

Avaliação de Políticas Públicas e Programas Governmentais: Fundamentos e Modelos

Book launch May 24 2024

ENAP, Brasília

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aLektionerTalAllaSveEng/15_2024/Brasilia20240525/BookLaunchENAP_v07

Evaluation a new field of study lacking special departments in Western universities

Taught in several other disciplines like

Economics, Business economics, Sociology, Psychology, Education (Pedagogics), Cultural Geography, Political Science

Professional schools like Social work, Public Health, Engineering

Therefore, wide variety of models, approaches & methods

In Political science, associated with democracy

1 Representative democracy

2 Direct democracy, referendums

3 Deliberative democracy, democracy by serious discourse, discussion

Minimal definition of evaluation

[= policy evaluation, = program evaluation

= project evaluation, = practice evaluation; public or private]

Evaluation:

the *activity (process)* of careful assessment of
the merit (value) of content, implementation
(administration, output), effects, and organization of
ongoing or abolished inter-ventions (public or
private),
and the resulting *product* of this activity,
both of which are intended to play a role in future,
practical action situations (use, utilization).

3 Interventions = evaluation objects = evaluands

Inter-vention

inter = latin: between; international = between nations

vention, latin: venire = to come

French je viens, tu viens, il vient, nous venons vous venez, ils viennent

Intervention = a between-coming, coming between, something performed by humans for a purpose

Examples of interventions:

Reforms (e.g. a pension reform)

Policy, policies (e.g housing policy of Finland)

Programs, Projects, Service practices= teachers in schools, eldercare

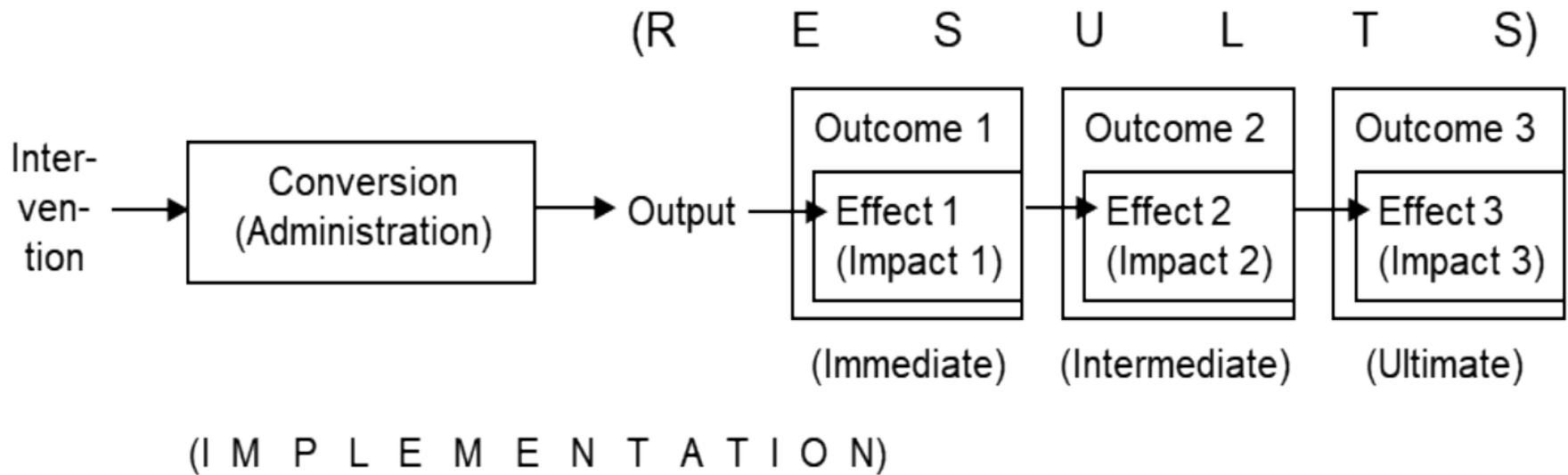
Intervention theory as analysis tool

Intervention theory: 10 parts (1-10),

- 1 Intervention (evaluand): decision content, effectuating factors, initial conditions**
- 2 Implementation: top implementers**
- 3 Implementation: intermediary implementers**
- 4 Implementation: street-level operators**
- 5 Output activities by street-level operators**
- 6 Outcome, primary: targets (addressees, participants, clients)**
- 7 Outcome, secondary: targets (addressees, participants, clients)**
- 8 Outcome, intermediary, live in tents, use blankets**
- 9 Outcome, final (end states, that are good, "better living conditions")**
- 10 Connections (links) between 1 through 9, marked by causal arrows (this turns interventions into theories)**

