

# EVALUATION REPORT

July 2014

## UNICEF's Upstream Work in Basic Education and Gender Equality 2003-2012

COUNTRY CASE STUDY ■ ■ **Brazil** ■

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## **UNICEF'S UPSTREAM WORK IN BASIC EDUCATION AND GENDER EQUALITY (2003-2012)**

### **COUNTRY CASE STUDY: BRAZIL**

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## PREFACE

Over the past decade, UNICEF has placed increased emphasis on upstream support to national policy, capacity and partnerships to underpin and sustain scaled-up programme delivery. UNICEF's work in the education sector has followed this approach, giving increased attention to upstream activities of this kind. Have these efforts been successful? This evaluation set out to provide an answer to this question by examining UNICEF's upstream work in basic education and gender equality in the period 2003 to 2012.

At the global level, UNICEF's upstream education work entails engagement with governments and partner organizations to set the education policy agenda and leverage the resources required to achieve the goals of the Education For All (EFA) initiative and the Millennium Development Goals relating to education (MDGs 2 and 3). At the national level, UNICEF contributes to development of sector policies, strategies and programmes, and facilitates the national dialogue on education policy and priorities. UNICEF also works with government and partners to mobilize funding sources within a sector-wide national programme framework and to strengthen capacities ensure proper allocation and management of budgets.

The purpose of the evaluation was to examine UNICEF's upstream work in education and assess the extent to which UNICEF has engaged strategically in education sector policy articulation and advocacy. It also assessed how far upstream engagement efforts have supported better policy and practice in the education sector and helped to strengthen systems across the sector. The evaluation was executed in three phases: (i) an in-depth desk review of key concepts, trends and issues around 'upstream work' in education, as well as a review of documents from 14 UNICEF Country Offices; (ii) field-based case studies in Afghanistan, Brazil, Cambodia, and Zimbabwe; and, (iii) a survey among UNICEF Country Office staff, key partners and professionals responsible for education programmes.

The evaluation found that UNICEF's global engagement in upstream work in education has indeed achieved results at the global and country levels. Drawing on its mandate, priorities and experience and through its work on policy dialogue and implementation, UNICEF Brazil focused on drawing attention to needs of populations in remote, disadvantaged areas, and of children at primary and secondary level whose right to education is not being realized. Within these groups, girls are disadvantaged, but ethnic and socio-economic factors are also important vectors of inequality in education. This work has also contributed to significant improvements in key indicators in education and in health. While recognising the good results achieved thus far, the evaluation also makes recommendations for consolidating and further strengthening UNICEF's upstream approach, as well as enhancing the capacity of UNICEF's education specialists to engage effectively in upstream work.



The evaluation was ably conducted by Mokoro Limited. On behalf of the Evaluation Office, I would like to express my appreciation to Alta Folscher for her leadership of the evaluation and to the Mokoro case study team for Brazil consisting of Chris Tanner (Case Study Leader), Muriel Visser (Evaluator). Maria Judith Sucupira Lins enriched the evaluation team with her extensive knowledge of critical education sector issues and national perspectives, as well as making connections with key institutions and interlocutors in Brazil. We are also grateful to colleagues from UNICEF Brazil and their government partners provided invaluable support during field visits. As always, their inputs and cooperation are appreciated.

Lastly, I would like to thank my colleagues in the Evaluation Office for their work on this challenging evaluation. Kathleen Letshabo developed and managed the evaluation throughout, bringing her own expertise in education to bear; Tina Tordjman-Nebe also provided technical support in the early stages of the evaluation; and Celeste Lebowitz and Dalma Rivero provided strong administrative support throughout.

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## ACRONYMS AND ABBREVIATIONS

<b>ABC</b>	Brazilian Cooperation Agency	<b>MIC</b>	Middle Income Country
<b>AIDS</b>	Acquired Immunodeficiency Syndrome	<b>NGO</b>	Non-Governmental Organisation
<b>ANDI</b>	Children's Rights News Agency	<b>NPE</b>	National Plan for Education
<b>BEGE</b>	Basic education and gender equality	<b>ODI</b>	Overseas Development Institute
<b>CBO</b>	Community Based Organisation	<b>OECD</b>	Organisation of Economic Co-operation and Development
<b>CRC</b>	Convention on the Rights of the Child	<b>PAR</b>	Articulated Action Plan (For funding the regular plans of all schools within NPE)
<b>CFS</b>	Child Friendly Schools	<b>PCN</b>	National Curriculum Parameters
<b>CNPDE</b>	National Campaign for the Right to Education	<b>PDDE</b>	Cash Direct to Schools Programme
<b>CO</b>	Country Office	<b>PNAE</b>	National Programme on School Meals
<b>CP</b>	Country Programme	<b>PNAIC</b>	National Pact for Literacy at the Right Age
<b>CENPEC</b>	Centre for Studies and Research in Education	<b>PNATE</b>	National School Transport Programme
<b>DAC</b>	Development Assistance Committee	<b>PNLD</b>	National School Books Programme
<b>ECD</b>	Early Child Development	<b>PT</b>	Partido dos Trabalhadores (Workers' Party)
<b>FNDE</b>	National Education Development Fund	<b>SELO</b>	Municipal Seal of Approval
<b>FNPETI</b>	National Forum for the Prevention of Child Labour	<b>SIGI</b>	Social Institutions and Gender Index
<b>FUNDEB</b>	Fund for the Maintenance and Development of Basic Education and Enhancing the Value of Education Professionals	<b>SEPIIR</b>	Special Secretariat for the Promotion of Racial Equality
<b>GDP</b>	Gross Domestic Product	<b>STD</b>	Sexually Transmitted Disease
<b>GoB</b>	Government of Brazil	<b>TA</b>	Technical Assistance/Assistant
<b>HIV</b>	Human Immune-Deficiency Virus	<b>TOR</b>	Terms of Reference
<b>HQ</b>	Headquarters	<b>TPE</b>	Everyone for Education (national NGO)
<b>IBGE</b>	Brazilian Institute of Geography and Statistics	<b>UN</b>	United Nations
<b>ILO</b>	International Labour Organisation	<b>UNDAF</b>	The United Nations Development Action Framework
<b>INEP</b>	National Institute of Education Research	<b>UNDIME</b>	Union of Municipal Education Managers
<b>KRA</b>	Key Results Area	<b>UNDP</b>	United Nations Development Programme
<b>LACRO</b>	UNICEF Latin America and Caribbean Regional Office	<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organisation
<b>MDG</b>	Millennium Development Goal	<b>UNICEF</b>	The United Nations Children's Fund
<b>MDPPV</b>	Millennium Declaration on Promotion of Peace and Protection against Violence	<b>UPE</b>	Universal Primary Education
<b>MEC</b>	Ministry of Education	<b>UWE</b>	Upstream Work in Education
		<b>WB</b>	World Bank



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The findings and opinions in this report are those of the evaluation team and should not be ascribed to anyone else.



# EXECUTIVE SUMMARY

## BACKGROUND AND PURPOSE OF THE EVALUATION

E.1 This case study on Brazil was conducted as part of the Evaluation of UNICEF's upstream engagement in education, commissioned by the UNICEF Evaluation Office. Case studies also took place in Afghanistan, Cambodia and Zimbabwe. The case studies combine a review of documentation with interviews and field work.

E.2 The focus of the evaluation was UNICEF's contribution to "upstream" work in education in the ten-year period, from 2003 to 2012. The objective was to assess the extent to which UNICEF engages strategically in education sector policy articulation and advocacy at the global and regional levels. The evaluation was also tasked with determining the extent to which upstream engagement efforts translate into desired transformations in education sector policy and practice and national systemic strengthening at country level.

## COUNTRY BACKGROUND – BRAZIL

E.3 Brazil is now the sixth largest economy in the world with a Gross Domestic Product (GDP) of just under US\$2.5 trillion and a 2013 population close to 200 million. With a per capita income of US\$11,540, it is an Upper Middle Income country, but this income is distributed extremely unevenly, with the GINI coefficient still at 0.519 in 2011.

E.4 The 2010 census showed the non-white population to be in the majority for the first time. Brazilians of mainly European descent account for 47.7 percent. Those who classify themselves as mixed race are now 43.1%, while those who said they were black rose from 6.2% to 7.6%. Two million say they are Asian (1%), while 817,000 (0.4%) identified themselves as indigenous. Just under one third are children and adolescents.

E.5 Growing at just under 1 per cent per annum, population should rise to a maximum of 208 million in 2030. The extreme poverty indicated by the GINI coefficient is concentrated amongst the indigenous populations in the West and North; and amongst Afro-Brazilian and mixed-race groups in the Northeast. The vast majority however (84 per cent) live in urban areas, with 30 per cent (57 million) in nine metropolitan areas where 3 million live in extreme poverty. Thus in spite of good progress on key MDGs and profound reforms, inequality – between the rich and the poor, men and women, white and black people and between regions – remains as a central national characteristic.

E.6 With such a large economy Brazil has ample resources of its own and has little need for external financial assistance – indeed it is now a significant provider of aid. Education is an important priority for addressing inequality and supporting the future development of the country. Under the Constitution education and access to free State-provided schools are rights for all 4–17 year olds. Recent years have seen a significant increase in allocation of resources to the sector and considerable progress has been made on access, reaching an enrolment rate of 98 per cent for Fundamental Education (7–14 years). In this context inequality and the poor quality of education are now key issues. Performance and completion are challenges, in particular among disadvantaged groups such as Afro-Brazilian and indigenous people, and in specific geographical areas. Within these groups, girls are particularly vulnerable, but there are also challenges to boys' participation in education.

E.7 The decentralized government system allows the lowest level of government – the municipality – a large degree of autonomy. This also offers opportunities for an agency like UNICEF to work directly with local governments, as well as with national level partners and civil society, to develop effective responses to the issues identified.



## UNICEF IN BRAZIL

E.8 UNICEF has been present in Brazil since the 1950s. The evaluation period covered three country programmes, all with a strong focus on the social sectors (education, health, gender, HIV/AIDS). The later part of the evaluation period saw a fine-tuning of priorities to focus on specifically disadvantaged groups in geographically underserved areas. UNICEF's role evolved from a project focus before the evaluation period, to one that is more programme-based and focuses on providing technical support and high-level advocacy. The Government of Brazil became one of the main funders of the education programme in the more recent period.

## UPSTREAM WORK IN BRAZIL

E.9 The Brazil education portfolio has had a strong upstream focus, with the main interventions summarized in the Table E1. The first four of these were selected as mini-cases and examined through detailed case studies which are discussed in detail in the main report.

E.10 The review of the three Country Programmes and the case studies revealed that upstream work in Brazil has consisted of deliberate efforts to influence national and sub-national education policies, and direct engagement to ensure that the Convention of the Rights of the Child and other global agendas are addressed/incorporated into national policies and disseminated downwards to local level. It also includes ensuring that policies that are formulated at a federal level but which have remained 'dormant' (i.e. they have been approved but not operationalized or translated into strategies) are implemented at local level – for example, by developing specific guidelines and strategies for implementation, strengthening implementation capacity, and lobbying/networking between partners.

## LESSONS LEARNT

E.11 The work included both concrete activities on the ground (in particular at municipal level) that then translate into pressure for a policy response higher up, and studies and data (often using existing data bases with a focus on presenting information in a different/innovative manner) to generate new policy responses. UNICEF has also assisted government to examine key issues with a view to developing new policy responses, and ensured that global goals (CRC, MDGs, etc.) are properly integrated into national policy and programmes at all levels.

E.12 In this context the evaluation identified three main types of approach to upstream work which have characterized the portfolio, namely: a) empirically-based activities with upstream objectives; b) studies and research; and, c) 'classical' upstream work. The case studies further show how Upstream work in Brazil has had three dimensions:

- At central level – informing Federal government policy leading to funding decisions for States and Municipalities
- At local level – getting child rights and related indicators integrated into Municipal government public policy and working mechanisms
- Working with private sector and civil society to get child rights and related messages into institutional approaches and to influence public opinion which in turn impacts on public policy



**TABLE E1**

**Upstream Work in Education in Brazil**

Nature of upstream effort	Outcome/change	Key strategies
Ensuring children are literate at the end of Grade 3	Federal Government develops & implements national programme – National Pact for Literacy at Right Age (PNAIC)	Local initiatives in two north eastern States Establishment of NGO to drive pilot Training of local staff Use of national data for base-line statistics Advocacy at national education meetings Visits by MEC to Ceará and Piauí, subsequent development of PNAIC
Awarding well-performing municipalities – the SELO Municipal ('SELO UNICEF')	Improving social and education indicators (2013 evaluation of SELO)	Mobilize and build municipal capacity Monitoring of progress against indicators Awarding of the SELO to municipalities who perform well
Promoting equitable access to education by addressing racism in schools	Agreement with GoB to disseminate guidelines and indicators to all schools	Analysis of official education indicators to highlight racial equality issues Partner with national NGO, MEC and Special Secretariat for the Promotion of Racial Equality (SEPPIR) to develop racism indicators for schools Develop curricular guidelines for schools Agreement with MEC and SEPPIR to go to scale
Changing how the general public see education through TV/media interventions	Dissemination of messages about education in mainstream media	Advocacy meetings with media organizations Involvement of media in UNICEF events Workshops & training
Developing the 2011–2020 National Education Programme and 2020 Bicentennial Goals	Brazil's National Education Programme adopts Bicentennial goals	Dialogue with government and stakeholders Technical assistance Studies and Situation Analysis
Extending age of compulsory education to all children and adolescents in preschool and upper secondary	2009 Constitutional Amendment extends compulsory education to 4–17 years	2009 Regional Seminar convened by UNICEF in Argentina highlights progress in other countries Post-seminar advocacy leads to Minister of Education presenting a Constitutional amendment to Congress regarding school age
Promoting integral/ Holistic Education with Itaú-UNICEF Award	Strengthened capacity of NGOs to lobby/advocate for policy change	Giving awards to NGOs that implement projects with public schools which promote integral education experience (extending time in school and offering additional learning opportunities)
Identifying adolescent needs, and progress on Children Out of School Initiative	Situation Analysis on Adolescents prepared	Identifying adolescent needs, and progress on Children Out of School Initiative
Increasing public spending on education	Approval by Congress of rising education spending until it reaches 10 percent of GDP.	Advocacy work by UNICEF with NGO partners



E.13 Working in this manner UNICEF used a variety of complementary techniques which have characterized the different types of upstream interventions:

- Direct interaction with local governments
- Promoting inter-sectoral collaboration in pursuit of common goals
- Facilitating participation of local actors in regional and national forums to present results and then advocate for their adoption by central government
- Studies and research, which is an area in which UNICEF's long-standing credibility and competence is widely recognised in Brazil, and taking advantage of the fact that Brazil has strong data collection systems
- With the UNICEF Regional Office, facilitating Brazil's participation in regional forums to disseminate Brazilian initiatives and to expose Brazilian policy makers to trends in neighbouring countries.

## CONCLUSIONS

E.14 The evaluation finds that the portfolio has had a strong upstream impact over the target period. The upstream focus evolved however and became clearer in the second Country Programme (2007–11). Under the current Country Programme the development of a vision and Strategic Action Plan contributed to a stronger vision of upstream work, with goals and indicators for a five-year period.

E.15 The upstream nature of the portfolio is reflected in the fact that practically all of the activities undertaken in the period:

- were conceived with MDG objectives in mind (informed and driven by 'higher-level' goals while responding to local circumstances and needs)

- were discussed and developed in collaboration with a wide range of government and civil society partners
- devoted significant attention not just to capacity-building but also to enhancing political commitment to undertake and implement the activities at all levels
- were taken to higher national levels with support from UNICEF for debate and discussion, resulting in clear impacts on national level policy and programming.

E.16 Through policy dialogue and implementation, UNICEF focused on drawing attention to the needs of populations in remote, disadvantaged areas, and of particular groups/categories of school age children at primary and secondary level whose right to education is not being met. Within these groups, girls are disadvantaged, but ethnic and socio-economic factors are also important vectors of inequality in education. In addition to the policy and programme impact, this work has also contributed to significant improvements on the ground, in key social sector indicators in education and in health.

E.17 Adolescents were a particular point of attention in the more recent period, given the high levels of repetition, drop-out, teenage pregnancy, and vulnerability to violence, child labour, and poverty of certain categories of teenagers. The upstream work in education also very clearly contributed to a shift in attention from a concern with ensuring access to education to a focus on progression through the system, on learning outcomes, and on the contribution of schools to adult life.

E.18 The portfolio of activities examined thus fully met the criteria of the definition of upstream work which was formulated for this evaluation: "UNICEF activities which were intended to have or had a system-wide, sustainable impact on the national capacities of public sector duty bearers in the education sector for fulfilling children's rights, directly or indirectly."



E.19 The portfolio over the evaluation period scores well on all the standard DAC evaluation criteria. The portfolio components addressed clear priorities. Results from UNICEF's activities are illustrated by impressive outcome indicators and adoption of new approaches and programmes which have attracted budget resources from Government and private sources, promoting better integration and functionality between different levels of government and other stakeholders. In terms of efficiency the available data suggest a reasonable trade-off between resources and results, although personnel are over-stretched. The upstream impact of the work is clearly reflected in terms of new policies and programmes which address issues identified by UNICEF. Finally the evaluation considers that sustainability is good given the high political commitment, the integration in government plans, the involvement of civil society as both advocates and implementers of the new approaches, and the fact that key measures are aligned with government processes.

## RECOMMENDATIONS

E.20 The recommendations focus on enhancing the upstream impact in the future. These recommendations focus on the Brazil programme but are also relevant to other UNICEF programmes, which are moving towards a more upstream focus.

### **Recommendation 1: Document experiences of education upstream work in Brazil to inform UNICEF-wide upstream engagement**

E.21 Given the very strong focus on upstream work in the Brazil programme, and the successful way in which it has worked with a wide range of stakeholders to achieve the level of impact and influence on national policy

and programmes, UNICEF is advised to document this experience and extract lessons that can inform and build capacity in other country programmes. UNICEF headquarters should use this to inform its strategy for working with and supporting programmes in middle-income settings.

### **Recommendation 2: Develop a medium to long-term vision of upstream work to guide country programme implementation**

E.22 At present there is no clear strategic plan behind the activities. The evaluation recommends that the office develop a medium to long-term vision of the upstream engagement to explicitly prioritize areas of focus and strategies for the future and to allow for a clearer planning of resources. While this plan should provide guidance it should also leave sufficient room for the kind of flexibility and capacity to react to emerging opportunities that has characterized the interventions to date. This also will influence the profiles and TORs of staff assigned to these activities.

### **Recommendation 3: Identify opportunities for working across thematic areas within the UNICEF office to enhance opportunities for learning and effective resource use**

E.23 UNICEF is acknowledged for having successfully promoted strong inter-sectoral collaboration among external stakeholders. This is reflected in the nature of the activities and in the results and outcomes. However, this is not reflected in the work within the UNICEF office, which continues to be essentially separate. The evaluation recommends that UNICEF use the SELO 'Municipal Seal of Approval' programme – as well as other relevant endeavours – to see how it might offer a common implementing and resource allocation framework across UNICEF core programmes, to maximize synergies and enhance learning.



**Recommendation 4: Provide in-service training in upstream work for present staff, review internal processes, and develop new TORs for future staff**

E.24 Changes within the Brazil office highlight awareness of the role of the office structure and human resource profile for a strong upstream role in a context where partner governments have their own internal technical capacity and sufficient resources. To strengthen its upstream engagement further, existing staff job descriptions and internal processes should be re-assessed so that they can focus more effectively on upstream work; and in-service training on the context, objectives and methodologies for upstream work can be carried out.

**Recommendation 5: Improve the use of monitoring data and ensure that upstream components of the Country Programme are evaluated to contribute decisions on future strategies/engagement**

E.25 Upstream work is being done well in Brazil, but it could be better and there is no in-house system at this point for monitoring and developing conclusions about UNICEF's performance in upstream work, impact and other issues that could help managers engage better at higher levels.

**Recommendation 6: Ensure that upstream work encompasses complementary engagement at higher and lower levels of intervention**

E.26 The specific constitutional set-up of Brazil has allowed a clear upstream approach to take root at local government level, while engaging actively with higher-level national policy formulation. This recommendation is of particular significance for other country programmes, which should seek to engage in both higher and lower levels of intervention that are complementary. In Brazil the upstream focus at local government level has been instrumental in bringing about changes in local government behaviour and approaches. The SELO experience in particular shows that it is possible to do things that allow or encourage local actors to change perceptions and integrate new ways of doing things into their daily working practices. This can be done even in situations where structural constraints get in the way – key issues can be addressed pending more substantive reform by working closely with local government and other relevant stakeholders, engaging with them, building local capacity and skills, promoting an inclusive approach with local residents. This approach may also create the conditions for that reform to take place higher up the scale at a later date.<sup>1</sup>

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<sup>1</sup> See for example Tanner and Bicchieri, forthcoming.



This case study looks at upstream work carried out by UNICEF Brazil in the education sector in 2003 to 2012, and asks whether UNICEF was effective. The upstream education portfolio mainly consists of supporting key GoB priorities, policies and capacities to reduce inequalities, hence UNICEF has a strong focus on partnerships with municipal, state and federal governments, civil society, religious groups, the private sector, the media, and international organizations.



# CHAPTER 1

## INTRODUCTION

This report is one of four country case study reports for the evaluation of UNICEF's upstream engagement in education, commissioned by the UNICEF Evaluation Office. Brazil was selected for a country study to contrast with the other studies for a number of reasons. The country offered an interesting case of a middle income setting, has not benefited from a Sector Wide Approach (SWAP) as in the other three countries, and was also selected to offer a representation of the Latin America and Caribbean Region (LACRO) for UNICEF.

The report is divided into four chapters. This introductory chapter provides a description of the study methodology common to all four Country Case Studies, followed by an overview of the national context in Brazil, including the education and gender context. Chapter 2 describes the UNICEF programme and budget over the period concerned, and Chapter 3 presents the findings of the evaluation; this includes a number of case studies as well as an assessment of the relevance, coherence, factors explaining the results, and sustainability of upstream work. The evaluation's conclusions and lessons learned are presented in Chapter 4. A number of annexes provide details on the evaluation tools, on the analysis that underlies the findings, and on the sources.

### 1.1 EVALUATION FEATURES

The Terms of Reference (TOR) describe the purpose of the evaluation as examining

*"...UNICEF's contribution in "upstream" work in education, to assess the extent to which*

*UNICEF engages strategically in education sector policy articulation and advocacy at the global and regional levels. The evaluation will also determine the extent to which upstream engagement efforts translate to desired transformations in education sector policy and practice, and national systemic strengthening in programme countries." (p5)*

UNICEF's work at the global, regional and country level is included in the evaluation scope. The evaluation period is 2003 to 2012 and the object of evaluation is UNICEF's contribution to upstream work.

The TOR require the evaluation to examine upstream engagement in all four of BEGE's key result areas (KRAs), namely school readiness (KRA1), equitable access (KRA2), education quality (KRA3), and education in emergencies (KRA4). The evaluation looked at UNICEF engagement funded through regular and other resources.

The TOR set a descriptive task for the evaluation, namely to provide an account of UNICEF's



upstream work at the global, regional and country level. In addition, the evaluation was to judge the degree to which UNICEF's engagement produced desired results, using the standard OECD DAC criteria of the relevance, efficiency, effectiveness and sustainability of its engagement, as well its coherence. The evaluation did not engage with the impact of UNICEF's upstream engagement on education outcomes as such, but rather assessed whether the engagement was translating to desired change in education sector policy and practice, and the strengthening of national education systems.

Within this overall scope of the evaluation, the UNICEF Evaluation Office identified six evaluation themes, or areas in which the organisation was particularly interested in the findings, conclusions and lessons learnt, namely: a shared definition of upstream work; positioning for upstream work; upstream work in education in post conflict and emergency situations; external partnerships; UNICEF-wide collaboration; and the capacity of UNICEF and its national partners for upstream work.

## Defining upstream engagement

In order to provide clear criteria for identifying UNICEF activities and results that should be included in the evaluation, the evaluation formalised the definition of upstream engagement as:

*"UNICEF activities which were intended to have or had a system-wide, sustainable impact on the national capacities of public sector duty bearers in the education sector for fulfilling children's rights, directly or indirectly."*

The foundation Theory of Change presents a typology of UNICEF activities and results in terms of national capacities of public sector duty bearers to unpack this definition. Directly or indirectly means that the evaluation included instances where the organisation engaged directly with strengthening national capacities, as well as indirectly, such as through its engagement in the sector at supra-national level or national level through partnerships.

## Evaluation instruments

The key task for the evaluation therefore was to assess the extent to which UNICEF's upstream work between 2003 and 2012 had system-wide, sustainable impacts on education sector laws, regulations, policies and standards and/or affected the systemic capacity of the sector, and whether these impacts were relevant, and achieved effectively, efficiently, and coherently.

The results of upstream work are elusive and therefore hard to measure. While upstream work may coincide with changes in measurable education outcomes such as net enrolment rates, proving causality between these outcomes and upstream work is made difficult by many exogenous variables. That however does not mean that changes on the way to education outcome change cannot be measured, and that links of causality cannot be argued convincingly. The evaluation methodology sought to identify and measure these interim results, through three related instruments, a theory of change, contribution analysis and an evaluation framework.

*Evaluation theory of change:* Theories of change are models created by the evaluator of the micro-linkages or causal path from programme to ultimate outcome, that can be empirically tested (Weiss, 1995). The foundation theory of change for the evaluation is provided in Figure 1.1.

The theory of change includes a categorisation of UNICEF inputs (column 2), actions and outputs (column 3), as well as risks and assumptions. The theory of change applies outcome mapping to enable the measurement of intermediate outcomes through evidence of changes in behaviour, actions and relationships of actors and governments. To systematise this evidence, the evaluation used a typology of the impacts of policy and advocacy work set out in Jones, 2011), to consider five types of upstream impact (column 5). That there is an obvious hierarchy between these dimensions of impact is useful, as it allowed the evaluation to rank the effectiveness of different UNICEF upstream interventions.



*Contribution analysis:* contribution analysis infers causality from the application of a reasoned theory of change verified by evidence. The influence of other factors, exogenous to the programme, is also weighed and considered. This method of analysis was used to assess the degree to which UNICEF inputs (funding, capacities, approaches, strategies, policies) and outputs contributed to the achievement of the intermediate outcomes as evidenced by upstream impact, through the links or pathways identified in the theory of change.

*The Evaluation Framework:* the evaluation framework turned the theory of change into a set of evaluation questions, linked to the evaluation criteria, and defensible judgement criteria, which were to be applied transparently to argue evaluation findings and conclusions. It also set out valid evidence and evidence sources. The evaluation framework questions incorporated the six UNICEF evaluation themes. Annex 7, a matrix of summary findings and conclusions, is structured according to the evaluation framework.

## Evaluation process

The overall evaluation occurred in two phases at the global, regional and country level.

- In the first desk-based inception phase a desk review of UNICEF upstream engagement was undertaken in 14 countries selected by the UNICEF evaluation office across the seven UNICEF regions, as well as of its global and regional engagement.
- In the field-based data collection phase four country case studies were undertaken – Afghanistan, Brazil, Cambodia and Zimbabwe. In addition to the country cases, data collection at the regional and global levels continued.

Data collection in case study countries at the field level was built around the selection of two to three mini-case studies per country. The evaluation process at country level included document reviews, semi-structured interviews, focus groups and the collection of quantitative data. The application of these instruments was country-specific: Annex 1 provides detail on the methodology for Brazil.

Brazil as a country case study was selected from a larger pool of 14 desk review countries, by UNICEF but based on a discussion note on country cases and criteria for their selection by the evaluation team. The country case study therefore made use of the material collected in the desk review. The country case studies provide key evidence on UNICEF's upstream work at the country level. They afforded the evaluation team the opportunity to examine not only the extent to which UNICEF at a country level has shifted to upstream work, but also how well it has undertaken upstream work and under which circumstances its interventions contributed to the upstream results observed. This is done particularly through the mini-case studies.

## 1.2 NATIONAL CONTEXT

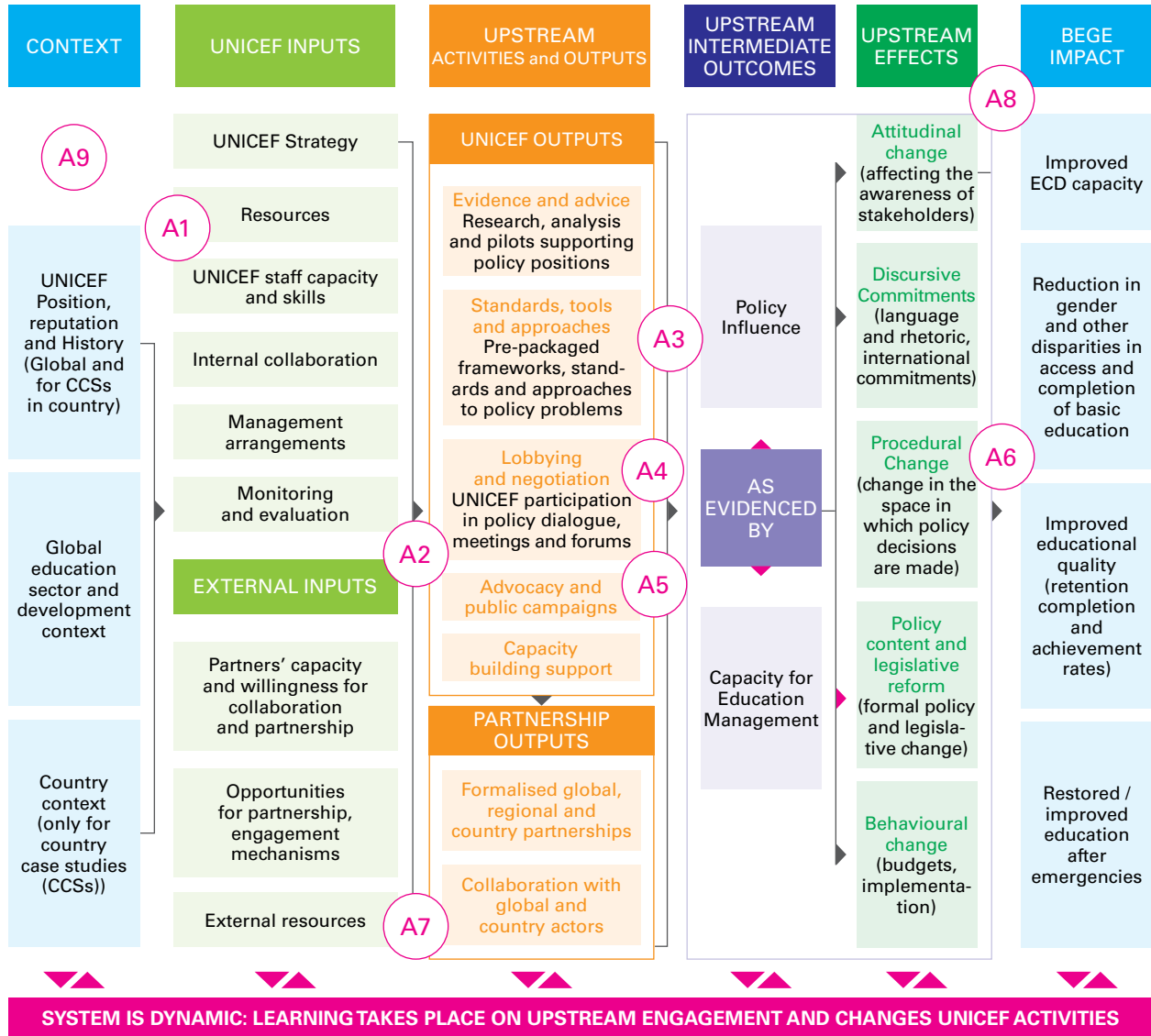
Brazil is the fifth largest country in the world and has the sixth largest economy, with a Gross Domestic Product (GDP) of just under US\$2.5 trillion. GDP growth has been averaging 4.2% over the past five years. Although in 2012 this dropped to less than 1 per cent, the signs are that it will increase by a percentage point or so in 2013. With a per capita income of US\$11,540<sup>2</sup>, it is classified by the World Bank as an Upper Middle Income Country (MIC). This income is distributed extremely unevenly, however. The GINI coefficient is still 0.519 in 2011 in spite of improvements due to government policy over the last decade.

