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UNESCO Brazil Evaluation Report on the Activities of the Brasilia Office (Phase 1)

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TABLE OF CONTENT

EXECUTIVE SUMMARY	1
INTRODUCTION	1
SCALE AND REASONS FOR GROWTH OF ACTIVITIES IN BRAZIL	1
RELEVANCE OF UNESCO BRAZIL ACTIVITIES	2
UNESCO'S ADDED VALUE	3
CONCLUSIONS AND RECOMMENDATIONS	5
FOREWORD.....	7
INTRODUCTION	10
PURPOSE OF THE REPORT.....	10
ACTIVITIES UNDERTAKEN	10
EVALUATION APPROACH AND METHODS	10
BRAZIL AND UNESCO DECENTRALISATION POLICY	11
FURTHER PHASES OF EVALUATION	12
ACKNOWLEDGEMENT.....	13
CHAPTER 1 - UNESCO BRAZIL IN CONTEXT	14
1.1 INTRODUCTION	14
1.2 BRAZIL: CONSTRAINTS AND CHALLENGES OF PUBLIC SECTOR REFORM	14
1.3 AN OUTLINE OF UNESCO BRAZIL OFFICE	16
1.3.1 HISTORICAL AND FACTUAL BACKGROUND	16
1.3.2 SERVICES DELIVERED.....	20
1.4 CONCLUSIONS	22
CHAPTER 2 : INTEGRATION OF THE BRASILIA OFFICE INTO UNESCO	23
2.1 INTRODUCTION	23
2.2 RELEVANCE TO UNESCO'S PROGRAMME AND PRIORITIES	23
2.3 BRINGING THE INTERNATIONAL DIMENSION INTO BRAZIL	27

2.4 INTERACTIONS BETWEEN THE OFFICE AND HEADQUARTERS -----	30
2.5 CONCLUSIONS -----	33
CHAPTER 3: CAPACITY AND PLANNING IN THE BRASILIA OFFICE -----	35
3.1 INTRODUCTION -----	35
3.2 CAPACITY OF THE BRAZIL OFFICE-----	35
3.2.1 STAFF CAPACITIES -----	35
3.2.2 MANAGEMENT AND PLANNING CAPACITY -----	36
3.3 PROJECT CYCLE MANAGEMENT -----	39
3.3.1 THE BENEFITS OF A COUNTRY PLAN FOR UNESCO BRAZIL -----	44
3.3.2 THE NEED FOR BASIC PLANNING SYSTEMS -----	45
3.4 CONCLUSIONS -----	46
CHAPTER 4: THE BRAZILIAN ‘MODEL’: ADDING VALUE THROUGH TECHNICAL CO-OPERATION-----	47
4.1 INTRODUCTION -----	47
4.2 BRAZILIAN GOVERNMENT COMMITMENT TO UNESCO-----	47
4.3 THE CREDIBILITY OF UNESCO AS AN ORGANISATION -----	49
4.4 TECHNICAL ASSISTANCE AND CAPACITY DEVELOPMENT -----	51
4.4.1 CASE STUDY 1: HIV/AIDS PROJECT-----	52
4.4.2 CASE STUDY 2 : INSS (INSTITUTO NACIONAL DO SEGURO SOCIAL) PROJECT-----	55
4.4.3 CASE STUDY 3 : PROAGUA (SEMI-ARID) PROJECT -----	59
4.5 THE STRATEGIC USE OF RESEARCH AND EVALUATION -----	62
4.5.1 RESEARCH PROFILE -----	62
4.5.2 EVALUATION OUTPUTS AND CAPACITY-----	64
CHAPTER 5. CONCLUSION AND RECOMMENDATIONS -----	67

ANNEXES

EXECUTIVE SUMMARY

Introduction

1. This is the report on Phase 1 of an evaluation exercise of UNESCO's Brazil Office. As specified in the Terms of Reference (see Annex 1: Terms of Reference) 'the overall programme evaluation objectives are to assess the **effectiveness** of Brasilia Office in achieving expected results, to measure **outcomes of projects** and the **benefits for Brazil and UNESCO**'.
2. The specific objectives of Phase 1 were:
 - To appraise the **relevance** of Brasilia Office's activities to UNESCO's Programme and Strategy;
 - To determine **UNESCO's added value** in three or four major projects or activities;
 - To establish a **framework for detailed mid-term evaluations** of national programmes and projects.

In line with the Director-General's reform and policy on decentralisation (160 EX/6 Part III) the evaluation sought to benefit from lessons learned and best practices identified through the Brazilian experience of UNESCO. Phase 1 of the evaluation has therefore regarded UNESCO Brasilia as a 'laboratory in action' in relation to many of the challenges posed by the Organisation's decentralisation reforms and the creation of the new Field Network.

The evaluation team consisted of Elliot Stern (Director of Evaluation, Tavistock Institute), who led the evaluation team, and Vincent Defourny (IOS/CEU). They worked in collaboration with Susana Sam-Vargas (BFC). Field work took place in HQ and in Brazil between June and August 2001.

Scale and Reasons for Growth of Activities in Brazil

3. The scale of activities in Brazil has grown significantly between 1997 and 2001: from 35 to 120 personnel working in the office in Brasilia and from an extra-budgetary resource of \$9.6m in 1997 to \$105m projected for the current year. The overwhelming proportion of the increase in resources is paid for by the government of Brazil as self-benefiting extra-budgetary funds. The source of these funds includes both Brazilian government own-resources and loan agreements channelled through the Brazilian Treasury. In the period in question regular programme funds only increased from \$464,000 to \$655,000. Although smaller, additional funds have also been raised from foundations and NGOs. Similar expansions in 'self-benefiting' or cost-sharing activities also occur in some other Latin American and Asian countries where the activities of other UN agencies have expanded considerably in recent years. There is

therefore likely to be scope to apply UNESCO's experience in Brazil of decentralised technical assistance elsewhere in the future.

4. The reasons for UNESCO's growth in Brazil can be attributed to five main factors: (i) constitutional and policy developments in Brazil, including decentralisation and the gradual implementation of the post-1988 constitutional changes; (ii) the commitment of the Brazilian government to modernisation and reform that is consistent with international best practice (e.g. human rights issues, a responsive state, support to citizens through social security and education); (iii) the perceived success of UNESCO in delivering promised results in successive technical co-operation agreements, leading to a virtuous cycle of high reputation, customer satisfaction and further opportunities for project work; (iv) the Brazilian government's need, in the face of the inevitable constraints and complexities of public sector reform (including lack of flexibility in recruitment practices), for credible partners to support transition management; (v) The salience in Brazilian reforms following 1988 of priorities such as education, social development and human rights that speak to UNESCO's strengths and reputation.
5. The findings highlight the achievements of UNESCO in Brazil. The overall conclusion is that UNESCO is making a valued contribution to national capacity development, is responsive to national needs and priorities, combines technical competence with a strong commitment to UNESCO's mandate and programmes and brings international best practice into the public arena in Brazil through the way it shapes project opportunities, promotes debate and raises awareness.

Relevance of UNESCO Brazil Activities

6. The relevance of UNESCO Brazil's activities to the current priorities of the organisation was addressed through a number of different analyses. These included a mapping of 70 co-operation agreements onto the 30 C/5 and the 31 C/4 and the more detailed examination of a sub-set of projects to confirm that their content was consistent with UNESCO's mandate.
7. The results of the evaluation confirms that the activities of UNESCO's Brazil Office correspond closely to the programmes and priorities of UNESCO as laid out in current policy and programme documents. However, this has been achieved mainly by the retrospective design of project opportunities to match UNESCO's mandate, priorities and programme. Although the Office replied systematically to the consultation, its contributions do not appear in a detectable way in the formulation of UNESCO's plans and reports (C/5, C/4 and C/3).
8. Decentralisation reforms suggest a need for greater input by National Offices (in co-ordination with Cluster Offices) to carry out programming at all levels, in the future. Limited consultation regarding programming is consistent with

limited mutual knowledge between Headquarters and UNESCO Brazil, limited backstopping by Headquarters and limited dissemination of experience developed in Brazil to UNESCO as a whole. Following recent discussions, new procedures and responsibilities have been agreed to improve liaison between the Brazilian Office and Headquarters as well as other Field Offices in the region. It is recommended that these be closely monitored and if necessary further strengthened.

UNESCO's added value

9. A key factor that has prompted the rapid growth of UNESCO's operations in Brazil is the added value that has been provided by the UNESCO Brazilian 'Model'. Successful outcomes have prompted requests from the Brazilian government for UNESCO involvement in further activities. Key elements of the Brazilian 'Model' include:

- ***The positioning of UNESCO in Brazil as a credible, independent organisation of high reputation, above sectional politics.*** This has been achieved by the selection of key projects seen as central to public concerns in Brazil (such as violence, personal safety, HIV/AIDS prevention, social security); the quality of the staff recruited by the Office; the strength of the leadership exercised by the Director of the UNESCO Office in Brazil; the deployment of core UNESCO expertise in education, environmental sciences, social development and culture; and the engagement of UNESCO in a continuous process of policy dialogue at Federal and State levels. This credibility has made the policy system in Brazil receptive to inputs from UNESCO and requests from the World Bank and IDB for UNESCO to be used as an executing or implementing partner.
- ***Highly qualified staff.*** The programme capacity of the Brasilia Office (and its regional antennae) was assessed in terms of staff capacity and basic planning systems. The office and its Director have been successful in attracting highly qualified and well-respected professional staff, with appropriate qualifications and experience for the programme work they undertake. Staff in UNESCO Brazil are enthusiastic and highly committed to their work and well regarded by their partners and counterparts. The Office appears to have skills in depth, not confined to the Director or Programme Co-ordinators. However, we have identified needs for additional language training and additional opportunities for international work experience including encouraging exchange and short-term assignments with Headquarters.
- ***The development of competence in technical assistance and capacity development.*** This competence has been analysed in relation to three major projects: HIV/AIDS; ProAgua; and INSS as well as projects in education and culture at Federal and State level. UNESCO

Brazil has helped design major public programmes; initiated the training of large numbers of staff (e.g. teachers and social security workers); prioritised UNESCO values such as citizen's rights, access for hard to reach groups, and respect for the elderly and retired; created new institutions (such as a national water agency); assembled teams of experts working alongside established civil servants; and introduced state of the art methods into the public sector (e.g. distance learning, use of mobile outreach facilities and satellite-communications, customer helplines for those affected by HIV/AIDS) for education and training and service delivery.

As is consistent with a capacity development model, UNESCO adheres to strict exit strategies. Projects are of fixed duration, antennae open and close depending on the projects to be undertaken and projects have distinct milestones to mark the acquisition of competence by teams or institutions that will be inheriting activities initiated by UNESCO Brazil.

- ***The strategic use of research and dissemination to promote public awareness and policy innovation.*** UNESCO Brazil undertakes a considerable volume of research funded as part of projects, preparatory to planning large scale projects (i.e. 'pipeline' technical assistance activities), or to raise awareness on important public issues (e.g. women's rights to land tenure, violence as it affects young people). This research is often undertaken jointly with major universities and research institutes in Brazil, although there are severe limitations in capacity and flexibility within the formal research community in Brazil to respond rapidly to requests for applied policy research. The major declarations and commissions of UNESCO (e.g. the Dakar Declaration; the Declarations and Action plans of the World Conference on Higher Education and the World Conference on Science; the Delors Commission; and the Perez de Cuellar Report) have also been translated into Portuguese and widely disseminated within Brazil. This is usually backed up by press releases, conferences, workshops, ministerial briefings, publications and other materials, campaigns and marches (e.g. against violence) and familiarisation training for public sector officials.

Such research and dissemination has had positive results leading to new national policies in relation to youth violence (including programmes in several states affecting hundreds of schools which are now open to young people and communities at weekends); new legislation (e.g. with regard to women's land tenure); and encouraging inter-departmental co-operation (e.g. between ministries of education and health). Most profoundly, UNESCO is seen as responsible for major contemporary studies highlighting the future direction for social, educational and cultural policy in Brazil.

Project and programme evaluation is not as well developed as the Office's research capacity. There is a need to strengthen evaluation in the Brasilia Office to match the scale of current activities.

- ***Flexibility in recruitment practices.*** Constraints within the Brazilian public sector make it difficult for the authorities to recruit staff on a project, temporary or expert basis. UNESCO and other members of the UN family have no such constraints and this is one of the reasons why the Brazilian Government calls on UNESCO to implement projects. However, even if the observed constraints noted above did not pertain, the role of UNESCO in Brazil is likely nonetheless to have expanded, albeit at a somewhat reduced rate, given the strong attributes and positive results associated with the UNESCO Brazilian 'Model', as noted above.

These features of the UNESCO Model in Brazil are reinforced by planning processes in place in the Office in Brasilia that ensure consistency with UNESCO's programmes and priorities. They have succeeded in developing a system to which the Brazilian Government is strongly committed and in which UNESCO as a major implementation body adopts a strong customer focus. At the same time these projects and programmes allow for the introduction of many of the core values, principles and multidisciplinary approach of UNESCO as expressed in its constitution and programme documents.

Conclusions and Recommendations

10. ***Managing growth and complexity.*** The rapid rate of growth of activities has revealed the need to further develop and institutionalise processes and procedures of planning that will be able in the medium term to cope with the complexity and volume of UNESCO activities in Brazil.
11. ***Improving co-operation between Headquarters and the Brazil Office.*** There have been recent improvements in procedure (e.g. for project approval, liaison and 'backstopping'). These should ensure the appropriate involvement of Headquarters' administrative, financial and sector specialists at each stage in the programme planning cycle. This evaluation has also highlighted the need to further strengthen co-operative activities between the Brazil Office and the Secretariat as a whole. In particular, recommendations are made in this report to improve the dissemination of lessons learned in UNESCO Brazil on a global basis. Several recommendations put forward are consistent with those identified by the recent Human Resources Review in UNESCO Brazil.
12. ***Developing decentralisation in practice.*** The activities of UNESCO Brazil have illuminated many of the practical challenges that need to be addressed if the policies for decentralisation now agreed by the Executive Board are to be implemented. A key choice that will need to be addressed is the level of central

control that is consistent with a decentralised ethos and a responsiveness to national priorities and needs. The observed difficulties in applying routine UNESCO administrative and financial procedures in the UNESCO Brazil context highlights the importance of considering recommendations made by the external auditor in the 1994/5 Biennium that UNESCO may be called upon to establish innovative ways of delivering programmes that balance programme implementation with probity and accountability.

13. **Further strengthening UNESCO's exit strategy.** This evaluation has noted the consistency with which UNESCO Brazil builds the pre-requisites for effective exit strategies into its activities (contracts are time-limited, milestones are observed and antennae open and close as activities require). However, many of the constraints within the public sector in Brazil remain in the absence of further reforms to remove the barriers to innovation within the Brazilian civil service. More explicit 'exit strategies' are needed to take account of these constraints and enhance the sustainability of what has been achieved.
14. **Evaluation capacity.** Unlike research, publication and dissemination, the evaluation capacity of UNESCO Brazil is relatively under-developed. This is consistent with the state of evaluation both within Government ministries and the country as a whole. A further consequence of a growth in the complexity of project activities is the need to strengthen evaluation capacity. Some good work is currently being undertaken and has been commented on by IDB and World Bank, however further strengthening is needed. In particular, the evaluation recommends that particular emphasis is given to projects that will be of widespread interest to the international community, such as AIDS II.

FOREWORD

When considering the effectiveness of the Brasilia office, the results achieved and benefits for both Brazil and UNESCO, it is useful to begin with a very specific case example. The following example highlights many of the distinctive characteristics of the work of UNESCO in Brazil. It demonstrates how the work of the Brasilia Office:

- translates overall UNESCO priorities into local contexts and needs within Brazil;
- uses research strategically to analyse problems and identify potential solutions;
- brings international experience to bear on the Brazilian situation;
- raises awareness of key UNESCO priorities both amongst policy makers and citizens of Brazil;
- promotes policy dialogue and innovation based on research and widespread discussions;
- encourages practical innovation to meet important social and cultural needs at Federal and State level;
- generates demand for technical assistance and support which UNESCO is able to provide;
- systematises the practice of technical assistance in terms of manuals and programme design guidelines in order to encourage dissemination of good practice; and
- initiates evaluation activities that can further refine policy and practice.

We therefore begin this report with a case study that highlights many of the issues that will be addressed in greater depth in the chapters that follow.

Opening Schools: A research based strategy to develop a 'culture of peace'

UNESCO Brazil has led an initiative to open schools at the weekends across the country to tackle youth violence and violence against young people. It is now operational in 3 States – Rio de Janeiro, Pernambuco and Bahia and is at an advanced stage of planning in 6 other States.

The Research Background

Violence and fears for personal safety is the single most important priority for Brazilian citizens and their government. Following high profile cases of violence involving young people, UNESCO undertook a series of research studies. This was seen by UNESCO Brazil as a direct contribution to the UNESCO priority: Promoting a Culture of Peace. The research included studies of gang violence in Rio, youth violence in Brasilia and culminated in two major studies entitled A Map of Violence – youth, violence and citizenship. The two studies in 1998 and 2000 traced the evolution of homicide, suicide and road traffic injuries as they affected young people across Brazil, based on a detailed analysis of available statistics. This research, co-funded by the Ayrton Senna Foundation and latterly by the Ministry of Justice, was widely disseminated to policy makers and discussed in the press. UNESCO staff concluded that there was an urgent need for young

people to have a place at week-ends for cultural and sports activities. Given the lack of facilities, many young people have fallen back on the streets or alcohol and drug consumption. Based on broader international experience - of UNESCO itself, the Inter American Development Bank and the World Bank - schools were identified by the Brazil Office as the natural site to provide safe places for young people at week-ends.

Mobilising Support: The beginnings of a national Programme

Public statements by the Director of the Brazil Office and follow-up discussions with Ministers, led to a Declaration by the Federal Minister of Education and Sports that schools should be opened at week-ends. This was promoted by UNESCO at State and Municipality level (the competent authorities for primary and secondary education), and the State of Rio de Janeiro was the first to open its schools in response to this campaign. Initiated in August 2000, 111 schools are now involved across 73 Municipalities, with 40,000 young people attending a mix of music, sport, theatre, craft and dance activities at week-ends.

In the State of Pernambuco, identified by the Map of Violence research as amongst the worst States for youth violence in Brazil, a Forum for the Culture of Peace was established by the regional UNESCO antenna office. One of its recommendations for reducing violence was to open State and municipal schools at weekends. This recommendation was taken on board by a decision-making body at State level in which UNESCO participates. Beginning with 30 schools last year, a further 300 schools are expected to join by the end of the year – 120 were open by August 2001. Already some 100,000 young people are involved every weekend. So are their families as one of the explicit strategies of the programme in all States is to involve families and communities. This has the twin aims of enhancing local ownership of schools – many have been vandalised by the community in the past – and supporting education and development goals of the young people.

Supporting the Programme

Support systems and staffing vary from State to State. In Rio each school has a paid team of 16 and a support group of 50 providing technical support in the various activities undertaken. The schools also provide food – a vital resource and incentive for children from poorer families. In Pernambuco support is much more on a voluntary basis: 450 volunteers – many of them teachers, some already affiliated with NGOs and civil society groups, support the school based activities at week-ends and often after hours during the week. In both Rio and Pernambuco States, meetings and training sessions are held with staff and volunteers.

UNESCO through its antenna offices in the States supports the Open School (or School for Peace) initiative, under contract to the State authorities. There is a core team including a co-ordinator in each State. UNESCO through its Brasilia Office convenes a monthly meeting of co-ordinators from each State engaged in or planning to engage with the programme. There is an active interchange between the co-ordinators and the staff from each State, who offer each other support and specialist knowledge in sports, culture, dance and crafts – as well as in general management and problem solving.

A Guide for implementation

In anticipation of the expansion of the Open School programme country-wide, the Brazil Office of UNESCO has now prepared a guide outlining how programmes of this kind should be organised (Making Room: Education and the Culture of Peace available in both

Portuguese and English). This text also situates this initiative within a broader UNESCO mission and draws heavily on the Delors report on education and learning as well as Edgar Morin's ideas about the future of education. The design process as now understood is defined in this publication as 'Pillars for the Construction of the Programme'. The stages of programme construction outlined includes: partnership building; setting up teams; training teams; and evaluating the process and results.