No contexts in this figure

Intervention theory drawn (designed) according to the system model input-conversion-output-outcome etc



Several Models (Ways of Doing) of Evaluation

I Substance Models

A Goal-oriented

1. Goal–attainment (Effectiveness)
2. Side–effects, intended side effects, unintended side effects

B Problem-oriented

3. Relevance (alleviating the policy's underlying problem)

C Actor-oriented

4. Client
5. Stakeholder
6. Collegial evaluation
 1. Self–evaluation, 2. Peer Review

D Economy Models

7. Productivity
8. Efficiency: cost–effectiveness, cost–benefit

Side effects model as an example

Collateral effects model

Spillover model

External effects model

Unanticipated, unexpected

Not deliberated, not considered, not intended

Happening by chance, unexpectedly, unintentionally

Unwittingly

Inadvertently

Or the other way around

Pedro Álvares Cabral & discovery of Brazil April 22 1500

An unexpected side effect

Goal, very clear: sail to Calicut, India, and back via the Cape of Good Hope

Establish trade relations in India

Return with valuable spices

Government intervention: financed by the monarchs and government of Portugal

Started with 13 ships

Bartolomeus Diaz participated

Reached Brazil, April 22 1500, 582 years ago

Porto Seguro in State of Bahia

Pedro Álvares Cabral & discovery of Brazil April 22 1500

Designed to look like an unexpected side effect to the Pope and Spanish

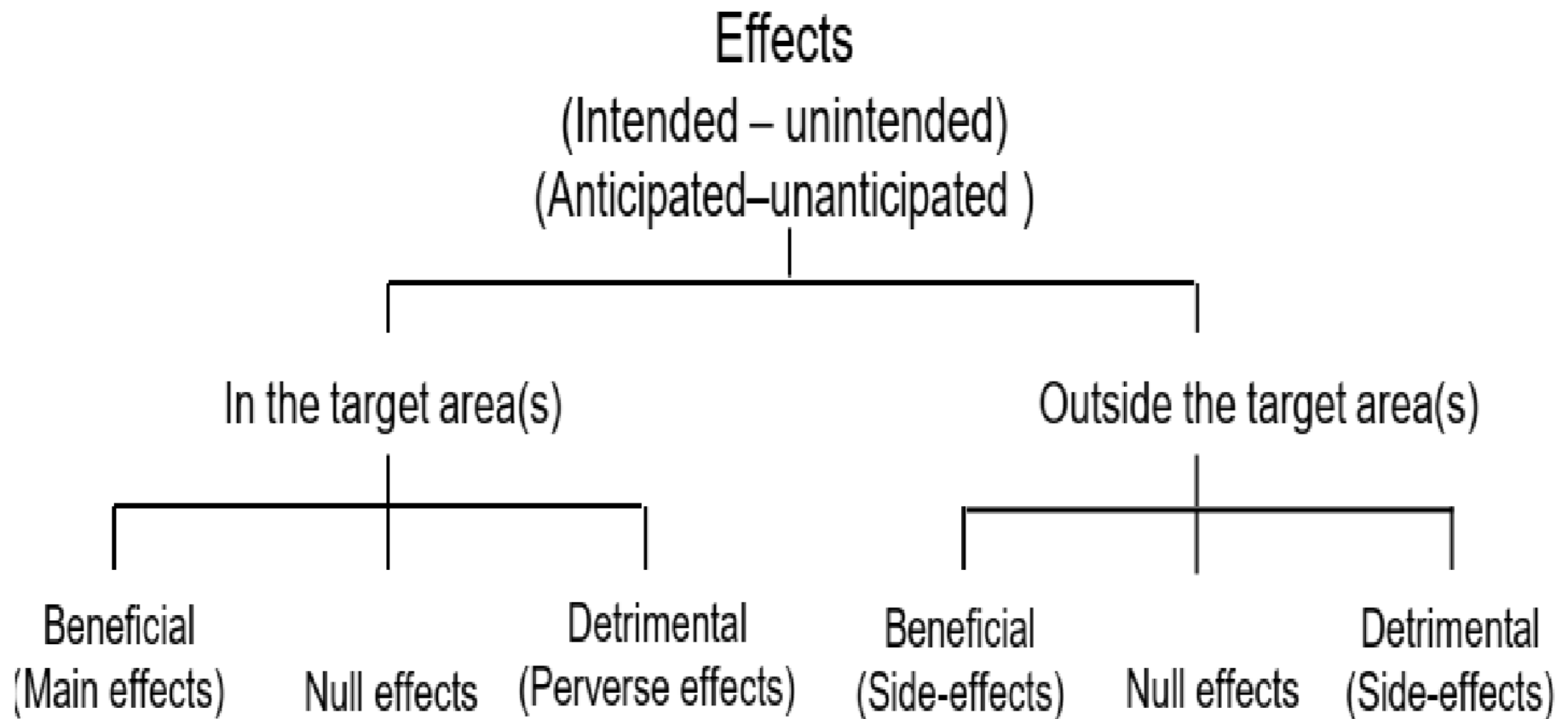
**Probably sighted by Portuguese before 1498 but
broadcasted neither to the Pope nor to the Spanish**