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<sup>2</sup> World Bank, <http://data.worldbank.org/country/brazil>



**FIGURE 1.1** Foundation Theory of Change



**Key assumptions / risks**

- A1** The mix of UNICEF inputs is suited to produce quality outputs leading to policy influence, capacity building and upstream impact cost effectively/efficiently.
- A2** If UNICEF has these inputs in place, it will be able to produce some of the outputs. However, it has to go into partnership with boundary partners and education public sector actors to achieve other outputs and the upstream impact. These inputs are in combination sufficient to allow partnerships to occur.
- A3** UNICEF's outputs are sufficiently relevant to its partners and countries to sustain partnership, achieve upstream impacts.
- A4** These UNICEF and partnership outputs, either individually or in combinations, will result in policy influence and capacity for education management.
- A5** UNICEF's approach and outputs internally and with partners are sufficiently coherent to lead to upstream impact.
- A6** UNICEF's outputs are sufficiently relevant to the country context for its policy influence and capacity building to sustainably deliver BEGE impacts.
- A7** UNICEF reacts to changes in the environment and feedback from its engagement to strengthen its inputs and outputs sufficiently to adapt to dynamic situations.
- A8** Public sector duty bearers want BEGE impacts and are willing to change.
- A9** The context is conducive to effective upstream engagement.



The population was estimated at 199 million people in 2013.<sup>3</sup> With a growth rate of just under 1 per cent, it is projected to rise to a maximum of 208 million in 2030 and then begin falling slowly.<sup>4</sup> The 2010 census showed the non-white population to be in the majority for the first time. Brazilians of mainly European descent account for 47.7 per cent, though they remain the largest single group. The second largest group are those who classify themselves as mixed race, now 43.1%, while those who said they were black rose from 6.2% to 7.6% in the ten years to 2011. Two million say they are Asian (1%), while 817,000 (0.4%) identified themselves as indigenous. Just under one third of all Brazilians are children and adolescents.

The extreme poverty indicated by the GINI coefficient is concentrated amongst the indigenous populations who live in the West and North of the country; and in the Afro-Brazilian and mixed-race groups who live in the Northeast. However, the vast majority of people (84 per cent) live in urban areas, with 30 per cent (57 million) in nine metropolitan areas where 3 million live in extreme poverty and face daily situations of exclusion. Inequality along ethnic and regional lines is thus a defining feature (see Table 1.1).

With such a large economy, Brazil is also emerging as a significant provider of aid (see Box 1.1), and has little need for foreign assistance to fund its core social and economic investment programmes. Consequently, practically all bilateral assistance to the social sector has ceased, and World Bank interventions are limited to small amounts of technical assistance and reports.

In terms of ethnicity, 51 per cent of the population are Afro-Brazilians, who are disproportionately

affected by poverty and live predominantly in the Northeast region. There is a large heterogeneous indigenous population, covering 215 indigenous groups totalling 35 million, who speak over 180 languages and live mostly in the Amazon areas in the North and West of Brazil. All of these regions are amongst the poorest in the country and are significantly behind the rest of Brazil in terms of economic and social development.

In spite of anticipated income from new oil and gas fields, the foundations for long-term economic development are not strong. Brazil has inherited a weak regulatory and legal framework, and the State continues to have a strong presence in the economy following decades of state intervention and control. In terms of economic freedom, Brazil scores 57.7 (Heritage Foundation), and is the 100th freest economy in the world. It ranks 19<sup>th</sup> out of 29 countries in South and Central America. On the World Bank Doing Business Index it ranks 130 out of 185 countries and territories, falling two places in the last year. And on the Transparency International 'Corruption Perception Index, it is 69<sup>th</sup> after Saudi Arabia and Romania.<sup>5</sup>

The Government of Brazil (GoB) is well aware of the need to address core structural problems of social inequality and poverty, as an integral part of any successful strategy to achieve the sustained growth that is promised by its natural resources and hydrocarbon wealth. Brazil has in fact made good progress on a number of the Millennium Development Goals (MDGs). MDG 1 (eradicate extreme poverty and hunger) was achieved through favourable economic growth and successful government welfare policies such as the *Bolsa Familia*,<sup>6</sup> which lifted 13 million people out of poverty.

<sup>3</sup> <http://www.worldpopulationstatistics.com/brazil-population-2013/>

<sup>4</sup> <http://g1.globo.com/brasil/noticia/2012/10/populacao-brasileira-atingira-o-tamanho-maximo-em-2030-diz-ipea.html>

<sup>5</sup> <http://www.transparency.org/cpi2012/results>

<sup>6</sup> Bolsa Familia is a social welfare programme of the Brazilian government. The programme provides financial aid to poor Brazilian families. In exchange families must commit to ensuring that the infants are vaccinated and that children attend school.

**TABLE 1.1****Inequality by Ethnicity and Region**

Inequality vector	% Population 2010 [1]	% Children who are poor [1]	Infant mortality 2004	% of 7-14 years out of school, 2007
<b>ETHNICITY</b>				
White	47.7	35.2	20.3	1.8
Mixed	43.1	60.4	27.9	2.9
Black	7.6			
Indigenous	0.4	n/a	48.5	n/a
<b>BRAZIL</b>	<b>100</b>	<b>48.8</b>	<b>26.6</b>	<b>2.4</b>
<b>REGION</b>				
North	8.1	61.7	27.4	3.8
Northeast	27.6	71.6	39.5	2.9
Southeast	42.6	34.6	19.5	1.9
South	14.6	31.8	17.8	2.0
Centrewest	7.1	40.9	20.7	2.3
<b>BRAZIL</b>	<b>100</b>		<b>26.6</b>	<b>2.4</b>

[1] Living in families with monthly family income less than half minimum wage

Source: IBGE 2010; UNICEF 2009

Progress on inequality as measured by income distribution has also been good under recent governments. According to the World Bank, between 2001 and 2009, the income growth rate of the poorest 10% of the population was 7% per year, while that of the richest 10% was 1.7%. This helped decrease income inequality (measured by the Gini index) to reach a 50-year low of 0.519 in 2011. However, this still makes it the 14<sup>th</sup> most unequal country in the list of

136 countries on the inequality ranking, just after Bolivia, Chile and Panama in the same region. More than 16 million Brazilians still live in extreme poverty.

With a primary enrolment of 98% Brazil has almost reached Goal 2 of Universal Primary Education (UPE). There has also been a steady improvement nutritional indicators. In 1996 the percentage of under-5s underweight (moderate

**BOX 1.1****Brazil as a provider of ODA**

In 2012 Brazilian aid was estimated at some \$1 billion per year. Of this, technical cooperation accounts for about \$480 million, including \$30 million provided by the Brazilian Cooperation Agency (ABC), the government body handling technical cooperation, and around \$450 million for in-kind expertise provided by a large range of Brazilian institutions. It also provides loans to developing countries, although it is not clear if these can be seen as development assistance.

On the humanitarian side Brazil has a peace-keeping mission in Haiti (\$350 million) and makes in-kind contributions to the World Food Programme (\$300 million). It also contributes to humanitarian and multilateral development agencies, including UNICEF.

Source: ODI, 2010, UNICEF Brasilia



and severe) was 6%, while in 2006 it had fallen to 2 percent.<sup>7</sup> Brazil is also on track for MDG 4, with child mortality dropping by 57.5% between 1990 and 2008 and infant mortality by 59.7%.<sup>8</sup> However, in spite of a drop by half since 1990 it is unlikely that Brazil will reach MDG 5, which targets reducing maternal mortality by 75%. Between 2003 and 2011, life expectancy increased from 71 to 73.<sup>9</sup>

Brazil's response to the Human Immune-Deficiency Virus (HIV) has gained international recognition and this is reflected in the national disease statistics. Adult HIV prevalence stands at 0.3% of adults aged 15 to 49. There are currently approximately 630,000 Brazilians living with the virus. Incidence among children under 5 has been reduced by 43% from 1997 to 2007. Regional differences persist and cases are higher among black people and women.

These national trends, however, mask the striking racial, ethnic, gender, geographic and urban/rural disparities referred to above. These constitute a significant obstacle to fully achieving the MDGs. 29% of the population live in poor families, and 16.2% live in extreme poverty. Afro-Brazilians, indigenous people, children and adolescents are the hardest hit by poverty. Infant mortality, for example, is twice as high among indigenous populations.

Indeed inequality that runs along lines other than income remains a central problem, across the board.

## Political Organization

The system of government is important for understanding the significance of certain UNICEF programmes that work at local and State level. Brazil has a federal system of government which consists of three distinct levels: the Federal Government (within the Federal District of Brasilia), the States and the Municipalities. It is important to appreciate the

specific nature of Brazilian federalism, and the high degree of decentralised administration and autonomy it bestows on the lower tiers, and in particular the Municipalities which are the lowest level. Under the 1988 Constitution, the 'Federal Union of Brazil' was created in which all three levels are equal members of the Union, albeit with greater and lesser powers. The States are autonomous with their own Constitutions, elected governors and assemblies; the Municipalities also have autonomous local governments led by a Mayor (*Prefeito* or Prefect) who is elected for four years, along with a directly elected legislative body responsible for local level by-laws and policies.

The high degree of decentralization means that Municipalities have considerable control over how they carry out their designated functions, amongst which is a constitutionally directed responsibility to provide all children up to the age of 14 with pre-school and basic education. To do this they receive funding directly from the central Federal Government. Municipalities are, however, relatively free to set their own budgets in accordance with local needs and the policies of whoever is elected to lead them. States are also responsible for primary education together with the municipalities, and are responsible for secondary and higher education. They also have a high degree of administrative and political autonomy, and while they too are funded by the Federal government, they have significant tax raising powers as well.

It is also important to underline the contribution that Brazilian democracy has made to the social policy landscape in Brazil. This extends from its fragile rebirth in 1985 after a long period of military rule, through to the economic stabilisation under the government of Fernando Henrique Cardoso and the Workers Party governments since 2003 under President Luiz Inácio 'Lula' da Silva and now Dilma Rouseff, the current President.

<sup>7</sup> UNICEF Brazil – Consolidated Results Report 2007-2011

<sup>8</sup> UNICEF Brazil – Country Programme Document 2012 – 2016, revision of 21 October 2011

<sup>9</sup> [http://www.unicef.org/infobycountry/brazil\\_1914.html](http://www.unicef.org/infobycountry/brazil_1914.html)



It is reasonable to argue that the major improvements in social indicators over the last 10–15 years are largely due to these political changes coinciding with large public revenues from a growing economy and new oil and gas discoveries. Political will, in partnership with a civil society – Brazil has some 220,000 NGOs – and philanthropic private sector groups, is driving investment in the social sectors, including education. This has important implications for donor support to the country and is one reason why bilateral support to social sectors has stopped in recent years. It also has implications for agencies like UNICEF that choose to remain as active cooperation partners with the government.

## Social Policy

The GoB is serious about its social policy. Poverty eradication is the major development objective of the new Government under Dilma Rousseff, in place since January 2011, which plans to continue using revenues from new oil wealth to drive social investment. A State-controlled enterprise, Pre-Sal Petróleo, has recently been created to administer oil revenues, including a substantial Social Fund to support education and other social sectors.<sup>10</sup>

The MDG1 figures show that Brazil has already made remarkable progress in reducing poverty. An extension of the *Bolsa* programme was launched in June 2011 by the present government – *Brasil Sem Miséria* (Brazil Free of Misery) – with the ambitious aim of ending extreme poverty by 2014. This programme hopes to bring another 800,000 people into the *Bolsa Família*, and has raised the monthly payments to the poor through the *Bolsa*. Significantly, this extension to the *Bolsa* also targets improving access to public services, with education prominent amongst these. Through this programme the government plans to spend up to US\$13 billion over a four-year period to help the poor access a range of social services. The goal is what the government has called “productive

inclusiveness” – moving beyond the safety net approach of the *Bolsa* and giving the poor the economic means to overcome poverty through vocational training, microcredit and jobs (Gomez, 2011).

Strong political commitment backed by such large resources underlines how the context of international cooperation has also changed. Brazil has little need of material support, and its basic policy positions are broadly in line with international principles and goals. What it does lack are specific technical skills and the ability to effectively deliver resources to the target groups who today are excluded from the growth and opportunity being offered by the economic success of recent years.

## Education and Gender

Brazil has a long history of mandatory state-provided education, with the right to education established as long ago as 1948 (see Figure 1.2). Over the years this has evolved and expanded to include a wider range of children with the system of state-provided education, established as a right in a succession of Constitutions.

The most recent change took place under the 2009 Constitutional amendment, which extended the school age from 4 to 17 following a regional conference convened by UNICEF. The fact that the right to education is built into the Constitution in this way has given civil society in particular a powerful lever over government in the post-dictatorship democratic era, and in particular in the period of government by the Workers Party since 2003.

To comply with this constitutional responsibility, the Federal Government disburses resources directly to Municipal governments through several Federal-level funds. The bulk of education investment is through the Fund for the Maintenance and Development of Basic Education and Enhancing the Value of

<sup>10</sup> <http://thebricspost.com/new-brazil-firm-to-manage-sub-salt-oil-reserves>

**FIGURE 1.1 Education timeline and other factors**


Education Professionals (FUNDEB). The FUNDEB was created in 2007 and comprises 27 distinct funds, one for each State and one for the Federal District. The National Education Plan (NPE) in force until 2020 has reinforced the FUNDEB, which from 2009 will disburse nearly US\$ 30 billion to Basic Education over a fourteen-year period, reaching nearly 50 million students.

The National Education Development Fund (FNDE)<sup>11</sup> also provides funding for specific needs. This fund was established in 1968 but has been hugely reinforced under recent governments. The FNDE website includes an impressive list of federally supported programmes, ranging from the School Meals programme which has become an international reference for best practice, to School Books and various transport-to-school programmes. The evaluation was able to observe these programmes in practice at school level, and it would seem clear

that no support is needed for basic educational inputs – materials, infrastructure, teachers, etc. – from cooperation partners.

The success with MDG2 is a strong indicator of this government's commitment to education. The primary net level enrolment rate of 98 per cent of children aged 7 to 14 still however means that 535,000 remain out of school, given the large population numbers in Brazil. Across Brazil, the majority of those who are out of school are Afro-Brazilians and from poor families – 330,000 or 62 per cent of the total – and indigenous family children and children with disabilities are particularly vulnerable to being excluded. Regional disparities are also marked, with educational indicators being significantly worse in the North and Northeast than in the South. For example, between 1992 and 2007 the overall rate of illiteracy amongst those over 15 years of age fell from 17.2 per cent to 10 per cent. In the Northeast,

<sup>11</sup> <http://www.fnnde.gov.br/fnde/institucional>



one of the poorest regions of Brazil with a high proportion of Afro-Brazilians, the decline has been more dramatic, from 32.7 per cent to 20 per cent, but the improved 2007 figure is still some three times higher than the 2007 rate in the economically better-off, and more predominantly white, southeast of the country.

Adolescents, defined as between 12 and 17 years of age, number 21 million in Brazil. Around 1.7 million (16.7 per cent) are not in school. The recent 2009 Constitutional Amendment which made access to education mandatory and a right for all citizens between 4 and 17 provides a legal framework for addressing this enrolment issue and the related problem of high adolescent dropout rates. Although the State now has a duty to provide education for this group as well as for primary school children, some 400,000 leave secondary education year without completing their courses. Again the most badly affected are from poor families and those living in disadvantaged areas of the country, with Afro-Brazilian and indigenous groups the worst off in all categories. These adolescents are much more likely to become victims of violence— homicide is the main cause of death in this age group – and many will become parents at an early age and be exploited in informal job markets.

Inequality in access and achievement through the school system, accompanied by poor quality in the level of instruction and the skills and abilities of those who come out of the system, are therefore identified as the greatest challenge now facing the government since it realised the MDG for education of universal or near-universal enrolment. This has important knock-on effects. Apart from the obvious social and equity implications, economic observers are concerned that the resulting lack of skilled workers will hold back the economic growth promised by oil revenues (Nogueira, 2011). The government is well aware of the importance of successfully addressing the educational challenge as a central pillar of its long-term economic policy and its plan to end poverty. A clear indication of this is the fact that between

2002 and 2006 the government raised budget allocations to education from US\$1.8 billion to US\$3.5 billion. Signs of success are the high basic education enrolment rate and a drop in the illiteracy rate of Brazilians over the age of 15 years between 2003 and 2009, from 11.6 per cent to 9.6 per cent.

These are significant achievements, but as indicated above, educational indicators are still significantly worse in poorer areas and with marked differences by socio-economic group and region. There are also serious problems of quality and completion throughout the education system. The focus of government policy is therefore strongly on reducing inequality and improving quality. A key challenge for primary education especially is to ensure access to the 3 per cent that have not made it into schools in spite of the huge investment in the sector, and to improve the quality of education.

In the case of gender, there appears to have been general progress on gender equality in relation to the way gender is handled by public institutions. Between 2009 and 2012, Brazil improved its ranking on the Organisation for Economic Co-operation and Development (OECD) Social Institutions and Gender Index (SIGI) from 24<sup>th</sup> to 8<sup>th</sup>, in a list including most Latin American and Caribbean countries (globally it is also 8<sup>th</sup> in a list of 86 non-OECD countries in 2012).

When gender is discussed in terms of issues such as school access, it is considered not to be a problem, with other factors such as ethnicity and regional disparities being far more significant. Indeed when looking at the school enrolment figures, boys are doing worse than girls, with 57 and 43 per cent respectively of the 535,000 7–14 year olds out of school. Violence along gender lines is however a major concern, with girls making up 62 per cent of all cases. Violence against girls takes place mostly in the home (60 per cent of cases); and is common in public institutions such as detention centres and schools. Girls are also the majority of victims of sexual exploitation, particularly Afro-Brazilian girls. Violence affects adolescents in particular, and is illustrated by rising levels of homicide.



## CHAPTER 2

# THE UNICEF PROGRAMME IN BRAZIL

UNICEF has a long history in Brazil, where it first started working in 1950. Three country programme documents cover the period under review, namely for the periods 2002–2006, 2007–2011 and 2012–2016, respectively.

Over the evaluation period the programme in Brazil has had a strong focus on partnerships with municipal, state and federal governments, civil society, religious groups, the private sector, the media, and international organizations, and other United Nations (UN) agencies, including through the United Nations Development Assistance Framework (UNDAF). As will be seen from the overview, upstream work was a component of the programme from the start of the evaluation period, but appears to have become an increasingly important component of the portfolio. There has been a stronger shift towards supporting government policies and capacities in favour of reducing inequalities, and addressing key UNICEF and GoB priorities.

### 2.1 OVERVIEW OF THE COUNTRY PROGRAMMES

#### The 2002-2006 Country Programme

The main features of the 2002–2006 Country Programme (CP) have been extracted from the 2007–2011 country programme document and are summarized in Table 2.1. This programme focused on equality issues in disadvantaged regions – the Northern Amazon states and the

semi-arid Northeast – and metropolitan areas with high rates of homicide against adolescents. The programme as a whole covered a number of priorities in health, education, HIV/AIDS, participation of young people, combating violence, and establishing an enabling environment for addressing child rights and needs.

As early as 2002 the programme objectives were driven by a concern to influence the public agenda on issues relating to children and pregnant women. This period saw the implementation of initiatives to improve teaching and learning amongst disadvantaged and excluded communities, and to produce and provide text books that were relevant to the lives of children in the Northeast Semi-Arid region, including those with disabilities.

Up to 2004 UNICEF also worked with TV Globo to mobilise funds through public appeals on national television publicising specific UNICEF-supported activities (the TV programme *Criança Esperança*, or Hope for Children). The first phases of the Municipal Seal of Approval<sup>12</sup> programme were launched, and the Programme to Enhance Education was expanded, in which UNICEF worked with its partners at national and regional level to provide material and technical assistance to municipal education councils.

<sup>12</sup> The Municipal Seal of Approval programme provides awards to municipalities for achieving MDG-related targets in selected indicators for children and women. It is a Case Study in Chapter 3.



TABLE 2.1

Overview of the Country Programme 2002–2006

Component	Objective	Main partners	Strategies
1 – Health	Ensure the survival, development, participation, and protection of children under 6 and care for pregnant women	Ministry of Health Other Govt depts NGOs Cooperation agencies Various media agencies, TV Globo	Policy development to strengthen family and municipal capacity Training community health agents, teachers, carers Materials development, with govt/ NGO/cooperation agencies Advocacy for birth registration in state registries and maternity units
2 – Education	Improve learning and promote quality education, especially amongst the vulnerable and excluded	MEC UNDIME National Council of Education Secretariats UNDP, UNESCO NGOs Centre for Education Studies and Research (CENPEC) <i>Fundação Itau Social</i> National Board of Municipal Welfare Managers	Mobilize financial/technical support Indigenous and excluded group education (child labourers, marginalized communities <sup>13</sup> ) Produce, disseminate text books relevant to ‘Semi-árido’ children Activities to include children with disabilities in schools, mobile libraries Partner with <i>Banco Itaú</i> and national agency to enhance municipal level education Enhance participatory school management – develop/train Municipal Education Managers and Councils Advocate at Federal and State level for changing in education policy and programming
3 – HIV/AIDS	Universal access to prevention, treatment and care	National STD /AIDS Programme Centres for Disease Control (CDC - USA) UN agencies Media companies NGOs	Support universal access to prevention, treatment, care Implement rapid HIV testing for pregnant women in North and NE Develop self-assessment kit to evaluate adolescent vulnerability to HIV/AIDS Brazil+7 South-South initiative <sup>14</sup>

<sup>13</sup> Focus on education, racial equality and inclusion for children in *Quilombola* (former slave) communities, exploited child labourers in sisal producing areas, garbage dumps, pockets of poverty.

<sup>14</sup> Includes Brazil, Bolivia, Cape Verde, Guinea Bissau, Nicaragua, Paraguay, São Tome - Príncipe, and East Timor; aims to ensure universal access to prevention, care, and treatment with a special focus on children, adolescents and pregnant women.

**Table 2.1** (cont'd )

Component	Objective	Main partners	Strategies
4 – Adolescent participation	Promote greater participation by adolescents	Ministries of Health and Education Children's Rights Media (ANDI) NGOs Adolescent groups	Participatory development of a strategy for education and health policies to prevent STDs, HIV/AIDS, Comprehensive youth development within school Health and Prevention programme. Involvement of youth in advocacy events Research and advocacy on the importance of adolescent education as a preparation for a productive future
5 – Reducing violence against children/ young people	Enhanced capacity for diagnosis, notification, specialized care Laws enforced to reduce violence and support victims	Health personnel Education personnel Social assistance Public security Child protection councils	Capacity building Technical support to National Action Plan to Promote Family and Community Based Care
6 – Enabling environment	Meet MDGs at municipal level	Research institutions Municipalities	Research and publications Expand SELO Municipal Establish Child Rights Councils

Component Six was especially important in the upstream context. Creating an enabling environment for policy dialogue and identifying issues to be included in future programmes are core elements of 'upstream' work as defined for this evaluation. A key activity here was the commissioning of studies on key issues, leading to discussions with partners about how to include the results into future activities. Much of the component six focus was also part of other components and thus mainstreamed across the programme, combining upstream and downstream work. Working at local level through the Municipal Seal programme also appears as an important advocacy tool for including child rights issues and indicators in local government programmes.

### The 2007–2011 Country Programme

The 2007–2011 Country Programme had six components including cross-sectoral costs to finance and manage the Brasilia and regional

offices. The five technical components excluding cross-sectoral costs are shown in Table 2.2. The overall goal for 2007–2011 was to support Brazil in meeting its obligation of ensuring that each child and adolescent enjoys his/her right to survive and develop, learn and protect him/herself from HIV/AIDS and to grow up free of violence. The programme focused on the same geographical areas as before, but also included frontier regions between Argentina, Brazil and Paraguay where research had revealed high rates of sexual exploitation, HIV/AIDS and low birth registration.

In terms of strategies this Country Programme highlighted South-South Cooperation as an important avenue for sharing information on good practices, for technical assistance and for mobilizing support from donor country bilateral organizations. Ensuring alliance-building between central, regional and local governments, NGOs and private sector and international organizations (including for leveraging resources and expertise) was also a priority.



Key achievements for this period include:

- Establishment of the Pact for Children with targets for inter-sectoral policy action in favour of disadvantaged children and adolescents
- Intensification of sub-national policy implementation and improving social indicators through the Municipal Seal of Approval, e.g. improved school attendance rates in semi-arid areas compared to other states
- Support to the 2009 Constitutional Amendment to expand mandatory and free schooling for children 4–17 years old
- Establishment of the Young People and Adolescents Living with HIV Network, which has become a major participant in national policy dialogue and structures
- Provision of technical expertise to the procurement of HIV supplies, which has generated savings of \$30 million for the GoB since 2007
- Developing the 10 year National Plan for Promotion of Children’s Rights (Ten Year NPA)
- Developing public policies for child labour eradication and adolescent worker protection

- National Plan of Action on Family and Community-based Care
- New Socio-Educational System for Adolescents in conflict with the Law
- National Programme to Reduce Lethal Violence against Children and Adolescents
- Introduction of National Plan for Racial Equality in Education and provision of technical support to the identification of indicators to monitor the plan.

The outline budget for the 2007–2011 programme is shown in Table 2.3. A very small amount – about 5 per cent – comes from UNICEF regular resources. A full third of the budget is allocated to Component Five, *Be first priority in public policies*. A full third of the budget is allocated to this component, which could be considered as having a strong upstream focus (see Table 2.2) including ‘evidence based policy development’. As in the previous programme there is key role for studies and Situation Analysis, again contributing with information and analysis to later discussions of policy issues and future programmes to address them. However, it is likely that all the components have some level of upstream work in them, and in fact it is difficult to draw hard conclusions about the allocation of resources to upstream work from the available financial data.

**TABLE 2.2** Summary of UNICEF Country Programme 2007–2011

Component	Objective	Main partners	Strategies
Survive and develop	Realize rights of more than 21 million children aged 0–6 to survival, nutrition, birth registration, care & protection, integral development	Min of Health MEC Min of Social Assistance UNDIME National Council of Municipal Health Depts Child Pastorate of the Catholic Church Media organizations	Networking Capacity development/training Develop materials Support for birth registration



Table 2.2 (cont'd )

Component	Objective	Main partners	Strategies
Learn	Improve access and quality of education for 800.000 children aged 7–14 not in school and 8 million in low income group	MEC National Congress Municipal govts NGOs CENPEC <i>Fundação Itaú Social</i>	Advocacy Expand early childhood care and primary/secondary schooling Promote participatory school management, develop capacity of municipal councils, education managers, families, NGOs
Protect oneself and others from HIV/AIDS	Reduce mother to child transmission to zero by 2008 Protect children affected / infected by HIV/AIDS Ensure 100% treatment of HIV	Brazilian Govt CDC UN agencies Media NGOs	Align with global 'Unite for children, unite against AIDS' Help 7million adolescents protect themselves from HIV Guarantee right to community and family life for HIV positives Ensure treatment for 100 per cent of HIV positive children, mothers, adolescents Promote rights to universal access to HIV/AIDS prevention Address inequalities and gender vulnerability fuelling pandemic
Grow up free of violence	Combat in-home physical / sexual abuse of children Prevent violence against adolescents Promote reform of child protection and juvenile justice policies/ practices	Brazilian Govt UN agencies Media NGOs Actors in the Child Rights Guarantees system	Service provision for families to protect children Participation and leadership of adolescents Improve services for child and adolescent victims of violence Capacity building Communication for Change
Be the first priority in public policies	Children as focus of public policy Data and knowledge disaggregated by race, ethnicity, gender, regions Lessons learned are disseminated	MEC Municipal govts UN agencies (UNDAF) Judiciary Media Private sector Civil society partnerships Ethos Institute	Inform policy makers/develop policy – evidence-based material, studies, Situation Analysis Develop capacity to allocate public resources for children and adolescents Strengthen and monitor public policies around MDGs Expand Municipal Seal programme (Semi-arid zone) Develop child development index for large private firms (MDG8)



TABLE 2.3

Summary Budget, UNICEF Country Programme 2007–2011

Programme Component	Regular	Other	Total
Survive and develop	–	15 000	15 000
Learn	--	18 000	18 000
Protect and be protected from HIV/AIDS	--	8 000	8 000
Grow up free from violence	1 350	18 000	19 350
Be an adolescent	--	7 000	7 000
Advocate, generate knowledge, communicate and unite for children's rights	1 030	13 250	14 280
Cross-sectoral costs	1 370	11 000	12 370
<b>Total</b>	<b>3 750</b>	<b>90 250</b>	<b>94 000</b>

### 2012–2016 Country Programme

The preparation of the current Country Programme was coordinated by the Brazilian Agency for Cooperation, a branch of the Brazilian Ministry of External Relations, with the Ministry of Education (MEC) as the principal counterpart. The design was guided by Government priorities, the UNDAF 2012–2015 and consultations with a wide range of partners.

A summary of the programme components is in Table 2.4. The overall goal of the Country Programme is to *“support Brazil in meeting by 2016 its commitment to ensuring more equitable realization of the rights of each Brazilian boy, girl and adolescent to survive and develop, to learn, and to be protected from HIV/AIDS, to grow up free from violence, to be an adolescent and to be an absolute priority in public policies”* (UNICEF, 2013, p. 8).

The focus of the programme is on disadvantaged children and adolescents with priority for those who live in the Amazon and semi-arid

and urban poor centres, Afro-Brazilians and children from indigenous groups, and children who are vulnerable to disabilities, prejudice or discriminatory practices, gender, emergencies or HIV/AIDS.

This Country Programme explicitly uses the word *upstream* for the first time and states that *“UNICEF will continue to support multi-level, upstream, evidence-based advocacy to influence equity-driven and gender-sensitive policies, laws, budgets, and results-based planning processes at federal, state and municipal levels”* (ibid, p.8).

In financial terms, the 2012–2016 programme has a total envelope of US\$ 94 million (Table 2.5), slightly up on the previous programme. Again it is notable how little of this comes from UNICEF regular resources. It is difficult to infer from the macro-level financial data provided (in these summary tables and other data supplied by the Brasilia office) precisely how much of the budget is allocated to upstream work, and how



much of that goes to education. At first glance, it appears that far less is allocated than in 2007–2011 to the component that most closely fits with 'upstream work' namely Component Six – *Advocate, generate knowledge, communicate and unite for children's rights*. However, if activities in other areas, and in particular BEGE,

are found to have a strong upstream focus and content, then it is likely that the shift to upstream work is indeed reflected in the budget in some way. More detailed and disaggregated figures are needed to analyse this with more precision, and these are not easily extracted from the data provided.