Plans for evaluation and research to assess the success of the programme and its implementation are already well advanced. An initial evaluation study of the targeting and implementation of the Rio de Janeiro Programme undertaken by consultants from the University of Rio and the World Bank, was published by UNESCO and the State of Rio, earlier this year.

The remainder of this report analyses the programmes and activities of the Brasilia Office in order to understand how these results are achieved, what is the quality of work undertaken and what are the areas for potential improvement.

INTRODUCTION

Purpose of the report

This is the report on Phase 1 of an evaluation exercise of UNESCO's Brazil Office, which took place between June and August 2001. As specified in the Terms of Reference '*the overall programme evaluation objectives are to assess the **effectiveness of the Brasilia Office in achieving expected results, to measure outcomes of projects and the benefits for Brazil and UNESCO***'.

The specific objectives of Phase 1 were:

- To appraise the **relevance** of Brasilia Office's activities to UNESCO's Programme and Strategy.
- To determine **UNESCO's added value** in three or four major projects or activities.
- To establish a **framework for detailed mid-term evaluations** of national programmes and projects.

The simultaneous introduction of UNESCO's 'Decentralization Reform (160 EX/6 Part III)' has given this evaluation a particular focus: the extent to which UNESCO as a whole could learn important lessons from recent developments in Brazil. This phase of the evaluation has therefore regarded UNESCO Brazil as a 'laboratory in action' for many of the challenges posed by decentralisation reforms.

Activities undertaken

The evaluation team consisted of Elliot Stern as team leader (Director of Evaluation, Tavistock Institute) and Vincent Defourny (IOS/CEU) with support from Susana Sam-Vargas (BFC). Fieldwork took place in Headquarters (11th - 21st June 2001) and in Brazil in two missions (2nd - 22nd July and 20th – 31st August 2001). The antennae in Rio de Janeiro and in Pernambuco were also visited. A full list of those interviewed as part of this evaluation, together with other documentary sources scrutinised, is annexed to this report (see Annex 2: Persons Interviewed).

Evaluation Approach and Methods

The approach adopted followed a number of commonly accepted evaluation principles. These included:

- Following a stakeholder approach in which the different parties who had a stake in this evaluation (the Director and staff of the Brasilia Office, Headquarters personnel with direct administrative and financial responsibilities, UNESCO counterparts and partners in Brazil etc.) were all consulted and involved in the evaluation at several stages. For example, stakeholders were interviewed and were also consulted as to the interpretations and conclusions drawn by the evaluators. However, the

evaluation team retained the right to draw its own conclusions. Thus not all the content of this report is likely to be acceptable to all stakeholders.

- The difficulties of working within what for the evaluation team was a different institutional, cultural and linguistic context have led to the introduction of a number of safeguards. Considerable time and resources have been expended in translating documents and conversations from Portuguese. Information received was cross-checked with more than one other source, as is common in a systematic evaluation but is even more vital when there is a strong possibility of misunderstandings because of unfamiliar contexts.
- It was not possible to avoid the high level of intrusion by the evaluation team in the activities of UNESCO personnel in Brazil. However, efforts were made to familiarise those working within the Office in Brasilia with the progress of the evaluation. A start-up meeting occurred at the beginning of fieldwork, a feedback meeting occurred at the end of the first period of fieldwork and each individual session or discussion was validated through feedback at the end of that session.

A variety of methods were used as part of this evaluation, including: extensive analysis of documentation; interviews and discussions with UNESCO staff, the Brazilian Government and counterparts; observation of activities in the Brasilia Office and in antennae in two States; field visits to activities being supported or undertaken by UNESCO as part of technical assistance agreements (e.g. a school, a State education department); and reviews of press cuttings and published reports.

Brazil and UNESCO decentralisation policy

This initial evaluation of the activities of the UNESCO Brazil Office occurs at the same time as the introduction of the 'Decentralization Reform' (160 EX/6 Part III and 161 EX/5 Part II). Whilst decentralisation policy confirms the role of single country offices, in particular when they are located in the 'Nine High Population Countries' (E9) and countries having special commitment to Education for All objectives, they are regarded as 'an exception to this system'. Indeed the bulk of the proposals accepted by the Executive Board are concerned with 'cluster offices' and 'regional offices', the two tiers.

Nonetheless criteria for where there is justification for single-country offices ('precisely defined need') are detailed. These criteria provide a useful a point of departure for this evaluation, confirming as they do that the Brazil Office appears, *a priori*, to match these criteria well. For example, Brazil can be seen as a country of considerable 'size and complexity'; one where it is suggested 'the volume and success of present activity must be maintained'; which enjoys a high 'level of support from the host Member State' and has an unparalleled record of 'performance in programme implementation'. This evaluation is intended in part to verify the relevance of these criteria to the realities of Brazil.

These reforms are intended to ensure that UNESCO as a whole operates as a single organisation (in the field and in Headquarters) with a single mission. They call for a ‘more demand-driven UNESCO’, one in which UNESCO designs and implements programmes that are adapted to the needs of Member States. This is further clarified in 160 EX/INF.10:

‘The system goal is to have this expertise close to the member states.....so that the field system can be responsive and targeted to specific needs.’

It is to be accompanied by greater autonomy in planning, implementation and administration:

‘increased autonomy will be given to cluster and country office directors in identifying and co-ordinating primary inputs to programming at national and sub regional levels, and in acting as the focal point of all UNESCO activity at country level. Greater authority will be delegated to field offices, and programme implementation budgets and responsibilities will gradually be decentralised along with control over financial and local personnel matters.’

In this context Brazil offers unique opportunities to consider the practicalities of the decentralisation reforms. Alone among UNESCO field-offices, the Brazil Office has sustained for several years, a large-scale and expanding decentralised programme designed to meet the needs of the host government in the context of UNESCO’s mission, policies and constitution. We therefore see this initial evaluation, as focusing attention on a ‘laboratory in action’ where many of the challenges of decentralisation have already been addressed and confronted – even if not fully resolved.

The potential for learning lessons, transferring good practice and identifying pitfalls to be avoided, are considerable. We have seen this as one important output of this evaluation. For this reason we see the ‘stakeholders’ in this evaluation as including not only the Executive Board, which requested the exercise, but also the Brazil Office itself, the Bureau of Field Co-ordination (BFC) and indeed all those other parts of UNESCO (sectors in Headquarters, Central services, the new field network including all the decentralised entities of UNESCO) which will have to work through the consequences of decentralisation and provide backstopping to a new generation of field offices.

Further Phases of Evaluation

The scope of this phase of the evaluation exceeded in several regards, what was strictly required by its terms of reference. For example the evaluation team did not confine itself to considering the added value of only three or four projects but also considered the capacity of the UNESCO Office in Brazil, operations in two antennae and the way the Office addressed more general aspects of UNESCO’s mandate. However it needs to be emphasised that there are still further phases of

work required if the full scope of the evaluation's initial objectives is to be realised. Many of these evaluation activities will need to be led by the Brasilia Office itself, with suitable back-up from Headquarters and external consultants as required. We have in particular identified the importance of focusing on a few major projects such as AIDS II, Basic Care etc which are likely to offer lessons for UNESCO world-wide.

Acknowledgement

The completion of this phase of the evaluation would not have been possible without the full co-operation of many different parties. The evaluation team was present in the Office and project premises of UNESCO Brazil during a period of great disruption with a Human Resource Review and external audit activities taking place simultaneously with the evaluation, all making demands on personnel and resources. (We calculated that at times as many as ten outside persons were involved in these various activities in the Brasilia Office.) These were not ideal circumstances for an evaluation which was meant to learn lessons and promote reflection as well as gather and analyse evidence. Nonetheless, the flexibility and openness of all those we called on, made it possible to complete an ambitious programme in a short period of time. The evaluation team also received excellent access and co-operation from the Brazilian government at Federal and State levels, from Ministers, Secretaries, senior and junior officials as well as from UNESCO partners, development banks and other parts of the UN family. Finally we would also wish to acknowledge the assistance and co-operation of Headquarters staff, especially in BFC and in the Sectors who provided the evaluation with their experience and perspectives of working in support of UNESCO in Brazil.

CHAPTER 1 - UNESCO BRAZIL IN CONTEXT

1.1 Introduction

This chapter provides basic background information on the operations of UNESCO in Brazil and some of the main factors that shape them. Specifically it describes how the constitutional and socio-economic circumstances of Brazil pose particular challenges to the public sector. It further describes the Office – its history, the scale of resources deployed and the range of services provided.

1.2 Brazil: Constraints and Challenges of Public Sector Reform

Brazil is a country of extreme contrasts: its immense territory gives it continental dimensions. Its population of 160 millions is culturally rich and diverse. First and Third World living conditions co-exist side-by-side, resulting in great social inequalities. These basic facts create many challenges for those who are concerned with development issues.

Since 1988, a new Constitution has defined three important changes, which step by step are drastically changing the public sector and the political landscape. A decentralised structure has been initiated with three decision-making levels (the Federal Union, 26 States, one Federal District and 5,507 Municipalities). The fundamental recognition of human, social and cultural rights is now part of the Constitution as is the inclusion of Brazilian civil society in public policy implementation. This reinforcing of democracy has seen the Federal Government adopting new ways of planning and designing public policies. The Federal level remains the main actor responsible for defining common development-targeted national projects, but involves other partners extensively in design and implementation. For example, the multi-year plan, *Avança Brasil*, defines development objectives and provides opportunities and budgets for new initiatives, the implementation of which is not confined to Federal or even public authorities.

Decentralisation policy is a cornerstone for the country's efforts to respond adequately to the different needs and realities of its population. For example, States and Municipalities have now been given responsibility for designing and implementing educational policies. At the same time, conditions of service in the public sector make it difficult for public authorities in the States or at Federal level to recruit the experts and short-term contract staff now required. It is these still relatively new responsibilities, in the context of public sector recruitment constraints and UNESCO's distinctive profile in education, that are driving the demand of Education Secretaries of the 27 States for UNESCO to provide technical assistance and develop new partnerships.

In the UNDP Country review report for Brazil (July 2001), the authors state that :

'The Government of Brazil is committed to social change. It has publicly set absolute goals for the poorest regions, for example: ensuring that every child goes to school and that child labour is eradicated; safe water supplies for every school; family planning services in every Municipality; basic health care for every State. Few other Governments would publicly commit to such goals.'

The report also highlights some characteristics of the situation in Brazil relevant to the very significant contribution which the UN family can offer that country.

'Brazil is a country with a high level of professional capacity and experience within the Government and civil society. Yet capacity within the Government is heavily concentrated at the Federal level, and there are shortcomings at State and municipal levels. Against this background, the mission found that UNDP was able to make an important contribution, responding both to ongoing priorities such as State reform, as well as to new areas such as decentralisation and human development.'

In a recent international forum (Naples, March 2001), the then Secretary for Management of the Ministry of Planning, Budget and Management, Ms Ceres Prates, stated that the reform needed was essentially managerial.

'The failure of the state is, most of all, a failure of management. Changing the managerial quality of government is more than reform. It is structural and behavioural transformation. It means replacing the current bureaucratic structure by a new one which will provide the State with the means it must have in order to meet present and future challenges.'

It follows that some of the most challenging issues which UNESCO faces in its portfolio of technical assistance and capacity building, are the need to rehabilitate and strengthen public services, restore public confidence, build government capacities and mechanisms in the new decentralised structures, and install a culture of public management based on results and quality of service to end-users. But the laws governing the public sector are often rigid and cannot be easily transformed. Moreover, the pressure put on Brazil by the international financial institutions to contain public expenditures and to make structural adjustments limits the scope for internal reforms. Governmental bodies in Brazil, as in most countries of the world, influenced by the bureaucratic culture, have tended in the past to be more focused on administrative procedures rather than on results. The Government commitment and the spirit of the democratic constitution seeks to transform the relationship with the citizen. The transformation goes far beyond administrative reforms, according to Ms Prates. In her view,

'it reaches values, paradigms and organizational culture, pursuing always a close connection between the state and the citizen.'

The difficulties are great and expectations are high. In the face of these difficulties it became clear to the Brazilian authorities that in many areas they needed strong

and committed partnerships with organisations such as UNESCO to experiment with new models of entrepreneurial and results-orientated public management.

If we map UNESCO's actual and potential contributions in terms of the current state of public sector reform in Brazil, we can identify three major contributions that appear to be needed and are indeed represented in the portfolio of activities we have reviewed. These include:

- Capacity development, especially the managerial capacity to innovate by bringing together new expertise and project teams;
- Change management, by helping ensure that the intermediate stages of reform are reflexive and capable of continuous adaptation;
- Technical know-how, to ensure that international best practices are feeding the design of developmental plans and that the local experiences contribute to the definition of future practices.

The challenge is to help the Brazilian authorities manage this transformation and collaborate closely with the different political and administrative levels to build capacity. Since 1992, UNESCO Brazil has been involved in partnerships to this end. In the last three years this has reached unprecedented levels, raising UNESCO's profile in the country substantially. Although it is outside the strict scope of an evaluation of UNESCO's activities in Brazil, the current state of public sector reform also has implications for these activities. Without a strengthening of public sector management, greater overall flexibility in the sector and greater flexibility in recruitment practices in particular, it will be difficult to sustain many of the undoubtedly positive results that have been achieved by UNESCO in Brazil in recent years.

Finally, it should be noted that although the situation in Brazil is distinctive it is by no means unique. Similar 'self-benefiting' or 'cost-sharing' arrangements are common in other Latin American countries such as Argentina, Colombia, Peru and Panama. This is reflected in the high volume of activity by other UN agencies in these countries. There are parallels also in some Asian countries. These parallels in countries other than Brazil raise interesting questions as to the scope for UNESCO to apply lessons learned in Brazil regarding decentralised programmes to other countries.

1.3 An Outline of UNESCO Brazil Office

1.3.1 Historical and Factual Background

UNESCO's representation in Brazil started in 1972, originally with "Chef de mission" status like most other Field Offices opened at that time. From 1992, the activities received a new impetus, initially motivated by the World Declaration, *Education for All*. The representative, perceiving the importance of this

commitment for the national educational policy, signed a co-operation agreement with the Ministry of Education in order to establish a permanent dialogue for the translation into reality of the Jomtien objectives. From then, the activities started to progressively expand to other areas, multiplying the number of co-operation agreements for technical assistance with different governmental entities and civil society. As the number of activities and partners has grown, the number of people employed directly or indirectly by the office has also rapidly increased (see table below).

PERSONNEL WORKING AT UNESCO BRASILIA OFFICE		
Year	Number of persons working on a regular basis for the office*	Project personnel
Dec. 1997	35	N/A
Dec. 1998	52	N/A
Dec. 1999	99	1,245
Dec. 2000	106	2,100
Aug. 2001	120	2,350

* Different kinds of contracts exist, and following the Human Resources review, the current situation is likely to change.

The capacity of the office to act as a catalyst to State reform, including the national implementation of international conventions, declarations or plans of action, is widely recognised. Moreover, UNESCO Brasilia Office seems to be able to combine a double alliance with the governing authorities on one hand, and with civil society on the other. These characteristics, as well as the contextual situation of the country, have generated a *modus operandi* in which Brazil allocates significant resources to the UNESCO Office in order to implement projects which are mainly and directly of benefit to Brazil. The Office is currently running 70 co-operation agreements – likely to total 95 over the full biennium (see Annex 3: List of Co-operation Agreements) amounting to \$105 million for the year 2001 (see the evolution of the financial execution in the table below).

FINANCIAL EXECUTION IN UNESCO BRAZIL		
Year	Regular Programme	Extra-budgetary Projects
Year 1996	\$449,901	\$4,002,200
Year 1997	\$464,124	\$9,624,404
Year 1998	\$507,358	\$19,242,107
Year 1999	\$550,000	\$43,603,482
Year 2000	\$622,863	\$78,599,375
Year 2001*	\$655,222	\$105,030,000

* estimates

The Ministry of Education, the Ministry of Environment, the Ministry of Health, the Ministry of Justice, some States Governments and a few private foundations are among the major partners. The origin of the funds for the period 1997-2001 is as follow:

UNESCO BRASILIA OFFICE – ORIGIN OF FUNDS FOR COOPERATION AGREEMENTS SIGNED (1997-2001)	
ORIGIN OF FUNDS (FINANCING INSTITUTIONS)	AMOUNT (US\$)
Brazilian Treasury	\$231,574,189
World Bank *	\$58,956,892
IDB *	\$128,215,940
National foundations, NGOs and Others	\$3,565,993
International foundations, NGOs and Others	\$1,698,659
TOTAL	\$424,011,673

* The funds originating from World Bank and IDB always pass through the Brazilian Treasury.

These operations are based on two agreements: an umbrella agreement between the Government of Brazil and several UN bodies for technical co-operation, signed on 29 December 1964, and a bilateral agreement between the Government of Brazil and UNESCO, signed on 29 January 1981. This so-called “self-benefiting” system is not unique to UNESCO: most UN agencies sign similar co-operation agreements. The UNDP Brazil Web-site offers the following explanation:

“with the drastic reduction of international donor funding for development programmes in Latin America, the Government of Brazil has embarked on an innovative initiative to finance and manage its own national development programmes in partnership with the UN agencies.”

This innovative mechanism allows a country like Brazil to associate the UN family with the pursuit of its development objectives. Under the framework of action, UNESCO is bringing to Brazil international know-how, expertise, ethical principles, universal objectives as well as the name of an institution with high credibility. Brazil, for its part, is offering UNESCO the possibility to participate actively – i.e. with adequate means to have a real impact on the population - in the implementation of major programmes directly related to its priorities. Moreover, the size and characteristics of the country provide excellent opportunities for real-life experiments and to confront UNESCO’s general principles and ambitions with the lives of real citizens and with grassroots complexity.

The breakdown of activities by sector (see table below) shows that most of the agreements are managed by the Education and Social and Human Sciences Sectors of the UNESCO Office in Brasilia. This attribution by sector is discussed further in relation to an assessment of the relevance of these activities to UNESCO’s priorities, programmes and mandate. At this point it is already clear that UNESCO Brazil, shares UNESCO’s overall priorities for education and social development. We will also see later how the Office is committed to promoting cross-cutting themes such as a Culture of Peace.

UNESCO BRASILIA OFFICE - ACTIVITIES BY SECTOR	
SECTORS	%
Education	64%
Science	7%
Social and Human Sciences	23%
Culture	2%
Communication & Information	4%

The operating costs of the Office are almost totally covered by the overheads generated by co-operation agreements. In most cases these represent around 5% of the project budget. Headquarters also receives a proportion of overheads generated.

UNESCO BRASILIA OFFICE OVERHEADS			
Year	Overheads generated by Brasilia Office	FITOCA used by Brasilia Office (approved by the DG)	FITOCA retained by Headquarters
1998	\$467,000	\$200,000	\$267,000
1999	\$800,000	\$644,000	\$156,000
98-99	\$1,267,000	\$844,000 (66%)	\$423,000 (33%)
2000	\$1,712,000	\$856,000	\$856,000
2001	\$3,549,247	\$3,030,000	\$519,247
00-01	5,261,247	3,886,000 (74%)	1,375,247 (26%)

1.3.2 Services delivered

To properly interpret these figures, one must understand the exact nature of the tasks expected from UNESCO Brasilia. In most countries the national execution of international co-operation agreement would mean that in any given project it would be the Government's responsibility to contract the majority of project personnel according to the rules of the National public sector. UNESCO would then be called upon to deliver specific services or activities. In Brazil, because of the rigidity of the public sector and the need to strengthen the managerial skills of civil servants (see previous section), project personnel and sub-contractors are directly contracted by UNESCO. The amounts paid for these services represent, in most projects, a very significant part of the agreed overall budget. The Office, as executing agency, provides three kind of services: administrative and managerial co-ordination; substantial advice and strategic thinking; and finally organising specific programme activities such as researches, trainings and events.

