Focus	Source	Data Collection Methods
Analysis of UNDP Strategic Positioning				
RESPONSIVENESS				
Responsive-ness	• To what extent has UNDP has responded to changes in the national and, specifically, to the urgent demands of its partners? • Was UNDP able to respond to these demands and changes in the country context while maintaining its focus and strategic direction? • How balanced are the short-term demands of the Government with the long-term goals of development?	• Analyse how fast the responses are given and the adequacy of the responses to the demands • Check to what extent answering the ad-hoc demands resulted in changing the course of UNDP medium-term strategy	• CCF, CPD • Implementing agencies • Reference Group	• Document analysis • Individual interviews
ADDED VALUE AND COMPARATIVE ADVANTAGES				
Value added	• What has been UNDP's added value as a development partner in general and what is its contri-bution to the elaboration of public policies? • Has UNDP's intervention had any unexpected displacement effect, for example, excluding other partners? What was the result of this action?	• Identify and evaluate the niche/position filled by UNDP as a development partner of the Government • Check how far the place filled by UNDP has negatively affected the position of its partners	• Implementing agencies • Reference Group • UN agencies	• Individual interviews
Comparative advantages	• What have been UNDP main comparative advantages as a development partner? Were they maximized?	• Identify UNDP's strengths and the areas in which it excels	• Implementing agencies • Reference Group • UNDP office staff	• Individual interviews

Criteria/ Subcriteria	Main Issues	Attention Focus	Source	Data Collection Methods
Analysis of UNDP Strategic Positioning				
PROMOTION OF UN VALUES IN HUMAN DEVELOPMENT (gender, race, indigenous rights and, equality)				
Human rights	• What role has UNDP played as an important partner of the national authorities in the dialogue on human rights and politically sensitive matters?	• Identify examples of effective contributions • Perception from authorities • Media perspective	• Reference Group • Implementing agencies • Academics • Media • Blogs • Civil society • PRODOCs • ROARs	• Document analysis • Individual interviews
Gender equality	• What role has UNDP performed in the policies concerning gender equality? • To what extent has UNDP supported the positive exchanges concerning gender equality in the elaboration of public policies? Was there any unexpected effect?	• Level of incorporation of gender equality in UNDP interventions	• PRODOCs • CCF, CPD • UNDP staff • Civil society implementing agencies • Academics	• Document analysis • Individual interviews
Racial and ethnic relations	• What role has UNDP performed in the policies concerning racial and ethnic equality? • To what extent has UNDP supported the positive exchanges concerning racial and ethnic equality in the elaboration of public policies? Was there any unexpected effect?	• Level of incorporation of racial and ethnic equality in UNDP interventions	• PRODOCs • CCF, CPD • ROARs • Reference Group • Parliament • UNDP staff • Implementing agencies • Civil society • Academics	• Document analysis • Individual interviews
Equality	• To what extent has UNDP taken into account the needs of the most vulnerable groups and marginalized sectors to contribute to reducing social inequality?	• Map the target groups of UNDP programme • Perception from civil society and government	• PRODOCs • CCF, CPD • Evaluation reports • Implementing agencies • NGOs • Academics • Media • Blogs	• Document analysis • Individual interviews

Criteria/ Subcriteria	Main Issues	Attention Focus	Source	Data Collection Methods
Analysis of UNDP Strategic Positioning				
PARTNERSHIPS AND SOUTH-SOUTH COOPERATION				
Use of networks	• To what extent has UNDP used its global network to find effective solutions to problems and challenges of the country? • If UNDP has used its global network, how was it done (experts, contacts, etc.)?	• Identify examples of how its global network was used • Contrast with the government's perception	• UN Agencies in Brazil • Implementing agencies • UNDP country office • ROARs • Evaluation reports	• Document analysis • Individual interviews
Use of experiences	• To what extent has UNDP learned from the experiences of their current and potential partnerships (resources, technical capacity) to increase the efficiency and effectiveness of its interventions?	• Identify examples where the experiences were used and analyse its effects to achieve results	• UNDP agencies in other countries • UNDP country office • Implementing agencies	• Individual interviews
Partnerships	• How useful were the partnerships at the operational and strategic level as well? • To what extent will these partnerships maximize the scope and quality of the outcomes?	• Identify types of partnerships (public, private sector, civil society) and evaluate the logic of partnerships and its practical use	• UNDP partnerships • Reference Group • Implementing agencies • Civil society and private sector players • Academics • ROARs	• Document analysis • Individual interviews
South-South cooperation	• To what extent has UNDP helped the Brazilian Government to seize the opportunities from South-South cooperation? • What is UNDP's role in the implementation of programmes and projects of South-South cooperation? • What are the effects of UNDP's performance? What could be done differently?	• Identify examples of South-South cooperation that count on UNDP participation • Contrast UNDP view with the Government's perception	• PRODOCs • CCF, CPD • ABC staff and managers • UNDP country office	• Document analysis • Individual interviews
UNDP CONTRIBUTION TO UN SYSTEM COORDINATION				
Coordination	• What was UNDP's contribution to UN system coordination? • Has UNDP promoted the development of joint programmes and projects? Have these contributed to increase the value of UN agencies participation and to avoid duplication?	• Identify coordination examples and locate UNDP's role • Contrast UNDP's views with perceptions of UN and government agencies	• UN agencies in Brazil • Reference Group • UNDP country office • Implementing agencies • UNDAF • UNDP annual reports	• Document analysis • Individual interviews
PROMOTION OF UN VALUES AT THE UNDP COUNTRY OFFICE IN BRAZIL				
Gender equality	• Were there institutionalized systems and mechanisms at the country office? Were they effective?	• Identify examples of mechanisms • Map opinions and perceptions	• UNDP country office	• Individual interviews • UNDP staff
Racial and ethnic relations	• Were there institutionalized systems and mechanisms at the country office? Were they effective?	• Identify examples of mechanisms; identify opinions and perceptions	• UNDP country office	• Individual interviews • Survey already done with UNDP staff