**TABLE 2.4** Summary of UNICEF Country Programme 2012–2016

Component	Objective	Main partners	Strategies
1 - Survive and develop	GoB reaching MDG targets for maternal and child survival and stronger capacity of duty-bearers and rights-holders in the Amazon and semi-arid areas and urban disadvantaged neighbourhoods	Government departments UN agencies Academic institutions Civil society Media Private sector International community	Focus on women and girls, Afro-Brazilians, and indigenous people Build health worker capacity for family and community practices in child/maternal health Policy inputs Partnerships Communication for development Knowledge sharing Monitoring and support to national indicator systems
2 - Learn	Right to universal quality schooling for all children aged 4 – 17 realised: access, permanence and learning	MEC SEPPIR Municipal governments Civil society Media and private sector	Monitor and analyse school dropout and academic failure to inform inclusive policy process Monitor 2011-2020 National Education Plan and Bicentennial Education Goals for 2021 Generate and disseminate knowledge and strengthen partnerships
3 - Protect and be protected from HIV/AIDS	Stronger national response to HIV/AIDS, focussing on geographic disparities and inequalities related to gender, race, ethnicity and other forms of discrimination	As above	Capacity development Strengthen and institutionalize national policy for HIV prevention in schools Promote development of HIV prevention policies for disadvantaged groups Strengthen HIV+ Youth Network Provide procurement services Support South-South cooperation



**Table 2.4** (cont'd )

Component	Objective	Main partners	Strategies
4 - Grow up free from violence	Brazil legal standards, mission and goals of its institutions aligned with relevant international conventions	As above	Technical support to NPA Draft of child protection indicators at municipal level Coordination among actors Protective protocols for children in justice system Communication for social change Strategic partnerships with private sector
5 - Be an adolescent	Stronger social inclusion and participation of adolescents to reduce inequalities	As above	Policy advocacy – citizenship & life skills training in curriculum Produce gender and race-sensitive knowledge and communication
6 - Advocate, generate knowledge, communicate and unite for children's rights	Reduce poverty and make inequity more visible, ensuring that by 2016 specific social policies prioritize disadvantaged children and adolescents	As above	Disseminate good practice Evaluate public policies Promote behaviour and social change Communication to promote quality reporting Strategic partnerships

**TABLE 2.5**

**Summary Budget, UNICEF Country Programme 2012–2016 (in thousands of USD)**

Programme Component	Regular	Other	Total
Survive and develop	--	15 000	15 000
Learn	--	18 000	18 000
Protect and be protected from HIV/AIDS	--	8 000	8 000
Grow up free from violence	1 350	18 000	19 350
Be an adolescent	--	7 000	7 000
Advocate, generate knowledge, communicate and unite for children's rights	1 030	13 250	14 280
Cross-sectoral costs	1 370	11 000	12 370
<b>Total</b>	<b>3 750</b>	<b>90 250</b>	<b>94 000</b>



## 2.2 AN INITIAL ASSESSMENT OF UPSTREAM WORK BY UNICEF IN BRAZIL

The evaluation analysis begins by noting that the 'traditional' approach of UNICEF to developing its Country Programmes is largely 'upstream' in nature. This observation is based in the evaluators' own previous experience with these processes and is confirmed in discussions with UNICEF staff in Brasilia. A dialogue with government and other stakeholders begins with an overall assessment (Situation Analysis), identifies priorities, assesses the resources available and what is needed, and proposes a series of activities to address the issues raised. The process culminates with the CP approved by Government and the UNICEF Board. All the CPs analysed by the Brazil evaluation team clearly show such a process being thoroughly and diligently carried out by the Brazil office.

To the extent that 'upstream work' should involve dialogue with government and other stakeholders, the evaluation found that all three CPs in Brazil meet this criterion. During development and later evaluation of the 2002–2006 CP, the documentary evidence showed that UNICEF was "innovative in bringing together the three levels of government, NGOs and other partners *into the policy dialogue*" (UNICEF, 2006:7, emphasis added). The 2007–2011 CP underlines the 'highly participatory' nature of the review process that led to the new programme which "included representatives of all sectors of Brazilian society, including children and adolescents, from all regions" (UNICEF, 2006:7). The different stakeholders groups (Government, private sector, and civil society) who were interviewed during the evaluation process also mentioned these participatory processes. And in the run-up to 2012–2016, "The Brazilian Agency for Cooperation coordinated the country programme exercise, which involved consultations with all relevant stakeholders in the government [and] with a variety of partners nationwide" (UNICEF, 2012b:7). UNICEF Brazil has worked hard to facilitate dialogue and create consensus around the

policy positions and priorities, which then shaped its programmes throughout the evaluation period.

The documents illustrate that all three CPs contain a significant level of upstream activity and objectives. Aside from specific references to policy dialogue and development, each programme has a component with a clear upstream purpose. In 2002–2006 there is Component Six (Enabling Environment), in 2007–2011 there is Component Five (Be the First Priority in Public Priorities and Policies), and the 2012–2016 programme has Component Six (Advocate, generate knowledge, communicate and unite for children's rights). All of these give the Brazil CO strong tools to develop policy positions with stakeholders using different techniques, built upon the established and proven capacity of UNICEF to conduct studies, identify and analyse issues, and work with government and others to see how to incorporate results into national and sub-national policy frameworks.

Other activities also have an upstream purpose and impact. In the 2007–2011 CP document, for example, the range of quite different activities – from work on the ground in 'demonstration projects at local level' through to the Situation Analysis – all contribute to 'shaping public policy' (UNICEF, 2006:7). And under its Component Five, it states that 'UNICEF will maintain its leadership in mobilization for evidence-based public policy development' (ibid:11), establishing a clear link between learning from activities on the ground and carrying out studies and analysis, and providing evidence for policy and decision makers.

It is notable that the term 'upstream' is not openly used until the 2012–2016 CP document which states that the "on-going engagement of UNICEF at the local level contributed to *upstream dialogue* on specific policies" (emphasis added). It is as if a new term has been adopted and integrated into a programming culture that is already well aware of the policy dimension of its work. In education



– Learn – the upstream focus is very clear, with efforts directed ‘to inform inclusive policy responses’, and ‘nationwide programmes’ to build the capacity of ‘teachers, managers and local education actors’. UNICEF will also work with MEC to monitor the 2011–2020 National Education Plan (developed with UNICEF in 2007–2011) and progress on Bicentennial Education Goals for 2021 (UNICEF, 2012a:10).

The 2012–2016 CP document draws heavily upon the lessons learned from the previous programme, underlining how the “importance of engaging duty-bearers *at all levels (federal, state and municipal)* proved fundamental to *influencing and designing public policies for children*”; and how “Strategic partnerships with key actors of society achieved stronger civic engagement [and resulted in] *influencing and supporting positive change* for the most disadvantaged children and adolescents” (UNICEF, 2012b:6, emphasis added).

The formulation of the 2012–2016 programme also involved other forms of internal assessment and reflection. While maintaining dialogue with government and partners, the evaluation found evidence that several workshops and meetings were held to reflect upon the strategic direction which UNICEF should take in the new programme. Thus “*the 2008 Strategic Moment of Reflection and the 2009 Midterm Review and gender review and equity analysis were critical in defining the programme’s framework, which is designed to address the recommendations of the Committee on the Rights of the Child and the Committee on the*

*Elimination of Discrimination Against Women. These processes took into account the strategic priorities enunciated by the new Government, the Common Country Assessment and the UNDAF 2012–2015”* (ibid:7).

This brief assessment of the three CPs under consideration therefore indicates that upstream engagement and work is indeed present in all the CPs over the evaluation period. Upstream work in all phases has been woven through the programme components, but it has a more explicit place and mention in the last country programme. UNICEF Brazil has developed programmes and activities during the evaluation period that correspond substantially with the definition of ‘upstream work’: “*UNICEF activities which were intended to have or had a system-wide, sustainable impact on the national capacities of public sector duty bearers in the education sector for fulfilling children’s rights, directly or indirectly.*”

The following chapter on evaluation findings will assess the details of the implementation of upstream work in BEGE by UNICEF Brazil. These were examined by the evaluation team through a two-week period of interviews and fieldwork in Brazil in October 2013 and through in-depth analysis of documentation. A number of case studies of upstream work in Brazil – which the evaluation examined in greater detail during the field visits – are also presented. This chapter will use this body of evidence to form an opinion on the relevance, coherence and sustainability of UNICEF’s upstream work, and will also identify the factors that explain the results.



## CHAPTER 3

### EVALUATION FINDINGS

#### 3.1 THE CONTEXT OF UNICEF UPSTREAM WORK IN EDUCATION AND GENDER

##### Political commitment and resources to education

Brazil has made significant progress in access to education over the last decade, reflected in the figures that show near-universal school enrolment for all primary school age children (Fundamental Education, 6–14 years). It is important to clearly locate this success within the specific profile of Brazil when seen alongside other countries supported by UNICEF. Perhaps the most important contextual element is the political will of recent governments (going back to the Cardoso governments and especially since President Lula and his Workers Party led the country between 2002 and 2011), and the reflection of this in the massive increase in public resources going to education.

At the present time, between 16–18 per cent of total government expenditure is allocated to the sector (see Figure A3.1). As mentioned above, this resulted in a doubling of the education budget from US\$1.8 billion to US\$3.5 billion between 2002 and 2006, and is set to remain at least at this level or higher for some time to come.

Large increases in education spending by government have allowed the country to increase funding for the basic inputs to any education system, such as schoolbooks and teachers, and invest substantially in school building and refurbishment at both State and Municipal level, and at both primary and secondary level. Indeed the list of national programmes for all areas of school life is impressive (see Box 3.1).

#### BOX 3.1

#### Programmes funded by the National Fund for Education

**Brasil Profissionalizado** – Strengthen State professional and vocational training schools

**Caminho da Escola** – Funds to purchase transport for school children, directed at State and municipal governments

**PDDE** – Supplementary funds directly to specific schools

**PNLD** – School books programme

**PAR** – Funding the regular plans of all schools within the context of the National Plan for Education

**ProInfância** – Restructuring and equipping the public infant school network

**ProInfo** – Via state Coordination units – Promote the use of information technology in schools and as a teaching resource

**PNATE** – School transport programme to purchase mini-buses and buses to guarantee transport to school including rural areas (works in parallel with *Caminho*)

Source: [www.fnnde.gov.br](http://www.fnnde.gov.br)



## Development

To give one example, by itself the PDDE – Funds Direct to Schools – allocated US\$ 862.6 million in 2012 as supplementary support to 134,000 schools (including private institutions) with children with special needs, reaching 43 million students; this is set to rise to just over US\$ 1 billion in 2013. In other programmes Brazil has achieved world leader status – for example its school meals programme, PNAE – and is extending its experience to other countries through its growing role in South-South cooperation and its own ODA programmes.

This has important implications for any cooperation programme that aims to support Brazil in this area. Indeed one result is that all bilateral assistance to the sector has ended in recent years, and UNICEF and UNESCO remain as perhaps the only significant players providing support to education, with informants from Government and the UN agencies indicating that UNICEF's engagement has exceeded that of UNESCO in terms of scope and degree of influence, in particular because of the former's longer engagement in the country, a larger country programme, a higher public profile (in the media especially), and a bigger Brasilia office and staff, and more field staff located in 8 regional offices.

The other key feature of Brazil is that the government is constitutionally mandated to provide education through free public institutions for all those between 4 and 17 years of age (the extension from 4 to 17 is very recent – see below to understand UNICEF's role in this significant achievement). Political commitment to education is clear, but especially since the consolidation of democracy and the surge in civil society activity (Brazil is said to have some 220,000 NGOs and CBOs at national and local level<sup>15</sup>), the government is not allowed to forget its constitutional obligations. Civil society organisations including several that are allied to and

funded by important private sector interests are active campaigners who influence government policy, and some have become important partners with UNICEF in the years since 2002.

While resources do not appear to be a problem in absolute terms, the country is however facing difficulties in articulating needs and managing resource allocations between the various levels. Resources may be limited at municipal level, where the main responsibility for fundamental education lies (including Early Child Development – ECD – and primary level), but interviews with Government and non-government actors highlighted that this is not necessarily a resource-availability issue in absolute terms. Instead, it reflects the limited technical and managerial capacity at the level of municipalities and their subsequent failure to fully capitalize on the national programmes and initiatives that are in place. Thus the foreseen benefits of these programs do not always reach the intended beneficiaries.

High-end technical skills in both educational management and analysis and evaluation appear to be lacking, and indeed the GoB is keen and open to technical cooperation support. Interviewees underlined that this has been a key role that UNICEF has played, and that this is an area where the focus of the programme has been for several years now. This is also clearly evident through the fact that for a number of years now, the GoB has been an active funding partner of the UNICEF programme in Brazil as well as being the key counterpart. In the current programme, it allocated US\$ 1.3 million directly to UNICEF funds via New York, to support the on-going programme. This is concrete evidence of GoB confidence in UNICEF as a partner, and UNICEF accordingly is free to use these resources as it sees fit, with only a minimal level of reporting expected (results and evaluation are in the programme itself).

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<sup>15</sup> <http://www.ikoporan.org/en/ngos-in-brazil>



## Data and information

As already mentioned above and discussed further below, an essential element of the upstream work that UNICEF Brazil is doing is the carrying out of studies and research. These are often part of the regular programming cycle that all UNICEF offices have to go through, beginning with the specific issues or target groups that are examined in detail as part of the Situation Analysis process. Or they may be studies prompted by the emergence of specific issues as the result of civil society or government concerns.

UNICEF in Brazil bases the greater part of this work on statistics and data that are generated by national agencies working with and in the education sector – as is evidenced by the data sources for the research reports that the evaluation had access to. Indeed it 'works preferentially with official data of the Brazilian government' (UNICEF, 2009:133). Interviewees from key agencies such as UNESCO and ILO, as well as from the private sector, highlighted that the country has a formidable capacity to carry out regular and systematic data collection, and provides quality information that can then be further researched to tease out specific aspects relating a more generic issue. One example that is discussed below is work carried out by UNICEF on national educational statistics, to understand more about the unequal access to education determined by racial and ethnic characteristics. National statistics have also been used, as discussed below, to understand the specific nature of adolescent participation and drop-out in education.

Regular surveys of educational performance and participation are carried out, including the *Prova Brasil* which tracks the passage of all children through the school system. The principal agency responsible for all national statistics is the Brazilian Institute for Geography and Statistics (IBGE). There are also research institutes and agencies that are linked to the Ministry

of Education which store and use educational data collected through the school system. For example the National Institute of Education Research '*Anísio Teixeira*' (INEP) holds some 60 million records on all aspects of the educational life of children in Brazilian schools, including how they perform in exams to the kind of extra-curricular activities they are engaged in.

Where possible UNICEF uses this information to extract new perspectives on issues that are now emerging to qualify the basically positive situation of near-universal school attendance. For example, as UNICEF Brazil began to point out some years ago, the fact of having achieved 97 or 98 percent enrolment still means that 2–3 per cent of all children are outside school; and in Brazil this means up to 3.5 million children – citizens with a constitutional right to education – are falling between the cracks. Further research confirmed the already clear evidence that most of these are from disadvantaged groups, Afro-Brazilians, poor families, and children from indigenous communities.

## Stakeholders<sup>16</sup>

Children, parents, and communities are the main stakeholders in Brazil. On the organizational/institutional side, the Government, international multilateral organizations, CSOs and coalitions of CSOs/NGOs (especially important are those bringing together municipal level actors such as UNDIME), and the private sector (banks, telecommunications companies and large media organizations) play an important role. As noted in Chapter 1, the country achieving MIC status signalled the departure of bilateral organizations. There has been a growing role for CSOs/NGOs and a growing engagement of the private sector in education.

In terms of multilateral partners the main actors are UNESCO, the International Labour Organization (ILO) and the World Bank (WB). ILO's work in education has focused mainly on

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<sup>16</sup> A full stakeholder map is provided in Annex 4



adolescents and issues related to child labour – both areas are closely related to education and the agency has worked closely with UNICEF in promoting policy dialogue. UNESCO positions itself as a technical collaboration agency, supporting work in such areas as curricula and school management. UNESCO also has a key role in the television programme “*Criança Esperança*” (Hope for Children), which until 2004 was implemented under the banner of UNICEF (see, Private Sector). With the media company Globo, the programme presents material on mainstream TV channels on child-related activities, and organizes an annual media event to raise funds for education projects.

The Institute of Statistics of UNESCO has been major partner in UNICEF’s global study on out-of-school children (UNICEF, 2013), and also a partner in the dialogue with national stakeholders on this topic. The WB maintains mostly a separate dialogue and has had a strong sectoral approach marked by sector studies and engagement in areas such as education management and monitoring. Along with the bilateral agencies which are no longer in the country its direct involvement in the sector has however decreased considerably in recent years.

The UNDAF process ‘aims to offer a common strategic framework for the activities of the UN System at the country level...within the framework of the MDGs and other international commitments’ (UNCT, 2005:3). The UNDAF document stakes out a role for the UN system in a country ‘with huge problems and potentialities’, supporting Brazil to ‘optimize the use of its resources’, and observes that in spite of the huge progress of recent years, ‘inequality – between the rich and the poor, men and women, white and black people and between regions – remains as a central national characteristic’. In this context the UNDAF sees the ‘realistic UN contribution’ as being ‘the concentration of efforts on those issues that may help change this scenario and may result in the social inclusion of the excluded and the vulnerable’ (ibid:3).

This statement in fact accurately describes the UNICEF focus in its recent programmes, although given the limited number of agencies that are active on the ground in Brazil, in practice coordination takes place bilaterally between agencies based on specific priorities and needs. Where this takes place – for example in the partnership between UNICEF and the ILO over the issue of child labour – evidence from interviews with these agencies and with their government, private and civil society partners, showed that the process seems to work well.

UNICEF’s added value in this context, as perceived by the organization itself and consistently confirmed through the interviews with government, civil society and private sector partners conducted by this evaluation, has been its broader equity and rights agenda. This links in closely with Brazil’s 1988 Constitution, which defines education as a right of all children. UNICEF has also consistently advocated for placing education within a broader context, establishing links to other sectors (health notably), which contribute to the goals of ensuring quality education for all. Within this broad agenda UNICEF has prioritized attention to excluded and vulnerable groups and more recently to adolescents. In this context, interviewees note that UNICEF has a high profile and reputation/credibility amongst all its partners, considerable convening power, a strong link with federal government, and that the organization stands out for having a more pronounced presence at local or municipal level than the other multilateral partners.

There are a number of partnerships at different levels in place around education, which bring together different stakeholder groups. These include two large groupings of NGOs and other stakeholders focusing on education: the ‘*Movimento Todos pela Educação*’ (the All for Education Movement), which has been instrumental in linking private sector institutions with key actors in the public sector to support the development and implementation of good policy in education; and the *Campanha*



*Nacional pelo Direito à Educação* (the National Campaign for the Right to Education) which brings together CSOs and associations.

Furthermore, UNICEF works with a great number of regional and local level partnerships and stakeholders, through its 'Zone Offices'. In addition to the CO in Brasília, UNICEF has eight 'Zone Offices' arranged around three 'Platforms': the Amazon Platform (Manaus, Belem and São Luis); the Semiarid Platform (Fortaleza, Recife, Salvador, Rio de Janeiro (responsible for Espírito Santo state) and São Paulo (responsible for Minas Gerais state); and the Urban Centres Platform (all of them, with each being responsible for the city where the ZO is located. Recife ZO is responsible for Maceió city. Some of these offices are also responsible for specific themes in education: *Educamazônia* (Manaus, Belem and São Luis); Literacy at the right age and Right to Play (Fortaleza); Contextualized education in the semiarid region (Recife); and Water in schools in the semiarid region (Salvador).

UNICEF has played a role in a number of these key partnerships as highlighted by the interviews with these organizations themselves. A first role has been one of legitimisation – as UNICEF's association with particular partnerships adds credibility and status to initiatives (given UNICEF's high standing in government, private and public circles) and is therefore much sought after. Interviews with a local NGO *Instituto ProBem* illustrate what came out consistently across interviews: *"(the association with UNICEF) has given us credibility in trying to achieve our objective. It has allowed us to aggregate the value of UNICEF as an international organization, helps with methods, means and processes, for implementing our programs."*

Secondly, UNICEF has also had a convening role by bringing key stakeholders together. As expressed by a prominent government official: *"UNICEF establishes partnerships and mobilizes different parties."*The evaluation was able to see this mobilization power in practice during the field work.

Thirdly, the agency has had a technical role through its focus on bringing out issues that are of relevance to its mandate as a rights-based organization, using existing data bases to explore issues that are not getting attention (such as adolescent drop-outs) or conducting exploratory studies (for example, the work that was done in Piauí to identify factors that characterize schools that perform well in national literacy tests).

The evaluation identified various examples of UNICEF's role in setting up and supporting education (related) partnerships. This was the case for the Forum for the Prevention of Child Labour, in which ILO and UNICEF both had a leading role in bringing together various federal government ministries (including the Ministry of Justice), CSOs, and multilateral partners. The forum is based on the premise that quality education is the best strategy to prevent child labour. UNICEF similarly played a founding role (together with UNDP and UNESCO) in the establishment in 2006 of the *Movimento Todos pela Educação* referred to above.

UNICEF also played a founding role in the establishment of the *União Nacional de Dirigentes Municipais de Educação* (the National Union of Municipal Education Managers – UNDIME), and of *Instituto ProBem* (an NGO established in 2010 in the State of Piauí which supports capacity building of municipal education staff). The *Campanha Nacional pelo Direito à Educação* (the National Campaign for the Right to Education) brings together CSOs and associations and has received technical inputs from UNICEF. These partnerships have been a critical element of the UNICEF strategy, and with important 'upstream' characteristics. For example, the UNDIME has been a key mechanism through which UNICEF has worked intensely at local level with Municipalities to set up the Municipal Seal (also known as the SELO) programme, which has been in existence for 14 years to achieve MDG-related goals in key indicators (see Case Study 2).



## The Private Sector

A distinguishing feature of the UNICEF Brazil programme is its collaboration with private sector organisations and foundations. UNICEF has developed important partnerships with private sector philanthropic organisations founded by leading corporations and financial interests. These partnerships have been developed over a considerable period of time. These include the Roberto Marinho Foundation, established by the magnate who built the *Rede Globo* TV and media empire, one of the biggest corporations in Brazil. The mission of the Foundation is 'mobilizing people and communities, through communication, social networks and partnerships, around educational initiatives that contribute to improving the quality of life for all Brazilians.'<sup>17</sup>

Early on in this relationship, the Roberto Marinho Foundation and UNICEF implemented the *Amigos da Escola* (Friends of Schools) programme to carry out activities on the ground and advocacy work, and until 2004 UNICEF also worked with the *Criança Esperança*, or 'Hope for Children' fund-raising programme with TV Globo. UNICEF is now supporting *Globo Education*, in partnership with *Rede Globo* (the Globo Network) and the Roberto Marinho Foundation. This programme introduces child rights issues into mainstream TV including the soap operas which are the daily diet of millions of ordinary Brazilians.

The Itaú Social Foundation is another important partner for UNICEF, set up by the *Banco Itaú* and based in the commercial and financial centre of Brazil, São Paulo. This Foundation has partnered with UNICEF for many years, contributing both material and their own technical support to initiatives such as the Itaú-UNICEF Award to civil society organizations that make significant contributions to child rights issues.

To understand the significance of this it is important to put the role of the private sector into context. As part of its 2009 Situation

Analysis, UNICEF Brazil presented some pertinent facts about private sector involvement in social sector work and in BEGE in particular. Leading national NGOs in education include *Todos pela Educação* (All for Education) which provides a vehicle for several leading private sector organisations to channel funds towards social and educational projects. '*Todos*' focuses on key areas such as teacher training, and using the management skills and expertise of firms to improve the management, delivery and impact of public educational and learning services.

Another umbrella organisation, GIFE (*Grupo de Institutos, Fundações e Empresas*),<sup>18</sup> brings together the 101 largest private social investors in Brazil. GIFE carried out a study in 2007 of how they are working in the area of education which showed that 81 per cent of its members carry out work aimed at improving public education. The study revealed that the average investment *per firm* reached just over US\$3 million in 2005, and that the main activities supported were teacher training (74 per cent of GIFE firms), art and education workshops (54 per cent), and supporting schools (50 per cent) (UNICEF, 2009:39). This amounts to some US\$ 300 million in one year directed at education from a leading group of private sector entities.

One note of caution is that there can be a risk of UNICEF being 'instrumentalised' – used for commercial or other ends – in this process, or at least being seen to be so by some actors. During the evaluation mission there was press criticism of UNICEF being present at the launch of a new product by a large firm with which it collaborates, which was robustly addressed by the Representative. The focus of work for private funds above indicates that so far, this support is genuinely altruistic and without significant commercial agendas attached. However, the experiences of UNICEF in Brazil underline the need for careful management of relations and partnerships with the private sector. The agency is aware of this and has protocols in place to guard against it.

<sup>17</sup> <http://www.frm.org.br/main.jsp?lumChannelId=FF8081811D6C7E31011D879099AD3F8C>

<sup>18</sup> The Group of Institutes, Foundations and Firms



### 3.2 THE RESULTS OF UNICEF UPSTREAM WORK

Table 3.1 summarizes some key areas of upstream work in BEGE which UNICEF has been engaged in over the evaluation period. While there has been no systematic evaluation of results and impact of the Brazil CO upstream work, the evaluation was provided with considerable anecdotal and performance data evidence

of the impact of UNICEF's work on specific areas of policy and on programmes implemented by Government and other partners. The information of for this table was compiled from interviews conducted by the evaluation team, and the evidence presented was duly triangulated. Field visits also confirmed the success of upstream work conducted UNICEF Brazil over the period of the evaluation.

**TABLE 3.1**

**Summary of UNICEF work with upstream content or impact, Country Programme 2002–2012**

Nature of upstream effort	Outcome/ Change	Key strategies	Intervening organizations
Developing the 2011–2020 National Education Plan and 2020 Bicentennial Goals <sup>19</sup>	National Education Plan adopted Bicentennial goals adopted	Dialogue with government and stakeholders Technical assistance Studies and Situation Analysis	MEC UNESCO Civil society
Extending age of compulsory education to all children and adolescents in preschool and upper secondary	2009 Constitutional Amendment extending compulsory education to all children and adolescents from 4 to 17 years	Advocacy, regional seminar convened by UNICEF LACRO in Argentina in 2009 highlights progress in other countries, Brazil mission adopts 17 year upper limit to come into line Post-workshop advocacy Minister of Education presents an amendment to Congress to increase the age of compulsory schooling	CSOs MEC UNICEF LACRO and Brasilia Ministries of Education from countries in the region
Ensuring children are literate at the end of Grade 3	Federal Govt develops and implements a national programme – the National Pact for Literacy at the Right Age ( <i>end of Grade 3</i> ) (PNAIC)	Support local initiatives in two NE States Establish local NGO to drive pilot Provide resources and TA Use national data for baseline statistics Extend approach to other municipalities Monitoring and reporting of results Present pilot approach and results at national education meetings Visits by MEC to Ceará and Piauí, subsequent development of PNAIC with UNICEF and local participation	Ceará & Piauí state Govts Municipalities MEC UNICEF

<sup>19</sup> At the time of writing the National Education Plan was awaiting approval by the Brazilian Congress



**Table 3.1** (cont'd )

Nature of upstream effort	Outcome/ Change	Key strategies	Intervening organizations
Promoting integral/Holistic Education through Itaú-UNICEF Award	Strengthened capacity of NGOs to lobby/advocate for policy change	Giving awards to NGOs that implement projects with public schools which promote integral education experience (extending time in school and offering additional learning opportunities)	Private sector NGOs Public schools UNICEF
Promoting equitable access to education by addressing racism in schools	Agreement with GoB to disseminate guidelines and indicators to all schools  Implement 2003 law to introduce of Afro-Brazilian history in schools	Respond to national Afro-Brazilian NGOs and pressure groups  Analysis of official education indicators to highlight racial equality issues  Partner with national NGO and SEPPIR to develop indicators for each school to assess itself against racism criteria  Develop curricular guidelines for schools to address racism  Agreement with SEPPIR to go to scale	Ação Educativa SEPPIR UNICEF Municipalities
Awarding well performing municipalities the SELO Municipal ('SELO UNICEF')	Improving social and education indicators (evaluation of SELO in 2013)	Mobilize and build municipal capacity  Monitoring of progress against indicators  Awarding of the SEAL to municipalities who perform well	Municipalities State govts. Petrobrás, Telefónica Foundation UNICEF
Identifying adolescent needs, and progress on Children Out of School Initiative	Situation Analysis on Adolescents prepared	Identifying adolescent needs, and progress on Children Out of School Initiative	Situation Analysis on Adolescents prepared
Increasing public spending on education	Approval by Congress of an increase in education spending until it reaches 10 percent of GDP.	Advocacy work by UNICEF with NGO and CSO partners	UNICEF
Changing how the general public see education through TV/media interventions	Dissemination of messages about importance of education through mainstream media including telenovelas (soap operas) and print	Workshops and training	Changing how the general public see education through TV/media interventions



UNICEF's engagement throughout the evaluation period has focused on the quality of education and issues of exclusion and school attendance for disadvantaged groups. Prior analysis together with government and other partners identified the Northern states in the Amazon region and states in the semi-arid Northeast region as focus areas where these issues were tackled. In addition, disadvantaged groups and communities in some metropolitan areas were targeted, in Rio de Janeiro and São Paulo. Throughout the evaluation period, activities were planned and implemented which may not initially have had an explicit upstream goal, but UNICEF seems to have been aware of the upstream potential of its work and has been ready to use the results at local level to advocate at central, Federal level for policy changes and new programmes with Federal funding.

Table 3.1 also shows the importance of UNICEF as a vehicle for carrying out research and studies into issues that have either already been identified as emerging or unaddressed issues – by government or by civil society – or which UNICEF's own country assessment process based in the Situation Analysis has identified. This role in conducting research and drawing attention to key issues was consistently mentioned to the interview team. The importance of this work is highlighted by the word of one of the private sector interviewees: *"We base ourselves a lot on the studies of UNICEF... (this) ... has been a major source of advocacy – (one of the studies) has showed that child labour leads to delays, repetition, and then to abandonment (drop out) and to exclusion ... This has been really important in our process of convincing the most resistant actors."* These kinds of studies and the collaboration with UNICEF have strengthened debate and have helped gain entry points to specific fora, such as parliament. Statistical data is very strong, and strengthens arguments. As with the more empirically based exercises, the results of this work are then used to advocate at central, Federal level for policy changes and new programmes with Federal funding. To appreciate these different approaches to upstream work, a series of case

studies are presented, based on interviews with stakeholders, field observations and a detailed analysis of available documentation.

### 3.3 CASE STUDIES

#### Case Study 1: Literacy at the Right Age and *Palavra da Criança*

##### Background

The first example is the evolution of the Literacy at the Right Age and *Palavra da Criança* (Word of the Child) programmes in Northeast Brazil and their later impact on national policy. This key activity for UNICEF also shows how initial small-scale local initiatives to address locally-identified literacy problems were then adopted by UNICEF and have been extended into other areas as they have been refined and improved.

Achieving literacy at the right age (by end of Grade 3) is one of the biggest challenges in basic education in Brazil and reflects concerns with education quality. Literacy levels vary per region. One of the areas that falls far behind on education and other social development related indicators is Brazil's semi-arid region where approximately 8 million children (out of a total of 13 million) live in poverty. In this area literacy, infant mortality and water coverage rates are well below the national average. With respect to literacy in this region, in 2009, a quarter of children aged ten years who were completing their fifth year of primary school were still unable to read, write or understand simple text appropriate to their age. This figure was almost double the national average of about 13 per cent.

##### What was done

In 2004, an assessment was undertaken in the semi-arid state of Ceará to diagnose the level of children's literacy. This assessment covered over 200 municipalities and provided information on the status of reading and writing. It revealed that over 50% of children were illiterate



at the end of grade three. With strong support from the Governor, the State Department of Education decided to develop a programme to address the issue. This led to the establishment of the Literacy at the Right Age (*Alfabetização na Idade Certa*) programme, in the State of Ceará, which had the strong support of the Governor. A special tax on circulation of merchandise was introduced to help fund the programme and a system of rewards was introduced for well performing schools.

The programme's goal was to achieve children's literacy by the end of the first three years of primary school. Programme strategies included:

- Helping municipal professionals to develop monitoring systems in schools to ensure adequate teaching hours
- Supporting the planning of classes
- Introducing a system for continuous training of teachers with distribution of reference materials, and
- Introducing individual assessment and analysis of each child's level of literacy through a reading test.

Through the UNICEF Fortaleza Zone Office, the State government asked UNICEF for support to develop and extend the programme. The overall process was coordinated by the Legislative

Assembly and Government of Ceará with support from UNICEF, and rolled out to 49 municipalities. In 2007, the State of Ceará adopted the Literacy at the Right Age programme as a public policy. In terms of results, the State registered a drop in illiteracy by 56 per cent among eight year olds in Ceará from 2006 to 2009.