Administrative and managerial co-ordination is very much result-oriented: it needs to make things happen. Managerial skills (project facilitation, organisational design, monitoring, etc.) is what the Brazilian government looks to the UN family to provide. The quality of this response is essential for the project. It requires good and quick decisions, the ability to source relevant skills and networks, rigour and flexibility as well as a good understanding of the issues at stake.

The second kind of service, *advice and strategic thinking*, is directly relevant to UNESCO's field of expertise and is mainly provided by the permanent staff of the office, programme co-ordinators or project officers. It may include: international recommendations and resolutions of UNESCO's world conferences, new ideas for programme delivery; references to international practice and standards; technical advice; and new paradigms and frameworks. Most of the time, this kind of support, which is considered invaluable by UNESCO partners, is difficult to isolate from other activities because it is provided on an ongoing basis and interwoven with other services provided.

The third type of service - *organising programme activities* - is easier to grasp since it results in identifiable outputs like research, seminars, training sessions, publications, events, etc. These activities have a clear beginning and end and their budget is mostly identified in the Project Document or in the common planning documents.

An example of the kinds of services that UNESCO can provide to a project is provided by the *ProAgua Semi-Arid* project. It is a large project for which the Brazilian authorities contracted a loan of US \$330 million. The Ministry of Environment requested UNESCO to execute around US\$15 million to support the management and co-ordination of the overall project. This sum has been split into five co-operation agreements, corresponding to different phases of the project. The UNESCO Office in Brasilia has provided administrative and managerial co-ordination for around 200 contracts with international and national consultants hired for the project. (These contracts may vary from project teams helping to implement regional and local water management arrangements that involve local people and civil society, through to retaining the services of a medical expert to advise on issues of water hygiene.) Substantial advice and strategic thinking has been provided by the programme co-ordinator and his assistant from the inception of the project. This included, for example, bringing in ideas and conceptual references drawn from the International Hydrological Programme and the UN Agenda XXI. Finally, the office organised activities such as an environmental assessment of the project design and workshops and seminars for local and regional water managers.

1.4 Conclusions

This chapter has highlighted:

- The particular circumstances of Brazil and the Brazilian public sector, that have created such a favourable climate for co-operation with UNESCO and other UN agencies. Similar circumstances in other Latin American and Asian countries are also noted, which suggest there may be opportunities for UNESCO to apply the Brazil model more extensively
- The continued need to improve management capacity within the public sector in Brazil. Although this is outside the scope of an evaluation of UNESCO's activities, it has important implications if the positive results of UNESCO's activities in Brazil are to be sustained in the long-term.
- Three particular contributions of UNESCO to the development of a results-oriented public management in Brazil have been identified. These are improving capacity; helping with the management of change; and introducing international best practice and technical know-how.
- The scale and growth of UNESCO activities in Brazil, both in terms of funds and personnel. An overwhelming proportion of activities are funded by the Brazilian Treasury directly through own-resources, or indirectly through funds originating from the World Bank or IDB. Operating costs of the Office are also almost totally covered by the overheads generated by co-operation agreements.
- The range of services provided includes administrative and managerial co-ordination, advice and strategic thinking and organising programme activities.

CHAPTER 2 : INTEGRATION OF THE BRASILIA OFFICE INTO UNESCO

2.1 Introduction

This section is concerned with the way what is happening in Brazil in UNESCO's name relates to the Organization as a whole. It addresses three main issues:

- the relevance of Brazil-based activities to overall UNESCO Programme and priorities;
- the way the Office in Brasilia brings an international dimension to UNESCO's activities in Brazil; and
- how the Office interacts with Headquarters and UNESCO as a whole.

2.2 Relevance to UNESCO's Programme and Priorities

One of the principal issues that we were concerned to address in this initial evaluation exercise is the relevance and consistency of the activities carried out by the office to UNESCO's mandate, priorities and programme. The scale and diversity of the activities being undertaken in the UNESCO Office in Brazil raises the question not only of relevance and consistency, but also whether all the activities being undertaken are of the kind with which UNESCO should be involved.

In order to address this question, we undertook a number of analyses. These included:

- interviews with Headquarters personnel in Paris in the sectors that related to the major projects and activities being undertaken in Brazil;
- analyses of core UNESCO documents including Draft 31 C/4, 30 C/5, as well as recommendations and follow-ups of major International Conferences;
- mapping of all activities being undertaken in UNESCO Brazil against the priorities and categories represented in the above documents; and,
- the detailed analyses of three projects: AIDS II, ProAgua and INSS in relation to basic UNESCO functions as specified in Draft 31 C/4, (para 29).

These analyses were carried out in consultation with the relevant programme co-ordinators.

For the purpose of this exercise we have identified a list of project activities being carried out in the Brazil Office. It should be noted that it is difficult to establish a full up-to-date list for a number of reasons. First, the dynamic situation in the Brazil Office leads to a regular flow of new project activities. There is always a time lag in the generation of up-to-date project lists. There are some activities which are active for some periods and become dormant only to be reactivated at a later stage. Some of these dormant activities also are not always fully included in lists of current activities. Finally, major activities are linked with and generate many related but minor activities. These are not always recorded on project listings. Nonetheless we are confident that the extensive lists of 70 project activities, based on signed co-operation agreements that we have used for the purpose of this analysis cover

the overwhelming proportion (well over 90%) of activities being undertaken in UNESCO Brazil. (This list of 70 projects is to be found in Annex 3: List of Co-operation Agreements , attached to this report.)

Our main conclusions based on the analyses described above are as follows:

- As is shown in the analysis of the way activities correspond to UNESCO's strategic objectives (see Annex 4), we can clearly link all current activities of the UNESCO Brazil Office with these objectives. Every one of the twelve strategic objectives is associated with at least one project.
- An analysis of all 70 co-operation agreements in relation to the 30 C/5 (the biannual programme 2000-2001) shows that they are all linked directly with UNESCO's programmes and sub-programmes as specified in the relevant documentation (see Annex 5). It should be noted however that this matching has been achieved by the internal planning processes of the UNESCO Office in Brazil which use C/5, C/4 documentation as a reference for project approval and project design. The absence of any reference to UNESCO Brazil's activities in the 30 C/5 underlines the reason that we recommend elsewhere in this report the involvement of UNESCO Brazil and indeed other single country and cluster offices in future UNESCO planning cycles. This is of course consistent with recent decisions of the Executive Board on decentralisation.

Almost all the core issues addressed by the Regular Programme find corresponding projects in Brazil: 99% of them are financed by extra-budgetary resources. Communication and Information is the only area without significant projects. From the point of view of Brazil's circumstances and UNESCO's priorities, there is a need to develop work in this area. We are aware of the difficulties that the Brasilia Office has had in recruiting the appropriate staff. Nonetheless, it is desirable that this gap in the profile of the Brasilia Office is filled, possibly with the support of the Sector at Headquarters and in partnership with other prominent Brazilian and international institutions.

- In an initial analysis of project and programme documentation we noted that several projects were focused on health issues and we questioned their relevance to UNESCO's mandate. However on closer inspection it was clear that these projects were primarily concerned with health education, promotion and related prevention activities. For example, these projects included health education in relation to AIDS/HIV. They also included some activities to counter violence which has been defined in Brazil as a public health issue, given the number of injuries and deaths that youth violence, in particular, can generate. This is consistent with the current consensus worldwide that public health should be seen increasingly as integrated with many other policy areas and not exclusively confined to the delivery of medical services.

- The application of a simple form of a logical framework model, confirmed that the main objectives of the three projects considered – AIDS II, ProAgua and INSS - all involve consciousness raising, changing attitudes and developing new thinking among citizens and civil servants. These objectives are directly in line with UNESCO's mandate and in particular with the search for building a culture of peace.

During discussions in Paris Headquarters with persons responsible for the main areas within which the Brazil Office of UNESCO's activities are located, we encountered an uneven level of knowledge and familiarity with activities being undertaken in Brazil. For example, in relation to ProAgua and AIDS responsible staff in Paris were relatively well informed about these projects and recognised linkages between their programmes and their activities. In relation to INSS however it appeared that the MOST Secretariat was not really aware of the existence of this large scale project. We found this particularly surprising because in the course of field work undertaken in Brazil the President of INSS explained how he saw his own reform program of the Social Security System in Brazil as being linked with the MOST Program of which he seemed to be aware.

In order to analyse the issue of relevance in greater depth it was decided to focus on three prominent projects: AIDS II, INSS, and ProAgua. These projects are extensively presented in chapter 4, but their relevance to UNESCO's Programme is summarised in the table below.

AIDS II	INSS Project	ProAgua Project
<ul style="list-style-type: none"> • Part of UNESCO's contribution to UNAIDS' common strategy (the largest project) • Preventive education (formal education system and non-formal network of NGOs) • Awareness raising and advocacy (Congressmen, journalists, youngsters) • Human rights focus (respectful attitudes) 	<ul style="list-style-type: none"> • Technical assistance to Brazil for institutional development (reforming a public administration) • Management of social transformation (new public management, results oriented, beneficiary driven) • Distance learning Programme for civil servants and social workers (corporate education) • Citizens rights orientation (delivery of quality services) 	<ul style="list-style-type: none"> • Inspired by the International Hydrological Programme and the UN Agenda XXI • Pilot for building capacities to manage water resources at Federal, State, Municipal and community levels (National Water Agency, Management Units in Ministries, local managers) • Increased provision of good quality water to 20 million people in a semi-arid region • Sustainable development project

The retrospective matching of projects to priorities

On the basis of the analyses undertaken, the activities of the UNESCO Brazil Office are well matched and correspond closely to the programmes and priorities of UNESCO as laid out in the organisation's current policy documents. However, the process by which this matching and relevance is achieved is a retrospective rather

than a prospective one. Thus the Brazil Office actively seeks to develop lines of action in each of the Programme Areas of UNESCO's Regular Programme. There is an active process that takes place in the Brazil Office, which we were able to observe to a limited degree, in which Regular Programme priorities are re-presented and used in order to guide project selection and design. This is a process in which the Director of the Office in Brazil is actively involved and is consistent with the way he often designates his role as 'Representative of UNESCO in Brazil'.

CONSED: a case of ongoing dialogue and institutionalised co-operation

The co-operation established with the CONSED (National Council of State Secretaries of Education) is a good example of an ongoing dialogue building the bridge between UNESCO's proposals in the field of education and Brazilian educational policies (see box below).

From UNESCO's recommendations to States' policies: a long lasting relationship with the National Council of State Secretaries of Education (CONSED)

A Co-operation agreement exists between CONSED and UNESCO . CONSED is composed of 27 Secretaries for Education – one representing each State. It is a private entity created 15 years ago to help Government co-ordinate Brazil's education policies. CONSED's recommendations have great impact at the State and Municipal level. It works in the areas of management of schools and school systems, training of teachers, curriculum development, personnel, recruitment and training and the production of educational materials.

As part of the co-operation agreement, UNESCO participates in CONSED's meetings and conferences. C/4 and C/5 orientations are followed as well as recommendations of major UNESCO and international world conferences and action plans in CONSED policy and strategy documents. Targets have been established for the next 10 years, including the framework of action at the State and Municipal level.

Reference documents, research, new ideas and new areas of work have been introduced as part of the advice provided. For example, the Dakar Framework and Regional Framework for Action was translated and published in Portuguese by the Office, in co-operation with CONSED. UNESCO's logo on published materials gives them legitimacy. It is seen as a label of quality both because UNESCO is known to be careful in checking and controlling the material and information produced and because UNESCO is considered a world leader in the field of Education.

UNESCO is seen as bringing to bear best practices based on international experience. More specifically, it advises and provides international experts, speakers, trainers and specialists for workshops and conferences, drawing on both Headquarters and the Field (Education Institutes, Field Offices). CONSED representatives felt that new and important initiatives have followed from the co-operation with UNESCO. Because UNESCO works in different sectors (in addition to education it is known to be active in culture, science and health promotion) it is seen as having unique access to various parts of society that CONSED would have difficulty accessing on its own. For example, UNESCO in Brazil has

ongoing links with civil society actors, the private sector, certain Ministries, and policy makers across the political spectrum. Some active and critical NGOs find it easier to relate to UNESCO than they do to Government Ministries. They regard UNESCO as more accessible and having a greater impact.

The CONSED case illustrates the potential benefits and added value to UNESCO as a whole of the organisation's experience in Brazil. To date, however, these benefits have been limited due to the limited communication between UNESCO's Brasilia Office and other parts of the organisation, i.e. Headquarters and the Field. These issues are discussed further in section 2.3 below.

2.3 Bringing the International Dimension into Brazil

Given UNESCO's international status, we were interested to understand how this dimension was expressed in the Brasilia Office's activities and priorities. At a simplistic level it can be observed that not only is the office 'mission' very much oriented to the needs of Brazil, but also most of the staff and consultants employed are themselves Brazilian. One might think that UNESCO's international dimension is only brought into the country by sending international staff and experts. Nonetheless we have concluded not only that the Brazil operations are very closely linked to UNESCO's mandate, but also that the Brasilia Office *modus operandi* offers different ways of 'internationalising' the domestic Brazilian agenda. The ways we observed can be summarised as follows:

- *Disseminating and inserting the reports and declarations of UNESCO into Brazilian society.* We have noted a very high level of publication and distribution of basic UNESCO texts like outcomes of International Conferences. The table below summarises this in relation to some of the main reports. The volume of publication is matched by an active and targeted distribution policy (see previous exhibit about CONSED). In some cases this is backed up by events, meetings and training courses. As a result the Brazilian government at State and Federal level often frame their activities in direct relationship to UNESCO policies. For example the School Scholarship programme (which subsidises families if their children stay on at school), is an initiative of the Brazilian Presidency which intentionally applies Dakar principles in linking educational opportunity to family income.

The table below illustrates a number of aspects of the Brasilia Office's dissemination strategy. These include:

- The high volume of publication of what are often seen as specialist texts.
- The use of partnerships in order to translate, print and distribute these publications. One partner may pay for translation and another take the lead in distribution.

- The distribution of these publications is often not confined to Brazil, copies may be made available elsewhere in Latin America when translated into Spanish and have also been distributed in Portuguese-speaking Africa.

Sample of International UNESCO Publications Translated and Published by UNESCO Brazil		
Title of Publication	Number of Copies Printed	Publishing Arrangements
Our Creative Diversity: Report of the World Commission on Culture	2,000	In partnership with commercial publisher and Ministry of Culture
Education for All: The Dakar Commitment	2,000	In partnership with the National Council of State Education Secretaries, Ford Foundation and Acao Educativa (NGO)
Cochabamba Declaration: Dakar Declaration in Latin America	7,000	In partnership with the National Council of State Education Secretaries, Ford Foundation and Acao Educativa (NGO)
Handbook for legislators on HIV/AIDS Law and Human Rights	4,000 (50% in Spanish and 50% in Portuguese)	Translated on behalf of UNAIDS and with their funding
Declaration of Hamburg: Agenda for the Future	10,000	Published in collaboration with National Institute for Higher Education and Acao Educativa (NGO)
The Delors report: Learning: The Treasure Within	5,000	In partnership with commercial publisher
Universal Declaration on the Human Genome Project and Human rights	3,000	UNESCO Brazil Publication

- *Selecting potential projects according to UNESCO programme and budget priorities C/5 and mid term objectives, C/4.* We have already noted the consistency between the projects of UNESCO in Brazil and the objectives and policies of the organisation. According to interviews in the office in Brasilia and the planning process as described by sector co-ordinators, this match is achieved by a screening process in which C/5 and C/4 priorities are used as part of the selection of projects. A similar procedure was described in relation to

potential research studies. There are, according to these sources, always many more potential projects than the office can accommodate. Similarly there is often a need to select between elements of projects that are included in a project document or loan agreement. According to our respondents in Brazil this selection is also guided by known UNESCO priorities. This process is discussed further below when the Planning Cycle is described.

- *Internationalising Brazilian initiatives once initial capacity has been created.* A feature of a number of programmes and activities that we looked at was the interest of those who had been supported by UNESCO Brazil in strengthening their international links. This could take the form of attending international, UNESCO-sponsored conferences, being keen to bring in international experts as advisors or to run workshops or, more strongly, to engage with the international community to extend the reach of Brazilian experience. In the latter category we would include the active participation of a co-ordinator from Brazil being actively engaged in framing the Cochabamba declaration (a declaration of the Ministers of Education of Latin America and the Caribbean countries to commit themselves to Education for All). This same categorisation would also cover the role of the newly established national water agency (ANA) which was established with considerable technical assistance from UNESCO, and which is now seeking wider contacts worldwide. Under IHP6 it will take on a capacity development role in Latin America and will contribute on behalf of Brazil to the World Water Assessment Report. It is also worth mentioning one partner of the Office, the Brazilian NGO *Comunidade Solidária*, which received a 2001 UNESCO Comenius Medal for its projects to fight poverty and social exclusion. The Office co-operates directly with this national movement involving university students who are committed to bring literacy to the poorest of the society. For some of the examples we have encountered, international links are sourced not through UNESCO regionally or through Paris, but through UNESCO Brazil personnel's own direct links and networks. This would for example be the case with Spanish architects from Barcelona coming to advise on cultural facilities and industries or the Coimbra group of old Universities in Europe agreeing to run a workshop on education and knowledge industries.
- *Engaging with international expertise – in particular through returning Brazilian expatriates.* Although we did not encounter many examples of this we did come across a number of instances when the recruitment of 'consultants' followed this model. This was so in the case of a prominent water management expert who had previously worked in the USA, in the case of another hydrologist who completed her PhD in Europe and was 'recruited' back to join a ProAgua consultancy team and a statistician who had recently completed her doctoral studies who was recruited to join consultants working on school performance and evaluation systems in the State of Pernambuco. We found no cases that involved the importation of international experts for medium to long-term posts.

The difficulties of non-Brazilians working in implementation and execution projects was frequently referred to by those interviewed. Linguistic skills were

most commonly cited as the source of such difficulties, together with the importance of understanding Brazil's institutional arrangements and history. However we have concluded that there could well be scope to further strengthen UNESCO's activities in Brazil by the occasional addition of Portuguese-speaking experts and consultants from outside the country. For this to happen it would be necessary for UNESCO Headquarters and other UNESCO national and cluster offices to maintain adequate and updated databases of available Portuguese-speaking international experts and consultants. We return to this subject in the conclusions to this chapter and the recommendations in the final chapter of this report.

- *Disseminating UNESCO experience worldwide.* It is natural for the Brazilian community to see the Portuguese-speaking world as a natural market for disseminating its products and know-how. We find examples of this in a number of the activities we have looked at, including publication and distribution of reports on HIV/AIDS to Portuguese-speaking African countries and a UNAIDS handbook for legislators; and good practice guidelines on monitoring and evaluating youth/AIDS projects. We have been struck how this potential for dissemination and application is not taken up more vigorously by sectors in UNESCO HQ and we will return to this subject in the conclusions to this section.

2.4 Interactions between the Office and Headquarters

As part of this evaluation various members of the Secretariat at Headquarters from Programme Sectors (particularly the Education Sector), and from Central Services were interviewed. The main issues explored were past co-operation with UNESCO Brazil and on-going work relationships. The same questions were asked of the staff in Brasilia about their experience of working with Headquarters Central Services staff and Programme Specialists. Overall, both parties expressed frustration and disappointment. There was an acknowledged lack of understanding and communication. UNESCO Brasilia felt isolated and even marginalized by Headquarters, whilst Headquarters felt frustrated at not having a framework to understand Brazilian activities and dynamics. There are significant exceptions to this largely negative picture. For example, we encountered both in Brazil and in Paris people in the fields of hydrology and culture who had developed excellent working relationships. It should also be noted that poor communication in some sectors could be attributed to unfilled specialist posts or transitional status of some divisions and sectors in Headquarters, which presumably will be remedied once these posts are filled and once the new ADGs and Directors are fully established.