Why? To get a favorable line drawn in the Tordesillas Treaty

April 22 1500 was not a real discovery to the Portuguese

To the world though, it looked like a discovery

Effects Typology



Metaevaluation, something for ENAP?

A Modest Proposal

Metaevaluation (the word) embodies three meanings

1 Evaluation of another evaluation (process, product)

2 Evaluation of the evaluation function in organizations like public agencies and university departments

3 Summary of evaluation findings findings from several evaluations; systematic review; summarizing 15-30 studies on a certain policy instrument for example

Μετα = Greek, after, beyond, higher, behind

ENAP should take an interest in metaevaluation!

My recommendation: Improve students capacity on metaevaluation; capacity to commission metaevaluations to be performed by others

Pros and cons of metaevaluation?

Questions to be asked in metaevaluation?

Which evaluation model is used? Goal-achievement model?

Side effects model? Stakeholder model?

Intervention theory method applied?

Data collection methods?

Usefulness and actual use of metaevaluation in government

Translation, editing, production of *Avaliação de Políticas Públicas e Programas Governamentais*

Translation

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Five evaluation waves 1960 - 2024

- **Wave no 1: Science-driven wave**
- **Wave no 2: Dialogue-oriented wave**
- **Wave no 3: New Public Management (Neo-liberal wave)**
- **Wave no 4: Evidence based wave**
- **Wave no 5: New Public Governance Wave (Collaborative governance wave)**

New Public Governance (Governance)

not

New Public Management NPM

**Cocreation, co-production, collaborative
governance, complexity**

Boundary-crossing composition of the evaluand, i.e., the intervention to be evaluated

Cross-boundary cooperation co-creation

1 Geographical boundaries

Across states in Brazil

Across municipal and regional boundaries in Sweden

2 Institutional boundaries

In the geographical area but belonging to different institutions, health care, education, unemployment, social security

3 Professional boundaries

Economists, educationists, political scientists, jurists with law school diplomas, sociologists, psychologists, architects, surveyors etc etc

4 Budgetary boundaries

Across levels of financial budgets

Generational boundaries maybe

Wave 5 New Public Governance Evaluation

New Public Governance

Cocreation, co-production, collaborative governance, complexity

- 1 Involvement of targets (clients, service users) in the delivery public services
- 2 Co-creation: involvement of several horizontal (vertical also) *public agencies* to collaboratively create new policies and to implement new policies

Umbrella goals: create sustainable jobs

- 3 Co-creation: involvement of *extragovernmentl stakeholders* to collaboratively create new policies and implement new policies

- 4 Implementation of horizontal values into existing vertical policy streams (mainstreaming, integrated policies)

EU four horizontal goals: gender, handicapped people, immigrants, sustainable development

- 5 Generative model of causation (mechanisms approach)

Full version:

Vedung, Evert, 2010,

**”Four Waves of Evaluation Diffusion”, *Evaluation*,
16(3), 263-277**

<http://evi.sagepub.com/content/16/3/263.full.pdf+html>

Abridged version:

Vedung, Evert, 2012, ”Four Waves of Evaluation Diffusion”, *Evaluation Connections* (European Evaluation Society, EES, Newsletter), January 2012, 4-5.

http://www.europeanevaluation.org/images/file/Member_section/Evaluation_connections/2012-01_Connections.pdf

1 Comprehensive purposes question

Irrespective of subject-matter, is the evaluation launched for reasons of

2.1) Accountability (principal—agent)?

2.2) Development (formative, summative)?

2.3) Basic research?

2.4) Potemkin Village? (Grigorij Potemkin)?

Fundamental purposes of evaluation

Accountability purpose, four steps:

- 1 Superiors** delegate to their **subordinates** some tasks that must be done
- 2 Superiors** require subordinates to give account of their performing of these tasks (actions)
- 3 Subordinates** account for their actions back to their superiors
- 4 Superiors** ascertain these accounts and respond by praising, blaming or punishing their subordinates for their actions (hold them responsible)

Ping-pong back and forth, that's accountability