Following up on this experience, the neighbouring state of Piauí – also in the semi-arid region and one of the poorest in Brazil – developed a local adaptation of the programme called *Palavra da Criança* (Word of the Child). This began with a local initiative in Teresina municipality, the state capital, where the Municipal Education Secretary noted that children were still illiterate up to age 8 and beyond. He marshalled a group of local teachers and found resources in his budget to focus on the issue and ensure that children would reach literacy by Grade 3. Impressive results were achieved using locally developed methodologies for improving reading and writing skills and assessing outcomes.

UNICEF was then asked to support the programme through its 'Semi-Arid Zone' Regional Office in neighbouring Ceará State. It helped the teachers to set up a new NGO – *ProBem* – to drive the programme forwards and expand into other municipalities. With UNICEF support this initiative was expanded in a first phase to 25 municipalities in 2009, to 150 in 2012, and to all municipalities in the State in 2013.

### BOX 3.2

### Palavra da Criança – Some observations

The programme started in 50 municipalities and has extended to all 224 municipalities in the State of Piauí over a period of three years.

*"The programme gave us techniques for identifying children who are not managing to learn ... It was a significant contribution because it showed us how to address the problems that we identified. The evaluations we did were used to prepare materials, provide training, monitor, etc." – a coordinator interviewed in Teresina.*

In the first year 21 municipalities were certified as having made significant achievements, in many cases increasing literacy levels of grade 3 pupils from under 50% to over 80%.

**Source:** Focus group interviews and reports



UNICEF also facilitated the presence of *ProBem* staff and state and municipal education officers at national meetings to talk about the initiative. From Federal level, the MEC then visited the programme at local level, and developed a new national programme from 2012 onwards – the National Pact for Literacy at the Right Age (PNAIC), which extends the main features of this programme to cover the whole of Brazil.

The programme in Piauí had to take account of a different context and plan for sustainability given that this State did not have the same financial incentives and resources as Ceará – a much richer and more prominent State nationally. Various adaptations were thus made in the design to build in a stronger guarantee of sustainability.

The main difference is that *Palavra da Criança* – as a local initiative – identified the gap of needing to work with the Municipal Secretaries for Education. Pedagogical coordinators are based at the municipal level and are responsible for clusters of schools. *Palavra da Criança* organized periodic training sessions with them. The programme also for the first time used data from *Provinha Brasil* (with the help of the Federal University of Ceará) – which is a national assessment of children's achievement – to set up a baseline against which progress for the municipalities could be measured. And differently from Ceará, the programme in Piauí measures both reading and writing skills at the end of Grade 3, through a locally developed testing process.

Elements of success the Ceará programme were also retained, in particular the engagement of families in the literacy process, the focus on continuous capacity development of teachers, and the focus on improved coordination at the municipal level. This made the literacy programme more sustainable and appropriate to the needs of the municipalities. Adaptations were also made to use existing materials and to streamline the training process to cut costs.

### Role of the Various Partners

In Ceará, the commitment of the Governor to the programme was critical to giving the initiative prominence and to securing funding. At the municipal level in the State of Piauí, the strong commitment of the then Teresina Head of Education was also important to the early success of the programme. However, a change in leadership when he was promoted to a more senior post meant the programme received less attention. It was at this point that UNICEF supported a dedicated group of teachers and individuals from the municipality who had been working on the programme to establish an NGO – *Instituto ProBem* – which has since assumed responsibility for the process of expansion and consolidation of the programme, with the support of Teresina municipality and the State Government. This has allowed for the initiative to expand to all municipalities in the State.

It is important to note that both State governments (and the Teresina municipality in the case of Piauí) have borne a significant part of the costs of implementing and expanding the literacy programme. As already mentioned, the State of Ceará introduced new taxes specifically to support their initiative, and in 2011 the State of Piauí adopted *Palavra da Criança* as a public policy, with a budgetary allocation of approximately US\$ 900,000. This has given a guarantee of sustainability to the programme.

UNICEF has used very little core funding to carry out this work.<sup>20</sup> UNICEF has however played a key role in both states in the process of refining and developing and then rolling out the programmes, including by:

- Playing a networking role in bringing partners together
- Supporting studies and pieces of research that have fed into the decision making process
- Providing technical support to the design of the interventions and implementation.

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<sup>20</sup> This applies to most of its programme in fact, as discussed later.



Interviews conducted by the evaluation team highlighted the link between these two initiatives and other complementary initiatives supported by UNICEF in the same region. This includes the UNICEF Seal initiative (see Case Study 2) that awards municipalities in the semi-arid region the Seal of Approved Municipality, if it meets certain goals related to increasing the quality of life for children, including on specific education indicators. It also includes UNICEF work prior to the evaluation period, which has brought about the establishment of UNDIMÉ and which strengthened capacity at municipal level.

### **Contribution to Public Policy**

UNICEF facilitated the participation of technical education staff from Piauí in a series of national education meetings in 2012, which gave prominence to the approach that was being used in both states. In the words of one of the founding members of *ProBem*: “The MEC would not have known about the project if UNICEF had not taken us to a national seminar in October 2010 where we were asked to present on our experience and generated a lot of interest ... the initiative would probably not have gone beyond the Municipality of Teresina without the advocacy of UNICEF.” The MEC then sent out a team of experts to examine the work at local level and used this to inform the design process for what is now the *Programa Nacional de Alfabetização na Idade Certa* (PNAIC). The PNAIC was launched by the MEC at Federal level in 2013, and the work done in Ceará and Piauí is acknowledged by all partners to have been an important reference for this national effort which integrates many, but not all, of the key elements of the Ceará and Piauí experiences.

The work supported by UNICEF in these two states is also acknowledged by federal and municipal government officers, as well as by

CSOs, to have supported the implementation of the curriculum reform process. The reform process had introduced the notion of National Curricular Parameters (known as *Parâmetros Curriculares Nacionais* or PCNs), which were general guidelines on curriculum content, but had not provided a sense of how to implement them and they were therefore being widely ignored. The work in Piauí has focused on operationalizing the PCN so that teachers now have a methodology and tools for implementing sequential activities during the school day and year which reflect the guidelines of the PCNs. In the words of one of the evaluation’s informants “UNICEF identifies policies that are dormant and supports us in activating them”.

*Palavra da Criança* has contributed to important gains in literacy in two of the most disadvantaged regions of Brazil. It has also informed the design and launching of a national level programme to address the challenges around early literacy. The upstream nature of the work – although it was not specifically envisioned how that would work from the start – derives from the influence on national priority setting and spending in education, and an increased recognition of the importance of education quality, and of specific factors that contribute to this. While the exact route for influencing national policy was not a deliberate one, UNICEF is well positioned because of its intervention at different levels to identify such ‘ad hoc’ opportunities and ensure that it rolls out specific actions (such as taking the staff from Piauí to national meetings) to engage in national debate. Through training of teachers and municipal education staff, as well as through the establishment of the NGO *ProBem* UNICEF contributed to capacity development at local level, and to an increased recognition of the importance of local experimentation/innovation to inform policy.



## Case Study 2: The SELO Municipal<sup>21</sup>

Another example of the result of UNICEF upstream work is the Municipal Seal of Approval programme. The 'SELO' programme began in 1998 in the State of Ceará, where UNICEF suggested it as a way to encourage better organization of resources around child rights and welfare objectives, and to increase community participation. It quickly proved itself and attracted a lot of attention from political leaders and decision makers, and in 2005 the programme was expanded to all 11 state of the semi-arid Northeast of Brazil. This rate of expansion has been matched by an increase in the number of municipalities receiving the SELO. Data from the 2006 and 2008 'editions' of the programme show that in 2006 1,179 of the more than 1,500 Northeast region municipalities participated with 192 being awarded their SELOs. In 2008, 1,130 participated, with 262 being awarded the SELO. This is an increase of 35 per cent in the number of municipalities meeting the targets set for indicators in education, health and child rights (UNICEF, 2010a:26).

Popularly known as the 'SELO UNICEF', the SELO programme has been highly successful in getting municipal governments to integrate child rights issues and MDG attainment into their local policies and programmes for education, health and maternal welfare. A key element of the UNICEF strategy was to create a public service NGO, UNDIME,<sup>22</sup> which brings together all the Education Department heads of municipal governments. Through UNDIME, UNICEF has gained access to local government processes and gained the full support of its municipal partners. UNDIME facilitates planning at municipal level and liaises with stakeholders. The fact that there is regular interaction makes it easier for UNICEF to access this critical mass of implementers.

Critically, the programme is implemented in 'editions' which are timed to coincide with the electoral cycle in which Municipal governments are elected (and of course re-elected if they are seen to be doing well). Achieving the Seal implies that life for ordinary people is improving; getting the SELO award is good for children and is good politics.

The objectives of the SELO programme are built around eight main goals which also correspond to specific MDGs and goals of the Millennium Declaration on Promotion of Peace and Protection against Violence (MDPPV):<sup>23</sup>

1. All children up to one year old surviving (MDG4)
2. All families, particularly pregnant women, provided with basic health care and pregnant adolescent women provided with special health care (MDG5)
3. All children under 2 well nourished (MDG1)
4. All children and adolescents with access to clean water (MDG7)
5. All children aged 4 to 5 in preschool (MDG2)
6. All children and adolescents with access to school, completing primary and lower secondary education, and remaining in school and learning as expected (MDG2)
7. All children and adolescents growing up without violence and exploitation (MDPPV)
8. All children with free-of-charge civil registration (MDPPV)

Evidently it is unrealistic to expect Municipalities to fully achieve all of these goals in the two-year period of each SELO cycle or 'edition'. A key element of the programme strategy is that

<sup>21</sup> An evaluation of the SELO Programme was being planned at the time of the evaluation mission in Brazil and should provide more comprehensive and systematic evidence on the impact and resource efficiency of this important component of the UNICEF Brazil portfolio. The present evaluation was however able to use written material and interviews in Brasilia, triangulated with interviews at local level, to assess the upstream nature of this programme.

<sup>22</sup> Union of Municipal Education Managers

<sup>23</sup> List taken from UNICEF 2010a:22-23



they at least commit to embarking along the road toward these goals, and establish viable and attainable waypoints that cumulatively will end up with all the goals being realized. As they reach the target agreed with UNICEF teams for each indicator, and perform well in a majority of areas, they are awarded the SELO. Municipalities that achieve a SELO in one 'edition' can compete for a second SELO, either to continue achieving their established level of performance, or to complete the full set of goals.

The existence and functioning of Municipal Child Rights Councils is a pre-condition for municipalities to participate in the Selo Programme. They mobilize the local population and monitor progress against key indicators (in education, health, and other areas of social welfare). The SELO programme has stimulated a strong focus on capacity development at municipal level with achieving the targets for all indicators as a priority. In this way it has enabled municipalities to more effectively plan and mobilize federal, state and local resources and programs to address problems. Significantly, it has also contributed to encouraging and facilitating collaboration between municipal departments.

In the course of its several 'series' – it is just launching the seventh edition, to be awarded in 2014, in line with the cycle of Municipal elections – the SELO programme has spread to

hundreds of municipalities, and has prompted State and Federal governments to allocate more resources to those participating in the programme (see the discussion on the 'Pacto'). It has also created a strong awareness of child rights issues at local level, tied the achievement of getting the SELO to potential electoral success for Municipal leaders, and created pressure from below for change.

During the field visits, the mission was able to capture important and revealing statistics that were highlighted by guest speakers and provide a snapshot of evidence of results and outcomes (Box 3.3). More precisely however, to quote the summary of achievements in the preamble to the 2012–2016 CP document, 'Through the UNICEF Municipal Seal of Approval....subnational policy implementation intensified and social indicators of participating municipalities improved at higher rates compared to national averages. Infant mortality fell by approximately three times the average decrease in the national rate' (UNICEF, 2012b:5). The impact is clear even in those municipalities that do not succeed in achieving their SELO but take part in the programme. In the 2008 edition, for example, the drop in infant mortality in those that took part but did not achieve the full SELO was 10.7 per cent; in those achieving the SELO it was 15.8 percent; and in the rest of Brazil the change was 3.1 percent (UNICEF, 2010a:29).<sup>24</sup>

### BOX 3.3

### The SELO Municipal – impressive results build commitment

The evaluation team was able to participate in the ceremony to launch the 2014 edition of the SELO programme, in Fortaleza, Ceará. During the opening speeches, a political leader from the State of Ceará talked of going to New York to present the results of their efforts (over a four year period, they reduced infant mortality from 38% to 4%, by focusing resources, improving management, mobilizing citizens, and political will). 'You can do it too!' he had told the assembled delegates from UN member states, underlining what the SELO can achieve. The audience in the launch ceremony – representing hundreds of Municipalities and CSOs keen to participate in the next edition – responded enthusiastically.

<sup>24</sup> This could of course be partly explained by the different socio-economic starting points of the regions that UNICEF has targeted



The SELO programme has therefore allowed UNICEF to actively influence the policy process and programming of decentralised municipal governments, and through this, achieve significant impacts on a range of key child health, welfare and development indicators. The upstream nature of this work is clear insofar as it has built the quest to realize MDGs and other global concerns directly into local programmes, and linked the process of social mobilization and empowering citizens to participate in electoral and other higher-level political processes. By creating the UNDIME structure as part of its strategy to gain access to and work with local governments, UNICEF has also built the capacity of a great many Municipal level education departments and raised their capacity to engage in national level discussions on key policy issues.

### Case Study 3: The Indicators for Assessing Racial Inequality in Schools

A further, more recent, example of the results of UNICEF upstream work is the adoption of a set of indicators for schools which they can use to assess and address racial inequality in education.

A key input into this work was a disaggregated analysis of existing education statistics to highlight racial and gender inequalities. The initial impetus for the study came from Afro-Brazilian pressure groups concerned about racial inequality in schools; a collaborative effort with a major Brazilian NGO, UNICEF, the *Secretaria Especial de Políticas de Promoção da Igualdade Racial* (Special Secretariat for the Promotion of Racial Equality – SEPIIR)<sup>25</sup> and MEC then resulted in proposals to develop the indicators, and produce a publication for dissemination to all schools in the country. This case study again illustrates some of the critical qualities that UNICEF has had. As noted by a senior official working on the promotion of racial equality: *“The mobilization capacity of UNICEF is considerable. UNICEF talks to small*

*municipalities, gets their attention and gets them to act. UNICEF not only works around convincing municipalities but also is able to generate much wider visibility around what is happening, through its very strong communication capacity. This is what draws in the state and federal authorities as well as other actors.”*

A formal agreement was signed between SEPIIR, MEC and UNICEF shortly before the evaluation mission, in September 2013, to roll out this work to schools. The use of these indicators should draw attention to the barriers that exist at local level and inform the identification of measures to address them.

### Case Study 4: Working with Journalists and the Media

UNICEF has also worked very closely with the media over the whole evaluation period. The purpose of this collaboration is to ensure that mainstream media (TV, newspapers, etc.) address education and rights issues in a positive and effective manner. In this context, UNICEF played a key role in the establishment of ANDI Brazil (a network of journalists), and later in the creation of ANDI's regional network (with support from the Regional UNICEF office). The mission was provided with well-prepared publications for briefing journalists on child rights issues in Brazil, advocating for child rights and the right of children and adolescents to access and be represented in media, and describing the regional programme supported by UNICEF through LACRO and its various country offices (ANDI, 2006; ANDI, 2009a; ANDI, 2009b; ANDI, 2012).

UNICEF's initial role (predating the evaluation period) included funding of the organization, as well as workshops, and reporting competitions. Today the collaboration focuses on technical inputs, as well as the organization of events around specific themes of interest to children and education, including for the upcoming World Cup in 2014.

<sup>25</sup> SEPIIR was created by President Lula in 2003 after pressure from black equality lobbies in Brazil, and given full ministerial status in 2008.



As mentioned above, another important media partner is *Rede Globo*. An earlier partnership to mobilise funding through TV shows and fund-raising ventures was ended by UNICEF in 2004, when it was felt that the programme was no longer an appropriate vehicle for UNICEF to be involved with (UNESCO then stepped in to take UNICEF's place). Since then, however, UNICEF has kept its dialogue going with *Rede Globo*, which has also established new capacity through entities like *Amigos da Escola*, and a new venture with strong upstream implications has been started with a focus on integrating appropriate messages into soap operas and other mainstream programmes.

Interviews with various informants highlighted that UNICEF's association with messages in the media results in higher ratings, confirming the credibility that the organization has gained over time. This collaboration with journalists and large media organizations, to get child rights message into mainstream media activities and influence public opinion, has important upstream implications. This is a clear case of UNICEF Brazil adopting an explicit upstream approach not just in relation to government and official policy, but also to impact on the opinion of the general public and through it, to influence the government and its policies and responses to issues that concern citizens and educational specialists alike.

### Other notable upstream achievements

Early in the evaluation period, UNICEF carried out a study called 'Children and Adolescents in the Brazilian Semi-arid Region' (Gomes Filho, 2003). The research revealed substantially worse figures on all child indicators compared with the rest of Brazil, and UNICEF used the results to advocate amongst government at all three levels and civil society partners for a concerted programme of action to address the issue. The result was the 'One World Pact for Children and Adolescents of the Semi-árido' signed in 2004 by eight state ministries from the Northeast and 30 non-governmental organisations.

Like the SELO programme, the Pact is implemented in 'editions' that are timed to correspond to the electoral cycle for state governors and public administrators. The first edition ran from 2004–2006. When new governments were elected, a second edition was launched (from 2007 to 2010) supported by 11 state ministries and 60 NGOs, 'to renew the commitments [of the new governments] to improving the lives and conditions of the children and adolescents of the Semi-árido' (UNICEF, 2009:73).

The Pact brings together federal, state and municipal governments together with civil society groups around the goal of the Pact. From the point of view of this evaluation and its focus on 'upstream work' the following extract is significant:

*'It falls to the Federal government through its ministries, to develop national policies which take into context the culture and specific aspects of the Semi-árido Brasileiro. The states are responsible for maintaining and strengthening state [Pact] Committees, composed of representatives from government and society, to support the municipalities in actions directed towards children and adolescents, as well as maintain integrated policies and articulate with civil society and other branches of government. The Pact also succeeded in taking the theme [of children and adolescents] to the Forum of Northeastern State Governors and getting them to assume a commitment to achieve a package of indicators linked to infancy and adolescence based upon the Millennium Development Goals' (ibid:73).*

The Pact works in close liaison with the SELO programme and in its recent editions has focused on four strategic elements:

- Articulation between federal and state programmes, policies and projects to support the municipalities in reaching their goals
- Providing public budget for infancy related activities



- Promoting the exchange of successful experiences between states
- Putting the *Semi-árido* region on the national agenda

It also supports a 'Semi-arido Observatory' as a permanent virtual forum where experiences and ideas can be posted and discussed, and progress on indicators can be monitored. Overall the Pact is a clear indication of the upstream focus of much of UNICEF Brazil's work, incorporating a range of techniques and skills for which the organization is well known: carrying out studies to identify issues and then use them as advocacy tools; facilitating dialogue between a wide range of stakeholders; and uniting often disparate and dysfunctional structures and entities around common goals and purpose.

Later in the evaluation period, a major achievement which shows the effectiveness of upstream work in Brazil was UNICEF's contribution to the signing of the Constitutional Amendment to extend the compulsory period of schooling from 6 to 14 years to 4 to 17 years of age.<sup>26</sup> The change is important because it ensures that children have a right to State-funded education including secondary education, with important implications for success within the school system, and are less likely to repeat grades or drop out. The increase from 14 to 17 provides a stronger guarantee of keeping children in school and addressing issues such as child labour (widespread in certain areas of Brazil), teenage pregnancy, violence, delinquency and poverty.

Interviews with UNICEF and MEC staff and documentary evidence show how this process was influenced by a 2009 Regional Conference on education. The Conference was convened by the UNICEF Regional Office, and UNICEF Brazil supported GoB participation. Other countries participating in the Conference had already extended the school age, presenting a convincing argument for Brazil to come into line with its regional neighbours. The event

created an opportunity for strong advocacy in favour of the change through the media and civil society presence. From the information gathered during the mission, it is clear that the Conference was instrumental in the subsequent decision by the Minister of Education to present a constitutional amendment to Congress to extend the age range.

The UNICEF Regional Office is indeed clear about the importance of learning between countries in the region. In an interview the RO officer responsible for education said that Brazil is also important in the regional context, with its innovative programmes and achievements in education offering lessons for regional neighbours. This role of UNICEF in facilitating and providing opportunities for regional dialogue with policy-level impact was reiterated in meetings with UNICEF Brasilia and government officials.

In the 2007–2011 period, UNICEF also worked closely with the government to develop the new ten-year National Plan for the Promotion of Child Rights 2011–2020 (the 'Ten Year NPA'), national public policies for eradicating child labour and protecting adolescent workers, the National Plan of Action on Family and Community-based Care, the National Programme to Reduce Lethal Violence against Children and Adolescents, and the National Plan for Racial Equality in Education. All of these have an obvious upstream focus and underline the shift towards upstream work as the country programme – and Brazil – have evolved.

### 3.4 EVALUATION AGAINST DAC CRITERIA

#### The Relevance of UNICEF's Upstream Work in Education

The evaluation finds that overall, UNICEF's work on upstream issues in education and gender has been entirely relevant and well directed at

<sup>26</sup> In 2006, the age was extended from 6 to 14 (to be implemented by 2010), in 2009 this was extended to 4 to 17 (to be implemented by 2016).



both global and national priorities. Indeed, the UNICEF Brazil leadership team is keenly aware of the need to engage upstream at the policy level if they are to make a strong contribution in a country with its own substantial resources, strong technical capacity, and political will.

Through the upstream approach, UNICEF has rightly sought to further its mandated responsibility as a multilateral agency to promote a rights-based approach to education and implementing the principles of the CRC, MDG, EFA, and other globally-mandated objectives. UNICEF has also been able to effectively use its global campaigns, such as the campaign addressing the issue of Out-of-school Children, to further issues locally, e.g. through the launching of the Brazil campaign *Fora da Escola Não Pode* (Having Children Out of School is not Acceptable).

By working always and closely with government and many other stakeholders, UNICEF has also successfully aligned its programme with the key issues facing education policy makers in Brazil today, namely inequality along racial, historical, cultural and regional lines. Upstream work has brought a strong focus to disadvantaged regions and groups, which has then been translated into measures that have resulted in new policies and programmes being developed and supported at Federal level.

UNICEF is also particularly well placed to bring critical issues around inequality and gender to the attention of policy makers in a country where these issues are very sensitive, but also fall squarely within UNICEF's mandate and thus responsibility to address. This has included examining in detail what the composition is of the group of children who still do not have access to education and highlighting that these are mainly children from disadvantaged backgrounds/geographical areas. The recent introduction of programme *Fora da Escola Não Pode!* (Being out of School is Not Acceptable!) underlines this point well.

UNICEF Brazil, through BEGE and other sections within the office, has also enhanced the relevance of its work by focusing attention

on adolescents. It has particularly highlighted the critical importance of a whole education cycle if longer-term (adolescent) issues – such as child labour, teenage pregnancy, violence, and poverty – are to be avoided. This is an area where UNICEF Brazil has played an innovative role even in terms of the global recognition of these issues given that until recently the global agenda has focused predominantly on the importance of the early years of schooling.

UNICEF has used studies and research to analyse key issues with partners and with governments to identify these emerging priorities – this is a strong upstream dimension to its work in Brazil. Relevance is thus ensured through evidence, debate and dialogue, and a joint definition of priorities. Combining engagement at local level (Municipalities) with dialogue with State and Federal level has further enhanced the relevance of UNICEF engagement. It has ensured that the agency has both a credible understanding of issues, and that innovative action at local level can influence policy dialogue at higher levels.

Documentary analysis and discussions with external informants highlight the relevance of the upstream work to the overall Brazilian context. As a MIC, Brazil has the financial resources to invest in education, as well as the governance and implementation structures to roll out education initiatives. As a country it has made enormous progress in ensuring access to education. UNICEF has contributed, with other partners, to ensuring that the dialogue and action has shifted from access to a focus on education quality and to those categories of children and adolescents whose rights are not being met.

## Results by Key Results Area

This section of the report summarizes key results from these various upstream approaches on UNICEF's Key Results Areas (KRA).

### *a) Early Childhood Development (ECD)*

- Clear results on relevant indicators through the SELO Municipal programme.



- UNICEF lobbying for widening the school age from 4 to 17 has enhanced a focus on ECD, which did not exist with the previous priority for 6 to 14 years.
  - UNICEF, while not explicitly working on expansion of infrastructure, has lobbied to ensure that ECD expansion addresses the needs of vulnerable children.
- b) Child Friendly Schools (CFS)*
- The concept is not part of current thinking in Brazil and not fully understood. However, the work that has been done to build capacity of municipalities (through different programmes including the SELO and *Palavra da Criança*) has allowed schools to access resources to create better learning environments using, for example, the substantial Federal support available for school infrastructure and special needs through the FNDE. UNICEF has helped to ensure that these resources have contributed to making schools more child friendly in de facto terms (although the concept is not explicitly used) (see Box 3.4).
- The Itáu-UNICEF Award has mobilized private sector resources to provide incentives for NGOs to work on extending school time so that children have access not only to curricular but also extra-curricular activities and can stay at school for a longer period. This has allowed schools to provide better learning environments, and ensured support for vulnerable children (including access to health care and school meals).
  - WASH in schools is being promoted and UNICEF has signed a partnership with Unilever to promote adequate sanitation in schools.
  - Sports for development has been a new area of activity which includes monitoring how many schools have a sports environment within the school.
- c) Equitable access*
- Equitable access has been a central plank in the UNICEF programme throughout the evaluation period. The focus of UNICEF on marginalized communities and population

**BOX 3.4****Making schools work for communities**

Two years ago the Pre- and Primary School Josefa Sa in the Municipality of Eusebio was the lowest ranking school in the Municipality. Parents in the community would prefer to find alternatives and send their children to a different school.

Through a partnership programme with another school from the municipality (which had one of the best rankings), with the support of the municipality and parents, and the work of a new dynamic director, the school has made a complete turn-around.

The school now offers a full day of classes, including after school activities, extra support for children who are behind, school meals, as well as health visits, and support to adolescents on sexual and reproductive health including HIV prevention.

The turnaround was brought about by better coordination and support, and allowing the school to access resources and technical inputs which are available locally. Today the school has 429 pupils, up from only 192 two years ago. It has over 30 teaching and support staff and has accessed Federal and State resources to rehabilitate sports infrastructure and to provide support for special needs children, and acquired its own school transport.

It is clear that one driving force behind this success is the desire of the Municipal government elected leadership to be awarded further UNICEF SELOs. As part of this process, UNICEF has worked with the Municipality to promote better planning, use of resources and collaboration between departments. Eusebio already has won the SELO, and intends to win more in future.

**Source:** Field visits and interviews with the Eusébio Prefect and school director.



groups, and on girls within these groups, is an important aspect of ensuring equitable access. This also corresponds to the UNDAF prioritisation of addressing inequality and equity issues through UN System programmes, in a country otherwise well-endowed and able to look after the basic elements of its social sector programmes.

- The issue of equitable access has taken on a recent new direction through work with government to use national educational data to assess racial and ethnic factors behind unequal access to education; this has now been translated into guidelines and indicators for schools as a national initiative, with a GoB-UNICEF agreement to disseminate material and support the process across the country.
- UNICEF has also worked on a pilot basis on adolescent pregnancy, advocating for flexibility in allowing young mothers to come back to school. The pilot “*Entre Fraldas e Cadernos*” (Between Notebooks and Nappies) has been informing public policy.
- At the other end of the scale, the 2009 Situation Analysis included ‘the Situation of Adolescents in Brazil’ and brought issues related to adolescents, including access to and passage through the school system, into the forefront of new discussions on policy and resource allocations.
- The work on sanitation in schools also contributes to equitable access.

#### *d) In the area of emergencies*

- Major emergencies are not a major issue in Brazil, but natural disasters are relatively frequent. UNICEF has worked with the Brazilian government to integrate educational concerns into disaster response, for example the question of using schools as relief centres. Evidence from one disaster area (floods in Alagoas State) is that ‘building back better’ is not established as a guiding principle, with many schools still not

rebuilt, let alone built better. This would appear to be more a question of resource and needs management than a resource-availability issue. There is potential here for UNICEF to use its established skills in promoting better articulation between the various levels and sectors of government to improve this situation.

- After the 2011 floods in Rio de Janeiro UNICEF was asked to support government in ensuring better preparedness before, after and during emergencies. With UNICEF’s technical support a National Protocol for the Protection of Children and Adolescents in Disaster Settings (which includes protection of handicapped and the elderly) was established and signed by eight different ministries. UNICEF is currently advocating for implementation of the protocol.

### Unintended results

In a programme where much of the work has an upstream impact, it can also be noted that the upstream results of what appear as more conventional ‘project-based’ activities at local level were perhaps not predicted or clearly defined at the early stages of implementation. This is to say that a lot of the upstream impact has been ‘unintended’ in the sense that it was not clear how the on-the-ground activities, and the research/studies, would produce upstream outcomes, and what those upstream outcomes would look like.

Nevertheless, the intention to take results and best-case practices ‘upstream’ is clear and present in the three CP periods analysed, and is certainly becoming more explicit and a programming focus in later CPs, as demonstrated in the current 2012–2016 programme. It is also appropriate to qualify this level of ‘unintention’ with the observation that there is an implicit level of uncertainty in upstream work, as the advocacy and policy debate process does not always result in predictable outcomes.



### 3.5 EXTERNAL COHERENCE OF UNICEF'S UPSTREAM WORK IN EDUCATION

There is certainly a shared understanding of upstream work within the CO staff, although a clear definition is not shared by all. Generally all are aware that it is *'about influencing policy and getting global goals for child development integrated into national programmes in a way that is aligned with national priorities, context, and capacity'* (this is a composite statement taken from several during the various interviews).

That said, while most staff know what upstream is, there is no explicitly formulated or institutional understanding of what it is, in the sense that it can guide future programme development and the planning of resources, including human resources. It is also not certain if all staff in the 'Zone Offices' in the various regions of the country have this understanding.<sup>27</sup> Certainly in the area visited – the Semi-arid Zone Regional Office – there is a clear understanding of the upstream nature and implications of what they are doing. It was not possible to assess this in other Regional Offices, but there were signs that the level of understanding found in Ceará and the Northeast may not be replicated in all cases.

UNICEF Brazil senior staff are not sure if their understanding of upstream work is shared by HQ, where much depends on the background and experience of the staff concerned. There is a perception that the main focus of UNICEF work globally is on very different sorts of countries – much poorer, less stable governments, fragile and post-conflict states – where perhaps 'upstream' concerns do not take centre stage. It is felt by some that this is reflected in the way in which some senior colleagues see the experience of a country like Brazil as interesting but not terribly relevant to these other, more urgent contexts.

Another view of how HQ sees 'upstream work' is that it tends to focus more on integrating global initiatives and ensuring that MDGs and other global goals are integrated into CPs, rather than working with government to build a policy platform that meets national priorities (while still trying where possible to have more global concerns included).

The UNICEF Regional Office echoes these concerns, and has a clear understanding of upstream work that seems to be in line with the thinking of the Brazil CO. Moreover, LACRO is well aware of the important lessons that Brazil has to share with other countries, and not just in Latin America and the Caribbean. Collaboration between the Brazil and Regional Offices is good and was well demonstrated during the mission by the participation of the newly created South-South coordination department in a regional workshop being held in Jamaica, and also by the close collaboration on regional initiatives which in the past have contributed to upstream results, such as the Constitutional Amendment on the age of compulsory schooling

Internally, there is not a lot of explicit collaboration between departments and programmes within UNICEF itself. Staff are fully occupied administering and implementing their specific programmes and have little time to give to other activities in already demanding work schedules with a lot of travelling. This stands in contrast to the work that UNICEF does outside of the office where it is acknowledged for its exceptional role in creating space for a wide range of stakeholders to come together around the various issues and activities, and actively promoting cross-sectoral collaboration. More could be done to encourage better internal dialogue and collaboration, but there is also the sense that this is more of a strategic issue that might require a different approach to how the overall programme is organised and managed.