The current modes of operation in the Brasilia Office can be traced back some ten years. As we understand it, the then Director requested clarification of procedures from Central Services in Headquarters, especially regarding administrative and financial matters. The pattern of activities in Brazil from this time onwards continued to diverge from routine practice in UNESCO. Existing rules and

procedures often offered no real guidance and despite continued requests for clarification little advice or suggestions have been made to the Office about adapting UNESCO procedures to the large-scale, self-benefiting realities of UNESCO Brazil. As a consequence and with the approval of the then Director-General, the Office developed a number of procedures of its own which can be considered innovative in the UNESCO context. This was already recognised and highlighted by the External Auditor who recommended in his report covering the 1994-1995 biennium:

‘The challenge for an organization that operates on a global scale is to balance effective programme implementation with the need for essential controls which ensure probity and accountability.

Our audit recognises that new realities may (or will) call for UNESCO to establish innovative ways of delivering programmes in the areas of its competence.’

These difficulties in applying routine UNESCO administrative and financial procedures in the UNESCO Brazil context have been raised repeatedly over the years. (As part of this evaluation, a considerable volume of e-mails and communications on these issues have been examined.) On occasions different Central Services have organised missions to Brazil to better understand current realities. However, the outcome of these missions does not appear to have been satisfactory, since recent audit reports continue to highlight discrepancies between UNESCO’s organisational expectations and what is administrative and financial practice in Brazil.

This evaluation has not sought to address issues of audit and conformance to current UNESCO procedure, which has been addressed separately by the External Auditors and IOS. However, we would wish to distinguish between two separate issues which are not always treated separately. First, any organisation such as UNESCO must require that its procedures and routines are adhered to and followed with consistency. Second, it is important that procedures and routines put in place are well matched to the circumstances within which they are to be applied. This evaluation has concluded that there continues to be a need to review current procedures particularly in relation to administrative and financial matters so that they are more consistent with the requirements of a customer-driven and responsive agency with a high implementation profile.

We also observed a general lack of communication between the Brasilia Office and Paris with regard to technical and substantive matters. However, this is not of the same order as the situation with regard to administrative support. It would appear that Sectors take very little account of what happens in Brazil and there is very little ownership from the Sectors regarding activities that fall within their remit. There is nonetheless evidence of considerable traffic between Brasilia and Headquarters, mainly consisting of requests from the Brasilia Office for inputs, comments and assistance.

One explanation of the current situation is that for many years, communication between Field Offices and Headquarters was directly between the Director-General and the Director of the Office concerned. This was also true for the Brasilia Office. The Secretariat, which was excluded from the communications loop at the time, has not found it easy to remedy that situation. Furthermore, the scale, complexity and unprecedented nature of the activities taking place in UNESCO Brazil have proved difficult to understand from Headquarters perspective. Headquarters has lacked a framework or key that would allow it to interpret material sent by the Brasilia Office and distinguish, for example, between high and low-priority requests for input and support.

A general atmosphere of uncertainty and distrust has built up between Headquarters and UNESCO's Office in Brasilia. From our understanding, whilst this has been strongest in relation to concerns about administrative and financial procedures, it has spilled over into technical and sectoral areas of substance. The words used by the directors and programme specialists we interviewed at Headquarters were very explicit:

'Why is UNESCO Brasilia so different from the other Field Offices?'
'There is something strange about the Office, it is better to not reply to them.'

This strained communication created a symmetrical reaction from personnel in Brasilia who note that:

'Headquarters mistrusts the Office'
'Communication efforts are one-sided'
'We make a lot of efforts to produce documents which are not read by Headquarters.'

This vicious circle provokes Headquarters to see themselves as inundated with information on projects which they do not fully understand and are not entirely convinced of the accuracy of the information provided. For their part, the Brasilia Office feels it has encountered a wall of silence. Consistent with this feeling, project officers in Brasilia appeared to regard this evaluation as an opportunity to present their projects and views to third parties who might carry the message back to Headquarters.

At the same time there are understandable doubts in Headquarters as to the appropriate input that they might make. It is recognised, for example, that projects in Brazil are closely tied up with the priorities of Brazilian counterparts. These uncertainties are exacerbated by two kinds of problems. First, there are linguistic difficulties given the limited coverage of Portuguese in Headquarters and the limited linguistic abilities in French and English in the Brasilia Office. (See discussion of Office Capacity below.) Second, there are problems linked with the lack of human resources in some divisions in Headquarters to properly study and analyse the quantity of information produced by such a large Office. There are some exceptions to this generally negative picture, but we remain confident that

this picture would hold true in most interactions between the Brasilia Office and Headquarters and would be recognised by many of the stakeholders involved.

Since the beginning of this year with the implementation of the new Decentralization Reforms, some improvements have already occurred. For example, the Bureau for Field Co-ordination has assigned one of its number to monitor and follow-up all exchanges between the Office and Headquarters, including following up this evaluation exercise. Moreover, the decision was taken recently to reinforce this system by recruiting a person who will be entirely dedicated to this task. This post will be paid by the overheads generated by the Brasilia Office. Another example is the UNESCO / OECD joint mission on early childhood in Brazil which took place at the beginning of August. One of the results of this mission led by one Paris programme specialist is the plan for an integrated partnership with international agencies and Brazilian authorities and NGOs to develop a National policy for early childhood. The Office would play a key role in the further development.

In addition, following recent discussions that occurred when the Director of the UNESCO Office in Brazil visited Paris in June 2001, new agreements have been made regarding backstopping and response times when information and queries are sent to Headquarters from Brasilia. It is now widely recognised that an opportunity exists to substantially improve communication between the Brasilia Office and Headquarters within the spirit of the Decentralization Reforms.

2.5 Conclusions

This chapter has considered the extent to which the activities undertaken by the Brasilia Office are well-integrated into, and in line with UNESCO's global priorities and activities. It has demonstrated that:

- The activities of UNESCO in Brazil correspond closely to the programmes and priorities of UNESCO as laid out in the organisation's current policy documents.
- This matching process has been achieved retrospectively by the Brasilia Office seeking to develop lines of action, in each of the programme areas, for programmes and priorities as laid out in C/4 and C/5 documentation.
- The Brasilia Office's *modus operandi* ensures that UNESCO's international know-how and mandate are expressed in activities undertaken in Brazil. UNESCO reports are actively disseminated throughout Brazilian policy circles and international links are encouraged.
- Interactions between the Office and Headquarters have been problematic in the past. In particular administrative and financial backstopping has either not

occurred or there have been long delays in response from Headquarters. This can mainly be understood in terms of the differences between work undertaken in Brazil and most other parts of UNESCO. The report has noted the importance of reviewing current procedures in relation to administrative and financial matters so that they are more consistent with the requirements of a customer-driven and responsive implementation agency.

- Greater awareness of the activities of UNESCO's office in Brazil within Headquarter's Sectors could have considerable benefits for the organisation as a whole, adding weight to the current profile of activities and offering new opportunities for the dissemination of lessons learned.
- Recommendations and plans to improve the current situation have been noted. We have concluded that this needs to be kept under review and further work will be needed to strengthen more informed communication between Headquarters and the Brasilia Office. (Proposals for a Country Plan developed in Brazil and approved by Headquarters - see following chapter - is intended as one contribution in this regard.)

Despite the positive conclusions we have reached regarding the matching of Brazil Office activities with UNESCO's programme and priorities, we continue to be aware that this is a retrospective process (as already noted) rather than integrated into UNESCO planning cycles. Furthermore, greater awareness of the activities of the Brazil Office within the sectors at Headquarters could have considerable benefits for UNESCO as a whole, adding weight to the current profile of activities and offering new opportunities for the dissemination of lessons learned. These proposals are taken up elsewhere in this report.

CHAPTER 3: CAPACITY AND PLANNING IN THE BRASILIA OFFICE

3.1 Introduction

This chapter considers in greater detail the way that the Brasilia Office of UNESCO has developed its resources and systems. In particular it considers:

- The adequacy of staff capacities to deliver the work of the Office;
- management and planning capacities;
- the project cycle from initiation through to implementation, monitoring and dissemination.

The overall question being addressed in this chapter is the adequacy of current modes of planning, organisation and delivery and in what ways these need to be further strengthened.

3.2 Capacity of the Brazil Office

A key question that is raised by the high profile and diversity of the activities of the Brazil Office of UNESCO is its capacity to deliver. We have not undertaken an exhaustive organisational assessment but we have been able to reach a broadly positive conclusion on the basis of:

- a review of the personnel files of the programme co-ordinators in Brasilia and the matching of their capacities vis-à-vis the project requirements;
- interviews and participant observation both in Brasilia and in two antennae (in Rio de Janeiro and Recife);
- an analysis of the planning and management processes in place across all sectors;
- the views and judgements of counterparts and partners.

This material is summarised below:

3.2.1 Staff Capacities

The Office has been successful in attracting highly qualified and well-respected experts and programme staff. We include in these categories individuals who work in the Brasilia Office on a permanent basis and project personnel employed for specific assignments and teams on a time-bound basis. As formal indicators of qualification we have used educational qualifications, previous employment and membership of professional societies and networks.

Our initial impressions were confirmed by discussions with UNESCO partners who consistently commented on the technical knowledge of UNESCO staff. We also observed when visiting Ministries and Agencies that UNESCO staff and in particular programme co-ordinators were well known and respected.

Recruitment of staff seems not to be a problem and there is always a flow of impressive candidates Curriculum Vitae arriving in the office. We also observed that there are a number of volunteers who have worked as interns in administrative support roles who are of a very high standard academically and committed to careers in UNESCO's areas of competence.

We paid specific attention to the profiles of the programme co-ordinators and found their academic, professional and prior employment standards to be uniformly high. Furthermore their profiles matched the responsibilities of their work: conservation and architecture for monuments and urban patrimony; education and pedagogy for education; social work and social development for mobilisation and community outreach work, and environmental management for water management.

We have, nonetheless, identified two areas of possible improvement. First, whilst linguistic abilities are good for about one thirds of the co-ordinators, only about 50% of co-ordinators are currently fluent in English and French. We fully concur with the recommendations of a recent Human Resource management review mission to Brazil that opportunities for language training and education should be enhanced. As many staff already have a foundation in English and French the benefits of further training could be considerable and rapidly attained.

A second area of possible improvement concerns international experience. About half of the co-ordinators have had some international training and education – including postgraduate degrees, short courses and diplomas. However the exposure to international work experience, both with UNESCO or with the broader UN family is almost non-existent. We believe that opportunities for increasing these opportunities e.g. to take up short-term assignments, both in the region and in Headquarters, should be encouraged – this would also enhance further improvements in linguistic abilities.

3.2.2 Management and Planning Capacity

The volume and complexity of activities undertaken in the Brazil Office of UNESCO and its antennae suggest the need for a high level of management and planning. It should be emphasised that we have not attempted to review administrative, human resource or financial activities which, during the period of this initial evaluation, were themselves subject to separate review (see report conducted by HRM) and audit scrutiny. We have focused rather on technical aspects of UNESCO Brazil's work: on projects and programme activities. In order to be able to make a judgement on this we:

- reviewed the Project Documents and (where appropriate) loan agreements that describe projects and UNESCO's responsibilities, in particular in relation to ProAgua (Water Management), INSS (strengthening the national Social Security System) and AIDS II (a World bank funded project within which UNESCO has major execution responsibilities);
- prepared an evaluation instrument – that asked specific questions on planning and monitoring; methods in use; methods for monitoring success and quality; and the involvement and links of sectors with UNESCO more widely;
- held two meetings with all project co-ordinators to introduce the evaluation and discuss key issues;
- analysed information from all Sectors collected through the evaluation instrument described above.

Our conclusions can be summarised as follows:

- Sectors appear to be well-organised and co-ordinated. There are weekly cross-sector co-ordination meetings as well as meetings within sectors. However communication within sectors appears to be more informal and continuous as would be expected in small co-located teams.
- There appear to be clear divisions of responsibility between project staff and among sector co-ordinators. There is also an appropriate degree of flexibility and co-operation between colleagues - which is necessary, given the transversal nature of many activities. For example, AIDS-related activities are located in Social Sciences as well as in Education.
- The Director of the office is mainly involved in initiating new activities and in maintaining strategic relations with partners and the Brazilian government including State authorities. He also takes a keen interest in developing the general image of the Office (press communications), the identification of key experts and potential staff and in the strategic use of research to support UNESCO's mission and mandate. Most day-to-day activities are run by project and sector co-ordinators, although the Director is seen as a resource to be drawn on when difficulties or unexpected situations arise.
- Documentation of meetings, discussions and the implementation of programme activities appear adequate and records can be retrieved with relative ease. The project officers and the Director intensively use electronic mail to interact rapidly and efficiently. For the management of project financial and administrative information, the office uses a tailor-made system called SICOF. Although this appears efficient for its main purposes, we are not fully confident that the IT systems currently in place are adequate

for managing the full range of programme activities in the Office at the current level of intensity.

- Project and programme activities in the Office are of four types:
 1. Planned activities, that usually follow plans laid out in Project Documents.
 2. Routine tasks, including regular liaison and ongoing advice to Ministries and what might be described as ‘ongoing policy dialogues’.
 3. Responding to requests for information. Policy makers habitually call on UNESCO staff they know when queries are raised with them or when problems arise.
 4. Advocacy, including press relations and speeches to different kinds of audiences (conferences, seminars, inauguration, etc.).

There is a degree of flexibility in many of the areas in which UNESCO works, making it difficult on occasions to stick to pre-determined plans.

- Project plans are generally laid out in Project Documents (ProDocs), which specify objectives, milestones, outputs and resources available. There is no similar level of planning at sector or cross-sector level. As suggested below this area could be strengthened in future to cope with the expansion of the Offices activities.
- These same project documents, which often include indicators of success, are also used to monitor progress and successful implementation. For example, the INSS (Social Security) agreement includes indicators on reducing client waiting times, improving access and reach (e.g. by implementing mobile outreach facilities and telephone helplines) and has been supplemented by surveys of client satisfaction.
- However a major issue for both project management and monitoring is the high level of interdependence between the activities of UNESCO and other partners, especially in the Ministries. For example in the case of INSS, various civil servants and subcontractors are responsible for most of the actual implementation of the new systems and in the case of Monumenta (a national programme of sustainable conservation) UNESCO is dependent on the technical resources of the State body responsible. Inter-organisational management is more complex and less predictable in Brazil, as it is elsewhere.
- Antennae are small compared to the Brasilia office: they range between 5 (Mato Grosso and Pernambuco) and 10 (Rio de Janeiro). They are directly related to projects implemented at State level. They have a more limited role, as all contractual activities and financial and other administration is undertaken in Brasilia. However we would also wish to comment on the effective way these antennae appear to operate. The co-ordinators of

antennae are hands-on experts with a long track record of work in UNESCO's key areas of culture and education. Their colleagues are enthusiastic and dedicated.

- There is an evidently high level of commitment of staff at all levels in the Brasilia office and in the two antennae we visited. In addition to their evident enthusiasm, staff regularly put in long hours and are willing to work evenings and weekends when the need arises.

There are a number of areas requiring improvement that should be considered to enable the Brasilia Office to cope with the volume and complexity of work. The two most important areas concern the need for a 'country plan' and of the introduction of basic planning systems at project, programme and sector level.

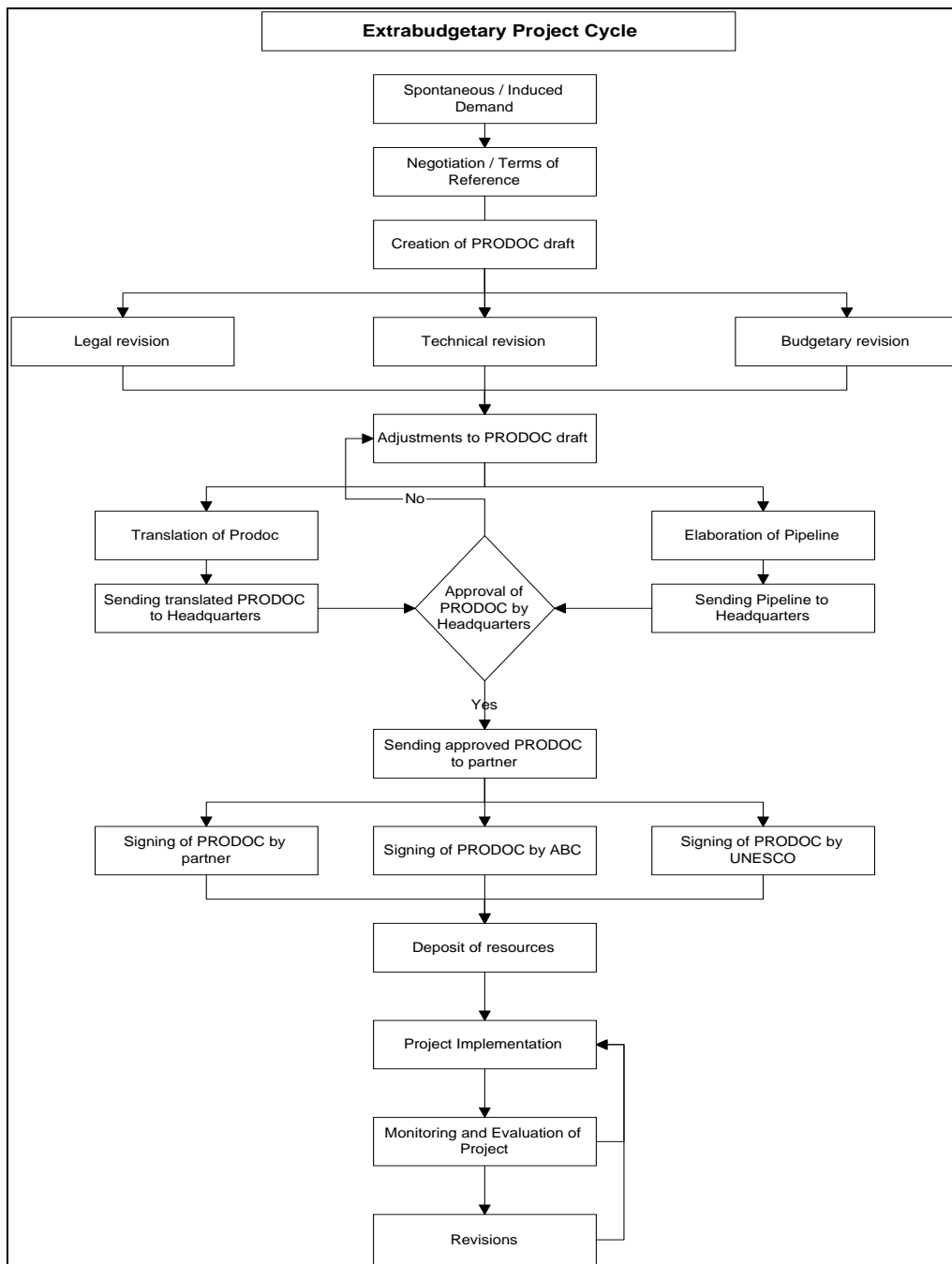
3.3 Project and Programme Planning

3.3 Project Cycle Management

The process of planning, developing and implementing projects in the Brazil Office of UNESCO is well developed and explicit. There are a number of stages which are represented in the two attached diagrams. The first provides the skeleton of the development of a Project Document and the second goes into greater detail in relation to both planning and implementation.

In narrative terms, the project cycle can be described as follows:

- Projects may be initiated in a number of ways. They may arise from: on-going policy dialogue between the UNESCO Brazil Director or Co-ordinators with Ministries and other agencies; approaches from Ministries in relation to loan agreements in which it has been suggested by the lending organisation (IDB, World Bank) that UNESCO should be involved; approaches made to the Office directly by Public Agencies, NGOs, or other institutions; follow-up to research studies undertaken or sponsored by UNESCO Brazil; and follow-on from existing activities in Projects, e.g. the suggestion to follow AIDS I with AIDS II.
- We have been told that the number of projects which could, potentially, be initiated in the above way greatly exceeds the capacity of the Office to undertake this work. For this reason there is an extensive process of vetting and review of early stage proposals in order to assess what priority should be attached to them. The main criterion applied at this stage is the consistency of the proposals with the priorities and regular programmes of UNESCO. Detailed discussions take place in the Office, usually involving both the Director and Programme and Sector Co-ordinators, to assess project opportunities in terms of UNESCO priorities. Additional criteria that would be applied at this stage in the selection process are the links between



proposed activities and existing activities and the likely capacity of the Office to deliver the proposed project activity.