<sup>27</sup> There are eight Zone Offices, each one dealing with a specific 'platform' and theme. In terms of platforms the distribution is as follows: Amazon – Manaus, Belem and São Luis; Semi-arid – Fortaleza, Recife, Salvador, Rio de Janeiro (responsible for Espírito Santo State); São Paulo (responsible for Minas Gerais State) Urban Centers: one responsible for the city where the zonal office is located. Recife ZO is responsible for Maceió city. In terms of themes: Manaus, Belem and São Luis handle "Educamazônia"; Fortaleza – Literacy at the Right Age and Right to Play; Recife: Contextualized education in the semi-arid region; Salvador: Water in schools – semi-arid region.



Seen from outside, it is clear that UNICEF partners appreciate the holistic view of child rights and specifically educational issues that the agency brings to the table. In the case of the SELO programme, UNICEF has been instrumental in encouraging much greater inter-departmental collaboration to achieve, *collectively*, the targets for indicators which then result in Municipalities being awarded their Seal of Approval. This approach underlines the general coherence of the overall UNICEF approach, where activities on the ground are not only implemented with clear intent to improve things locally, but also to have subsequent impact at the level of national policy dialogue and programme formulation.

There are some concerns about this overall coherence and the generally effective UNICEF Brazil programme being undermined by capacity limitations within the UNICEF Country Office and regional office teams. Comments from some partners suggest that the UNICEF staff are too thinly stretched and are finding it difficult to dedicate sufficient time and attention to all the activities under way. In the words of one of the civil society representatives who was interviewed by the evaluation team: *“The UNICEF education team in Brasilia is very small in terms of number of people, given the volume of activities that take place. There are just three persons, and this a very big task for such a small group... and we are but one of the many entities they engage with.”* This is of course exacerbated by the huge size of the country and the need to fly long distances to work with regional and local teams.

One possible result of this which came to the attention of the evaluation team is an apparently less satisfactory situation in the urban-focused programmes (Rio do Janeiro and São Paulo). This is not a comment on the performance of personnel involved, as it was not possible to visit these offices and their work was not selected as case study material. However, some comments were made during interviews inside and outside the UNICEF office which suggest that there have been some difficulties in the peri-urban platform activities.

Important private sector partners have also noticed that strains on existing UNICEF capacity risk undermining the coherence and effectiveness of the overall UNICEF approach within what has been until now a coherent and well integrated Country Programme framework.

### 3.6 FACTORS EXPLAINING THE RESULTS OF UNICEF'S UPSTREAM WORK

The principal factors that explain the success of upstream work in Brazil are on the one hand, the very specific features of Brazil itself, and on the other the strong awareness in the Country Office that in practice ‘upstream is the only way to go’ in a country that is well-endowed and in charge of its own social sector policies and programmes.

There is little to do in the conventional area of supporting ‘downstream’ activities that provide basic services and respond to fundamental issues of rights and deprivation. Brazil has a strong constitutional basis for the right to education for all, and its democratic regime and strong civil society make respecting the constitutional obligations of government something that is not always seen in other countries which have good constitutions but a very different socio-political reality.

That said, it is evident from the interviews across the different stakeholder groups that UNICEF is a valued partner of government and other stakeholders, and has had considerable upstream success in recent years. During the interview process the evaluation team sought to understand what, from the perspective of stakeholders, contributed to this perception. The following factors were consistently mentioned across interviews as explaining the success of the upstream work:

- Working as much as possible with government and other stakeholders to analyse needs, establish priorities and determine how best to address them. The case studies that were discussed in this report illustrate this, especially the *Palavra da Criança* and the SELO.



- Bringing a high reputation for professional competence and integrity to the table. UNICEF's high profile engagement, its international child rights agenda which Brazil has signed up to, and its consistent long-term engagement are cited as having contributed to this. The words of one of the key civil society organizations that has partnered with UNICEF highlight what was consistently concluded by interviewees: *"UNICEF has a very strong technical and leadership role ... The partnership has been very intense, and UNICEF participates in each step of the process, also focuses on accountability. Has demonstrated a strong ownership."*
  - Being a visible and highly credible international organisation that carries weight in its pronouncements and brings serious technical competence and resources to bear on problematic issues, as illustrated, for example, by the type of studies that UNICEF has done in Brazil which are widely considered as shedding a particularly helpful light on issues affecting the education and learning of children and adolescents. This includes the aforementioned study on racial disparities in education and the studies that were done to gain insight into child literacy in the State of Piauí, among other engagements. A senior education official summarized this by highlighting the importance of UNICEF having *"conducted good research in strong articulation with different levels and different stakeholders ... being very sensitive to different .. having the capacity to produce dialogue ... and projecting a clear agenda and a deliberate strategy – globally and nationally – which contributes considerably to its credibility."*
  - Being an organisation that is working on a widely 'acceptable' and relatively non-political issue – the rights and welfare of children – but which nonetheless can use its multilateral status and relative neutrality to help Brazil address complex issues which internal discussions alone may not resolve (for example, the question of racial inequality in school access).
  - Having had a long and sustained engagement in Brazil, with high profile interventions which have been broadcast in mainstream media and contributed to a high recognition and value-added factor for UNICEF – within Government, civil society, in the private sector, and also among the general public.
- There are also strong practical and tactical reasons why upstream work in Brazil has had the impact described above. Interviewees consistently underscored the importance of UNICEF Brazil having assembled good and dedicated staff at central and regional office levels. Appreciation was expressed by Government, UN partner, private and civil society stakeholders for the manner in which UNICEF staff at different levels are committed to listening, promoting discussion, developing ideas, and engaging in a dialogue over what to do and how best to do it. Staff are also credited with having a clear awareness of the need to support Brazil as it grapples with deep and problematic structural issues, implying the need always to be aware of the upstream implications of the work that is being done, even though at face value it might appear to be a relatively simple 'downstream' activity (supporting the development and production of school texts, for example).
- And as is often the case when successful programmes are analysed, the characteristics of specific individuals working for UNICEF were also frequently identified as having been a key ingredient. Key education staff in the UNICEF office have a long track record of engagement with social sector issues as activists and also in government, and have connections (sometimes at a personal level) with senior Government officials, which was mentioned as having facilitated access to levels of policy and decision-making.
- These observations illustrate a conclusion by the evaluation team, that some results of upstream work may be 'unintended' in the sense that when things begin on the ground, it may not be immediately clear how or indeed if they will have any upstream impact. Interviews with UNICEF staff also supported this conclusion. The PNAIC



and *Palavra da Criança* case demonstrates this very clearly. The fact that field staff are given considerable autonomy by the central office team to assess and propose strategic decisions that are then discussed between the CO and the Regional teams to produce the desired concrete outcome – improving indicators in municipalities – and the desired upstream result as well contributes to this.

Finally, in terms of budget and resources, it is difficult for the evaluation to say that evolution of the budget reflects a conscious shift to upstream work. The overall set of activities are designed and implemented within an upstream focus, which is more implicit than explicit. Given that the overall education programme is essentially upstream the bulk of the budget is dedicated to upstream activities.

### 3.7 THE SUSTAINABILITY OF UPSTREAM WORK

Sustainability requires a range of assets and capacities to be in place. These include tangible factors such as human resources and budgets, and less tangible components such as solid partnerships and mechanisms for integration of certain priorities in government planning cycles, which also transfer skills and build capacity to take over activities currently shared with UNICEF. Sustainability can thus be examined from a number of dimensions: sustainability of inputs, of programmes/capacity, and of results/impacts.

In terms of inputs, the UNICEF programme depends very heavily on non-core resources, with all funding for activities coming from the GoB itself, private sector partners, and project funding channelled through New York. Table 2.3 and Table 2.5 show this very clearly for the programme as a whole, and by component. In both cases there is a near 100 per cent dependence upon 'other resources', which include

some payments made directly to UNICEF New York from the Brazilian government itself, and contributions from private sector partners such as *Banco Itaú*.

Table 3.2 and Table 3.3 show actual funding for the period covered by the evaluation. As can be seen from Table 3.3, the actual funding for the 2007–2011 period indicates a shortfall in relation to budget allocated in the Country Programme document. There is still a heavy dependence upon 'other' funding for the education sector especially.<sup>28</sup>

This picture underlines the relative vulnerability of UNICEF to changes in political positions should a different shade of government take office in Brazil (general elections are due in 2014). However, if possession of the central space, as key advisory and technical support to the GoB and its partners, and its performance and credibility with civil society are also considered, then UNICEF can probably count on the requisite level of support at least until the major educational issues it is now dealing with are being adequately addressed and national resources can take over

In terms of programmes, UNICEF activities have also created a strong bottom-up pressure on local governments especially to maintain improved performance which is the result of upstream impacts at local level (the SELO programme). Successfully linking the SELO programme to the local electoral cycle and making the achievement of results something that all Prefects want to be able to show to their electorate is a strong guarantee of sustainability into the future. In the same manner there are strong linkages between different UNICEF-supported initiatives at local level which contribute to sustainability (e.g. the strengthening of capacity through the *Palavra da Criança* and the links with the SELO).

<sup>28</sup> Financial data made available to the team did not allow a full analysis of sources and the contribution to each sector from funds that were allocated under other categories but with an educational component (under the various studies and research lines for example).

**TABLE 3.2** Actual Funding for 2003–2006 Programme Period (USD 000)

	2002	2003	2004	2005	2006	Total
Regular	n/a	-	28	113	141	<b>282</b>
Other	n/a	1,696	808	2,959	2,074	<b>7,537</b>
Total	n/a	1,696	808	2,987	2,187	<b>7,678</b>

**TABLE 3.3** Actual Funding for 2007–2011 Programme Period (USD 000)

	2007	2008	2009	2010	2011	Total
Regular	16	200	8	-	-	<b>224</b>
Other	1,589	3,274	2,247	2,211	2,302	<b>11,623</b>
Total	1,605	3,474	2,255	2,211	2,302	<b>11,847</b>

Secondly, in recognition of the growing importance generally of South-South cooperation (which is a strong feature of Brazilian government policy), and of the significance and usefulness for other countries of what is being done in Brazil, the Brazil CO has established the first and only Horizontal and South-South Cooperation Department in UNICEF country programmes. The person heading the new unit had been in charge of planning activities and has taken this role with her into this new arena of cooperation and technical assistance. Links to UNICEF Regional Office are important, and the role of the unit has a strong upstream dimension, both in terms of drawing upon other country experience to shape and influence what Brazil is doing, and in terms of using lessons learned in Brazil to contribute to policy and programming processes in other countries. These are both very significant developments at quite different points in the internal architecture of the CO which UNICEF in general should look at carefully.

UNICEF teams and their partners are working hard to build capacity, and this is very apparent at local level. There are however question marks over this aspect of securing longer-term sustainability at higher and national levels. The fact that UNICEF is called upon by

government and other actors to provide TA and carry out specialised studies is a reflection of the established credibility and competence of the agency. The evaluation team was told that this was frequently because UNICEF is a neutral partner who can build a case for specific (potentially contentious) issues with the backing of a credible international agenda. However, it also reflects weakness or perhaps conflicting political and other processes on the national side that are not allowing it to move ahead and more fully assume its own policy and priorities identification-and-response process. The 2012–2016 programme appears to have recognised this, however, with a specific reference to capacity building in a more distinctly upstream context.

Internally there are concerns that UNICEF itself is suffering from capacity constraints. There are only two technical staff at central level in the Education Department responsible for working with Regional Offices and with Federal government partners, and both have demanding timetables with a lot of travelling. Comments by some civil society and private sector partners revealed anxieties about UNICEF not being able to fully participate in the processes which it had itself helped to establish, as its staff are spread thinly with many obligations and across a very large country.



In fact upstream work implies a move away from a focus on having staff from the particular technical area working in each department – pedagogical specialists in education for example – towards a more generalist approach led by people with specific skills in communication, dialogue, and leadership.

The UNICEF Brazil senior management recognises this clearly, illustrated by its approach to the imminent retirement of the Head of the Education Department, who has been a key element driving the programme and able to engage with all stakeholders from the lowest to highest levels because of her personal background and motivation. Instead of merely accepting that she is a unique individual who cannot easily be replaced, the office has looked at her role and redefined both the title of her post – from Head of Education to Head of Education Partnerships – and its Terms of Reference, to include a far stronger focus on leadership and upstream work, and open the way for non-specialists to apply (the current post holder is in fact an architect with a long history of activism and engagement with social sector issues in both civil society and in government).

Two other issues need to be underlined in the context of sustainability and improving upstream work in Brazil. Firstly, UNICEF is also not fully addressing the need to improve skills or train senior staff in the specific techniques and capacities required to engage successfully in this kind of work. A useful start was a seminar held internally in 2008, to discuss the role of UNICEF in a middle-income country like Brazil, with a mature political and policy-making system, ample resources, and its own strong technical skills. More is needed in this direction, with senior staff in particular both being selected and being retrained, against a background where they must engage with national counterparts and other stakeholders as actors on a horizontal playing field where good arguments, credibility and high-end technical expertise on the side of UNICEF play a complementary and enhancing role in what is essentially a nationally-driven process.

Secondly, while UNICEF Brazil has a strong M&E department which does excellent work analysing results and even participating in the selection of Municipalities that have won the SELO, there is no specific M&E capacity to assess upstream work and generate management tools that can be used to improve how it is done in current programmes, and how it can be done better in future.

The evaluation finds that in terms of the results of its upstream work, these are fully sustainable as they have been effectively integrated into the working programmes and way of thinking of implementing and higher-level policy and decision-making partners. Many of the priorities are also integrated into Brazil's legislation in some way, which enhances the case for action. UNICEF has not only created working partnerships with key actors at all levels, but has also established the space and the opportunity for *these actors themselves* to form and consolidate effective partnerships. And, a key ingredient, Brazil also has the funding and political will to sustain them.

### Theory of Change and upstream work in education

While there may not be a commonly adhered to definition of upstream work in the Brazil Country Office, the evaluation finds that there is a clear understanding of why upstream work is important. Projects benefit a few, while upstream work impacting on policy and national programmes at all levels potentially benefits much larger groups, and addresses underlying structural causes of problems.

Within this perception there is an implicit Theory of Change, which targets underlying issues rather than immediate more symptomatic problems, and creates change by stimulating dialogue and presenting strong, evidence-based arguments for addressing specific issues and/or changing the way that present issues are being addressed. Fostering partnerships between all stakeholders and

**BOX 3.5****A Concise Statement of a UNICEF Brazil Theory of Change**

*“UNICEF has a big role in shaping public policy based on evidence, creating awareness based on information, ensuring information is generated, and that it is available to the public, analysed, and fed into public policy debate. It is also about the rigor of being able to respond to a problem. And ensuring that the policy is universal in its approach, but also with the equity intention to ensure universality” (interview with a senior staff officer in UNICEF Brasilia).*

between different levels and groups within the society and its governance structure is also a key strategic tool that is a critical instrument of change in this context.

Thus while UNICEF Brazil does not have an explicitly spelled out Theory of Change for upstream work in education, there is a strong element of consistency in terms of the approaches that are used for upstream work. Across different types of upstream work, a series of interventions are linked at different levels, i.e. activities on the ground/ discussion and studies/convening and facilitating meetings and other events/ monitoring progress/ accrediting and awarding institutions that make a difference/ promoting debate/achieving change. In these interventions UNICEF uses its reputation and convening power, provides or mobilizes technical inputs, and skilfully uses its international agenda/commitments (to which Brazil is also a signatory) to provide convincing arguments for policy change, policy implementation and monitoring (Box 3.5).

The UNICEF country office and the sub-offices are very aware of the upstream nature of its programme, which is also made explicit in the latest Country Strategy Document. However, strategic planning is still issue-focused. It is also driven by the need to implement the programme in pursuit of CRC and MDG targets. However, the evaluation interviews highlighted an explicit awareness of the need to take results to a higher level and have new ideas and approaches adopted by the central government (and by lower-level decentralised governments) into their policy frameworks and planning mechanisms.

At CO level there is awareness of the need to make adjustments in light of the role that UNICEF is playing. The changes to the titles of key posts and the advent of the Horizontal South-South Cooperation unit are clear indications of this. Both reflect an in-house awareness of the changed nature of the BEGE work that is being done by the CO, and the need to attract candidates who are able to continue and develop the upstream agenda and approach.

There is no specific prioritisation as such of upstream work because the whole cycle of situation analysis, identifying issues, discussion with government and partners etc. is by its nature upstream. There are clear implications for upstream work in the regular programming cycle of UNICEF which begins with Situation Analysis etc. In a country like Brazil, this will naturally lead into an upstream approach given the nature of the environment. In this context, UNICEF has also been aware of the size of the country, and has deliberately chosen to focus on specific priorities (geographical areas and vulnerable populations). This is reflected in the portfolio of activities and has ensured that its upstream focus has specific and manageable targets.



The evaluation found that UNICEF Brazil country programme is primarily upstream work, focused on policy dialogue to draw attention to populations in remote, disadvantaged areas to particular groups and categories of school age children whose right to education was not being met. With this perspective, there is also a growing recognition for the need for policy solutions to address children's development, not only for very young children, but for adolescent and to tackle issues faced by young adults.



## CHAPTER 4

# CONCLUSIONS AND LESSONS LEARNED

### 4.1 OVERALL ASSESSMENT

The initial assessment of UNICEF upstream work in BEGE is confirmed by the evaluation, which finds that the portfolio has consisted principally of upstream work, or at least that most of its work has been implicitly 'upstream' and has had a strong upstream impact.

UNICEF has focused on drawing attention in policy dialogue and implementation to the needs of populations in remote, disadvantaged areas, and on calling attention to particular groups/categories of school age children (at primary and secondary level) whose right to education is not being met. This concerns in particular the population in Brazil's northern Amazonian and north-eastern semi-arid regions, as well as particular racial groups (Brazilians of African origin, indigenous groups).

Within these groups, girls are certainly disadvantaged but it is not clear in fact if gender per se is a major issue in BEGE in Brazil today. Many of those consulted said that if anything boys are more likely to be excluded or underperform, with racial and other characteristics being far more significant than gender. This does not mean that gender concerns can be set to one side, but mainstreaming them in programmes like the SELO will ensure that girls benefit fully from what is provided, and are able to progress through the education system like boys and achieve their full potential once they leave.

The plight of adolescents has also been a particular point of attention in the more recent period, given the high levels of repetition, drop-out, teen-age pregnancy, and vulnerability to violence, child labour, and poverty of certain categories of teenagers. It is worth noting that

UNICEF's reviewed internal processes with the development of a vision and Strategic Action Plan (SAP) have contributed to a more longer-term vision of upstream work, with goals and indicators that cover a five-year period.

Within this perspective there is also a growing recognition of the 'upstream' nature – or long-term framework – of child development and education issues, with attention now embracing not just infants, but also children in primary and secondary education, and issues of adolescent development. Children do not stop being children no matter what their age, and require an integrated strategy to deal with their issues as they change and evolve through their early lives. There is also a need to plan ahead, for the challenges of a growing population, demographic change, and climate change's impacts on children. This vision requires – indeed demands – an explicit awareness of the importance of upstream work in education.

Upstream work in Brazil has consisted of deliberate efforts to influence the shaping of national and sub-national education policies, and direct engagement to ensure that the Convention on the Rights of the Child (CRC) and other global concerns are addressed/incorporated into national policies and disseminated downwards to local level. The work has included both concrete activities on the ground (in particular at municipal level) that then translate into pressure for a policy response higher up; studies and data (often using existing data bases with a focus on presenting information in a different/innovative manner) to generate new policy responses; and assisting government to examine key issues with a view to developing new policy responses. It also includes ensuring that policies that are formulated at a federal level but which have remained 'dormant' (i.e. they



have been approved but not operationalized or translated into strategies) are implemented at local level – for example, by developing specific guidelines and strategies for implementation, strengthening implementation capacity, and lobbying/networking between partners.

In BEGE the major conceptual shift is represented by one simple word: learn. To quote the 2009 Situation Analysis:

*'UNICEF understands that the universalization of the right to access to school [enshrined in the 1990 Education for All Conference in Jomtien] is fundamental, but it is not sufficient to only open places [in schools] and ensure that Brazilian children and adolescents are given these places. Once in school, they have the right to keep studying, to develop themselves, to learn and to complete Basic Education at the right age' (UNICEF, 2009:12).*

This vision is encapsulated in the switch from using terms like 'Education Component' to 'Learn' when categorising the various Country Programme inputs.

This change in perspective also implies a switch from a simple concern with numbers and performance indicators – X per cent of children in schools – to a concern with more qualitative and less easily measurable – and deliverable – outcomes: the quality of education, reducing the number of repeat years, ensuring that all children go through the whole school system and come out with successful and useful qualifications and skills. While achieving universal school access is certainly a policy objective (and one to which the GoB has adhered and delivered on), these other goals are perhaps far more 'upstream' in terms of the level of commitment and attitudinal change that is required to achieve them.

It is in this context that the general conclusion of the Case Study is presented: *the whole basic education and gender programme of UNICEF Brazil can be considered as 'upstream work'*. It is perhaps possible to qualify this slightly by saying that the upstream focus has evolved

and become clearer in the second country programme evaluated (2007–11), but as the discussion of each CP and the later discussion of results have shown, the reality is that upstream work and objectives have been the core concern of UNICEF in Brazil throughout the evaluation period.

This conclusion is based upon the fact that practically all of the activities undertaken in both country programmes:

- a. have been conceived with MDG objectives in mind (informed and driven by 'higher-level' goals while responding to local circumstances and needs)
- b. have depended upon significant attention not just to capacity-building but also to enhancing political commitment to undertake and implement the activities at all levels
- c. have been taken to higher national levels with support from UNICEF for debate and discussion, resulting in clear impacts on national level policy and programming.

Innovative methodologies and proposals coming out of work at the local level have been brought to the attention of national policy-makers through meetings convened by UNICEF, and by UNICEF ensuring the participation by local stakeholders in other official Federal level meetings to discuss educational issues and priorities. As a result, these initiatives have been translated into national policies and programmes.

In short, all the activities looked at meet the criteria of the definition of upstream work in education set out in the opening of this report:

*"UNICEF activities which were intended to have or had a system-wide, sustainable impact on the national capacities of public sector duty bearers in the education sector for fulfilling children's rights, directly or indirectly."*



## 4.2 EVALUATION AGAINST DAC AND INCEPTION REPORT CRITERIA

Looking at the standard DAC evaluation criteria of *relevance, effectiveness, efficiency, impact* and *sustainability*, as well as the additional criterion of coherence included in the Inception Report (see Table 4), the BEGE programme of UNICEF Brazil scores well in all areas. The issue of impact has also been included in this

evaluation, and again the programme appears to perform well. These results are summarised in Table 4.1.

The section on relevance in Chapter 3 shows that the selection of activities and the way in which they are implemented, addressing the issues identified, building partnerships with and between stakeholders, and creating national capacity at all levels, meet this criterion in practically all respects.

TABLE 4.1

Overview of the UNICEF Brazil Programme against DAC Criteria 2002–2012

<b>Relevance</b>	Components address clear priorities in a country where strong government commitment is addressing the basics but still needs support to target those left out, excluded due to specific characteristics and/or regional grounds.
<b>Coherence</b>	Results from UNICEF activities are illustrated by impressive performance indicators in areas where the programme operates, and by the incorporation of new approaches and programmes attracting national budget resources and promoting better integration and functionality between different levels of government and other stakeholders.
<b>Effectiveness</b>	Financial data do not permit a rigorous assessment but the budget tables available suggest a reasonable trade-off between resources allocated and results; efficiency of use of UNICEF staff resources is not so clear with signs that key personnel are over-stretched and not focused on upstream work to the extent possible.
<b>Efficiency</b>	The sustainability of the upstream work of UNICEF is considered to be good, as key measures are aligned with processes such as the electoral cycle and enhanced by engaging popular participation (and thus demand for better services), promoting partnerships between UNICEF partners that are likely to survive and mature even without UNICEF presence, and the use of existing forums to introduce new ideas into the policy framework and develop new programmes. Brazil also has a high level of political commitment tied to strong constitutional guarantees and driven by an active civil society, and has resources to maintain activities initiated with UNICEF support.
<b>Impact</b>	There is a clear understanding of the way in which programme activities can impact on overall goals and on policy formulation to address future challenges. Internally, the BEGE programme is well coordinated and consistent with both UNICEF and GoB priorities and objectives. While engagement in upstream work is an integral part of this overall package, it was not explicitly seen as such until the current CP development began, but upstream activities are now clearly understood with measures in place to ensure that this upstream focus continues to evolve and improve.
<b>Sustainability</b>	The upstream impact of the activities looked at in the evaluation is very clear, both in terms of new policy and new programmes to address issues identified with support from UNICEF, and impact on indicators is clear.



The effectiveness of the programme on the ground – the extent to which its objectives have been achieved – is equally clear, both in terms of the take-up by government of new approaches and policy initiatives developed with UNICEF support, and in terms of the better results in key indicators (not just in education but in other sectors too) in areas where the programmes like the SELO operate, compared with other parts of the country.

Sustainability is addressed by developing local community awareness of child rights issues and thus seeding demand for better performance by municipal and other government entities, matched with key processes such as the electoral cycle and regular national meetings convened by the Federal government. Setting up organisations such as *Instituto ProBem* at local level, and UNDIME to assume responsibility for implementation and also upwards representation of activities and dialogue with higher level authorities, should also ensure the continuity of the processes set in motion with UNICEF support.

Sustainability is also assured by the constellation of factors that are specific to Brazil – its resource base, its maturing democratic culture, political will, real decentralisation and empowerment of local government, etc. – and also by strategic and methodological approaches which build partnerships *between partners* that are likely to survive without a UNICEF presence, and which build national capacity to engage in and manage dialogue between the local level and the highest levels of state and Federal government. A strong civil society working both as a pressure group and as a partner with government is also an essential condition for ensuring sustainability over the long term.

In terms of coherence, the UNICEF Brasilia team and their colleagues at regional ‘zone office’ level share a common understanding of how what they are doing on the ground relates to wider policy development to address future challenges, both in the partner regions and at the national level. The team is also well aware

of the way in which other upstream activities such as research and the development of the Racial Exclusion Indicators tie in with activities on the ground, with an effective two-way flow between field and central level, feeding policy discussions with government at various levels. Internally, the BEGE programme is well coordinated and consistent with both UNICEF and GoB priorities and objectives. Engagement in upstream-related activities has been an integral part of the UNICEF Brazil approach over all three programme cycles observed here, but was not explicitly seen as ‘upstream work’ until the current CP development began. The evaluation found that upstream activities are now clearly understood with measures in place to ensure that this upstream focus continues to evolve and improve.

The discussion of results shows a similarly remarkable series of impacts from the upstream efforts of UNICEF Brazil, using a range of techniques to get the results of its programmes up to higher level and integrated into the national policy framework in meaningful ways with clear impacts on child rights and educational indicators on the ground. Once again, impact is also evident in the relative improvement in key indicators in areas where UNICEF has been working, compared with other parts of Brazil.

Comments on the efficiency of the upstream work have been left to last, for the simple reason that it is not so easy to evaluate. The available data does not permit an assessment of the relationship between the resources available through the budget and the return on these resources as measured by the various impacts. It is also not easy to clearly label specific resources as being for ‘upstream work’. It could be said however that a lot has been achieved for relatively low budgets given the size of the country, the impressive impacts on indicators in supported areas, and the clear take-up and effectiveness in all senses of programmes like the SELO Municipal and *Palavra da Criança*. Operationally it is not so clear that the programme is using its resources efficiently, with a very limited number of senior



staff attending to a range of responsibilities and having to both lead and manage teams in different parts of a very large country. In this context the strategy to focus on priority areas – the North, the Northeast, poor urban areas in the two large southern cities – may seem sensible and indeed is, but even this focus is very wide indeed and covers a vast area with multiple challenges.

Overall, the results clearly show the impressive and positive impact of UNICEF upstream work, in terms of figures on the ground and influencing national decision-makers to adopt new ideas and focus resources onto the priority issues that persist in a landscape where social indicators on the whole have improved enormously in recent years. This impact ranges from municipal governments acquiring new capacity to organise their planning around child health and education goals and manage resources, driving commitment at higher level to support action on the ground through complementary upstream measures like the Pact in the Northeast, and getting important constitutional amendments proposed and approved in the Congress.

There are some sustainability concerns within UNICEF, to do with both the size and nature of its personnel structure, and the source of its funding. Ultimately of course the sustainability of the UNICEF capacity to do what it is doing in Brazil is only a short-to-medium-term issue in any case (or at least it should be). Assuming that Brazil can maintain its present trajectory, and that the political consensus around addressing social issues and ending inequality is maintained even when the governing party changes, then the need for a programme presence of UNICEF will diminish and eventually end. In this context adjustments to the profiles and Terms of Reference of senior staff especially need to be considered.

It is also important to note the role of the private sector as a partner in the programme. The private sector offers both resources and important practical perspectives especially in

the area of efficient management and use of available resources of BEGE, and is emerging as an important partner for UNICEF. This is likely to be the case in many other countries as well. The Brazil case shows that this relationship needs to be well managed in order for child rights issues to remain the focus of the collaboration, and the UNICEF Brazil office appears to be well aware of this and up to the challenge.

## 4.3 LESSONS LEARNED

### About Upstream Work in Education and Gender

Based on the case studies that were looked at through interviews, reading and visits to the field, the evaluation was able to identify some specific features of upstream work in Brazil that are important for enhancing this kind of work in other contexts and countries.

The evaluation identified three types of approach to upstream engagement which have characterized the portfolio:

- Empirically based activities with upstream objectives
- Studies and research
- 'Classical' upstream work

#### **Empirically based activities with upstream objectives**

These activities are field-based and distinctly local level in their initial phases; at first glance they could be mistaken for a more traditional project-based approach seeking to achieve concrete results at local level. However, the way they are implemented and subsequently developed by UNICEF to influence the policy process at higher levels clearly establishes them as upstream work. Through these activities new approaches are developed that are then analysed and discussed with the implementing partners. UNICEF facilitates dialogue between these partners and central government



resulting in new programmes, or an extension of Federal government support to strengthen what is being done at local level. In this context the empirical approach can in turn be disaggregated into two subsets, each represented by a specific concrete example:

- a. In the first instance UNICEF identifies initiatives that are addressing a priority issue and works with the stakeholders to strengthen them and then take the lessons learned to a higher level where they are incorporated into important new national initiatives. The example of this is the *Palavra da Criança* programme in Northeast Brazil which, with UNICEF support, has expanded regionally and become the basis of the new *Pacto Nacional de Alfabetização na Idade Certa* or PNAIC. (Case Study 1)
- b. The second subset involves working with local governments to introduce child rights indicators and MDG goals into local level public policy and programmes, and then to take this methodology into other states and areas identified as priority according to the criteria of inequality and low quality in education access and performance (as well as in other areas, such as infant and maternal mortality). Municipalities receive funding for education directly from the Federal government and successful municipalities are likely to see their social sector budgets increased. The SELO Municipal programme is the principle mechanism which illustrates this approach. (Case Study 2)

### Studies and Research

This second upstream activity has three subsets:

- c. UNICEF's own longstanding country programme development process (Situation Analysis, etc.). Through this process issues are identified which Government agrees should be included in the UNICEF programme. Unlike less well endowed countries where support for

'downstream' activities may still be necessary due to a lack of national resources and capacity, the UNICEF Brazil/GoB approach is to use UNICEF resources and capacity to conduct studies and analysis; this is then discussed with government and forms the basis for the formulation of policy and new initiatives. An example of this is the recent Situation Analysis of adolescents in Brazil where UNICEF collected and analysed data and did an initial print run of the study which was subsequently reprinted in greater quantities by the MEC and now forms the basis of a national dialogue on how to address adolescent issues.

- d. Government is aware of specific issues and invites UNICEF to analyse existing (education) data to see if it can reveal insights on the issue in question; the results are analysed with government and other stakeholders (NGOs etc.) and used to inform policy discussion and the drafting of specific instruments. One example of this is the development of new Indicators of Racial Exclusion with SEPPIR (Case Study 3,).
- e. The Government identifies issues and asks for UNICEF technical support to investigate these and produce new data which is then used to jointly analyse the issue in question and develop a response. One such issue is GoB concern over the high rate of caesarean births in the country, which predominate amongst middle-class groups but are also an issue lower down the economic scale.

### 'Classical upstream work'

UNICEF disseminates CRC and other global objectives/principles, and programmes/campaigns and works with various partners to ensure that these are disseminated and integrated into national policy. To some extent this approach threads through the other two 'upstream' approaches identified above, but has distinct content in UNICEF engagement with government and other stakeholders to



ensure that the relevant national commitments to globally-agreed goals are being effectively addressed.

The three forms of upstream work also demonstrate another important finding: 'upstream' work is not always at national level – it can be an important approach at *local level as well*. In this context the evaluation found that in fact upstream work in Brazil has had three dimensions:

- *At central level* – informing Federal government policy leading to funding decisions for States and Municipalities
- *At local level* – getting CRC and related indicators integrated into Municipal government public policy and working mechanisms (e.g. SELO programme)
- *Working with private sector and CSOs* to get CRC and related messages into both their institutional approaches and to influence public opinion which in turn impacts on public policy (e.g. work with Globo and the Itaú Foundation).

This particular characteristic of upstream work may be a reflection of the specific political and constitutional set-up of Brazil, with its decentralised governance system structured around the Municipalities which are full members of the 'Federal Union of Brazil' alongside the States and the Federal Government. In this case Municipal Governments – which are elected every four years – have their own public social sector programmes; the work of UNICEF has been important in getting these governments to integrate CRC and other key social indicators and the necessary programme components to achieve them into their Municipal policies and programmes. Hence 'upstream work at the local government level'.

Working in this manner UNICEF has used a variety of complementary techniques which have characterized the different types of upstream interventions:

- Direct interaction with local governments through UNDIME and UNICEF Regional Offices; direct support to local activities such as the SELO programme (which evolved out of earlier work with Banco Itaú), setting up CRC committees in Municipalities and local communities, establishing the NGO *ProBem* to take the *Palavra da Criança* literacy initiative forwards
- Promoting inter-sectoral collaboration in pursuit of common goals (SELO especially)
- Facilitating participation of local actors in regional and national forums to present results and then advocate for their adoption by central government. This has included ensuring that local activists, local government officers, and target group representatives such as adolescents are present and actively participating in the discussion of public policies in meetings and conferences
- Carrying out studies and research, which is an area in which UNICEF's longstanding credibility and competence is widely recognised in Brazil, and taking advantage of the fact that Brazil has strong data collection systems
- With the UNICEF Regional Office, facilitating Brazil's participation in regional forums to disseminate Brazilian initiatives and to expose Brazilian policy makers to trends in neighbouring countries (e.g. the Argentina conference which resulted in raising the school age to 17).

### Lessons learned from the case studies and partners

UNICEF Brazil is also very clear about why upstream work is an important strategic shift – projects benefit a few, while upstream work impacting on policy and national programmes at all levels potentially benefits much larger groups, and addresses underlying structural causes of problems.



There are several very clear examples of how UNICEF's work has influenced policy and the implementation of that policy by creating new programmes and capacity. The lessons learned from the evaluation, and in particular the case studies, are clear:

- The development and management of the programme is **well adjusted to the specific context and how the country is organized**.
- UNICEF in Brazil **builds admirably on its reputation for integrity and competence** – 'UNICEF gives credibility to its partners and *is* credible as a partner' sums up many statements made during interviews.
- UNICEF is using its power well – as a multilateral, as a reputable and respected organisation, as a *competent* organisation – to **bring people together who might not otherwise engage, convene and direct discussions, create space for debate and constructive decision making**.
- UNICEF has enormous potential to **facilitate and to broker solutions** which it uses extremely well in Brazil.
- UNICEF Brazil has maintained a **long engagement and commitment of a strong national team** that is not subject to the conventional rotation cycle of international staff, and which **each round of new international leadership is able and willing to move alongside and maintain continuity** while also bringing in new ideas.
- The successful upstream programmes have a **long gestation period, and upstream impact is also a result of this long-term continuity which allows for impact and results to be properly assessed in a realistic time scale**.
- The upstream activities also *work because of careful attention to building a base of alliances, goodwill and trust – again the*

*credibility and competence factor comes in strongly here.*

- **Monitoring and evaluation** of programme activities is of a high standard and **allows for management by results and for adjustments to be made that improve implementation** as programmes are being developed and rolled out.
- UNICEF successfully uses the **rights-based agenda based on the World Summit** and subsequent international processes to establish and manage an agenda that is seen to be **morally and ethically correct, politically impartial, and intersectoral**; all those interviewed emphasized that this raised the profile of what they do with UNICEF support, and makes it easier to integrate their work into the political framework.
- Strategies: **looking at what is going on in the wider society** – trends, political structure and organisation, national capacity etc. – **has allowed UNICEF to identify specific priorities in a very large national landscape** with diverse and deep structural and functional problems.
- In this context UNICEF **uses to full effect its ability to conduct or oversee quality research and analysis and use this to create new agendas that address priorities that perhaps were not previously fully understood**, and have them integrated into national thinking and policy.
- UNICEF is seen as a learning organisation and an **organisation that helps its partners to learn as well**.

#### 4.4 RECOMMENDATIONS

The analysis by the evaluation team has brought out the strong focus of the UNICEF Brazil programme on upstream work. However, there are some recommendations



to be made that can improve the way it is being done and enhance its impact in the future. While these recommendations are made with an eye to the Brazil programme, and accepting that the Brazil case has many characteristics that set it apart from other countries, most of them are also relevant to other UNICEF programmes which are moving towards a more upstream focus and engagement with government and stakeholders.

**1. Document the experience of upstream work in the education sector in Brazil to inform UNICEF-wide engagement in upstream work**

Given the very strong element of upstream work throughout the Brazil programme, and the successful way in which the CO team has worked with a wide range of stakeholders to achieve the level of impact and influence on national policy and programmes, UNICEF is advised to document this experience and extract lessons from it that can inform and build capacity for upstream work in other country programmes.

UNICEF Headquarters should also look closely at what is being achieved in Brazil for developing a new strategy for working with and supporting its COs around the world as they move towards this kind of engagement.

**2. Develop a medium to long term vision of upstream work in the education sector to guide country programme implementation**

At present there is no clear strategic plan behind the activities discussed above, which set them within a clear vision of how they will contribute to the more upstream impact and influence of UNICEF's work in Brazil. While clearly not accidental, there is an element of 'unintentionality' in some of the upstream work which could be better planned for, with the intention to engage in 'empirically supported' v being a clear part of the planning and budgeting of new activities. This also will influence the profiles and TORs of staff assigned to these activities.

We recommend that the office develop a medium to long term vision of the upstream engagement to explicitly prioritize areas of focus and strategies for the future and to allow for a clearer planning of resources. While this plan should provide guidance it should also leave sufficient room for the kind of flexibility and capacity to react to emerging opportunities that has characterized the interventions to date.

**3. Identify opportunities for working across thematic areas within the UNICEF office to enhance opportunities for learning and for using resources effectively**

One suggestion is that UNICEF could look at how its own departments and programme teams could use the SELO programme to see how it might offer a common implementing and resource allocation framework at local level, within which each CP activity/department could follow through its specific activities and also maximise synergies and greater impact by linking with other departments and colleagues.

**4. Provide in-service training in upstream work for present staff, and develop new TORs for future staff**

The changes already in place in the Brazil office point to an awareness on the part of senior management that the structure of the office and its human resource profile will have to change to take on a more upstream role and meet the new challenges of a world where most partner governments have their own internal technical capacity and sufficient resources to attend to at least the basics of an educational or other social sector programme. With a growing movement internationally for 'developing countries' to learn from and support one another – and indeed offer lessons and expertise to 'developed countries' struggling with their own problems – it is evident that a rethink in terms of staff and technical resources is required and to some extent already under way in UNICEF Brazil.



While this is ongoing, existing staff job descriptions can be re-assessed and modified so that they can focus more effectively on the upstream work and wider impact roles of their work, and in-service training on the context, objectives and methodologies to be carried out upstream work. The list of Lessons Learned is a useful reference point in this context. The seminar on middle-income countries and UNICEF is also a salient feature of the recent programme in this context.

**5. Improve the use of monitoring data and ensure that upstream components of the Country Programme are evaluated to contribute decisions on future strategies/engagement**

Upstream work is being done well in Brazil, but it could be done better and there is no in-house system at this point for monitoring it and developing conclusions about performance, impact and other issues that managers need to refine and/or change how they are doing upstream work.

**6 Do upstream work at national level and in local governments**

This recommendation is of particular significance for other country programmes. The specific constitutional set-up of Brazil has allowed a clear upstream approach to take root at local government level as well as being focused on higher level policy formulation. It is important however to appreciate how an upstream focus at local level can achieve changes in local government behaviour and approaches even in countries where institutions are far less decentralised, or where local governments are constrained by being tied into more centralised hierarchies.

The SELO experience in particular shows that it is possible to do things that allow or encourage local actors to change perceptions and integrate new ways of doing things into their daily

working practices. This can be done even in situations where structural constraints get in the way – key issues can be addressed *pending more substantive reform* by working closely with local government and other relevant stakeholders, engaging with them, building local capacity and skills, promoting an inclusive approach with local residents. This approach may also create the conditions for that reform to take place higher up the scale at a later date.<sup>29</sup>

## 4.5 FINAL COMMENTS

It is important to note that a focus or a shift towards upstream work does not necessarily mean that UNICEF should cease to focus attention on concrete, ‘downstream’ activities on the ground when national resources are genuinely lacking. Nevertheless, these activities in turn should also be assessed against some kind of scale of ‘upstream impact’, in the sense that they can also influence how policy is shaped and developed in response to changing circumstances and needs on the ground.

This is an important lesson coming out of Brazil, where upstream work is clear and relevant and responding well to the very specific circumstances in this country. Many of the activities described above appear on the surface to be ‘downstream’, yet they have been planned and implemented in a way that has had a clear impact on national policy and stakeholder capacity to engage with government and other partners. Even where the conditions to conduct upstream work may not appear to be so favourable, experience with real conditions and real activities at local level, ‘boots on the ground’, can provide both empirical justification and credibility for an agency that is seeking to ‘move upstream’ and focus its resources more upon how to influence national debates and policy development.

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<sup>29</sup> See for example Tanner and Bicchieri, forthcoming.



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## ANNEXES

### ANNEX 1: METHODOLOGY

This CCS is one of four CCS in the global evaluation, as discussed in Chapter 1. The overall methodology is the same across all four CCS (Afghanistan, Brazil, Cambodia and Zimbabwe). The teams built on the Inception Report, which drew on the discussion and insights of the full team workshop held in Oxford in August 2013. The Evaluation Framework for the evaluation as a whole can be found in the Inception Report for this Evaluation. This has been completed as a matrix of findings for the Brazil case study and will be used to compare across case studies for the global evaluation report.

In preparation for the case study the CCS team reviewed available literature, and contacted the country office to obtain further documentation and to prepare the fieldwork, and to collect documentation and additional data for the evaluation. An issues paper was drafted and submitted on September 30<sup>th</sup>, 2013. The issues paper outlined the preliminary findings from the literature reviewed, specifically with regards to key aspects of the context (Chapter 1), the timeline (Annex 5), a preliminary bibliography, a preliminary stakeholder map, and preliminary summary of upstream activities. The issues paper also contained a comprehensive overview of the focus of the field work (including persons to be contacted), and outlined (based on the reading and on preliminary contacts with the office) four specific cases that would be the focus of examination during the fieldwork. The issues paper was initially intended to be an internal team document. However, this particular CCS team found it useful to share the document with the CO to obtain inputs into the design of the fieldwork.

Preparation for the field work was done by the office in São Paulo in coordination with the regional offices. This country study also received additional support from the UNICEF evaluation office in New York given that Brazil was added to the list of countries at a later stage. The evaluation manager from HQ facilitated initial contacts with the office, mediated in the scheduling and planning, and travelled to Brazil for the first week of the field work to help with initial contacts with the office and data/document collection.

The team was in Brazil from the 7<sup>th</sup> to the 17<sup>th</sup> of October, 2013. An initial briefing was organized at the UNICEF office in São Paulo to explain the purpose of the study. The time in São Paulo (5 working days) was used for individual and group interviews with key UNICEF and external informants from the GoB, CS, and the private sector (Annex 5) and for preliminary data analysis. A number of interviews were conducted by phone during the visit to Brazil and subsequently to the visit for those informants who had already left the country.

The team also carried out fieldwork to Northeast region of Brazil (Ceara and Fortaleza) over a period of three working days. In these locations the team met with UNICEF staff, municipal authorities and members, teachers, trainers of teachers, NGOs, and visited a primary school. The team was fortunate to be able to be present at a major event organized in Fortaleza in the context of the SELO programme which made it possible for us to conduct focus groups with municipal prefects, education staff, and council members from across regions covered by the SELO. Such breadth of respondents would have been very difficult to achieve had the visit not coincided with this event.



The team developed a semi-structured interview guideline for the interviews and focus groups ahead of the field visit (derived from the Evaluation Framework) and used this to record the findings against the key questions. There were two versions of the interview guide, for UNICEF staff and non-UNICEF staff, respectively, in recognition of the differing understanding of internal UNICEF language and also in order to probe areas relevant to the two groups appropriately. Notes of all meetings were organized in a collective drop-box folder contributing to the evidence base for the evaluation. Using a content analysis approach the team was able to use the meetings to triangulate its key findings.

A feedback session on the last day of the visit to Brazil enabled the team to share its preliminary findings, lessons and tentative recommendations with the office, and also ensured that the team in Brasilia could provide comments.

The team leader presented the findings from the Brazil case study to the full evaluation team in an evaluation workshop organized in Oxford in late October 2013, after which the present report was written up by the team.



## ANNEX 2: TIMELINE OF KEY EDUCATION EVENTS AT COUNTRY LEVEL 2003–12

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
1979	Convention on the Elimination of all Forms of Discrimination against Women (CEDAW) adopted by UN General Assembly.				
1980	UN World Conference on Women identified equal access to education as fundamental to women's rights.	UNICEF launches Women in Development Programme.			
1985			The country transitions from a military dictatorship to a federal presidential republic bringing about an endeavour to decentralise government authority, promote citizen participation and establish democracy.	Basic education policy emerges as a critical component to address social needs in a new republic.	
1988			Post-dictatorship Federal Constitution created with Municipalities as full members of the Union.	Education is stipulated as a right for all in the Brazilian Federal Constitution. Education becomes decentralised and universalized.	
1989	Convention on Rights of the Child endorsed at UN.			Sistema Nacional de Avaliação da Educação Básica (SAEB) is developed in the late 1980s, to measure the Brazilian education system in depth.	



Annex 2 (cont'd )

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
1990	Education For All (EFA) Goals adopted in Jomtien, Thailand.	UNICEF founds the Education for All Movement with four partners, including UNESCO and the World Bank.		<p>Children and Adolescents Law passed</p> <p>The <b>National Institute of Educational Studies and Research (INEP)</b> is created. INEP is the assessment arm of the Ministry of Education, intended to collect, process and analyse data on education in Brazil.</p> <p>The National Institute of Educational Studies and Research (INEP) is created. INEP is the assessment arm of the Ministry of Education, intended to collect, process and analyse data on education in Brazil.</p> <p>SAEB is first implemented.</p>	
1991	<b>21 October:</b> The Commonwealth adopts the Harare Declaration at its summit in Zimbabwe, reaffirming its aims of fostering international peace and security, democracy, freedom of the individual and equal rights for all.				
1992					



Annex 2 (cont'd )

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
1993				<b>Ten-Year Education for All Plan</b> reiterates Brazil's commitment to providing universal access to education, and recognises the need for inter governmental collaboration and civil society to address Brazil's educational needs.	
1994			Fernando Henrique Cardoso elected president. Cardoso makes controversial move to seize land for distribution among poor and allow indigenous land claims to be challenged.	Reorganisation of the corrupt Federal Council on Education and decentralised school lunch programme bolster local capacity to meet the needs of poor students and strengthen confidence in federal planning.	
1995	Beijing Declaration and Platform for Action formed at the UN 4th World Conference of Women. Equal access to education and eradication of women's illiteracy key strategic objectives.		President Cardoso acknowledges the existence of slavery in Brazil and pledges to tackle the problem.	Approximate spending is 2% of GDP. <b>Bolsa Escola is introduced</b> , providing financial aid to poor Brazilian families. The programme provides direct cash-aid and conditional cash grants to promote enrolment in education and vaccinations, thus relieving poverty both in the short- and long-term.	



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
(cont'd) 1995				<p><b>Prova Brasil</b> assessment is established to capture information on all students in public urban education in the 4<sup>th</sup> and 8<sup>th</sup> grades.</p> <p><b>SAEB</b> is restructured to allow for performance monitoring from year to year. SAEB is carried out by INEP and the Ministry of Education every two years.</p>	
1996				<p>Constitutional Amendment/ 2<sup>nd</sup> Law of Basic Principles – Fundamental Education free including for re-takers</p> <p><b>Fundo de Manutenção e Desenvolvimento do Ensino Fundamental e de Valorização Magistério (FUNDEF)</b> is introduced to provide funding reform for basic education in Brazil, by ensuring a sound financial base for the universalization of access to primary education. The policy stipulated that 60% of spending should go towards teacher salaries and 40% towards school operations.</p>	



Annex 2 (cont'd )

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
(cont'd) 1996				The <b>National Education Guidelines and Framework Law (LDB)</b> is introduced, seeking to address regional disparities in administration and quality by establishing national standards.	
1997			Constitution changed to allow president to run for re-election.	National Education Plan (Education Decade) and National Education Fund set up.	
1998			Cardoso re-elected. IMF provides rescue to economy hit by Asian stock market collapse.	<b>FUNDEF</b> is implemented and 30.6 billion R\$ are redistributed to six different states.	SELO MUNICIPAL Programme begins in Ceará State.
2000	i. Dakar World Education Forum confirmed commitment to UPE by 2015. ii. Millennium Development Goals (MDGs) adopted. Education targets consistent with Dakar confirmed.	UNICEF's: "The State of the World's Children 2000" published. UNICEF becomes Secretariat for UNGEI.	Celebrations to mark Brazil's 500th anniversary marred by protests by indigenous Indians, who say that racial genocide, forced labour and disease have dramatically cut their population from an estimated 5 million before the Portuguese arrived in 1500 to the current 350,000.		
2001	G8 meeting in Italy establishes EFA Task Force led by Canada.	UNICEF MTSP 2002–5 states aims to influence larger group of actors for children, through its alliances, partnerships, advocacy, monitoring, research, and policy analysis at all levels. Girls' Education becomes UNICEF's "Organisational Priority No. 1"	Government expects to spend \$40 billion over seven years on roads, railways, hydroelectric projects and housing in the Amazon basin.	<i>Bolsa Escola</i> reinforced.	



## Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
2002	<p>i. EFA Fast Track Initiative (FTI) launched.</p> <p>ii. Monterrey Consensus at International Finance and Development Conference, Mexico.</p>	<p>EFA Global Monitoring Report established in UNESCO to monitor progress towards EFA goals.</p> <p>2nd Meeting of High-Level Group on EFA, Abuja, Nigeria 19–20 November 2002.</p>	<p>March – members of the Landless Workers Movement, demanding land reform, occupy President Cardoso's family ranch.</p> <p>July – currency hits all-time low, financial markets panic</p> <p>October: Luiz Inacia Lula da Silva is elected.</p>		
2003	<p>Rome Declaration on harmonisation of aid. Development community committed to aligning and harmonising assistance round a country's development priorities and systems.</p>	<p>3<sup>rd</sup> Meeting of High-Level Group on EFA, New Delhi, India.</p>	<p>January – Lula promises political and economic reform and pledges to eradicate hunger.</p>		
2004	<p>Marrakech Round Table on Results, Morocco: Development agencies endorsed five core principles on managing for development results (MfDR).</p>	<p>Education Programme Development Fund (EPDF) established under FTI to help low income countries improve quality and sustainability of sector planning and programme development.</p>	<p>April – Wave of land invasions, dubbed 'Red April' by activists.</p> <p>September – Brazil applies for a permanent seat on the UN Security Council.</p>	<p><i>Bolsa Familia</i> takes over from <i>Bolsa Escola</i>; only received if children are in school.</p>	<p>'One World Pact for Children and Adolescents of the Semi-árido' signed in by eight state ministries from the Northeast and 30 non-governmental organisations.</p>



Annex 2 (cont'd )

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
2005	Paris Declaration on Aid Effectiveness endorsed by over one hundred Ministers, Heads of Agencies and other Senior Officials.	Upstream work becomes an area of explicit organisational focus as one of UNICEF's five focus areas in medium-term strategic plan (MTSP) 2006–09.	February – Dorothy Stang murdered – land resource conflict in Amazon thrown into spotlight and Government unveils a plan to protect part of the region from encroachment.  June-August – Corruption allegations rock the governing 'Workers' Party. Resignations ensue.		“Literacy at the Right Age” programme was developed and coordinated by UNICEF, the Legislative Assembly and Government of Ceará, focusing on capacity development of municipal professionals working with literacy in primary schools.
2006		CIDA, DFID, et al. recognise UNICEF's strategy to reposition itself within the international aid system and strengthen its role as the global leader on policy and advocacy for children and their rights.	October – Lula re-elected.	Mandatory Fundamental Education from 6–15 years  Fundo de Manutenção e Desenvolvimento da Educação Básica e de Valorização dos Profissionais da Educação (FUNDEB) is introduced to finance elementary education. FUNDEB's focus is on redistributing resources related to education across the country.	



Annex 2 (cont'd )

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
2007	7 <sup>th</sup> meeting of High-Level Group on EFA – Dakar, Senegal.	UNICEF's Executive Board endorsed the Education Strategy, as a long-term framework for interpretation and implementation of (MTSP).	July – more than 1000 people are freed from a sugar-cane plantation in the Amazon.	<p>The Ministry of Education implements the <b>Index of Basic Education Quality</b> to monitor education progress in every school. The IDEB builds on the SAEB and the Prova Brasil and the results are reported twice a year and form the basis of establishing targets for improvement of primary and secondary education.</p> <p>For 2007–2009, over 70% of municipalities are found to either reach or exceed targets set by the Ministry of Education and INEP for early primary education.</p>	<p>Country Programme for 2007–2011 is focused on supporting national and sub-national efforts to reduce the socio-economic, geographic, racial, age and gender inequities and disparities that affect the well-being of children. The priorities are listed as the right of each child and adolescent to 1) survive and develop, 2) learn, 3) protect him or herself from HIV/ AIDS, 4) to grow up without violence and 5) to constitute a priority for public policies.</p> <p>Project started in Sao Joao de Meriti – one of the poorest districts in Rio de Janeiro. Aimed at guiding schools on curriculum development to introduce topics related to African history and culture and Afro-Brazilians contributions to the country's development.</p> <p>UNICEF participates in a campaign, along with the National Union of Municipal Education Managers and the National Campaign for the Right to Education which culminated in the law creating FUNDEB.</p>
2008	<p>i. Accra summit on aid effectiveness, donor commitment on end to aid fragmentation.</p> <p>ii. Mid-Term Evaluation of FTI began.</p>	<p>i. Evaluation of the Child-Friendly Schools Initiative.</p> <p>ii. MTSP 2006–2009 extended to 2011.</p>	October – Brazil turns down an invitation from Iran to join the international oil cartel, Opec.	<p>Spending increased to approximately 4% of GDP.</p> <p>Law for pre-school provision for all 4–5 year olds.</p>	<p>UNICEF is host to the <b>World Congress III Against Sexual Exploitation of Children and Adolescents</b> in Rio de Janeiro in late November.</p> <p>UNICEF conducts a study, entitled 'Approve Brazil: The Right to Learn' alongside the Ministry of Education to identify best education practices in 33 schools. The results inspired the design of 28 directives for <b>Target Plan: Everyone Committed to Education</b>, which integrates the Ministry's Education Development Plan.</p> <p>Study: The Learning Network – best practices in learning networks, used as a training tool by the Ministry of Education for managers and educators nationally. Used as a recommended tool by the MEC.</p>



Annex 2 (cont'd )

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
(cont'd) 2008					<p>In 2008 a key learning point was the need to 'the need to combine upstream policy influencing work with presence on the ground, in order to monitor the impact of these public policies, and to strengthen our advocacy with the knowledge acquired in transforming normative frameworks into reality at the local level'.</p> <p>Work done by UNICEF jointly with the Centre for Educational Research based in São Paulo on integral education, promoted by the prize Itaú-UNICEF, have strengthened UNICEF's position as a knowledge broker on education for Brazil and Latin America.</p> <p>UNICEF convenes ministries and national level agencies to participate in the Pact 'A world fit for children and adolescents in the Semi-Arid'. A partnerships is built with the National Water Agency, Ministry of Education, Ministry of Health and Ministry of Social Development to ensure drinking water is available in all schools in the Semi-Arid region.</p> <p>Specific outputs:</p> <ul style="list-style-type: none"> <li>• Comprehensive and Community Education experiences recorded and presented to 2000 managers gathered at a National Forum, forwarded to 5564 municipalities and posted on the Ministry of Education website.</li> <li>• Handbooks on good practices that ensure the right to learn within municipal education networks handed out to 2000 managers gathered at the National Forum, and sent to 5564 municipalities.</li> <li>• In the three UNICEF programmatic platforms, education managers and NGOs mobilized and trained to implement results-based planning and management methodologies, also based on the perspective of rights for improving the quality of education.</li> </ul>



Annex 2 (cont'd )

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
(cont'd) 2008					<ul style="list-style-type: none"> <li>• 700 radio broadcasters informed and ready to mobilize the community to participate in the monitoring and social control of the quality of education in the municipalities.</li> <li>• Participation in the programme 'Friends of the School', which gathers 6,000 schools throughout the country, developing proposals for the mobilization and participation of school communities on behalf of the right to learn.</li> <li>• Regional and local managers and social players from the three UNICEF programmatic platforms mobilized and trained to participate in the monitoring and social control of education policies and programmes.</li> <li>• 83 members of the Brazilian delegation that participated in the international Seminar "<i>Educación Secundaria: derecho, inclusión y desarrollo</i>" (Buenos Aires, Sept 2008), have been informed and mobilized on behalf of assuring universal access and mandatory secondary education for all Brazilian adolescents.</li> <li>• Coordination with the Brazilian Cooperation Agency of the Ministry of Foreign Affairs and the Ministry of Education on behalf of the implementation of a cooperation program with Portuguese-speaking countries (Africa and Asia) and Latin American and Caribbean countries</li> </ul> <p>2008, UNICEF started to develop the initiative "Palavra da Criança" (Word of the Child) in 10 municipalities of the state of Piauí and in the municipality of Sobral of the state of Ceará.</p>



Annex 2 (cont'd )

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
2009		<p>UNICEF MTSP 2006 to 2009 (11) extended for a further 2 years to 2013.</p>	<p>June – Brazil commits to offering \$10 billion to the IMF to help improve the availability of credit in developing countries</p> <p>November – Rio de Janeiro and Sao Paulo are hit by major blackouts due to a problem at a massive hydro-electric dam.</p>	<p>Constitutional amendment to extend mandatory schooling funded by the State to 4 – 17 years (Law passed in 2013)</p> <p>In the <b>Program for International Student Assessment</b> (PISA), Brazil shows the strongest improvement in maths since 2000 and third largest improvement overall.</p>	<p>UNICEF – in partnership with the Ministry of Education and civil society organisations, created the Quality Indicators for Early Childhood Education. The MEC distributed this form of self-assessment to over 300,000 institutions nationwide.</p> <p>UNICEF supports an amendment to the Constitution to extend the duration of compulsory education from pre-school to secondary education, for children 4–17 years old. Strengthened UNICEF's role as strategic partner for construction and evaluation of educational policies.</p> <p>UNICEF Brazil undertook the Midterm Review of its 2007–2011 Country Programme – the review identified UNICEF's presence at both national and local levels as a strength and key to ensuring the efficiency of policies for children.</p> <p>In preparation for the launch of the three cooperation platforms in November 2009, it was possible to include impact and management objectives, goals and indicators related to access, retention, and quality of education in the Semiarid, Amazon, and Large Urban Centres platforms.</p> <p><i>UNICEF prepared the report the Situation of Brazilian Children and Adolescents (SIAB 2009), which focused on the right to learn.</i></p>



Annex 2 (cont'd )

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
2010	International aid to Afghanistan estimated at US \$15.7billion.		<p>March – Lula seeks to increase Brazil’s diplomatic role with a visit to the Middle East and then Iran.</p> <p>August – approval given for development of a hydroelectric dam – the world’s third largest – in the Amazon rainforest.</p> <p>October – Dilma Rousseff wins the elections.</p>	<p>Second Ten Year National Education Plan.</p> <p>571,000 children still out of school. Afro-descendent children have a 45% higher chance of being out of school than white children, with more than half of children out of school coming from the North/ Northeast regions.</p> <p>National Campaign for the Right to Education complete a study on the cost and quality of education by student, setting a minimum value of investment per student.</p>	<p>Focus: maintain emphasis on quality universalization and retention of children and adolescents in school— with a theme mobilizing compulsory and universal basic education for each and every child and adolescent aged 4 to 17 years, as is now guaranteed by the Constitution.</p> <p>Right to Learn Component: <b>EducAmazonia project</b> – works in partnership with UNDIME (The National Union of Municipal Education Managers), to build a right to learn technical and political agenda. Project provided training to municipal technical staff, produced benchmarks from work in Marajo Island and published these in Notebooks EducAmazonia I. Capacity building effort.</p> <p>Educação de Qualidade in the Recife ZO – developing contextualised education activities in Alagoas, Paaiba and Pernambuco. Supported and monitored activities in 115 schools in 22 municipalities.</p> <p>Brazil listed as one of 23 countries to become a focus for the Out of School Children Initiative, operated globally.</p>
2011	<p>i. EFA – FTI changes name to Global Partnership for Education (GPE)</p> <p>ii. Busan Partnership for Effective Development Co-operation signed by ministers of developed and developing nations, emerging economies, providers of South-South and triangular co-operation and civil society.</p>		<p>2011, the state government of Piauí adopted “Palavra de Criança” (introduced by UNICEF in 2008) as public policy and consequently authorized the allocation of R\$ 1,600,000.00 (approximately US\$ 900,000.00) to include 150 out of the 226 municipalities throughout the state.</p>	<p><b>National Education Plan 2011</b> outlines impressive objectives such as universal literacy, universal education from pre-primary through to secondary and a funding target of 7% GDP. A stronger emphasis is placed on pre-school and basic education funding.</p>	<p>Priorities for 2011 include focus on upstream activities such as 1) Nobody left behind! To ensure universal rights, 2) Research and acknowledge children and adolescents in the most vulnerable situations 3) Build and consolidate integration among sectors regarding education public policies 4) Deepen the systemic approach to the life cycle of children and adolescents 5) Make mandatory schooling for children between 4 and 17 years of age a reality 6) Invest 8% of the GNP in education 7) Facilitate exchange and learning experiences with other countries.</p> <p>January: A Working Group for the Out of School Children Initiative created, initially including representatives of the Ministry of Education (MEC), of the Anísio Teixeira.</p> <p>National Institute of Educational Studies and Researches (INEP), of the National.</p>



Annex 2 (cont'd )