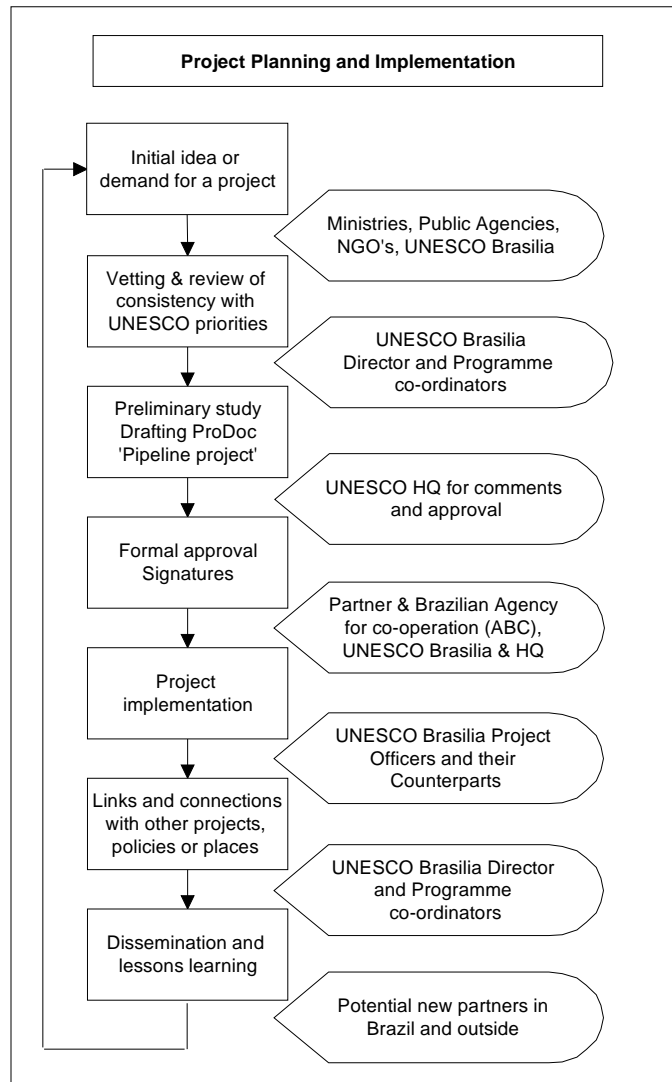
- In some circumstances a preliminary study is undertaken at the 'pipeline stage' in order to further specify the content of the project and the Project Document. This would usually take the form of a preparatory technical assistance agreement to fund this activity. (It should be noted that UNESCO Brazil's role in technical assistance may extend to preparing or providing inputs to PRODOCS, even where the scope of the project concerned is much wider than the activities undertaken by UNESCO Brazil alone). In

other circumstances preparatory work is directed to drafting a PRODOC. It is following the initial decision in principle to proceed with the preparation of a new project that details are sent to Headquarters in Paris in order to receive comments and approval to proceed. Such letters will usually be sent to the ADG of the sectors concerned, BFC/DIR, ADG/ODG, ERC/XBF and BB/DIR.

- PRODOCS, once approved by Headquarters, will either be signed by the Director of the UNESCO Brazil Office where the agreement is between the Brazilian Government and UNESCO Brazil or will be signed by the relevant partner (e.g. a Ministry who might have a loan agreement with an international bank or fund for a project in which UNESCO has responsibility for some of the activities). At the same time all projects have to be signed by the ABC which is a department of the Ministry of Foreign Affairs. Finalised PRODOCS will also be sent to Paris for the record and to initiate administrative procedures such as the allocation of a budget code.
- Project implementation follows the objectives, timeline, and output plans as specified in the PRODOC. However, once a PRODOC has been signed, additional work is usually necessary to further specify the activities, planning and schedule for the projects. Such operational documents will be prepared on a regular basis throughout the life cycle of the project. Such projects (excluding short term preparatory projects which would not be subject to the same level of detailed planning) may vary in duration from approximately one to three years. At regular points in the evolution of a project, information as to its progress, will generally be sent to the relevant sectors in UNESCO Headquarters in Paris. Project planning, monitoring and management follows the specification as laid out in the relevant PRODOC. For example such documents will usually include the specifications of deliverables and outputs, a diary of main events and even indicators for monitoring purposes. In addition tripartite meetings take place on a six-monthly basis between UNESCO Brazil, the responsible Ministry and the Ministry of Foreign Affairs to review progress. It is interesting to note that such meetings take place not only where projects are funded by International Loan Agreements but also where they are funded by the Brazilian Government's own resources.
- Projects, as we have observed, within the Brazilian Office of UNESCO are rarely self-contained or isolated from other activities. One consequence of this is that there will be connections between different agreements, perhaps funded by different parts of the Brazilian public sector (e.g. different States) or under different loan agreements. Individual or linked projects may, themselves, in the course of implementation, generate new activities. For example, research activities may feed into campaigns of awareness raising or the organisation of conferences and seminars and the methodologies developed in one project (e.g. the distance learning and training approaches being implemented in INSS) may be developed further in other parts of the

public sector, consistent with the general drive towards decentralisation in Brazil.

- Even after the conclusion of a project, material from projects may continue to generate activities, in particular dissemination. For example, this may involve the distribution and dissemination of project outputs, not only in Brazil but also in other parts of the Portuguese-speaking world or, with translation into Spanish, to other parts of Latin America. Beyond dissemination there are also instances of the transfer of know-how, e.g. the distribution of tools and methods, to allow for similar projects to be undertaken in Latin America, Asia or Africa. For example, the external co-operation of the Brazilian Ministry of Foreign Affairs has taken an active role in distributing material from the AIDS II Project to Portuguese speaking countries in Africa. It has also been disseminating the Distance Education materials and technologies developed by a number of education projects throughout the Portuguese speaking world.



The above constitutes an idealised model of the project planning and implementation cycle which, as already indicated, is applied consistently to all projects that are not very short-term or small in size. By our observation the PRODOCS are usually of good quality enabling planning and implementation to proceed. However, this is not uniformly the case and we have identified at least one PRODOC (for AIDS II) which appears to be under-specified in important regards. However, in most cases, PRODOC level of specification is not of itself sufficient for Project planning and implementation. There is scope for strengthening project, programme and sector planning to cope with the growth in complexity and scale of the activities taking place in the UNESCO Office in Brazil. The implementation of such recommendations could be useful at the initiation of new projects and with the preparation of regular operational plans.

Another area of concern is the relative weakness of evaluation activities as an integrated part of the project cycle. The general issue of evaluation capacity and how it might be strengthened is discussed elsewhere in this report. At this point it is important to note that whilst monitoring is effective and research is generally undertaken to a high standard, evaluation is not currently one of the strengths of the Brazil Office of UNESCO. Project Cycle Management could be further strengthened if evaluation, both to provide feedback on implementation (formative evaluation) and evaluation to bring together lessons learned (ongoing and summative), could be included as an integrated part of the project cycle.

However, the main conclusion that we have drawn from our review of project planning and implementation confirms the need for closer working between the UNESCO Office in Brazil and Headquarters in Paris. This is the major weakness of the current system (see chapter 2 for further discussion on this issue). In the past the record of response from Head Office to comment and even, within reasonable time scales, to approve projects, has been poor. In many cases the office received no feedback or formal approval over extended time periods. Although, as this chapter has indicated, the resources and skills in UNESCO Brazil are considerable, there are a number of instances that we have identified where some useful additional inputs from Headquarters could have been made that would have further strengthened the projects. Even more important is the limited use that appears to be made of outputs from UNESCO Brazil by Headquarters. In important areas such as HIV/AIDS, UNESCO Brazil has generated project experience and outputs that could also be utilised by Headquarters as well as other parts of UNESCO worldwide.

New procedures and responsibilities have now been agreed to improve the liaison and response time in transactions between Headquarters and the Brazil Office. In the course of our discussions in Headquarters in Paris, as part of the field work for this initial evaluation, we were given every reason to believe that under these new arrangements there will now be a more active process of exchange, comment and approval. We would finally observe that one of the reasons behind Headquarters' difficulties in responding to the considerable volume of material emanating from UNESCO Brazil has been the lack of an overall picture of activities and priorities. In

this regard, the recommendation below that a UNESCO country plan should be prepared for Brazil by the Brasilia Office, in consultation with the Brazil Government and other relevant stakeholders, could also be helpful. Part of this recommendation would require discussion and approval of the country plan by Headquarters (e.g. BFC co-ordinating inputs from various sectors). This would also allow for prioritisation in Headquarters, i.e. clarification of which areas need to be responded to with urgency and where Headquarters' inputs and expertise are particularly relevant.

3.3.1 The benefits of a country plan for UNESCO Brazil

Planning at all levels other than the project level is intuitive, un-systematised and informal. Sectors will meet to discuss project co-ordination but the resulting plans are held in the heads of sector members. More significantly there is no overall map to prioritise the work of the office overall. This makes it difficult to fit sector or project work into a framework of priorities linked to a global office plan. We think it right that UNESCO Brazil should now prepare a global 'country plan' that combines in a single document the priorities of UNESCO as defined in its current programme and medium term priorities, the priorities of the Brazilian government and other relevant assessments and plans – including *inter alia* those of IDB, the World bank and the UN Common Country Assessment.

Such a plan, which should be regarded as a rolling plan, revised every two years but with a five year perspective, would in our view have a number of advantages: it would allow the Director and the Sector co-ordinators to fit together into one framework sets of loosely-coupled but interdependent activities and thereby facilitate cross-office co-ordination.

It would allow for UNESCO to conduct a series of consultations with the Brazilian government in the course of which the latter could express its priorities and the office would be better placed to anticipate demand and priority areas.

It would constitute a means of communicating to Headquarters how UNESCO Brazil fits within the global priorities of UNESCO, thus providing a better framework for backstopping and collaboration, including disseminating lessons learned.

We nonetheless recognise that within the broad strategic directions that such a country plan should incorporate, there must remain space for the emergence of new activities and indeed new sub-priorities, that will be the inevitable result of continuing 'policy dialogues' between UNESCO staff, the Brazilian government at Federal and State levels and other key agencies. Care should be taken in preparing a country plan to ensure that the necessary level of flexibility is retained.

3.3.2 The need for Basic Planning Systems

A second area where we would recommend strengthening concerns basic planning and co-ordination within the office. In our view it would be useful to introduce some basic common planning and co-ordination tools within the office at project, programme and sector levels. The current volume of work, the complexity of projects and the interconnection between projects are all reaching the stage where it will become increasingly difficult for staff to keep the current level of detailed information in their heads and to adequately anticipate bottlenecks, conflicting demands and scheduling problems. This is a common situation that occurs following a period of rapid growth – indeed we would describe the current state of the Brazilian Office of UNESCO as having undergone what is sometimes called growth transition. As is usual under these circumstances there is a time lag between the occurrence of growth and the adaptation and introduction of new systems. There is currently uneasiness in the office about the downside and burdens of further planning and management procedures. In particular there is understandable concern in a busy office that complex procedures should not detract from the urgent need to deliver and implement project activities in a timely fashion.

At the same time we recognise, as noted above, that a significant proportion of the activities of the office are difficult to predict and plan because of the interactive, day-to-day and 'on-demand' nature of much of the current workload. Any system that is introduced must recognise this aspect of the work process.

The implementation of a basic planning system will be easier to achieve within the context of a global country plan of the kind already recommended. We envisage a system in which projects, programmes and sector activities are themselves nested within a global office plan that is itself the expression of a country plan with priorities and main strategic directions specified.

In order to ensure that any system implemented is appropriate and seen as helpful by programme and sector co-ordinators and project staff, we think it important that a tailor made basic system be designed for the office by appropriate experts who would consult with office personnel and be familiar with the specific requirements of the kind of work undertaken in the Brazil office of UNESCO. It would also be important that any new system is appropriately integrated with existing systems such as SICOF, SISTER, FABS, as well as other existing tools such as the web-based diary system currently in use in the office.

Alongside the implementation of such a basic planning system we also envisage that there will be benefits of introducing a level of management training for all those at project officer level or above.

Finally it is important when introducing systems of this kind to keep them continuously under review and not to prematurely fix a system before it has been tested and piloted. Thus we would recommend that any system be piloted,

perhaps, in one program before being generally implemented and that probably the initial versions will be paper based, rather than in an I.T. form.

3.4 Conclusions

The evaluation has concluded that the Office is generally well managed and that planning is currently adequate for activities underway. However, following a period of rapid growth, there is a general need to strengthen and formalise some of the informal arrangements that work well at present. In particular this chapter has highlighted the following:

- The Brasilia Office of UNESCO is technically well staffed to undertake and deliver projects underway in Brazil. The Office has been successful in attracting highly-qualified and well-respected experts and programme staff.
- The Office is very responsive and able to quickly adapt itself to new demands or situations.
- Management arrangements appear to be well articulated at a project level. They are more informal at a sector and cross-project level. The Office faces particular difficulties because of the high level of interdependence between its activities and those of other partners, which makes predictability and planning more difficult.
- A review of the project planning cycle identifies a well-articulated process, based around project documents (the PRODOC). Several of the recommendations made in this chapter and elsewhere in this report are intended to strengthen the basic model, rather than to replace it.
- Two important improvements in planning systems are suggested: to strengthen basic planning systems especially at a cross-project, programme and sector level; and to introduce a Country Plan which could provide a general framework within which priorities could be assessed and co-ordination between interdependent activities strengthened.

CHAPTER 4: THE BRAZILIAN ‘MODEL’: ADDING VALUE THROUGH TECHNICAL CO-OPERATION

4.1 Introduction

A key objective of this part of Phase 1 of the evaluation was to understand how UNESCO Brazil adds value to the major projects and activities it undertakes. This chapter addresses this objective in a number of ways:

- by describing what the Brazilian Government sees and values in UNESCO’s contribution;
- by looking for the underlying explanations of the credibility of UNESCO as an organisation as understood by different stakeholders and partners;
- by assessing the kinds of technical assistance and capacity development inputs of UNESCO in relation to some of its major projects; and,
- by describing how the Brasilia Office of UNESCO uses research and evaluation strategically to promote policy dialogue and initiate and strengthen projects.

4.2 Brazilian Government Commitment to UNESCO

The cumulative effect of the high level of co-operation between the Brazilian State and UNESCO has been one of positive results at different levels. It has strengthened the overall co-operation between that Member State and UNESCO. It has also strongly influenced the policies and perspectives of a whole range of national counterparts at Federal and State level. For example:

- *Growing number of partners.* At the early stages demands for co-operation mainly came from the Federal Ministries of Education and Environment. They are now coming from different levels, from both Federal and State Ministers and Secretaries. For example, during our mission, the Governor of Sao Paulo State signed a new agreement with the Office for a large project of HIV/AIDS preventative education. Positive results from earlier co-operation at a Federal level have generated this new project at State level. The National Institute for Social Security (INSS) began its co-operation with UNESCO in order to improve the delivery and access of services to benefit recipients and those in need of support. The success of this co-operation led to a programme of staff training through distance education and the establishment of a virtual corporate university. There has been a similar multiplier effect, at State and Municipal levels - in particular, as well as with prominent Brazilian Foundations and NGOs.
- *High level strategic links.* The Office maintains direct and regular contacts with a number of influential Ministers, with a group of parliamentarians (see below), with a number of Secretaries in different States of the Federation

and with outstanding Brazilian personalities like the First Lady (wife of the President) and Ms Senna, chairperson of the Ayrton Senna Foundation. In the course of the evaluation, appreciation was expressed by top Brazilian officials for the current level of co-operation and technical assistance they receive from the Office. Letters have also been sent independently to the Director-General of UNESCO and the Director of the Office in Brasilia in support of current work and co-operation.

Indeed, we concluded that there was a certain amount of anxiety as to the possibility that UNESCO would back away from co-operation commitments made, on which the Brazilian Government has become reliant. For example, Mr J. Sarney, Minister of Environment, stated during an interview:

'We appreciate our collaboration with UNESCO office in Brazil and we would like to strengthen it. (...) We do not want interruption, it would be damaging.'

Mr F. Fontana, President of INSS, wrote to the Director-General, shortly after his appointment in May 2001, along similar lines:

'When briefed on the most important technical agreements, we, by that I mean the Brazilian Government, currently maintained with International Organizations, the one with UNESCO immediately caught my attention and I felt it needed to be emphasized. This technical co-operation agreement between UNESCO and the INSS entitled 'development of the Corporate Education Program and Improved Management of Services of the Brazilian Institute for Social Security' is of extreme importance for the Brazilian Government and citizens.'

- *Democratic support.* In recent years UNESCO has achieved a high profile in the House of Representatives and in the Senate. This has been especially so in the permanent commissions that concern UNESCO's institutional mandate, e.g. education, culture, communication, health, social security, and human rights. An opinion survey to assess UNESCO's image within the National Congress was conducted between May and July 2001 by a consultant. Twenty-six interviews (seven Senators and 19 Federal representatives) were carried out, of which 15 were of the government parties and 11 were of the opposition parties. A cross-party consensus emerged from this survey. This was summarised in the report as follows:

'The interchange between UNESCO's technicians and the congressmen is considered to be useful for the works of the House of Representatives and the Senate, in that experiences with social public policies in other countries are presented. (...) UNESCO is a legitimate organisation, with technical competency and public credibility required to perform the proactive role of informing and sensitising senators and federal

representatives towards the promotion of social development.’ (Report pp. 94-96)

Although the Office is engaged in implementing national policies in co-operation with those in government, UNESCO is perceived as a more broadly-based democratic partner by both government and opposition. This is because of its stance in defence of ethical values, its commitment to improving citizens’ living conditions and reinforcing the foundations of what is still a young democracy.

- *Intellectual support.* Mr E. Portella, president of the National Library and former chairperson of UNESCO General Conference, emphasised the role played by the Office in the country’s intellectual debates. To reinforce his statement, he invited a number of outstanding intellectuals to indicate how they assess the work carried out by UNESCO in Brazil. The formal response from a cross-section of Brazil’s leading academics and intellectuals emphasised the way the Office uses research and publications to disseminate, advocate and enrich debates with UNESCO’s ideals and principles. (See the section below on research.) This demonstrates the alliance the Office manages to maintain with sectors of the Brazilian public which are not directly linked with the policy circles.
- *Customer focus.* The Office adopts a beneficiary-driven approach with a strong customer focus. This is a strategic concept for the Office, which demands sensitivity to the priorities of stakeholders and counterparts and a more general sensitivity to the factors that drive the satisfaction of users and beneficiaries. These qualities are recognised by UNESCO’s partners in Brazil and the customer focus of the Brasilia Office, which is built into most of its implementation and technical assistance activities, helps build trust, confidence, and loyalty.

At the broadest level, the Brazilian Government’s co-operation with UNESCO follows directly from the 1988 Constitution with its emphasis on citizen’s rights, the provision of benefits and the delivery of effective public services.

4.3 The Credibility of UNESCO as an Organisation

One of the most common descriptions of UNESCO by stakeholders and partners is that it is a credible organization. Credibility comes partly from the positive view of all UN organizations within Brazil. They are seen to be independent, above politics, representative of high ethical standards and able to bring to the country state of the art international know-how. In the UNESCO case, however, credibility is based on more particular actions and attributes which, in our judgement, accounts for the relatively high status of UNESCO even when compared with other parts of the UN family.

First, UNESCO is seen as having recruited core staff and project personnel of high reputation. Thus the head of the Science and Environment sector in Brasilia is the previous President of the National Environment Institute and the head of the antenna (local) office in the State of Pernambuco has had a long career in research and education – having previously designed the national education evaluation system whilst working for the INEP (National Education Evaluation Institute) and previously for the Organization of American States. Consultants on the ProAgua programme include leading academics of international standing – e.g. Brazilian academics who have come back to the country from Europe and North America.