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
(cont'd) 2011				<p><b>Brazil Sem Miséria</b> is launched, with the aim of eradicating poverty by 2014. Provisions include an increase in the monthly stipends given to the poor, and improved access to public services, including education. \$13 billion is anticipated over the coming four years, with monthly payments to families conditional on their children attending school.</p> <p>Major progress was made in defining the National Policy and finalizing the Ten-Year National Plan for Promoting and Protecting Children's Rights (NPA).</p>	<p>Union of Municipal Heads of Education (UNDIME) and of the National Council of Secretaries of Education (CONSED). Later expanded and, in total, mobilising 102 actors from across the sector. UNICEF Brazil took part in a global study on Out of School Children (to be concluded in 2012), examining the situation of the 2% of children who are out of school – who they are, where they live, what factors contribute for them to be out of school.</p> <p>As a result of UNICEF policy advocacy and leveraging, the state government of Piauí adopted the “Palavra de Criança” – a UNICEF-supported participatory learning initiative – as social policy for 150 of its 226 municipalities.</p> <p>UNICEF influenced the National Policy and the Ten-Year National Plan for Promoting and Protecting Children's Rights, enhancing intersectoral coordination and public participation, including adolescents.</p> <p>Advocacy efforts rallied support for the renewal of the Pact for Children, a strategy of securing political will with state governments and civil society to set targets for intersectoral policy action for children and adolescents.</p> <p>National Plan for Racial Equality in Education, supported by UNICEF and partners, was implemented in all states and municipalities. UNICEF also joined the Global Action Week in Brazil, which focused on non-discriminatory education and was coordinated by the Brazilian Campaign for the Right to Education.</p> <p>2009–2012 edition of the UNICEF Municipal Seal of Approval is under way, mobilizing 1,342 municipalities around the need to improve strategic indicators related to the right to education, such as learning achievement.</p>



Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
(cont'd) 2011					<p>2,922 NGOs signed up in the current edition of Itaú-UNICEF Award.</p> <p><b>Quality Indicators for Early Childhood Education:</b> Partners develop a project to monitor the utilization of the self-assessment instrument by schools, municipal education managers and universities responsible for teachers' education. This monitoring project led to a MoE proposal, to have a special school financing policy based in the indicators that are part of the self-assessment. The national coordination for early childhood education conceived the proposal which is being analysed by the financial and Basic Education departments of MoE.</p>
2012	<p>i. World Bank's Report on Gender Equality and Development noted 31 million girls are still out of school.</p> <p>ii. Global Partnership for Effective Development Co-operation jointly supported by OECD and UNDP.</p>			<p>"Literacy at the Right Age" (first introduced in 2005 by UNICEF) is to be launched for all Brazilian states and municipalities.</p>	<p>2012–2016 country programme will contribute to results and strategies for Brazil's progress towards the universalization of children's rights and achievement of MDGs with equity in support of the national priority to eradicate poverty in Brazil and globally.</p> <p>UNICEF will adopt the approach which combines "up-stream" evidence-based advocacy to influence policies, laws, budgets and national planning processes with "down-stream" operational engagement to fuel advocacy work with knowledge of what works for children at community level.</p> <p>UNICEF produces a report on the status of education in Brazil entitled, 'Global Initiative on Out -of-School Children.' The document contains policy recommendations to ensure all children are able to access education by 2015.</p>



## Annex 2 (cont'd)

Date	International Aid Context	UNICEF Global Context	Brazil National Context	Brazil Education	UNICEF in Brazil/ UNICEF Education
2013	<p>UNICEF named Interim Chair of GPE.</p> <p>Brazil hosts 3rd Global Conference on Child Labour (with support from UNICEF and ILO).</p>	<p>June: Evaluation of Upstream engagement in BEGE begins MTSP extended to 2013.</p>			<p>SELO MUNICIPAL 7<sup>th</sup> Edition launched.</p> <p>Agreement with SEPPIR to roll out dissemination of Guidelines and Indicators publication for schools which they can use to assess and address racial inequality in education.</p> <p>June: UNICEF partners with Globo – the largest South American communication group – to launch a new initiative to ensure learning for all Brazilian children. The Globo Education Project is a platform designed to mobilise social engagement and promote discussion on the importance of quality public education. Globo will spread messages via a platform and through media outlets.</p> <p>UNICEF supports 3<sup>rd</sup> Global Conference on Child Labour.</p>



## ANNEX 3: SUMMARY OF BASIC EDUCATION INDICATORS AND PUBLIC EXPENDITURE AND AID FLOWS 2003–12

**TABLE A3.1** Brazil Basic Social Sector Statistics

Child population (millions, under 18 years)	60.1
U5MR (per 1,000 live births)	21
Underweight (% , moderate and severe, 2006)	2
(% urban/rural)	2/2
Maternal mortality ratio (per 100,000 live births, reported 2007)	75 <sup>a</sup>
Primary school enrolment (% , net male/female, 2008)	95/95 <sup>b</sup>
Survival rate to last primary grade (% , 2006)	88 <sup>b</sup>
Use of improved drinking water sources (% , 2008)	97
Use of improved sanitation facilities (% , 2008)	80
Adult HIV prevalence rate (%)	–
Child labour (% , 5–14 years old, 2007–2008)	4 <sup>c</sup>
Birth registration (% , under 5 years, 2008)	91
Life expectancy at birth	73 <sup>d</sup>
GNI per capita (US\$)	11,540 <sup>e</sup>
One-year-olds immunized with DPT3 (%)	99
One-year-olds immunized against measles (%)	99

<sup>†</sup> 2009 unless otherwise stated. More comprehensive country data on children and women can be found at [www.childinfo.org/](http://www.childinfo.org/).

<sup>a</sup> Fifty-eight deaths per 100,000 live births is the 2008 estimate. The UN Interagency Group (WHO, UNICEF, UNFPA and the World Bank), which produces internationally comparable sets of maternal mortality data, adjusted for under-reporting and misclassification of maternal deaths, including estimates for countries with no data. Comparable time series on maternal mortality ratios for the years 1990, 1995, 2000, 2005 and 2008 are available at [www.childinfo.org/maternal\\_mortality.html](http://www.childinfo.org/maternal_mortality.html).

<sup>b</sup> Survey data.

<sup>c</sup> Indicates data differ from standard definition

<sup>d</sup> 2011, World Bank

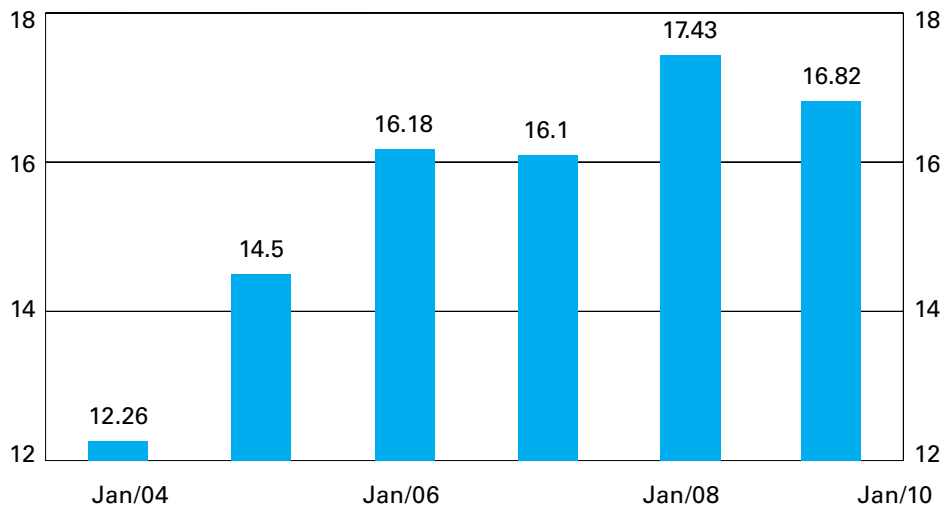
<sup>e</sup> 2012, World Bank

**Source:** UNICEF 2012 unless otherwise stated

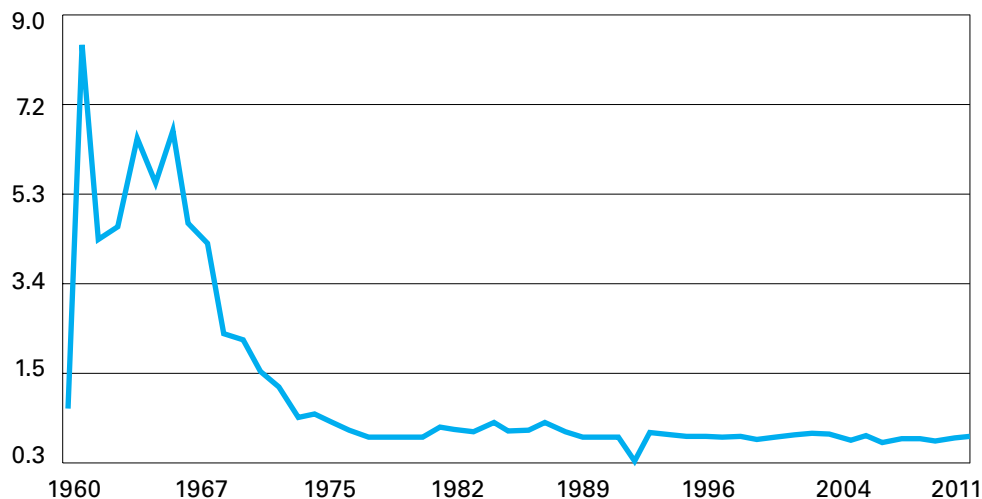
**FIGURE A3.1 Brazil – Total public spending on education as a % of government expenditure**

The Public spending on education (% of government expenditure) in Brazil was 16.82 in 2009, according to a World Bank report, published in 2010. Public expenditure on education consists of current and capital public expenditure on education. It includes government spending on educational institutions (both public and private), education administration as well as

subsidies for private entities (students/households and other private entities). Under the present government of Dilma Rousseff, the percentage going to education is likely to increase again through new measures such as the Social Fund of Pré-Sal Petróleo, and the *Brasil Sem Miséria* programme.



Source: <http://www.trading economics.com>

**FIGURE A3.2 Brazil – Net ODA received (% of gross capital formation)**


Source: [www.indexmundi.com](http://www.indexmundi.com), from Development Assistance Committee of the OECD, Geographical Distribution of Financial Flows to Developing Countries, Development Co-operation Report, and International Development Statistics database.



## ANNEX 4: STAKEHOLDER MAP

From the preliminary reading of the country programme documents, and the information received during the mission, the team has identified the following stakeholder groups, and classified specific stakeholders under each category. A key area of concern was to know to

what extent civil society has participated in the development of policy and programs in the last CP and in the 2012–2016 CP. Meetings and field-work during the mission confirm that NGOs and CBOs do indeed play an important role in this context.

<b>a) Government stakeholders (national level)</b>
• Congressional partners
• Brazilian Agency for Cooperation, Ministry of External Relations (coordinates the country programme exercise)
• <b>Ministry of Justice and subsidiary institutions</b>
• <b>Ministry of Education</b>
• Ministry of Health
• Ministry of Social Assistance
• <b>National Secretariat of Racial Equality</b>
• National Secretariat of Human Rights
• <b>Municipalities National Board</b>
• National Council of Education
• National Council of Municipal Departments of Health
• <b>National Sexually Transmitted Disease (STD)/AIDS Programme</b>
<b>b) Government stakeholders (other levels)</b>
• State Governments
• Municipal Governments and Prefects
<b>c) Other international partners</b>
• <b>UN agencies</b> (UNDP and UNESCO) and other United Nations Development Assistance Framework (UNDAF) partners
• Inter-American Development Bank (IDB)
• US Centres for Disease Control (CDC)
• <b>World Bank</b>
<b>d) UNICEF office</b>
• <b>Senior management</b>
• <b>Relevant programme officers</b> (officers who have left post and who cover the earlier part of the evaluation period) to be interviewed by phone
• <b>UNICEF Communication officers</b>
• <b>M&amp;E team</b>
<b>e) Civil society/NGOs</b>
• <b>Campanha Nacional pelo Direito à Educação</b>
• <i>Movimento Todos pela Educação</i>

**Annex 4** (cont'd )

<ul style="list-style-type: none"> <li>• <b>The Young People and Adolescents Living with HIV Network</b></li> </ul>
<ul style="list-style-type: none"> <li>• Actors in the Child Rights Guarantees system</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Instituto Pro Bem</b> (implementing partner for the Programme Palavra da Criança in Estado do Piauí)</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Fortaleza Zone</b> (coordination of the programme Palavra da Criança) Estado do Piauí</li> </ul>
<ul style="list-style-type: none"> <li>• <b>A selection of beneficiary NGOs of the Fundação Itáu</b></li> </ul>
<b>f) Other national organizations</b>
<ul style="list-style-type: none"> <li>• Child Pastorate of the Catholic Church</li> </ul>
<ul style="list-style-type: none"> <li>• <b>UNDIME, Union of Municipal Education Managers</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>National Federation of Workers in Education</b></li> </ul>
<ul style="list-style-type: none"> <li>• National Council of State Secretaries of Education (CONSED)</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Instituto Natura (regional partnership for out of school children and adolescents)</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Fundação Itáu</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Telefonica Foundation (initiatives around Child Labour)</b></li> </ul>
<b>g) Research institutions/ think tanks</b>
<ul style="list-style-type: none"> <li>• CENPEC</li> </ul>
<ul style="list-style-type: none"> <li>• National Institute for Educational Studies and Research 'Anísio Teixeira'</li> </ul>
<b>h) Media organizations/private organizations</b>
<ul style="list-style-type: none"> <li>• <b>Children's Rights News Agency (ANDI)</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Fundação Roberto Marinho of TV Globo (for the Globe Education project)</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Canal Futura</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Victor Civita Foundation (prioritizes mass circulation of magazines)</b></li> </ul>
<ul style="list-style-type: none"> <li>• Bank Itáu</li> </ul>
<ul style="list-style-type: none"> <li>• Ethos Institute</li> </ul>
<b>i) Regional initiatives</b>
<ul style="list-style-type: none"> <li>• <b>Partners in the South-South collaboration with Panama and Argentina</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>ANDI</b></li> </ul>
<b>j) Local authorities/groups</b>
<ul style="list-style-type: none"> <li>• <b>Municipalities</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>2–3 Municipality Seal winners covering the evaluation period</b></li> </ul>
<b>k) Beneficiaries (in 2 municipalities)</b>
<ul style="list-style-type: none"> <li>• <b>Adolescent groups</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Children in school age</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Parents</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Teachers</b></li> </ul>



## ANNEX 5: LIST OF PEOPLE MET AND INTERVIEWED<sup>30</sup>

Name of person interviewed	Title and Organization
<b>UNICEF – Brasilia</b>	
Garry Stahl (I)	UNICEF Representative, gstahl@unicef.org
Antonella Scolarmiero (I)	UNICEF Deputy Representative
Maria de Salete Silva (I)	Chief, Education Department, mssilva@unicef.org
Julia Ribeiro	Programme Officer, Education Department, jribeiro@unicef.org
Cristina Albuquerque	Chief of STD and HIV awareness, calbuquerque@unicef.org
Paula Pallares	Consultant, Sport for Development, ppallaresgonzalez@unicef.org
Michelle Barron (I)	Horizontal South-South Cooperation Officer – mbarron@unicef.org
Rogério Oliveira	Monitoring and evaluation officer, roliveira@unicef.org
Camilia Teixeira	Planning Officer – ctexeira@unicef.org
Ana Cristina Matos (I)	Coordinator for Monitoring and Evaluation, UNICEF
Casimira Benge	Chief Protection
Mario Volpi (I)	Coordinator of the Programme “Cidadania dos Adolescentes”, Mvolpi@unicef.org
Klênia Valarezzo (I)	Finance Officer
<b>UNICEF – Regional Offices</b>	
Rui Aguiar (I)	Coordinator, Fortaleza Office and Semiárido Platform
Luciana Phebo (T)	Coordinator, Rio de Janeiro Office and of Urban Centres Platform, lphebo@unicef.org
Unais Sacoma (T)	Coordinator, Manaus Office and Amazonas Platform – usacoma@unicef.co
<b>UNICEF – New York</b>	
Kathleen Letshabo	Evaluation Service, kletshabo@unicef.org
<b>Brasilia – other Cooperation Partners</b>	
Maria Cláudia Falcão (I)	International Labour Organization (ILO)
Rebeca Gomes (I)	Chief of Education, UNESCO
<b>Brasilia – Government and other stakeholders</b>	
Luis Barcelos (I)	Project Manager, Secretaria de Políticas de Promoção da Igualdade Racial (Secretariat for Policies Promoting Racial Equality (SEPPIR/PR)

<sup>30</sup> Those who were formally interviewed are shown with an (I) alongside their name; those only interviewed by telephone or in meetings via a teleconference are shown with (T).


**Annex 5 (cont'd )**

Name of person interviewed	Title and Organization
<b>Brasilia – Government and other stakeholders (cont'd)</b>	
Veet Vivarta (I)	Executive Secretary, ANDI Communication and Rights
Vivian Katharine Fuhr Melrop (I)	Executive Secretary of UNDIME
Vilmar Klemann (I)	Project Coordinator UNDIME
Isa Oliveira (I)	Executive Secretary National Forum of the Prevention and Eradication of Child Labour (FNPETI) (Fórum Nacional de Prevenção e Erradicação do Trabalho Infantil)
Daniel Ximenes (I)	Director for Conditionalities of the Bolsa Familia – Ministry of Social Development (Coordenador de condicionalidades do Bolsa família – Ministério do Desenvolvimento Social)
Macaé Evaristo (I)	Secretary for Literacy, Diversity and Inclusion of the Ministry of Education – Status of Vice Minister (Secretaria de Alfabetização, Diversidade e Inclusão do Ministério de Educação)
Carlos Moreno (I)	Director of Educational Statistics of the INEP (Diretor de Estatísticas Educacionais do INEP)
Maria Cláudia Falcão (I)	International Labour Organization (ILO)
Rebeca Gomes (I)	Chief of Education, UNESCO
<b>São Paulo stakeholders (by phone)</b>	
Andréa Bergamaschi (T)	Todos pela Educação
Iracema Nascimento (T)	Campanha Nacional pelo Direito à Educação
Isabel Santana (T)	Fundação Itaú Social
<b>Rio de Janeiro stakeholders (interviewed by Maria Judith Lins)</b>	
	<i>Rede Globo</i>
	<i>Fundação Civita</i>
<b>State of Piauí – Teresina</b>	
Washington Luis de Sousa Bonfin (I)	Secretary of Planning in the Municipality of Teresina (Former Education Secretary of the Municipality of Teresina, State of Piauí)
Nemone Pessoa (I)	Coordinator of Institutional Programs in the State Secretariat of the State of Piauí
Andrea Cristina de Sousa Fialho (I)	President of ProBem
Mauricio Martina Santan (I)	Executive Superintendent, Instituto ProBem
Carmen Antonia Portela Real Silva (I)	Coordinator of ProBEM
Ariel das Gracas Rodrigues Mesquita (I)	
Raimunola Alves Nelo (I)	Consultant for Polo 8, Programa Palavra da Criança
	Consultant of the Programa Palavra da Criança, Polo 2



## Annex 5 (cont'd)

Name of person interviewed	Title and Organization
<b>State of Ceará – Fortaleza meeting with ‘SELO Municipal Stakeholders’</b>	
Maria Rigoleta Morevia (I)	State Deputy
Carmen Soares de Sousa (I)	Municipal “Articuladora” of the Selo UNICEF of the Municipality of Sobral, Ceará
Maria Diana Soares Felix (I)	Education Secretary, Municipality of Horizonte, State of Ceará – diane.navi@gmail.com
Ana Maria dos Santos Fonseca (I)	Social Assistant of the CRAS, Municipality of Paroti, State of Ceará – anafonesca14@yahoo.com
Maria Jose Noronha (I)	Social Educator, Presidente Comoleca, Municipality of Tama, State of Ceará
Sandra Maria dos Santos Goncalves (I)	Articulator of the Selo UNICEF programme, Municipality of Taus, State of Ceará
Maria da Fatima Gomes Mourao (I)	Prefect of the Municipality of Hidrolandia, State of Ceará
Manuel Gomes de Farias Neto (I)	Prefect of the Municipality of Horizonte, State of Ceará
Espirto Jose do Nascimento (I)	Piquet Carneiro, State of Ceará
Jo Farias (I)	Wife of the Prefect of the Municipality of Horizonte (‘Association of First Ladies’)
<b>State of Ceará – meetings in the Municipality of Eusébio</b>	
Armando Luiz Bandeira de Paula (I)	Prefect of the Municipality of Eusébio and Coordinator for Community Articulation
Maria Nelei Berena Lopes (I)	Coordinator of the Family Health Programme of the Municipality of Eusébio
Maxiel Castro Marcel (I)	Administrative Assistant to the Municipality of Eusébio, and former participant in ASE (Programa de Assistentes de Saude Educativas – a programme involving adolescents in school health)
Suliane Fernandes da Silva (I)	Youth/adolescent representative and member of ASE
Marcos Aurelio Serafim Carvalho Filho (I)	Youth/adolescent representative and member of ASE
Maria Suzana Martins Frota (I)	Director of the Primary School “Escola da Educação Infantil e Fundamental de Josefa Sa”, Municipality of Eusébio
Alessandra Gadilha Lacanha (I)	Coordinator, “Escola da Educação Infantil e Fundamental de Josefa Sa”, Municipality of Eusébio
Maria Lucileide Sales Oliveira (I)	Coordinator “Tempo Integral”, “Escola da Educação Infantil e Fundamental de Josefa Sa”, Municipality of Eusébio
Felipe Jacinto de Abreu (I)	Coordinator, “Escola da Educação Infantil e Fundamental de Josefa Sa”, Municipality of Eusébio



## ANNEX 6: THEORY OF CHANGE: BRAZIL

While there may not be a commonly-adhered-to definition of upstream work in the Country Office, there is a clear understanding of why upstream work is important. Projects benefit a few, while upstream work impacting on policy and national programmes at all levels potentially benefits much larger groups, and addresses underlying structural causes of problems.

Within this perception there is an implicit Theory of Change, which targets underlying issues rather than immediate more symptomatic problems, and creates change by stimulating dialogue and presenting strong, evidence-based arguments for addressing specific issues and/or changing the way that present issues are being addressed.

While UNICEF Brazil does not have an explicitly spelled out Theory of Change (ToC) for upstream work in education, there is a strong element of consistency in terms of the approaches that are used for upstream work. Fostering partnerships between all stakeholders and between different levels and groups within the society and its governance structure is also a key strategic tool that is a critical instrument of change in this context. The ability to convene meetings of stakeholders at all level within Brazil, and – with the assistance of the Regional Office – beyond with neighbouring countries, is another important strategic instrument in this context.

Across different types of upstream work, a series of interventions are linked at different levels i.e. activities on the ground/with discussion and studies/convening and facilitating meetings and other events/ monitoring progress/ accrediting and awarding institutions that make a difference/ promoting debate/achieving change. In these interventions UNICEF uses its reputation and convening power, provides or mobilizes technical inputs, and skilfully uses its international agenda/commitments (to which Brazil is also a signatory) to provide convincing arguments for policy change, policy implementation and monitoring (see Box A6.1).

The UNICEF country office and the sub-offices are very aware of the upstream nature of UNICEF's programme, which is also made explicit in the latest Country Strategy Document. However, strategic planning is still issue-focused. It is also driven also by the need to implement the programme in pursuit of CRC and MDG targets. Despite this, the evaluation interviews highlighted an explicit awareness of the need to take results to a higher level and have new ideas and approaches adopted by the central government (and by lower level decentralised governments) into their policy frameworks and planning mechanisms.

At CO level there is awareness of the need to make adjustments in light of the role that UNICEF is playing. The changes to the titles

### BOX A6.1

### A Concise Statement of a UNICEF Brazil Theory of Change

*“UNICEF has a big role in shaping public policy based on evidence, creating awareness based on information, ensuring information is generated, and that it is available to the public, analysed, and fed into public policy debate. It is also about the rigor of being able to respond to a problem. And ensuring that the policy is universal in its approach, but also with the equity intention to ensure universality” (interview with a senior staff officer in UNICEF Brasilia).*



of key posts and the advent of the Horizontal South-South Cooperation unit are clear indications of this. Both reflect an in-house awareness of the changed nature of the BEGE work that is being done by the CO, and the need to attract candidates who are able to continue and develop the upstream agenda and approach.

There is no prioritisation of upstream work as such within the overall context of a clearly perceived Theory of Change, but the whole cycle of situation analysis, identifying issues, discussion with government and partners etc. is by its nature upstream, and has had demonstrable impacts on policy, perceptions of child rights issues, and decisions at all levels and in both public sector and civil society.

Indeed, it is clear that the regular programming cycle of UNICEF which begins with Situation Analysis etc. is in itself already a reflection of how to bring about and influence change using the range of attributes, skills and strategies that are well revealed in the case studies.

In a country like Brazil, this will naturally lead into an upstream approach given the nature of the environment. In this context, UNICEF has also been aware of the size of the country, and has deliberately chosen to focus on specific priorities (geographical areas and vulnerable populations). This is reflected in the portfolio of activities and has ensured that its upstream focus has specific and manageable targets.



## ANNEX 7: SUMMARY MATRIX FOR BRAZIL CCS REPORT AND EVALUATION BRIEF

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<b>EQ1. What has been the context for UNICEF's education work?</b>			
<b>Subquestion 1.1</b> <b>Who are the major players, alongside UNICEF, concerned with basic education? What differentiates UNICEF and its positioning from the other players (as perceived by UNICEF and by others)?</b>			
<p><b>International:</b> UNESCO and ILO. Collaboration with ILO is over the issue of child labour and the role of education. The WB is present but not involved in significant support to government.</p> <p><b>National:</b> Various national NGOs, especially representing Municipal governments (UNDIME), and the private sector. (Banks, telecoms company)</p>	Interviews, reports, analysis of CP documents.	UNICEF is the major player in terms of international assistance. Compared with UNESCO it has had a broader focus on education, in particular on issues of equality, rights, getting children through school, and links to other sectors (health notably) which contribute to these goals. UNICEF has high profile and reputation/credibility amongst CSOs, a strong link with federal government, and far stronger presence at local or municipal level.	UNICEF should continue to maximise the way it uses its image of credibility and competence amongst all partners, and especially government and CSO players, as a distinct and important player in the BEGE context.
<b>Subquestion 1.2</b> <b>What have been the key developments in the country aid environment during the evaluation period?</b>			
<p>The departure of bilateral partners given Brazil's MIC status. The advent and presence of the PT government headed by Lula Da Silva.</p> <p>A strong focus on poverty alleviation and the advent of the Bolsa Familia which pays out only if family children are in school. Brazil assumes by far the greatest part of its own budgetary commitments, with TA (often paid by Brazil) being the key input required.</p>	Interviews outside and inside UNICEF, notably with Chief of Education and their South-South Officer.	Brazil is in a strong position relative to most UNICEF partner countries, and does not require material support; it is also well in charge of provision of basic education services. It requires TA support to address remaining issues such as racial and regional inequality and quality in education. It is clear that political will is a decisive factor both in this wider picture and in the willingness to seek appropriate TA support. However, all countries today – large or small – have a minimum critical mass of trained and experienced people in their policy and implementation teams, and this influences the way UNICEF should work not just in Brazil but elsewhere.	UNICEF should do all possible to promote the political will needed to allocate sufficient national resources to basic education and work in a 'partnership of equals' to address intractable problems where local expertise and other factors (which might also include material in poorer countries) are lacking.