Second, UNESCO in Brazil has invested heavily in research. The Office's research capacity and outputs are discussed elsewhere in this report, but it is important to note that research is not only directed at current projects or the evaluation of the impact of past actions. Research is also pro-active, mobilizing funds from private and public sources to raise the profile of important issues such as violence and personal safety, women's rights, drug usage and the condition of young people in their school and community contexts. Such research leads to new projects and initiatives that may involve UNESCO (see case example of the Open School Programme) and may even lead to legislative change (as in the case of the rights of women to secure land tenure in rural areas).

Third, the Office is closely networked with other key institutions in Brazilian society especially the policy system at Federal and State level. Secretaries of State are met with regularly. UNESCO staff, and not only the Director of the Office, are engaged in a fairly continuous process of 'policy dialogue'. Ministers have a high regard for UNESCO as an organization. UNESCO is routinely called upon for policy and implementation advice and the Office is well placed because of its multiple connections and research base to anticipate needs and suggest solutions to problems presented. As a matter of fact, the Office created among the legislators (congressmen and senators) a group of UNESCO's friends and, more precisely, in order to reinforce the HIV/AIDS fight, it constituted also a league of supporting representatives. The ability to act as a catalyst, bringing together different partners to develop common objectives, is widely recognised. UNESCO's international position based on ethical values and free of vested interests, is essential to achieve this.

Fourth, and arguably most importantly, the Office is seen as delivery and implementation-focused. This focus combines management and administrative competence with substantive expertise and knowledge in core areas such as education, health, culture, etc. It has a track record of delivering effectively and as agreed in project documents and associated plans. This strong delivery orientation and customer focus is especially important in Brazil, given the problems already described of public sector inflexibility and the difficulties of reforming the public sector.

The consequences of this level of credibility are evident and constitute a ‘virtuous cycle’. For example when UNESCO announces that there will be a march against violence in a State capital the local banks pay for banners and thousands take to the streets ‘because UNESCO has credibility’. When we ask why the World Bank or IDB representatives specify UNESCO as an executing or implementing partner, it is because UNESCO is seen as a credible organisation. The section on Research and Evaluation also discusses how a ‘virtuous cycle’ follows from this level of credibility in which research, dissemination, policy development, project initiation, some project work also for UNESCO and subsequent evaluation and further dissemination all reinforce each other.

4.4 Technical Assistance and Capacity Development

The overwhelming majority of projects undertaken by UNESCO in Brazil come under the heading of technical assistance. This includes activities such as:

- Assembling project teams of experts on short-term contracts to undertake specific technical tasks.
- Helping create mechanisms and co-ordination arrangements i.e. new institutions and agencies at Federal and State level.
- Designing and initiating new public specialist services.
- Raising awareness in order to promote good practice in a particular public service delivery context.
- Introducing experts into existing teams within Ministries or State Secretaries Offices.
- Providing training and development opportunities for Government personnel.
- Creating partnership arrangements and networks that link Government, Universities and NGOs.
- Providing technical analysis and preparatory studies for new projects and loan agreements.
- Complementing the activities of other agencies (e.g. UNDCP) by providing educational inputs.
- Mobilising different international and national partners to fund projects.

These particular technical assistance activities are embedded in the wider process of policy dialogue, awareness-raising and dissemination. Together, these activities are seen by those we interviewed in Brazil as contributing to significant capacity development within the country.

To assess the way UNESCO Brasilia delivers its technical assistance, we focused on three major projects:

- Training, research and institutional support within the scope of AIDS II Programme;

- Development of a corporate education program and improvement of the management services of the Brazilian Institute for Social Security (INSS);
- Water management project PROAGUA Semi-Arid.

These three projects are presented below as short case studies. The material is based on an analysis of the relevant documentation (PRODOCS, Progress Reports, project outputs and results, etc.), meetings with the project officers in charge and interviews with key partners.

4.4.1 Case study 1: HIV/AIDS Project

The policy of UNESCO Brazil in the fight against AIDS

One of the major projects being undertaken by the UNESCO Office in Brazil is concerned with HIV/AIDS. As part of this initial evaluation of the activities of the UNESCO Office in Brazil, we have only been able to undertake a limited review of this major programme. This has involved:

- Reviewing policy documents prepared by the Brazilian government in the fight against HIV/AIDS.
- Reviewing project documents held in the UNESCO Office in Brazil in relation to the AIDS II Project for which UNESCO is responsible for project execution.
- Interviewing staff (co-ordinators) in the UNESCO Brasilia Office who are responsible for the AIDS II Project.
- Interviewing the National AIDS Co-ordinator and the Executive Secretary of the Ministry of Health.

Brazil's experience in the struggle against Sexually Transmitted Diseases (STDs) and AIDS has been praised as a success story in many international fora. Over the past twenty years, the Brazilian national response to HIV has brought together a highly diverse group of national and international bodies in a joint effort to contain and reverse the spread of the epidemic. It is generally agreed that the Brazilian strategy relies on three key principles: political leadership from the top starting with the President; heavy involvement of civic and community organisations which are essential for reaching the poor and helping them take the complicated regimen of drugs; cheap medicine to treat the patients as a result of national production and effective negotiation with international drug companies.

From 1996 onwards – as the result of a Presidential Decree – universal and free access to anti-retroviral drugs, paid for by the Brazilian Government and incurring no cost to the consumer, was guaranteed for the whole Brazilian population. This led to a significant decrease in the death rate from AIDS, a reduction in the economic impact, and a significant improvement in the quality of life of the population groups most affected, directly or indirectly, by the epidemic.

Brazil's national response is being led by the Ministry of Health. Its National STD/AIDS Co-ordinating Office has representatives working in all the 27 States of the Federation. It is responsible for assembling, financing and disseminating information about best practices, financing civil society projects, evaluating programmes and developing a broad strategy of partnerships in order to strengthen the impact of Federal government policy initiatives and that of the prevention message.

AIDS II Project

In part the Brazilian AIDS programme is financed with World Bank Loans. While UNDP was the executing agency associated to the first loan (AIDS I) covering the period 1994 – 1998, UNESCO has been selected to execute US\$50 million out of the second loan (AIDS II) which in total amounted US\$300 million and covers the period 1998 – 2002. The involvement of UNESCO in the AIDS II Project follows from a strong emphasis on health education and promotion in the project. UNESCO is seen as well placed to offer appropriate technical assistance in relation to training and education, public awareness raising and research, as well as a more general understanding of the technical and human rights implications of this kind of programme. The national counterparts highly value the innovative ideas, the quality and the speed of administration and the close co-operation relationship UNESCO Brazil has been able to build up. Pedro Chequer, the then National STD/AIDS Co-ordinator and current UNAIDS Intercountry Programme Advisor (Southern Cone), is very explicit:

"This partnership with UNESCO has been very productive in terms of building new ways, new approaches and when it comes to technically strengthening the project. UNESCO has not only been a partner in the management of the project, it has been a partner with a contribution, not only its political weight, but also bringing in contributions as the project needs it in a specific area. UNESCO also paid expenses that refers to the hiring of education professionals, working here with us all the time. UNESCO has not only been a partner in bureaucratic formalities, but it really shares with us the problems and difficulties so we can try, together, to forward solutions for the broadening of the project."

The co-operation agreement specifies three areas of action: training, research and institutional development.

During the year 2000, UNESCO has helped to secure positive results for the programme in a number of ways. It has made possible:

- the training of 210,000 teachers and a large number of social workers or community leaders;
- the training and the support of a help-line facility (Disque Saúde) operated by 144 students earning approximately \$300 per month each;

- the high level preparation of 4,256 health workers, 10 teams and 40 professionals to implement domestic therapies, 9,405 laboratories professionals; and,
- the holding of many seminars, workshops and conferences for experiences exchange.

UNESCO has also initiated and co-ordinated, i.e. designed, contracted, shared costs, published, etc., research studies which have been fundamental to understand the current trends in HIV/AIDS in Brazil. Such studies have covered new forms of risk behaviour, identification of new vulnerable groups and alternative prevention strategies. Specific research topics have included: Acceptability of the Female Condom; Antiretroviral HIV Resistance; STD/AIDS Behaviour and Practices Among Army Conscripts; HIV/AIDS and Human Rights; AIDS, Drugs and Violence in Brazilian Schools. Some of these researches have been linked with other projects UNESCO Brazil is developing. For example, HIV/AIDS has been related with themes such as violence, drugs and youth, such that HIV/AIDS education is included in the activities of the Open School Programme. In addition a large quantity of communication materials: leaflets, brochures, CD, videos, posters and technical manuals have also been produced with the technical support of UNESCO Brazil. To fulfil the institutional support objective, UNESCO has reinforced the National HIV/AIDS Co-ordinating team and has established co-operation agreements with 240 NGOs. Beyond, the formal set of activities jointly planned, UNESCO Brazil has also been very active in advocating the fight against AIDS in the media, among youngsters and with parliamentarians. For example:

- The project officers managed to convince the director of a popular soap-opera (15 millions viewers) to introduce preventive messages into the script. This simple action has had a tremendous impact in the press and for the population as a whole.
- UNESCO Brazil initiated a Parliamentary Group against AIDS in 2000 to foster debate on relevant legislation and support the HIV/AIDS preventative efforts.
- A Youth Group against AIDS was also created in 2000. It brings together young people from different parts of the country who are already active in AIDS prevention to contribute to wider civil society discussions. They are able to offer a youth point of view on AIDS prevention and related public policies.
- Because of its legitimacy and multiple contacts with the Ministry of Education, UNESCO is helping to integrate preventative education into the curriculum and to reinforce the support given to teachers who are often in the frontline of the fight against AIDS.

UNESCO chaired the UNAIDS Thematic Group in 1999 and 2000 and during this period, it managed to enlarge the group by including some important key partners like USAID, GTZ and national NGOs. The AIDS II project has provided an opportunity to work closely with other parts of the UN family, in particular with UNDCP, UNICEF, UNAIDS, WHO and USAID.

Outcomes and Results

The activities undertaken by the government, by civil society and by the co-operative international agencies have been responsible for the increasing awareness of the epidemic, for the development of a pronounced sense of co-responsibility. This has gained new allies over the years, and has contributed to a remarkable improvement recorded in the HIV figures for Brazil. (The total number of infected persons in 2000 is 50% below the predictions made by the UN.)

The social, humanitarian, epidemiological and economic consequences of AIDS in Brazil still represent enormous challenges. Nevertheless, the Brazilian experience effectively demonstrates that it is indeed possible to mitigate, both individually and collectively, the effects of the disease.

The documentary review and the interviews we carried out inside the office and with major stakeholders provided convergent information about the major contribution being made by the AIDS II Project, the quality of the programme and its importance for Brazil. We are confident that UNESCO Brazil has the appropriate capacity to support the efforts of Brazil's large scale national response to the AIDS epidemic. Nevertheless, it would be useful for the persons directly involved in the HIV/AIDS fight in Brazil and elsewhere in the world to learn more from this programme. We therefore recommend that a further mid-term evaluation be executed by the end of 2001, to be completed in the first quarter of 2002. This would both strengthen the Brazilian authorities in their negotiation for a third loan with the World Bank and support UNESCO as an organisation learning from and disseminating the results of the Brazil experience.

4.4.2 Case Study 2 : INSS (*Instituto Nacional do Seguro Social*) Project

Constitutional Reform and the Challenges of Social Security in Brazil

The concept of a State responsibility for social welfare - including health, social security and social assistance – is relatively recent in Brazil. It was only articulated in the 1988 Constitution and implementation has been slow. In line with the general political and philosophical intent of the 1988 constitution, social security is to be based on principles of wide coverage, ease of access by all those eligible and in need (irrespective of where they live), and a decentralised mode of delivery. The social security system as currently envisaged is contributions based: only those who have paid in to an 'insurance' fund whilst in employment are eligible to receive benefits.

Social security is firmly located within the Brazilian State's efforts to reform public services. INSS is part of State Reform Programme and has been designated (under an Intentions Protocol signed in June 1997) as an Executive Agency. These agencies will have responsibility to implement policies, with policy formulation and supervision remaining with Ministries. The new agencies of which INSS will be a

prominent example, are intended to be decentralised in both policy and administrative terms, less hierarchical, with participatory management, results orientated, and geared to the needs of citizens.

Studies conducted by the Administration Institute Foundation (University of Sao Paulo) in late 1997, highlighted a host of problems with social security services in Brazil. These included: poor understanding of INSS goals by its own staff, lack of a culture oriented to customers, over-centralisation, lack of quality and productivity indicators, inadequate Information Technology systems. Intended beneficiaries were generally uninformed about their rights to benefits and had a poor perception of the quality of services offered. Of the 4.8 million phone enquiries directed to Social Security Information Centres at the time, as many as 50% were not answered.

The UNESCO INSS Project

It is against this background that the technical co-operation agreement was signed between the Brazilian government and UNESCO for the: *Development of the Corporate Education Program and Improvement of INSS Management Services*. In the Project Document the purpose of the project is defined as:

To support INSS institutional development, improve the quality of its management through training of human resources and the improvement of services provided to those insured, thus contributing to the creation of a culture of respect for citizens rights.

An initial 'emergency cooperation agreement' was signed in 1998. This was very much a diagnostic and planning phase for a reform programme focused on human resource needs and problems with enquiry services (Service Centres). The main agreement runs for the two years 2001/2002 and includes the following main priorities (defined in the Project Document as 'immediate objectives, results and activities'):

- To develop management and delivery capacity in Social Welfare Offices. This is operationalised in terms of hiring consultants in institutional development, clarifying human resource needs and developing management tools to improve human resource training.
- To disseminate and implement a culture of citizens rights. This is operationalised in terms of reviewing current work practices, producing new educational materials, organising seminars and workshops with staff and creating feedback mechanisms for service users.
- To train human resources to a high quality respecting citizens rights. This is operationalised in terms of implementing a programme of corporate education, structuring a team to plan and execute this programme,

selecting and hiring human resource consultants, running training seminars and evaluating education the programmes effectiveness.

- To adapt a new infrastructure consistent with the service needs of the INSS. This is operationalised in terms of technical specification of infrastructure, physical delivery arrangements in local offices and service centres, an anti-fraud office, network technologies and on-line services.
- To create a systematic evaluation system for the programme. This is operationalised in terms of hiring evaluation specialists, creating a system based on results and impacts achieved, identifying criteria and indicators and creating a team to implement and disseminate evaluation findings.

A culture that respects citizen rights

The current INSS project runs for the two years 2001/2002 and focuses on themes such as access, citizens rights, organisational reform and professional development. The early stages of the project have sought to address the urgent needs identified in research studies including UNESCO's own diagnostic studies, to make the system more responsive, accessible and orientated to deliver what citizens have a right to expect. The project had to bridge critical gaps in the delivery of services and at the same time remedy well-documented failings in institutional management and IT systems and networks.

The activities anticipated in the Project Document and summarised above fall into a number of categories:

- Locating and recruiting consultants.
- Locating and appointing subcontractors.
- Organising and delivering training and awareness raising events.
- Running workshops with INSS executive managers and consultants.
- Publishing materials on training and distance education.

UNESCO's own role is:

- managerial and co-ordinating - e.g. appointing appropriate consultants and subcontractors and maintaining an overview of the entire reform/institutional development process.,
- strategic and advisory - e.g. structuring teams, co-designing programmes (especially of education and training) and shaping ideas and philosophies of institutional development.

To date consultants have been appointed to plan and subcontractors have been appointed to implement new IT systems. For a period this can involve a significant numbers of personnel appearing on the books of UNESCO Brazil: as many as 546 personnel were appointed in 5 States of Brazil by the public computing agency selected in order to speed up response to customer enquiries.

The core activity for UNESCO within the current programme has been to deliver corporate education (also known as 'education without distance'). This took its inspiration from the design and approach of the UK Open University. It is expected that the majority of INSS's 40,000 staff will be involved in what is now being defined as a 'corporate university' able to support a learning community that promotes self-directed learning and continuous professional development among agency staff. This enterprise brings together in new ways a number of partners: including civil servants (Ministry of Planning), computer service companies and training providers. State of the art systems are being deployed. For example web-based learning systems are delivered to the far reaches of Brazil via satellite.

One of the acknowledged results of UNESCO's role is a broadly based concern for access and responsiveness to citizens. This is expressed through service centres, IT based information provision to citizens and the procedures in place in INSS offices. It has also led to other innovations such as the deployment of 73 mobile offices which visit isolated communities and 4 river boats which deliver services to claimants along the Amazon river.

From the point of view of the Ministry of Planning (Programme for the Reform of the State) the INSS reforms are seen as a pilot for the wider reforms of the civil service. This is not only in relation to the creation of Executive Agencies but also in relation to the precise mechanisms being developed for INSS. Thus the 'corporate university' concept is seen as a model for other agencies across the public sector, that will require staff re-training, decentralisation and a refocus on citizen/customer needs.

Outcomes and Results

As noted above evaluation is one of the key priorities identified in the Project Document for the INSS technical co-operation agreement. It is still early to be talking about results but the process of monitoring is beginning to identify areas of progress. Monitoring occurs in a number of ways:

Annual tripartite reviews involving INSS, the ABC (department of the ministry of foreign affairs) and UNESCO are required in the agreement between UNESCO and the Brazilian government. Regular feedback meetings are held by UNESCO with INSS managers to ensure there is continuous learning. Indicators of progress have also been identified: e.g. time lags for responding to clients etc. There are plans for more systematic evaluation to be undertaken by external experts.

However there is already some evidence of progress in implementing new systems and transforming the culture of the INSS. The most striking one is the result of a satisfaction survey: in 1997, only 25% of the end-users of INSS services were satisfied with the services provided by INSS, in 2001, they are 75%. This reflects the radical change in the way the INSS consider and serve its publics.

4.4.3 Case Study 3 : ProAgua (Semi-Arid) Project

Water Management Policy in Brazil

Brazil is a country rich in water resources, but water management has become a crucial issue over the last years. In 1997, Congress adopted a law for a National Policy for Water Resources Management. Almost simultaneously, the Brazilian Government set up a multi-year plan called *Brazil in Action* including 42 strategic projects for the sustainable development of the country. One of them, called *ProAgua - Semi-Arid*. This aims, over a period of five years, at structuring and institutionally reinforcing all the actors involved in the management of water resources in the Semi-Arid region, including eight North-eastern States and the North of the States of Minas Gerais and Espirito Santo.

This region, the poorest of the country, suffers harsh climate conditions, low education and low-income. The Federal Government, through the Ministry of Environment and the Ministry of National Integration, intends through this project to establish operational mechanisms at Federal, State, Municipal and local levels to manage water resources. It consists of an innovative philosophy of access to water and the development of capacities to manage water with a number of consequences for agriculture, the improvement of the regional economy and the creation of new rural jobs. Beyond its immediate purpose, it deals also with poverty reduction, combats desertification and preserves biodiversity.

ProAgua Semi-Arid general objective is to increase the provision of good quality water to the population in order to foster sustainable development. It has three specific objectives :

- to promote a rational use of hydrological resources with an emphasis on participative management;
- to provide reliably fresh water to the population of the region, starting with low-income families living in rural areas (1,300,000 persons); and
- to establish, in a sustainable way, operational and administrative procedures for delivering water.

The project, financed partly by a World Bank loan amounting to \$330 million, has five major components:

1. Water Resources Management - \$53.1 million
2. Infrastructure Investments - \$212 million
3. Studies and project design - \$41.6 million
4. São Francisco Watershed - \$8.6 million
5. Management, Monitoring and Evaluation - \$14.7 million

UNESCO involvement in ProAgua Semi-Arid

Since the creation of the Ministry of Environment in 1993, UNESCO Brazil has provided support and technical assistance to one of the five Secretariats, the Secretariat of Hydrological Resources. The reputation of the International Hydrological Programme as well as the past experience of the programme coordinator in a national institution related to natural resources management were among the reasons that UNESCO was identified as a relevant partner. Moreover, UNESCO's approach to water management as a human right, including issues usually neglected by engineers, such as the gender and public health / poverty reduction, fits perfectly with the intentions of the 1988 Constitution to introduce innovative philosophies of water access and use.

The Government of Brazil signed five co-operation agreements with UNESCO amounting to \$14.3 million in order to implement parts of the first component (Water Resources Management) dealing with policy design and institutional capacity building. It's worth noting that civil engineering works fall under components 2 and 4 and do not fall under the responsibility of UNESCO as it lies outside the organisation's mandate. The UNESCO regional adviser for hydrology based in Montevideo was associated with the formulation of the co-operation agreements at an early stage.

- The first agreement, signed in 1998, was a preparatory assistance to the institutional design of the project. The objective was to find ways to translate the law on water into action. One of the recommendations of this work has been the creation of the National Water Agency (see below).
- The second agreement relates to the organisation in Brazil of an international conference, in November 1999, on Desertification and Dry Regions. Included in the Man and the Biosphere Programme, it has been an opportunity for Headquarters programme specialist to closely collaborate with the Office.
- The third agreement, financed by a Japanese grant, was the design and preparation phase of a larger project (\$40 million) aimed at the management of the Basin Paraíba do Sul. It included an environmental impact assessment and was carried out in 1999-2000.
- The fourth agreement, currently ongoing, covers the creation and strengthening of temporary Project Management Units (UGP) : the ANA-Management-UGP, responsible for the co-ordination and management of "Water Resource Management", "Studies and Project Design" and "São Francisco Watershed" components (points 1, 3 and 4 of the previous list) and the Works-UGP, responsible for co-ordination and management of the "Infrastructure Investments" component (point 2 of the previous list). Further decentralization is achieved through State level management Units (UEGPs), created under the initiative of the Ministries of Environments and of National Integration.

- The fifth agreement that just ended was to support and assist the Federal Secretariat of Hydrological Resources and the National Water Agency. It included the preliminary design of a National ProAgua Project, i.e. a project for the entire country which follows the principles and approaches developed experimentally in the Semi-Arid region.

Outcomes and Results

The first achievement of UNESCO's contribution in the project is the institutional organisation of water management for Brazil for which the framework and the reference of the International Hydrological Programme has been essential. The visible output is the creation in 2000 of the National Water Agency (ANA), the entity responsible for the implementation of the 1997 Federal law on Water. Inspired by a French example, the law and the agency deal with quantity and quality of water and makes of it a key issue for the development, especially for the Semi-Arid region. The size and the Federal nature of the country greatly increased the complexity of institutional design for this new regulatory agency. Its launch has been a significant achievement. It will greatly contribute to solving two important problems of the country : prolonged drought, in particular in the North-East region for which it is not just a question of increasing the water supply, but also of managing the demand including rationing; and river pollution, especially when the affected hydrological basin covers more than one State. We were told by the Minister of Environment that ANA - which is under his supervision - is now very well placed to be a strong Brazilian partner of UNESCO and other international fora that concern water management development.

The second achievement which is still underway, is the managerial dimension of the large and complex ProAgua Semi-Arid project. The Brasilia Office recruits the project personnel necessary at the national level and ensures the overall technical, administrative and financial management as stated in the ProDoc. This support provided by UNESCO makes possible a series of actions co-ordinated by the Management Units. These include legal and economic mechanisms for concessions, the establishment of local committees for participative water management, the conception and dissemination of educational and communication materials and the training of human resources at different levels. The complexity of the system settled has led to a slow, step by step, implementation process.

The project co-ordinators in the Brasilia Office maintain an observatory of public water policies as they are developed and implemented by the Federal government, States and Municipalities as well as in other countries. This allows them to be up to date when advising Brazilian decision-makers or when they are involved in the design of new projects or ideas. Their participation in a number of workshops or seminars, as well as in the preparation of publications positions staff of the Brasilia Office at the forefront of debates about water management in Brazil.

4.5 The Strategic Use of Research and Evaluation

UNESCO Brazil undertakes both research and evaluation activities and publishes and disseminates this work widely. Overall we have concluded that the research profile is strong and is a distinctive feature of the UNESCO Brazil model. Evaluation is less well developed and an area we believe needs to be strengthened.

4.5.1 Research Profile

Research is a prominent part of UNESCO Brazil activities. Research may be undertaken:

- Directly by UNESCO Brazil drawing on a core research staff backed up by a team of recent postgraduates and PhDs.
- By NGOs or universities; UNESCO's role in such research projects includes project design, fund raising, training in quantitative and qualitative methods, compiling drafts and publishing.
- In teams that combine the above e.g. some personnel contracted to UNESCO together with independent researchers and/or other research institutes.

In the last four years (1997-2001) UNESCO Brazil has issued 24 separate publications distributed as follows between the main sectors of activity.

Research Publications 1997-2001¹	
Sector/Areas of Activity	Total Published Items
Education	4
Science and Environment	4
Communication	1
Social Science and Development	14
HIV/AIDS	1

Brazil is currently very receptive to studies that relate to pressing social issues. We noted that newspapers and other media frequently give prominence to reports of

¹ A full list of UNESCO Brazil publications including research and evaluation is annexed to this report (Annex 6).

study findings. According to interviews conducted in Brasilia, research is undertaken for a number of reasons:

- to exercise leverage on key issues;
- to position UNESCO Brazil in areas consistent with UNESCO priorities;
- to generate baseline material in areas of limited current understanding;
- in fulfilment of UNESCO's mandate as a 'laboratory of ideas'.

Research is seen as making an important contribution to the organisation's credibility, by partners and counterparts. In the words of one ministry official: 'UNESCO is a source of independent knowledge for us'. As we see it, research is used very much as a strategic tool in the Brazil Office, and with considerable success.

The following case example illustrates the significant role that research can have.

Women's entitlement to land

Women's rights emerged as a key issue in a number of UNESCO activities. A survey was conducted in rural settlements in 6 Federal States, involving 3500 questionnaires. This study was of interest to many of UNESCO's partners. For example the National Co-ordinator saw the relevance of rights to the spread of HIV/AIDS. The study showed that although women were in the majority in many rural settlements – and had higher levels of formal education than men – they were less likely to own land. Indeed there were legal impediments to such ownership. The study was considered groundbreaking in the Brazilian context and its findings were widely debated. Subsequently changes in land tenure law were introduced by the Brazilian legislature to remove the identified barriers to women owning land in rural settlements.

The 'Map of Violence' study is another of the high profile piece of research undertaken by UNESCO in Brazil in recent years. In this instance, the research led not only to an awareness raising campaign about the nature of youth violence, it also led to policy commitments to measures that counter violence and to the Open School/School of Peace initiative. It is also an initiative currently supported by UNESCO on a technical assistance project basis in three States of the Brazilian Federation. (See boxed example in Foreword to this report, describing the Culture of Peace and Open School Initiative.)

We wished to clarify why as much research as apparently is the case, is undertaken internally. Several informants (both within and outside UNESCO)

confirmed that the applied research capacity in Brazil is not highly developed. Universities are committed to academic research and independent research Institute are often committed to their own long-term programmes and do not have the capacity to respond quickly to applied policy research needs. Nonetheless UNESCO does co-operate with the research sector wherever possible. (See list of publications for evidence of such co-operations.)

The Office do not only conduct and publish researches, it gives great importance to the way they are publicized. For example, the summary of the *Evaluation of preventive actions against STD's/AIDS and drug abuse in elementary and high schools in Brazilian capital* was prepared in English and presented as a Brazilian contribution to the UNAIDS assembly which took place in New-York in June 2001. This presentation abroad raised the attention of a number of Brazilian journalists who echoed the results in their columns. The press clippings book for the sole months of June and July on this topics is 5 cm thick. This means that millions of Brazilian through their press have been exposed to the results of this research and to recommendations to improve AIDS prevention. The full version in Portuguese is now eagerly expected and partners have requested UNESCO to print thousands copies to widely disseminate it. This example is not the only one by which UNESCO appears advocating and influencing the public agenda. Its credibility in delivering such researches is enhanced by the high visibility. The Brasilia Office experiments beforehand the new communication strategy (161 EX/43) which stress the need to anchor all communication activities in the Programme.

4.5.2 Evaluation outputs and capacity

There is a limited volume of evaluation work in relation to projects undertaken by the Brazil Office of UNESCO. In a few instances evaluation is a specified contribution of UNESCO in a ProDoc. This is the case in AIDSII and has resulted in publications in both Portuguese and English. (See Evaluation of preventative actions against STDs/AIDS and drug abuse in elementary and high schools in Brazilian capitals.)² However we found only four publications with evaluation in the title in the publication lists we scrutinised. There are a number of reasons that evaluation is a smaller part of the UNESCO Brazil profile than we might have expected.

- Monitoring is reasonably well developed and built in to projects, without leading to any publications.
- Programmes in which UNESCO takes a limited or specified role, are sometimes evaluated by Ministries (the case of ProAgua) and this is not part of UNESCO's requirements.

² Avaliação das ações de prevenção de DST/AIDS e uso indevido de drogas nas escolas de ensino fundamental e médio em capitais brasileiras (Versões em português e inglês): Maria das Graças Rua and Miriam Abramovay. Translated by Cláudia David.

UNESCO, Ministry of Health, Unaid, Undcp, Jun. 2001.

- Some of the research work undertaken overlaps with evaluation and is used for evaluation purposes (e.g. surveys of service users).
- For some of the projects where UNESCO is itself carrying the main responsibility for implementation it would not be appropriate for UNESCO to undertake some aspects of evaluation e.g. of its own activities for summative purposes.
- Even more so than for research, there is limited evaluation capacity in Brazil: Ministries have no internal evaluation units and there are no general purpose evaluation institutes.

There is some evidence that evaluation is beginning to be strengthened in UNESCO Brazil. A recent cross-programme study, mainly concentrating on feedback from stakeholders has been initiated and is currently producing monthly reports. The Open School/Schools of Peace project is already being evaluated in terms of early targeting and implementation. We have already referred to the first stages of the evaluation of AIDS II and a new project such as Basic Care, is planned to be evaluated from the outset. However an office of this scale would normally be expected to have a more extensive programme of evaluation built in to its project and sector planning and implementation.

We would recommend that this aspect of the Office's work is further strengthened. In outline this should involve:

- the preparation of an evaluation policy and framework to help clarify where evaluation efforts should be concentrated and what methods are appropriate when;
- the strengthening of evaluation competence in the office, which to some extent can be built on to the already strong research competence in place, and to some extent will require new staff appointments and additional technical training; and,
- the piloting of new approaches to evaluation as part of the planning and implementation cycle, in a number of projects and possibly in one of the sectors in order to begin to develop internal competence in stages.

Internal evaluation, undertaken by internal staff, is able to meet certain evaluation purposes but not others. For example it can provide feasibility information for project planning and ongoing 'formative' evaluation to enable mid-term review, feedback and correction. However for 'summative' evaluations concerned with demonstrating effectiveness and even general lesson-learning, there is a need for a greater level of independence, if evaluations are to be credible with external stakeholders. This has two implications:

- First as well as internal evaluation undertaken by in house experts, or even participative evaluation in which practitioners are involved on a 'self-evaluation' basis there is also a need for external contracting. This implies

that one of the competencies that needs to be further developed within the office is evaluation and research management.

- Second, given the scarcity of dedicated evaluation capacity in Brazil, UNESCO could itself contribute to developing such capacity. In our view UNESCO is uniquely well placed to help with such developments. It could evolve into a technical assistance project of considerable value to the Brazilian public sector and to civil society institutions and NGOs.

4.6 Conclusions

This chapter has highlighted the ways in which the Brasilia Office adds value to the activities it undertakes. In particular it has highlighted:

- The complexity of the activities undertaken across a broad range of important policy areas in Brazil spanning health education, environmental management, social security and basic education.
- The high satisfaction of stakeholders and partners, both in Government ministries and within civil society.
- The importance of successful implementation to generate a high level of demand for UNESCO's support and technical assistance.
- The diversity of technical assistance activities ranging from the assembly of teams of experts to creating partnerships and to helping manage new institutional arrangements.
- The centrality of research as a strategic means of positioning UNESCO, raising its profile, initiating legislation and fulfilling its mandate as a 'laboratory of ideas'.
- The growing importance of evaluation in the Brazilian context and the opportunities that are present in the country for UNESCO to help develop evaluation capacity as a means of improving the management and quality of activities undertaken.

CHAPTER 5. CONCLUSION AND RECOMMENDATIONS

5.1 Conclusions

This report on Phase 1 of an evaluation of the programmes and activities of UNESCO in Brazil, sought to address three main objectives:

- The relevance of Brasilia Office's activities to UNESCO's Programme and Strategy;
- UNESCO's added value in three of four major projects or activities;
- Establishing a framework for detailed mid-term evaluations of national programmes and projects.

In order to meet these objectives the evaluation has also taken a broader view on organisational, management, planning and capacity issues in the Office. Nonetheless, the scope and time-scale of this evaluation still leaves substantial additional work to be undertaken in order to meet the full objective of the overall terms of reference, i.e. to assess effectiveness in achieving expected results and the benefits for Brazil UNESCO.

In broad terms, the emerging findings of the evaluation highlight the strengths and achievements of UNESCO as an implementing partner in Brazil. The overall conclusion at this stage is that UNESCO is making a valued contribution to national capacity development, is responsive to national needs and priorities, combines technical competence with a strong commitment to UNESCO's mandate and programmes and brings international best practice into the public arena in Brazil through the way it shapes project opportunities, promotes debate and raises awareness.

With regard to the **relevance** of the Office's activities, we have concluded that:

The activities of the UNESCO Brazil Office correspond closely to the programmes and priorities of UNESCO as laid out in current policy and programme documents.

However, we have also noted the distinctive constitutional and public sector circumstances in Brazil that underpin the remarkable growth in volume and diversity of activities in recent years. At the same time this evaluation has found that the Brazilian context is a sufficient but not necessary condition to explain the observed expansion of activities. Indeed, the evaluation has noted that similar circumstances pertain in other Latin American and Asian countries, which have also seen an expansion in the activities of various UN agencies. With regard to **growth**, and consistent with the views of all the stakeholders interviewed, we have concluded that:

The success and effective delivery of project outputs and results by UNESCO in Brazil has itself been one of the most important factors in generating demand for further technical assistance and support.

Although UNESCO's decentralisation reforms are relatively recent, it is possible to regard the Brasilia Office as a 'laboratory in action' for many of the challenges posed by decentralisation and the creation of the new Field Network. With regard to **decentralisation reforms** we have concluded that:

The Office has already been successfully functioning for some years as a new model of technical co-operation in a decentralised setting, thus anticipating many of the decentralised reforms where programmes and activities are demand driven.

The report has also highlighted difficulties in the past in establishing effective co-operation between Headquarters and the Brasilia Office. New procedures have now been put in place to ensure effective 'backstopping' by Headquarters. With regard to **communications** between Headquarters and the Office in Brazil, we have concluded that:

Whilst many of the difficulties of communication and backstopping can be addressed by improved procedures, some of the difficulties result from insufficient co-operation in joint planning and lack of joint activities. These would provide a basis for better mutual understanding between Headquarters and the UNESCO Office in Brazil and improve opportunities for dissemination of experience gained and lessons learned by the Brasilia Office to the rest of UNESCO.

This evaluation has also raised questions as to the adequacy of existing UNESCO administrative procedures and routines in relation to such a large scale, customer driven and responsive agency concerned with implementation. With regard to **administrative procedures and routines** we have concluded that:

Current UNESCO procedures, particularly in relation to administrative and financial matters do not match well with a large scale implementation office such as Brasilia, nor are they consistent with UNESCO's decentralisation reforms.

The capacity of the Brasilia Office of UNESCO to deliver its programmes to a high technical standard led the evaluation team to review capacity from a number of different standpoints. These included staff capacity, management arrangements and planning. With regard to **staff capacity and management arrangements** we have concluded that:

The Brasilia Office has attracted a high level of programme staff who are well motivated, well managed and well organised to deliver technical assistance, support activities across different sectors and programmes.

Planning systems were also considered, both at a sector/programme level and at a country level. With regard to **planning** we have concluded that:

Given the growth in activities, planning systems have not adapted to the scale and complexity of current workloads. This can create difficulties both at programme/sector level and in prioritising communications and joint decision making between Headquarters and the Brasilia Office.

The evaluation has sought to identify the main elements of the UNESCO model developed in Brazil. There is no single factor identified which accounts for the model and its distinctive strengths. Rather, the Brazilian model is a set of linked factors that mutually support each other and are seen as adding value by UNESCO's partners and counterparts. With regard to **the added value of the Brazilian model** we have concluded that:

The key elements of the model that bring added value include capacity development, technical assistance, strategic use of research, bringing international best practice and UNESCO's experience into the Brazilian context, working with many partners in a customer focused and responsive way and building credibility on the back of the successful delivery of project and programme results.

This evaluation has concluded that the research profile of UNESCO in Brazil is especially strong. It involves both commissioning and undertaking research with partners, sometimes as part of ongoing projects and sometimes to promote debate and raise awareness. With regard to the **results of research** we have concluded that:

Research has helped position UNESCO in relation to the key priorities of both Brazil and UNESCO itself. It gives the Brasilia Office considerable leverage in relation to public debates and policy dialogue and allows UNESCO to fulfil its mandate as a 'laboratory of ideas'.

A similar review of evaluation activities did not lead to such a positive conclusion. With regard to **evaluation** we have concluded that:

Current evaluation practice needs further strengthening. An office undertaking projects and programmes of the scale and complexity of UNESCO in Brazil will need to develop evaluation frameworks that provide opportunities for quality assurance and quality improvement.

5.2 Recommendations

Managing growth

The rapid rate of growth of activities in the Brasilia Office has highlighted the need to further develop and institutionalise its processes and procedures. At present systems work informally but will need to be formalised to cope with the complexity and volume of UNESCO activities in Brazil. We therefore recommend that the Brasilia Office of UNESCO should:

R1: *Upgrade the planning procedures in place which have worked well up to now but are likely to be stretched in the near future, given the increase in activity. The systems envisaged will need to interface with existing systems (e.g. SICOF, SISTER and FABS) and be designed to support implementation and delivery by minimising complexity and additional monitoring activities.*

R2: *Prepare a Country Plan for UNESCO developed together with the Brazilian Government, taking into account UN and other country assessments and approved by Headquarters as the basis for activities in Brazil. Such a plan will provide a framework to link together projects and sector-based work;*

R3: *Introduce additional basic planning systems to support the needs of a busy office. However, care should be taken to ensure that such systems are consistent with implementation requirements and are not unnecessarily bureaucratic. The development of new planning systems should be undertaken in co-operation with staff in the Brasilia Office and backed up by suitable staff development and management training.*

Improving co-operation between Headquarters and the Brazil Office

There have been recent improvements in procedure (e.g. for project approval, liaison and 'backstopping'). These should ensure the appropriate involvement of Headquarters' administrative, financial and sector specialists at each stage in the programme planning cycle. This evaluation has also highlighted the need to further strengthen co-operative activities between the Brazil Office and the Secretariat as a whole. This should take a number of forms, some of which have also been identified by the recent Human Resources Review in UNESCO Brazil. We therefore recommend that:

R4: *There should be improved opportunities for language education, so that staff of the Brazil Office are able to better participate in international activities (e.g. conferences, meetings, work placements etc.). Work placements should also be two-way. Opportunities should be sought for Headquarters staff to undertake assignments in Brazil and for Brazil Office staff to undertake assignments at Headquarters and at regional level. The maintenance in Headquarters of a database of experts with Portuguese language ability who*

are available for specialist assignments in the main areas of UNESCO priority, would be a useful support for this process of mutual exchange.