Annex 7 (cont'd )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 1.3</b>  <b>What have been the key partnerships concerned with basic education, and how has UNICEF featured in these?</b></p>			
<p>With Municipal governments, through the UNDIME NGO and the UNICEF Regional Offices, to set up the Municipal Seal programme building on earlier work assisted by the Foundation Itaú (private sector bank with significant social sector involvement). With central government, in advocacy and convening meetings to discuss key issues.</p> <p>With national level NGOs such as ProBem (a prominent teachers and administrators NGO in the State of Piaui) and the National Campaign for Education. Other private sector groups including major media organisation. (TV collaboration)</p> <p>National research and statistical agencies.</p>	<p>Interviews and reports</p>	<p>UNICEF has been exceptionally effective generating commitment amongst Municipal governments to set up the Municipal Seal programme which has had significant impact on MDG-related goals in key indicators, through integrating BEGE indicators into local level public policy (i.e. upstream impact at local level) Effective partnerships can also be stimulated by supporting creation of appropriate new organisations like UNDIME and ProBem, and maximising the networking role of UNICEF which is a result of its overall high profile and reputation, bringing different stakeholder groups, and different levels of interaction (federal, state and municipal level) together around key issues.</p> <p>Government values UNICEF expertise and credibility to analyse existing data in new ways, identifying new issues and ways of dealing with them; UNICEF has used its influence well to then create space for national discussion of the results and their integration into policy and programmes.</p> <p>UNICEF is also highly regarded as a partner by the private sector groups that have funded the SELO and other key activities.</p>	<p>UNICEF should seek to work directly with local governments to maximise impact on indicators at local level and create pressure upwards for policy change and budgetary allocations to support the local process; this approach can also be used to promote local accountability and raise local awareness of child rights and related issues. UNICEF should work with member governments to identify how to use existing data more effectively to illustrate issues around performance, equality and rights, with the analysis results then becoming a powerful tool for convincing stakeholders to act on these issues.</p>



Annex 7 (cont'd )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 1.4</b>  <b>What have been the principal international trends in regard to basic education and gender equality? What issues have been the focus of international debate and action?</b></p>			
<p>MDGs and EFA; Girls' education; Rights-based approach to protection, access, etc.; long-term focus on host capacity and ownership, alignment and harmonization, results, etc.; FTI becoming GPE (more details in Global Framework).</p>	<p>Dakar accord (following Jomtien); Paris Declaration; GPE AE (more details in Global Framework).</p>	<p>These accords provide UNICEF with important advocacy leverage both at national and sub-national level.</p>	<p>UNICEF should maximize its mandated role as the multilateral agency for children, using the leverage provided by these various international accords – in partnership with member state governments and CSOs – to achieve upstream policy and programme advances.</p>
<p><b>Other EQ1 Findings</b></p>			
<p>A decade of economic growth imparted confidence amongst most players in Brazil and generated resources for BEGE, but this has faltered recently raising new challenges for UNICEF.</p>	<p>General reading and interviews.</p>	<p>UNICEF has achieved a great deal assisted by very specific factors in Brazil and in an era of positive economic performance, but a slow-down in growth and the prospects of a change in government ahead underline the need to be vigilant and plan well for the coming period.</p>	<p>UNICEF needs to prepare well for possible changes and new demands as national resources contract slightly and new political leaders appear during the coming electoral process (at both national and local level).</p>
<p><b>EQ2. What upstream work has UNICEF undertaken?</b></p>			
<p><b>Subquestion 2.0</b>  <b>What is meant by "upstream work" and how can it be distinguished in practice from other types of intervention?</b></p>			
	<p>Final Inception Report (October 2013), Chapter 3.</p>	<p>The evaluation team's definition:  <b>"upstream engagement refers to UNICEF activities which were intended to have or had a system-wide, sustainable impact on the national capacities of public sector duty bearers in the education sector for fulfilling children's rights, directly or indirectly."</b></p> <p>This definition does not limit the investigation to national level government, but includes subnational government.</p>	



Annex 7 (cont'd )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 2.1</b>  <b>What “upstream work” can be identified in Country X over the evaluation period?</b></p>			
<p>The bulk of the UNICEF education portfolio has consisted of upstream work, insofar as its ultimate goal has been to promote ‘system-wide, sustainable impact on the national capacities of public sector duty bearers’. This has involved:</p> <ul style="list-style-type: none"> <li>• Integrating innovative approaches to address specific issues with a focus on disadvantaged regions. (<i>Palavra da Criança</i> Case study)</li> <li>• Providing incentives to local government to integrate BEGE indicators into local public policy and programmes. (the SELO Case Study)</li> <li>• Analysing existing data and conducting studies to identify the dimensions of specific key issues and develop responses. (the Racial Equality Indicators in Schools Case Study)</li> <li>• With Regional Office, promoting inter-state discussions of key access and quality issues. (e.g. extending school age to 4–17)</li> <li>• Advocating for CRC and global goals to be integrated into national policy at all levels the results of studies and research, into national policy frameworks and programmes. (including Federal funding)</li> </ul>		<p>Upstream does not always mean ‘national’, nor does it always mean ‘public sector’. In decentralised countries – Brazil is an exceptional example of this with its Municipalities being part of the Federal Union alongside States – upstream can also mean impacting on local level policy development and ensuring that federal policies get ‘hands and feet’ for implementation. Working closely with CSOs and the private sector develops their positions on issues which in turn impacts on national/ government policy. Building capacity for municipal level officials to incorporate policies into local level programmes, and then engage ‘upstream’ with policy making processes, has been a critically important approach.</p> <p>Key inputs in the ToC context:</p> <ul style="list-style-type: none"> <li>• UNICEF expertise and credibility as a partner to mobilise diverse forces – technical staff, political actors – to integrate BEGE centrally into public policy and budgetary decisions.</li> <li>• Proactive role in creating CSOs that facilitate dialogue with local level institutions and can also carry forwards activities on the ground.</li> <li>• Technical expertise in the analysis and presentation of data in a form that is persuasive and encourages changes or improvement to public policy and programmes at national and sub-national level.</li> </ul>	<p>UNICEF should maximise the use of the argument of ‘projects no, policy and programmes yes’, whereby changes to policy and (national) programmes will impact on far more people than even the best planned and implemented projects. Certainly in a MIC like Brazil which is now allocating substantial resources to education, this approach is feasible; it is however also relevant and should be pursued in all countries, albeit with adjustments to take into account internal capacity and political commitment.</p>



Annex 7 (cont'd)

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Sub-question 2.2</b>  <b>In what ways has “upstream work” been defined by UNICEF and incorporated in its strategies and policies? What was the rationale for emphasis on upstream work in education? Has UNICEF (explicitly or implicitly) spelt out a theory (or theories) of change for upstream work?</b></p>			
<p>The view of upstream work is very much in line with the definition in 2.0.</p> <p>The rationale is essentially ‘projects no, policy and programmes yes’, whereby changes to policy and (national) programmes will impact on far more people than even the best planned and implemented projects.</p> <p>UNICEF Brazil has not explicitly spelt out a Theory of Change; its strategic response is almost instinctive and also rooted in traditional methods of programme development such as the Situation Analysis and CP process.</p>	<p>Interviews.</p>	<p>UNICEF Brazil is very aware of the upstream nature of its programme, and all of its activities are planned with regard to this; having said that, the strategic planning is still issue-focused and driven also by the need to implement activities that will hit CRC and MDG targets, but with an explicit awareness of the need to take results ‘upstairs’ and have new ideas and approaches adopted by the central government (and by lower level decentralised governments) into their policy frameworks.</p>	<p>UNICEF globally can learn much from the Brazil programme about how to do upstream work that is both in line with the definition 2.0 and also focuses resources on to the need to hit CRC and BEGE indicators. It should also learn from the Brazil case about the need to revisit the profiling and recruiting of senior staff who are more likely to be engaged in upstream work in the future.</p>
<p><b>Sub-question 2.3</b>  <b>What measures has UNICEF taken to prioritise upstream work in education? e.g.:</b></p> <p><b>a. strategic plans and policy guidance (including KRAs etc.)?</b></p> <p><b>b. tools, methodologies, capacity development?</b></p> <p><b>c. M&amp;E mechanisms to support emphasis on upstream work (how have targets been set and achievements measured)?</b></p> <p><b>d. Other measures?</b></p>			
<p>a) At CO level there is awareness of the need to make adjustments in light of the role that UNICEF is playing and these are reflected in the 2007–2011 and in the new 2012–2016 programmes.</p> <p>b) Creation of appropriate CSOs and other mechanisms to facilitate dialogue and carry activities forwards; a change by the Country Director in the title of the Chief of Education position to “Chief of Partnership in Education” (the current Chief is retiring soon).</p> <p>c) Few M&amp;E mechanisms to monitor and assess upstream work specifically.</p>		<p>The evolution of the CP and the recent change to the title of the Education Chief reflects an in-house awareness of the changed nature of the BEGE work that is being done by the CO, and the need to attract candidates who are able to continue and develop the upstream agenda and approach.</p>	<p>UNICEF should revisit the TOR and job descriptions of all senior staff taking into account the overall shift to upstream work and the need to deepen and widen this process, which requires more than just conventional technical skills.</p>



Annex 7 (cont'd )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 2.4</b>  <b>Have shifts to upstream work (and particularly in education) been reflected in UNICEF budgets and UNICEF's portfolios of activities?</b></p>			
<p>It is difficult to say that evolution of the budget reflects a conscious shift to upstream work. The overall set of activities are designed and implemented within an upstream focus which is more implicit than explicit. Key issues are identified in its regular programming cycle and in conjunction with government and partners.</p>		<p>It is important to stress the implications of upstream work on regular programming cycle of UNICEF which begins with Situation Analysis etc. – in a country like Brazil this will naturally lead into an upstream approach. In this context, UNICEF has also been aware of the size of the country, and has deliberately chosen to focus on specific priorities (geographical areas, and vulnerable populations) which is reflected in the portfolio of activities.</p> <p>The distinct 'comparative advantage' of UNICEF work is that the subject matter of BEGE is politically neutral – no-one is going to question the logic and justification for activities that positively impact on children, whether project or 'upstream', and the latter is more effective in the long run.</p>	<p>UNICEF should appreciate the upstream nature of the Situation Analysis as a key planning tool for each country. It should explicitly integrate upstream approaches into the analysis (which is not always the case), and adjust the profiles of key staff accordingly. UNICEF should engage in active discussions with government about the evolution of key questions – in the case of Brazil inequality in access to education, for example – during the programme which also results in activities with a distinct upstream focus and impact; and then plan for new upstream-directed activities in new COs even in poorer and less well equipped countries.</p>
<p><b>EQ3. How relevant has UNICEF's (approach to) upstream work been?</b></p>			
<p><b>Sub-question 3.1</b>  <b>Is UNICEF's approach to upstream work in the education sector aligned with its mandate and objectives?</b></p>			
<p>Yes, through the upstream approach, UNICEF has sought to further its main agenda – a rights based approach to education and implementing the principles of the CRC, MDG and other globally-mandated objectives. It has also brought critical issues around inequality and gender to the attention of policy makers in a country where these issues are very sensitive but also fall squarely within UNICEF's mandate and thus responsibility to address.</p>	<p>Interviews, reports, CO documents.</p>	<p>Upstream work in Brazil has potentially far greater impact on education goals than a conventional project approach and is therefore entirely within the UNICEF mandate.</p>	<p>UNICEF should strive to make upstream work the standard, with projects used to develop new ideas and provide empirical evidence for policy discussions (although in certain country-specific contexts projects may still be needed to address specific 'downstream' needs).</p>



**Annex 7 (cont'd )**

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 3.2</b>  <b>Do UNICEF's priorities align with emerging priorities for education?</b></p>			
<p>Yes – programme is constructed with a wider awareness that major targets have been achieved (e.g. 98 per cent enrolment in basic education) but leaving certain key issues inadequately addressed: inequality of access and the quality of education (in absolute terms, material and curriculum, and also in terms of continuing through school). UNICEF is a central actor in these debates including the need to focus on adolescent needs and the fact that the whole education cycle is important at all stages if longer-term (adolescent) issues are to be avoided.</p>	<p>Programme documents, interviews inside and outside UNICEF, Situation Analysis on adolescents.</p>	<p>UNICEF Brazil is well aligned with the current status of BEGE and emerging priorities in Brazil, reflecting in-house capacity both to analyse the situation and to work with government and CSO partners to identify and address new issues.</p>	<p>UNICEF's own 'traditional' tools of Situation Analysis and working with partners to develop CPs are still key elements of the upstream process but their impact and relevance needs to be brought out more explicitly to influence subsequent decisions and interventions with government and other actors.</p>
<p><b>Subquestion 3.3</b>  <b>How well aligned are UNICEF's policy positions and outputs to national priorities?</b></p>			
<p>Very much so – UNICEF internal procedures and working with government to analyse data and identify new issues mean that UNICEF policy positions and outputs are aligned with national (and government) priorities.</p>	<p>Analysis of activities, research and study function, interviews with partners especially in government.</p>	<p>The CO is aware that they are in a country with its own education agenda driven by internal political and societal obligations and objectives (many subject to constitutional provisions that require the government to act and provide services for all), and that in this context it has no choice but to align with emerging national priorities and/or help government to identify them within this broader policy/ constitutional context.</p>	<p>UNICEF should work with both government and CSOs to identify national priorities and then develop responses to them that are clearly upstream in nature: influencing the policy debate and allocations to subsequent actions (budgetary, state and local level activities) through system-wide as opposed to project mechanisms.</p>



**Annex 7 (cont'd )**

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<b>EQ4. What are the identifiable results of UNICEF's (shift towards) upstream work? Are there discernible patterns in these results?</b>			
<b>Subquestion 4.1 ... in terms of UNICEF participation in global and regional education partnerships (from the country perspective)?</b>			
<p>A major achievement in this context was the Constitutional Amendment to extend the school age to 17, resulting from UNICEF convening a regional conference and urging Brazil to come into line with other regional countries. UNICEF Regional Office is well aware of the lessons that Brazil can bring to other countries and is actively involved in convening regional meetings in which this can happen.</p>	<p>CP documents, interviews with government and partners.</p>	<p>Creating space for regional debate on key issues, and facilitating the presence of key actors who can then reach their own conclusions with partner countries and implement them at home, is a key role for UNICEF at regional and global level. Regional Office is clear that the Brazil programme has much to teach other countries.</p>	<p>UNICEF should maximize the upstream impact of its ability to convene regional and global meetings to promote dialogue and exchange experiences on a South-South basis and to address new emerging issues (such as adolescent needs).</p>
<b>Subquestion 4.2 ... in terms of UNICEF activities at country level?</b>			
<p>UNICEF works with a wide range of partners and implements a range of activities to develop and implement innovative methodologies and proposals to address BEGE issues (e.g. the evolution of the <i>Palavra da Criança</i> programme in Northeast Brazil into the 'National Pact for Literacy at the Right Age'), and to identify new issues and develop appropriate responses (e.g. indicators for schools to use to assess and address racial inequality in access to education).</p>	<p>Field visits, interviews, literature.</p>	<p>UNICEF is an effective agent for bringing together different actors around CRC and BEGE themes, developing innovative and appropriate responses, and getting these discussed and integrated into national level policy and programme (budgeting) processes.</p>	<p>It is important in any country, but especially one like Brazil where capacity and resources are available and the political structure is genuinely decentralized, to involve all stakeholders at all levels in the development of new approaches to key issues and have these adopted by national level policy makers; UNICEF is well placed to do this with its image of credibility, technical expertise and neutrality.</p>



Annex 7 (cont’d )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 4.3</b>  <b>... in terms of different Key Result Areas (KRAs)? viz:</b></p> <ul style="list-style-type: none"> <li>• <b>Early Childhood Development (ECD) and school readiness;</b></li> <li>• <b>Equitable access;</b></li> <li>• <b>Quality and Child Friendly Schools;</b></li> <li>• <b>Education in Emergencies. (including “building back better”)</b></li> </ul>			
<p>ECD – Clear impact on relevant indicators through the SELO Municipal programme; <b>Equitable access</b> – in last CP, work with government to assess national data on unequal access defined across racial and regional and income lines, resulting in responses targeting excluded groups (e.g. indicators and guidelines for schools to address racial inequality); also UNICEF lobbying for increasing the school age from 4 to 17 has enhanced a focus on ECD which did not exist with the prior priority for 6–14 years. Other top-down initiatives being developed and launched in line with the Out of School Kids Initiative, e.g. the Fora da Escola Nao Pode campaign. CFS – not a great impact, but this is due to the concept not being part of current thinking in Brazil and not fully understood. However, indirectly the work that has been done to build capacity of municipalities has allowed schools to access resources to create better learning environments, and this has contributed to more CFS in de facto terms (although the concept is not explicitly used). Emergencies – not a big issue in Brazil but UNICEF is working with government to integrate educational concerns into disaster response, for example the question of using schools as relief centres; evidence from one disaster area (floods, Alagoas state) is that ‘building back better’ is not established as a guiding principle, with many schools still not rebuilt, let alone built better.</p>	<p>Fieldwork, interviews with Brazil regional office and CO senior staff.</p>	<p>By working with local government and CSO stakeholders and using its reputation and credibility as a leading multilateral agency (giving it authority), UNICEF has been able to influence local and national policy contexts to prioritise ECD issues and address questions such as exclusion on racial or regional grounds. Thus UNICEF has helped to highlight the fact that in spite of very high school attendance rates at around the 98 per cent mark, this still means there are over 3.4 million children out of school due to underlying issues of inequality, poverty, and regional disparities in terms of educational funding and support. UNICEF Brazil has been able to begin a discussion on CFS (even though there is not much awareness of the concept and its importance in Brazil) and encourage the education sector to take on CFS-related activities. KRA progress is also greater where UNICEF initiatives <b>coincide with national awareness and resonate with the political and constitutional priorities</b> to provide education for all children.</p>	<p>UNICEF should ensure that initiatives and programmes developed at global level are sufficiently generic as to fit with national perceptions of what is a priority issue, and allow COs to work with national partners to identify issues and develop appropriate responses in terms of the resource base and capacities available.</p>



Annex 7 (cont'd )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 4.4</b>  <b>Have there been unintended results of UNICEF's shift towards upstream work?</b></p>			
<p>Only insofar it was probably difficult to predict with any certainty how UNICEF inputs to prioritising resources at local public policy level and other contributions to national understanding of new issues, would look on the ground (results). Nevertheless the intention to take results etc. 'upstream' is clear and present in both the CP periods analysed.</p>		<p>Perhaps it is fair to say that there is an implicit level of uncertainty in upstream work, as the advocacy and policy debate process does not always result in predictable outcomes.</p>	<p>UNICEF should attempt to retain a relatively open mind with respect to precise results from its upstream-oriented inputs, as by definition its role is to facilitate and guide national discussion and not to dictate what policy and other initiatives might result in practice. UNICEF should also be aware that unintended consequences are always possible, and that some form of basic contingency planning is essential.</p>
<p><b>EQ5. How coherent have approaches to upstream work been within UNICEF?</b></p>			
<p><b>Subquestion 5.1</b>  <b>Is there is a shared understanding of what constitutes 'upstream' work in BEGE? How well is it understood by Education program staff at all levels?</b></p>			
<p>There is a shared understanding of upstream work although a clear definition is not shared by all. Generally all are aware that it is 'about influencing policy and getting global goals for child development integrated into national programmes in a way that is aligned with national priorities, context, and capacity'. Brazil staff are not sure if this vision is shared by HQ, where much depends on the background and experience of the staff concerned – country experience, project or programme background etc. Regional Office echoes this concern, and has a clear understanding of upstream work that seems to be in line with the thinking of the Brazil CO.</p>	<p>Interviews at CO level and with LACRO Regional Office.</p>	<p>Most staff know what upstream work is, but there is no explicitly formulated <b>institutional understanding of it</b>, in the sense that it can guide future programme development and resource planning. There is however also a clear gap in understanding between country level and headquarters level; COs especially in places like Brazil are keenly aware of the need to engage upstream with government, almost to the extent that in reality there is no other option in a country with its own substantial resources and strong technical and political capacity.</p>	<p>UNICEF headquarters needs to do far more work with its Country Programmes and their staff to understand how they are doing upstream work, and develop a set of institutional guidelines on how to enhance this approach in all sectors and regions. UNICEF HQ should also make more explicit efforts for sharing of experience between countries that are engaged in upstream work, and for learning from countries such as Brazil that are ahead of the curve.</p>



**Annex 7 (cont'd )**

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 5.2</b>  <b>To what extent is there horizontal collaboration on upstream at work across units in UNICEF in Brazil?</b></p>			
<p>There is little explicit collaboration on upstream work and the different departments tend to focus on their specific activities and objectives.</p>	<p>Interviews</p>	<p>Much more could be done to encourage the different departments to consider how they collectively contribute to common goals and how they can influence policy development at national and sub-national level. One example might be the use of the SELO programme to achieve objectives in different areas.</p>	<p>UNICEF does an excellent job creating space for different stakeholders to discuss how they can collectively contribute to the definition of new methods and policy initiatives, and should learn from its own example to improve how it does this in-house.</p>
<p><b>Subquestion 5.3</b>  <b>To what extent is there vertical collaboration on upstream work across HQ, regional and country levels of UNICEF?</b></p>			
<p>Collaboration between the CO and Regional Office appears to be good, with the Regional Office very aware of what Brazil can teach other countries in the region and the power of being able, as UNICEF, to create spaces for regional debate and discussion which then percolate down into national policy (the Constitutional Amendment to raise the school age to 17 is a classic example). This level of understanding and collaboration is weaker between the Regional/CO pairing, and headquarters level.</p>	<p>Interviews with CO staff and LACRO Regional Office</p>	<p>Channels of communication and opportunities to discuss upstream work between the different levels of UNICEF are ad hoc and do not result in the development of approaches and activities that involve all levels, especially HQ working with CO and Regional level. The Regional office appears to be more in touch with what is happening on the ground than does HQ.</p>	<p>Headquarters needs to initiate a close dialogue with CO programmes and bring key programmes such as Brazil into the foreground for others to learn from. (global meeting of key staff etc.)</p>
<p><b>Subquestion 5.4</b>  <b>To what extent has relevant advice, methodological support and capacity development been provided between different levels and departments of UNICEF?</b></p>			
<p>In general terms, very little. A weakness that emerged clearly from the interviews both inside UNICEF and from external stakeholders is that collaboration within the office across thematic areas is relatively weak with respondents noting that while UNICEF has successfully promoted collaboration between sectors in pursuit of common goals at municipal and other levels, it seems to do so less in its own internal structures.</p>	<p>Interviews with CO staff and partners.</p>	<p>Far more attention is needed to develop technical tools and capacity building aimed at upstream work, especially with regard to M&amp;E; and consideration of the staff profiles and TOR in key positions, which do not always have to be narrowly defined by area-specific technical concerns (for example, the Chief of Education does not have to be a teacher or pedagogic expert).</p>	<p>UNICEF should consider a new initiative to develop an appropriate tool kit and capacity building process to enhance its upstream work, drawing upon the experiences of CO in middle income countries where upstream work is the norm, due more to prevailing political realities and UNICEF response on the ground than to explicit strategic thinking.</p>



Annex 7 (cont'd )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<b>EQ 6. Has UNICEF's upstream work in education been coherent with that of major external partners?</b>			
<b>Subquestion 6.1 Has UNICEF communicated clearly its upstream approaches and the policy positions it seeks to promote through upstream work?</b>			
Broadly speaking yes to the question of policy positions, but no to communicating clearly its upstream approaches.	Interviews with partners.	<i>An effective strategy is needed to bring together UNICEF success in upstream work in education analyse this, and communicate this to partners. Much more is needed in this area, especially on the issue of methodology and the resources/skills required.</i>	<i>UNICEF needs to look carefully at the specific skills and methods needed to do upstream work and to make it clear to other partners that it is in fact engaged explicitly in the process of influencing and shaping national policy and programme.</i>
<b>Sub-question 6.2 Has there been effective coordination and has UNICEF's upstream work been complementary with that of other UN agencies and/or other international partners?</b>			
UNICEF and ILO have worked together well on the issue of Child Labour and successfully collaborated, with government, in a recent international conference on the issue in Brasilia. While relations with UNESCO appear to be good this does not extend to 'effective coordination' although upstream work in UNICEF has complemented the work of UNESCO and is in line with the positioning of other partners (though few others are active in the BEGE area).	Interviews with partners and UNICEF.	This is not a fault of UNICEF or any other partner. 'working upstream' is not an explicit objective in the UNDAF context with joint agency activities responding to existing national policies rather than seeking to influence them directly. The whole issue of upstream work is new in international terms, as 'donor countries' are coming to realise that they no longer have the upper hand in defining priorities and national programmes.	UNICEF offices like Brazil have much to teach other UNICEF and partner agency offices about upstream work, and UNICEF is well advised to make use of this resource to engage in the ongoing international (and theoretical/ academic) debate on the upstream work issue.
<b>Subquestion 6.3 Have UNICEF's resources for upstream work been applied where they can make the most difference? (complementarity and comparative advantage)</b>			
Yes, having engaged in processes such as the Situation Analysis and studies carried out with government and partners, the CO has clearly set out certain priorities, and resources have been allocated to address these.	Fieldwork, interviews with regional office and senior staff.	The impact of upstream work is notable in the Brazil CP, but this is not due to specific resource allocations or clear definition of TOR, budgetary priorities etc. As already mentioned, the whole BEGE programmes is in effect upstream. It is possible that with upstream work integrated more clearly as a strategic approach, a different allocation of resources could enhance its impact still further and address certain capacity constraints that were identified by partners and recognised by the senior team.	UNICEF needs to look carefully at how offices like Brazil are doing upstream work and develop a clear idea of the methods and the skills needed to do it better in the future, in all of its programmes.



**Annex 7 (cont'd)**

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 6.4</b>  <b>Has UNICEF developed appropriate partnerships with the private sector?</b></p>			
<p>Yes. Key programmes have been implemented with important private sector partners, and when these have been felt to compromise UNICEF objectives, the relationships have either been adjusted or ended (for example the Criança Esperança programme with TV Globo).</p>	<p>Interviews with UNICEF and private sector partners.</p>	<p>The private sector offers both resources and important practical perspectives especially in the area of efficient management and use of available resources of BEGE, and is emerging as an important partner for UNICEF. There is a risk of UNICEF being 'instrumentalised' – used for commercial or other ends – or at least being seen to be by some actors, but the agency is aware of this and has protocols in place to guard against it.</p>	<p>UNICEF should seek partnerships with the private sector in all of its programmes where this is relevant and appropriate and where the private sector can bring resources that complement and add to those available through public sector programmes. UNICEF should guard against the risks of being 'instrumentalised', and ensure that its senior staff are well aware of this; and should perhaps revise and update its protocols as experience with the private sector expands.</p>
<p><b>EQ7. What factors account for the success (or not) of UNICEF's upstream work?</b></p>			
<p><b>Sub-question 7.1</b>  <b>Has UNICEF allocated resources efficiently to upstream work?</b></p>			
<p>Yes to the extent that the whole BEGE programme is about upstream work, although no resources have been explicitly allocated to it.</p>	<p>Interviews inside UNICEF and budgetary analysis using (minimal) available financial data.</p>	<p>There has been no strategic decision-making on BEGE that explicitly considers resource allocations in terms of their upstream impact, and therefore questions of efficiency can only be answered in terms of impact of upstream work on the programme, which is considerable.</p>	<p>UNICEF needs to consider carefully what resources and skills are needed to promote a more upstream approach, and to make decisions about the use of these resources in relation to other more technical skill sets and procurement-based activities which might be more appropriate to traditional project-focused approaches.</p>



Annex 7 (cont'd )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Sub-question 7.2</b>  <b>Has UNICEF's partners been willing to support and to fund upstream work in education?</b></p>			
<p>There are very few if any bilaterals involved in education in Brazil, with the government providing substantial regular funding to UNICEF through regular programme channels and without ties attached; thus government as a partner is willing to support UNICEF upstream work in Brazil; NGO and private sector partners are perhaps more driven by a project, visible results based approach, but are also significantly aware of the benefits of upstream work and prepared to support this (for example, the SELO Municipal programme).</p>	<p>Interviews with government and other partners.</p>	<p>It could be concluded that where other concerns are less significant – showing visible results of resource use to funders and publics in NGO home countries – it is easier to use resources for upstream work; government use of resources passed through UNICEF has a similar character, with other government resources addressing the conventional visible things (new schools, teacher training, books and desks etc.) and thus meeting underlying political objectives and accountability objectives as well.</p>	<p>UNICEF needs to advocate more strongly with bilateral (from global resources as there is no bilateral presence in the country) and private sector funding partners for the benefits of upstream work as opposed to more conventional and visible activities that donors can then show their electorates/ boardrooms back home... Documenting and disseminating the approach and results of the upstream work in Brazil can provide a convincing input into such advocacy work.</p>
<p><b>Sub-question 7.3</b>  <b>Has UNICEF been effective in dialogue with partners at different levels? How effective have global, regional and country partnerships been?</b></p>			
<p>Very effective with partners within Brazil, at all levels.</p>	<p>Fieldwork, interviews with senior staff and with partners.</p>	<p>Effective dialogue may seem self-evident but is not always successfully achieved, and often appears to be the result of having distinctive personalities present in programmes rather than being something that is developed and fostered within an organisation. Dialogue is also important at all levels, and with higher level authorities is always more effective if backed up by solid empirical and technical evidence, PLUS the voices of others lower down...</p>	<p>UNICEF must take more steps to ensure effective dialogue with all partners both in-country and regionally/ globally, especially with relation to transmitting and discussing messages about how to conduct upstream work in partnership with other governments and new partners such as the private sector.</p>



Annex 7 (cont'd )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 7.4</b></p>			
<p><b>Have UNICEF and its partners had the necessary capacities for effective upstream work? (cf. also EQ 8)</b></p>			
<p>Yes, but these need to be better understood and managed around specific upstream objectives and within a clearer upstream strategic perspective.</p>	<p>Interviews with senior staff and partners.</p>	<p>Upstream work is not necessarily a skill in itself but is something that all technical and management staff can contribute towards, but setting this within a clearer strategic context and ensuring that senior staff especially have the experience and personal profiles that are appropriate for upstream work is essential. Also ensuring better collaboration and linkages between the different thematic areas within the UNICEF CO.</p>	<p>Rethink the TOR of senior staff especially, with less focus on technical area and qualifications, and more on experience in mobilization, activism, political engagement, leadership. Strictly technical concerns can be taken care of by middle level executive staff (who may be at same hierarchical level but have clearly technical TOR).</p>
<p><b>Subquestion 7.5 Other factors?</b></p>			
<p>In the specific context of Brazil, having a government with the political will to focus resources on BEGE has been an enormous asset, as well as being open to dialogue with other respected and 'invited to the table' partners such as UNICEF.</p>	<p>Observation and interviews.</p>	<p>Having a counterpart government that is also committed to BEGE objectives facilitates the work of UNICEF but is not an essential condition; it makes things easier for sure but UNICEF has skills and resources that can address BEGE in upstream terms using the techniques and approaches developed in Brazil.</p>	<p>UNICEF should look at the way that the Brazil programme does upstream work by linking decentralized and field activities with promoting dialogue at the top, in order to better engage even with less committed and/or less well-endowed partner governments.</p>



Annex 7 (cont'd )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<b>EQ8. To what extent is UNICEF's upstream work sustainable?</b>			
<b>Sub-question 8.1</b>			
<b>Are the results to date of upstream work in education (cf. EQ4) likely to be sustained?</b>			
<p>Yes because they are fully integrated into national policy and programmes and Brazil has the funding and political will to sustain them. UNICEF activities have also created a strong bottom-up pressure on local governments especially to maintain improved performance which is the result of upstream impacts at local level (the SELO programme). There are however question marks over UNICEF's own sustainability with respect to upstream work, due to staff capacities and longer-term funding considerations.</p>	<p>Fieldwork, including focal group sessions with Prefects and community level activists, head teachers etc.; and interviews with Brazil regional office and CO staff.</p>	<p>upstream impact by definition is more sustainable because it is integrated into national policy and implemented accordingly; ensuring that there is a strong pressure from below (by forming Child Rights Committees at local level for example) adds an important extra element to this, as local people see the results on the ground and this translates through into electoral politics and pressures on leaders to maintain progress.</p>	<p>Upstream work is especially more suited to democratic environments although this is not always a guarantee of progress; working at both the top and the bottom is essential – empower and educate citizens (UNICEF is well placed to do this around the child development banner) who can then exert pressure to maintain upstream advances and also begin to influence the policy debate in their own way.</p>
<b>Subquestion 8.2</b>			
<b>Does UNICEF have/is it effectively developing the necessary capacities for continued upstream work?</b>			
<p>Yes, UNICEF has a good team on the ground that is already doing upstream work with significant impact, but it is not explicitly developing this capacity, it is more a result of experienced and able people being in the right place at the right time and responding appropriately to the specific context and opportunities present in Brazil.</p>	<p>Interviews with CO staff and Brazil regional office teams.</p>	<p>The work of the BEGE team could be enhanced with more horizontal collaboration and implementation, skills for upstream engagement enhanced through workshops (e.g. the one in Brazil that looked at UNICEF's role in MICs) and other capacity building, and setting their work within a clear strategic framework based on the principle of 'projects no, policy and programmes yes'.</p>	<p>UNICEF needs to nurture i skills and capacity for upstream work in existing staff and better support them with in-service training etc. They also need to be set within a clearer strategic framework which in turn can enhance existing skills and define the need for new ones.</p>



Annex 7 (cont'd )

Findings	Sources of evidence	Conclusions	Lessons learned/ Recommendations
<p><b>Subquestion 8.3</b></p>			
<p><b>Are appropriate capacities being developed amongst governments and other partners at country level?</b></p>			
<p>Not really. Technical capacity exists in abundance, but government and other partner capacity to be more analytical and thus better able to undertake the kind of work now being done by UNICEF in Brazil is limited (one reason why government comes to UNICEF for example to analyse existing national data). In this context UNICEF acts as a 'bolt-on' resource in the context of analysing national data and using the results to then inform government policy makers, which is a good thing but in the long run is not sustainable.</p>		<p>The roots of this weakness may be found in the kind of analytical training which national technical staff receive, or political and institutional constraints that act upon them. For example, one reason why government chooses to use UNICEF for this work is its neutral and respected role, and its recognised high level of competence, allowing it to analyse sensitive data and come up with what may be radical or challenging conclusions which UNICEF is then able to open up for discussion in a way that national institutions may not be able to, in a credible and non-partisan manner.</p>	<p>UNICEF should consider how to develop capacity building for policy makers in education, noting that this is not always a question of pedagogic issues but has far stronger elements of sociological, economic and political analysis. The CABRI dialogues to assist African policy makers involved in budgeting for agricultural programmes come to mind here.</p>
<p><b>Subquestion 8.4</b></p>			
<p><b>Does UNICEF have adequate mechanisms for monitoring its upstream work and learning from experience?</b></p>			
<p>This is one area identified by senior staff as a weakness. The M&amp;E department is doing excellent work in monitoring programmes and producing high quality reports on what is being done, and some of this work also involves evaluating what is being done against performance and outcome-based project or programme indicators. These are not necessarily designed to evaluate performance in upstream work, however.</p>	<p>Interviews with senior staff and especially with M&amp;E section</p>	<p>One recommendation was for the staff to be strengthened with a good in-house statistician/ analyst. Senior staff highlighted in particular the need for much stronger evaluations of the various upstream efforts; this could be addressed by having an in-house capacity specifically allocated to this (with relevant skills etc.), or some form of external support for developing good M&amp;E in this area, provided by UNICEF through HQ or via consultancy services.</p>	<p>Undertake a study of what is needed in this area and how to develop appropriate M&amp;E approaches for monitoring and evaluation of upstream work.</p>



#### **PHOTO CREDIT AND CAPTION:**

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Girls and boys play in a daycare centre in Bairro da Paz, a slum area on the outskirts of Salvador, capital of the eastern state of Bahia. Over 100 children attend the centre, which consists of two large schoolrooms, a playground, showers and a small kitchen where lunch is prepared daily. The centre was started over 20 years ago by one woman, Maria Conceição dos Santos, 45, (not pictured) and has grown to become self-sufficient, thanks to the donations of parents, friends and the community.

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Brazil, May 2014. Professions Fair, at Casa das Caldeiras, in Sao Paulo.

Building Young Futures is a global partnership between Barclays and UNICEF that aims to unlock the potential of disadvantaged young people by providing them with the skills, knowledge and confidence they need to set up their own business or find work, and achieve a stronger future for themselves and their communities.