R5: *Improved communication between Headquarters and the Brazil Office would enable Headquarters to capitalise further on the work undertaken in Brazil. Lessons learned, good practice and new methodologies should be disseminated to a far greater extent than at present. This will have positive benefits for UNESCO world-wide.*

Developing decentralisation in practice

The activities of UNESCO Brazil have illuminated many of the practical challenges that need to be addressed if the policies for decentralisation now agreed by the Executive Board are to be implemented. A key choice that will need to be addressed is the level of central control that is consistent with a decentralised ethos and a responsiveness to national priorities and needs. The observed difficulties in applying routine UNESCO administrative and financial procedures in the UNESCO Brazil context highlights the importance of considering a recommendation made by the external auditor in the 1994/5 Biennium. We therefore recommend that:

R6: *UNESCO takes advantage of the scale and level of development of activities in Brazil to pilot new processes and procedures (including procedures for administrative and financial control, management and personnel practices). These should be appropriate for a flexible, implementation-oriented office, which delivers services in a national context even though they are shaped by international standards and principles. The proposed Country Plan, to be approved by Headquarters, should provide a basis for appropriate levels of autonomy linked with appropriate levels of control. Such a pilot should be jointly implemented by a project team drawn from Headquarters and the Brazil Office and evaluated with the assistance of IOS/CEU.*

Further strengthening UNESCO's exit strategy

This evaluation has noted the consistency with which UNESCO Brazil builds in the pre-requisites for effective exit strategies into its activities (contracts are time-limited, milestones are observed and antennae open and close as activities require). However, many of the constraints within the public sector in Brazil remain in the absence of further reforms to remove the barriers to innovation within the Brazilian civil service. More generally, UNESCO as a whole might benefit from greater clarity about the application of exit strategies across a range of projects and programmes. We therefore recommend that:

R7: *A formal policy for exit strategies, handover and project sustainability should be developed by the Brasilia Office in consultation with Headquarters (IOS, BFC, BSP) and the Brazilian Government. In particular such a policy should seek to ensure that capacity developed as part of UNESCO's technical assistance programmes in recent years is supported once time-limited*

contracts have ended. It should also serve as an early warning system that will anticipate needs for action by managers in Brazil and in Headquarters. Such a framework may well be of value to UNESCO globally.

Evaluation capacity

Unlike research, publication and dissemination, the evaluation capacity of UNESCO Brazil is relatively under-developed. This is consistent with the state of evaluation both within Government ministries and the country as a whole. A further consequence of a growth in complexity is the need to strengthen evaluation capacity. Some good work is currently undertaken and has been commented on by IDB and World Bank, however further strengthening is needed. We therefore recommend that:

R8: *The Brazil Office should prepare an evaluation policy and framework – together with an implementation plan – to allow for consistent evaluation priority setting. This is likely to require the appointment of additional staff and the provision of some additional technical training. Such training could usefully be extended to key project officers and consultants responsible for delivering UNESCO projects in order to improve the quality of project implementation.*

R9: *The weakness of generic evaluation in Brazil suggests that UNESCO should consider a technical assistance project to improve the quality of programme and policy evaluation. As this is likely to be of interest to more than one government ministry, the opportunities for sponsorship and support for such a capacity building project should be explored.*

R10: *Major projects that will be of widespread interest to the international community, such as AIDS II, should be considered for accelerated evaluation, prior to the full development of evaluation policies and frameworks.*

These recommendations, could be seen as an additional workload for the Brasilia Office that could disrupt of ongoing work, if all recommendations were implemented simultaneously. We would suggest that an implementation plan is developed to manage and sequence the implementation of this evaluation's recommendations in a manageable way over the next six to nine months.

Annex 1 :

Terms of Reference Evaluation of Brasilia Office / Phase 1

1. Introduction

At the Director General's request and given the Executive Board's interest in the issue, a programme evaluation will be launched to review the extent and nature of the activities carried out by the Brasilia Office.

As requested by the Executive Board (160 EX/Decision 6.4), this evaluation exercise will also test the criteria for evaluating field offices presented in document 160 EX/22.

2. Objectives

The overall programme evaluation objectives are to assess the **effectiveness** of Brasilia Office **in achieving expected results**, to measure **outcomes of projects** and the **benefits for Brazil and UNESCO**.

Phase 1 specific objectives:

- To appraise the **relevance** of Brasilia Office's activities to UNESCO's Programme and Strategy.
- To determine **UNESCO's added value** in three or four major projects or activities, selected among the one listed in the Annex 1.
- To establish a **framework for detailed mid-term evaluations** of national programmes and projects.

Phase 2 specific objectives:

- To conduct **mid-term evaluations** of two or three important national programmes or projects, including AIDS II Programme.
- To formulate **recommendations for the improvement** of these programme and budgets.

Phase 3 specific objectives:

- To consolidate all collected information and evaluation to assess the **overall office performance** or **organizational effectiveness** in achieving its purpose.

Specific terms of reference will be developed for phases 2 and 3.

3. Key Issues

As a first step towards a overall review of the office's performance, the evaluation will specifically focus on the extent to which the activities of the Brasilia office align with UNESCO's Programme and Strategy and will seek to identify further indicators to measure the contribution of Brasilia Office and the outcomes of its activities.

Since the office is entitled to carry out UNESCO's mandate in Brazil in all fields of competence, the definition of its role vis-à-vis the Member State and vis-à-vis the deployment of the Organization's Strategy in the region is a critical issue. For this reason and taking into account the past and new decentralization policy, a preliminary definition of the role of Brasilia Office will have to be stated before the evaluation mission,. This mission statement will have also to integrate UNESCO's major functions as defined in the draft medium term strategy for 2002-2007 (31 C/4 para. 29 – see Annex 2): laboratory of ideas; standard-setter, clearing house, capacity-builder in Member States, catalyst for international cooperation.

By analysing the past and present situation, the programme evaluation (Phase 1) will seek to identify the added value provided by UNESCO (both by the Office and Headquarters) to the projects' or activities' outcomes. This added value concept can be defined, in this context, as follow : the nature and the importance of the contributions, at any stage (identification, design, negotiation with partners, implementation, monitoring, quality control, evaluation, etc) of the project cycle, provided by UNESCO in general and by the Brasilia Office in particular; and how do the stakeholders recognize and appreciate these contributions?

The review will contribute to the evolution of UNESCO's policy for supporting "self-benefiting activities".

The interaction between extrabudgetary funded projects or activities and the regular programme is another issue at stake which will be addressed by this evaluation.

At the same time, the evaluation will review performance against criteria approved by the Executive Board. The seven criteria and corresponding items will be appraised by the evaluators through interviews and meetings with all the parties involved and based on facts and evidence. The exercise will be completed at the end of Phase 3. An interim report about these criteria will be provided at the end of Phase 1.

Strategic planning

- I. Involvement of Brasilia office in UNESCO's planning processes (especially in the definition of regional and sub-regional strategies)
- II. Involvement of stakeholders (Brasilia office, Headquarters, national partners, ...) at the design stage of programmes, projects and activities
- III. Ownership of the programme by stakeholders and beneficiaries
- IV. The connectivity of objectives assigned to the office with the general objectives of UNESCO's programme
- V. Regional or subregional coverage of programmed activities

Integration into the United Nations system and leadership

- I. Participation of the office in the planning and implementation of the strategy of the United Nations system in Brazil
- II. Assessment of UNESCO's leadership
- III. Co-operation and sharing of resources

Relations with stakeholders and beneficiaries

- I. Cooperation with stakeholders/beneficiaries
- II. Degree of satisfaction of stakeholders/beneficiaries
- III. Raising of extrabudgetary funds
- IV. External communications and public image

Information and analysis for decision makers

- I. Information-gathering
- II. Information analysis
- III. Information formatting
- IV. Information sharing and availability

Human resources

- I. Skills available in the office
- II. Backstopping from Headquarters and Regional offices
- III. Project personnel and outsourcing
- IV. Training of office staff
- V. Working relations in the office

Management of activities

- Monitoring of activities
- Relations with Headquarters and other field offices
- Whether the office's capacity and resources are adequate to achieve project outcomes

Programme results

- I. Effectiveness of activities and their local impact
- II. Ownership of results at local level
- III. Exporting of results within and beyond Brazil and capitalizing on the experience gained
- IV. The process for learning lessons

4. Methodology

The approach will be systemic, participatory and oriented towards the continuing improvement in the functioning of the Office. It will take into account points of view from outside UNESCO, especially those of the major partners (national authorities, UN agencies, local and international NGOs) as well as those of the direct beneficiaries of the activities of the office.

The evaluation (phase 1) will take place between June and August 2001 and a report will be presented to the Executive Board at its 162nd session. The evaluation will be carried out by a team of evaluators, composed of two external evaluators (one from the region, the other from outside) and an IOS/CEU staff member, in close cooperation with BFC, BSP and HRM. The evaluators will travel to Brasilia in July - August to collect data and launch the overall evaluation process.

The data collection will consist of individual and group interviews, facts finding and desk study. The opportunity to launch a survey to assess the awareness of opinion leaders, including media professionals, of UNESCO's activities in Brazil will be analysed in phase 1 and could eventually take place as part of phase 2 / 3.

5. Work plan:

- Participative observation of the Office / HQ interaction during the director of Brasilia office's visit to the Headquarters, 11 to 15 June.
- Interviews with Sectors staff members in HQ, in the second part of June.
- The relevance and integration of Brasilia Office projects in UNESCO's Programme will be assessed mainly in a participatory manner with the staff and some major partners, using the methodology of the logical framework. Working sessions will take place in Brasilia between the 2nd and 6 July. The participation of a BSP staff member in this exercise will lead to the integration of relevant information about Brasilia projects and activities into SISTER.
- UNESCO's added value in three major projects or activities will be analysed through project document analysis, Brasilia Office staff interviews as well as interviews and meetings with partners like national authorities (ministries), UN agencies, NGOs, banks like the World Bank and IDB. This will be carried out in Brasilia mainly between 9 and 20 July.
- The design of two or three mid-term programme/project evaluations (terms of reference and arrangements with external evaluators) will take place in Brasilia between 9 to 20 July. These evaluations will then be carried out during the second semester 2001.

Initial evaluation report on Phase 1 to be finished by in September 2001.

Annex 2:

List of interviewees

- Jorge Werthein, Representative to Brazil, UNESCO Brasilia
- Matias Spektor, Assistant to the Director, UNESCO Brasilia
- Roberta Macedo, Jurist, Assistant to the Director, UNESCO Brasilia
- Vera Regina Ros Vasconcelos, Secretary to the Director, UNESCO Brasilia

HIV/ AIDS related interviews

- Paulo Texeira, National Coordinator of HIV/AIDS
- Alejandro Granxeiro, Deputy-coordinator
- Rose Mary Munhoz, Director for external cooperation
- Denise Doneda, Responsible for prevention
- Moises, Responsible for the Municipal programme in Sao Paulo
- Telva Barros, Country Programme Adviser, UNAIDS
- José Manuel Martinez-Morales, Representative, UNDCP
- Cíntia Freitas, Programme Coordinator, UNDCP

- Dulce Borges, Education Projects Coordinator, UNESCO Brasilia
- Cristina Raposo, HIV/AIDS Projects Coordinator, UNESCO Brasilia
- Matias Spektor, Assistant to the representative, UNESCO Brasilia

PROAGUA related interviews

- José Sarney Filho, Minister, Ministry of Environment
- Jerson Kelman, President, Agencia Nacional Aguas (National Water Agency)
- Benedito Braga, Director Agencia Nacional Aguas (National Water Agency)
- Bruno Pagnoccheschi, Secretary-General, Agencia Nacional Aguas (National Water Agency)
- Responsible for Management Units in Ministry of Environment

- Celso Schenkel, Environment Projects Coordinator, UNESCO Brasilia
- Bernardo Brummer, Project Officer, UNESCO Brasilia
- Franklin, Project Assistant, UNESCO Brasilia
- Eduardo, Project Assistant, UNESCO Brasilia

INSS related interviews

- Fernando Fontana, President, INSS
- Sergio A. C de Faria, Director of Human Resources, INSS
- Clara Regina, Coordinator of Distance Education programme element, INSS
- Paulo Tannus de Freitas, former Director and Deputy President, INSS
- Jeovanni Salomao, Commercial Director, CTIS
- Paolo Marques, Outsourcing ‘Superintendente’, CTIS
- Marcia Rangel, Executive Director, TECSOFT/OPEN SCHOOL
- Cristiane Silva, Advisor to the Director, TECSOFT/OPEN SCHOOL
- Solon Lemos Pinto, Secretary, Ministry of planning, budget and management

- Marlova Jovchelovitch Noletto, Transdisciplinary Projects Coordinator, UNESCO Brasilia
- Paulo Roberto Benite, Project Officer, UNESCO Brasilia
- Ricardo Souza, Project Assistant, UNESCO Brasilia
- Beatriz Maria Rocha Godinho Barros, Project Assistant, UNESCO Brasilia

Education related interviews

- Rui Berger, Secretary for Secondary and Technology Education, Ministry of Education
- Sonia Moreira, former Secretary for Professional Education, Ministry of Education
- Marilia Lindinger, Executive Secretary of the National Council of State Secretaries of Education (CONSED)
- Aurea Maria Dora de Carvalho, Technical Co-ordinator of the Servico Social de Industria – Departamento Nacional (SESI/DN)

Partners

- Walter Franco, Resident Representative, UNDP
- Waldemar W. Wirsig, Representative to Brazil, Interamerican Development Bank
- Maria Madalena dos Santos, Chief, Social Sector, World Bank
- Manuel Rego, Economist, Consultant, World Bank

- Ms Ceres Prates, external evaluator

Interviews held in Rio de Janeiro

- Eduardo Portella, President, National Library, former Chairperson of UNESCO General Conference
- Claudio Mendonça, Sectoral Coordinator, Governor's Office, State of Rio de Janeiro
- Darcilia Apercida da Silva Leite, Secretary for Education, State of Rio de Janeiro

- Marta Porto, Project coordinator, UNESCO Brasilia, Rio Antenna
- Patricia Monteiro, Project officer, UNESCO Brasilia, Rio Antenna
- Sandra, Project officer, UNESCO Brasilia, Rio Antenna

Interviews held in Pernambuco

- Guilherme Robalino, Secretary for Health, State of Pernambuco
- Raul Henry, Secretary for Education, State of Pernambuco

- Julio Jacobo Waiselflitz, Project coordinator, UNESCO Brasilia, Pernambuco Antenna
- Open School team in Recife
- School Evaluation Team (SAEP) (Education Department, Pernambuco)
- Visit to Open School (Ouro Preto)

Annex 3:**COOPERATION AGREEMENTS BEING EXECUTED – 2001**

	COOPERATION AGREEMENTS SIGNED	ORIGIN OF RESOURCES	AREA	BUDGET CODE	PERIOD OF AGREEMENT	TOTAL AGREEMENT RESOURCES	
						US\$	R\$
1	Reduction of HIV Vertical Transmission in Brazil	UNAIDS	ED	207BRA10	01Dec98 to 30Jun01	149 000	178 055
2	HIV/AIDS, STD Analysis and Gender Relation in Land Reform Settlements	UNAIDS	ED	207BRA11	May 99 to 31Dec00	102 285	178 133
3	Informative STD/AIDS Site for Health Care Workers From Portuguese Speaking Countries	UNAIDS	ED	207BRA13	23Nov99 to 31Dec00	33 000	59 400
4	UNAIDS - Violence, AIDS and Drugs in School		ED	207BRA14	27Oct00 to 31Dec01	12 755	28 699
5	UNAIDS - Violence, AIDS and Drugs in School		ED	207BRA15	15Feb01 to 31Dec01	30 000	65 400
6	Program to Improve Administration and Managerial Skills of "Instituto Nacional de Seguridade Social"	Brazilian Treasury	ED	914BRA01	21Set98 to 31Dec02	27 261 495	32 086 780
7	Technical, Educational, Scientific and Administrative Cooperation	Brazilian Treasury	ED	914BRA13	28Apr97 to 30Dec00	741 412	789 604
8	Casa Civil - Training on Management for Social Projects	BID	ED	914BRA14	15 Jul 97 to 31Dec00	3 375 555	4 956 883
9	Implementation of Post Grad. National Policies	Brazilian Treasury	ED	914BRA20	22Jul98 to 22Dec00	1 051 446	1 631 418
10	Prospective and Strategic Thinking and Rural Education Program	Brazilian Treasury	ED	914BRZ14	05Jul99 to 31Aug01	349 451	633 500
11	Alfabetização Solidária Literacy Program	Brazilian Treasury	ED	914BRZ15	01Aug99 to 31Dec00	467 108	859 230
12	STD and HIV/AIDS Reduction Project	Brazilian Treasury	ED	914BRZ17	15Jul 99 to 15Jul 03	1 132 776	2 150 000
13	Improving Quality of Basic Education	State of Piauí	ED	914BRZ19	26Nov99 to 30Dec01	199 537	399 074
14	Formulate and Implement Modernizing Strategies	State of Pernambuco	ED	914BRZ23	23Nov99 to 31Oct01	4 472 934	8 500 000
15	UNESCO Office in the State of Pernambuco	State of Pernambuco	ED	914BRZ20	23Nov99 to 30Dec01	77 500	155 000
16	MEC 2000/1	Brazilian Treasury	ED	914BRZ21	01Jan00 to 31dec01	3 255 247	6 031 635
17	Training, research and institutional support in the framework of AIDS II programme	BIRD/Brazilian Treasury	ED	914BRA59	29Sept98 to 31Dec02	49 826 125	61 542 218
18	UNESCO Office in the State of Bahia	State of Bahia	ED	914BRZ24	07Feb00 to 30Jun01	135 593	240 000
19	Ayrton Senna - Violence, Aids and Drugs at Secondary Schools	Instituto Ayrton Senna	ED	570BRA10	20Jan00 to 20Jul01	43 956	80 000
20	Improve Brazilian Response to the Prevention and Control of DST and AIDS	UNAIDS/Brazilian Treasury/Other s	ED	914BRZ02	03Dec99 to 30Dec02	768 076	1 536 151

21	Professional Education Reform	Brazilian Treasury	ED	BRA98020	May00 to Dec03	7 375 862	13 055 276
22	Implement the state's Public School System Evaluation Program	State of Rio de Janeiro	ED	914BRZ25	13Apr00 to 13Apr01	211 624	366 110
23	UNDCP - Violence and Aids at School	UNDCP/BIRD	ED	914BRZ26	12Jun00 to 12Jun01	75 676	140 000
24	Culture of Peace Program in the State of Rio de Janeiro	Brazilian Treasury	ED	914BRZ27	24Aug00 to 24Jun01	879 200	1 582 560
25	Human Resources Development of for Basic Care in Brazil	Brazilian Treasury	ED	914BRZ29	31Jul00 to 31dec02	16 483 777	30 000 475
26	Technical Support for the Consolidation of Nursing Personnel Training	BID/Brazilian Treasury	ED	914BRZ30	01Sept00 to 01Sept04	69 798 699	127 033 632
27	Teaching the Traffic Code in Basic Education Schools	Brazilian Treasury	ED	914BRZ32	30Oct00 to 30Dec02	4 621 213	8 595 457
28	Support to the National Program for Quality Improvement and Expansion of Secondary Education	BID/Brazilian Treasury	ED	914BRZ33	04Dec00 to 01Apr02	30 742 800	59 333 604
29	Cooperation for Science and Technology Development of in the Health Sector	Brazilian Treasury	ED	914BRZ38	01Aug00 to 31Dec02	1 398 964	2 700 000
30	AP - Alfabetização Solidária 2001	Brazilian Treasury	ED	914BRA81	01Jan01 to 31Jul01	878 528	1 713 129
31	Program to Improve Administration and Managerial Skills of "Instituto Nacional de Seguridade Social"	Brazilian Treasury	ED	914BRA83	13Dec00 to 13Dec02	17 752 373	34 262 080
32	Pretobras sponsorship to the Comunidade Ativa Program	Private Company	ED	914BRZ35	15Dec00 to 15Dec01	338 791	653 866
33	Professional Education Program - State of Piauí	Brazilian Treasury	ED	914BRZ37	13Nov00 to 30Jun01	154 707	293 944
34	Professional Education Program - State of Espírito Santo	Brazilian Treasury	ED	914BRZ36	30Jan01 to 30May03	172 000	335 400
35	Professional Education Program - State of Rio Grande do Sul	Brazilian Treasury	ED	914BRA80	14Feb01 TO 14Feb03	318 868	624 981
36	Professional Education Program - State of Rio de Janeiro	Brazilian Treasury	ED	914BRZ39	07Mar01 to 30Dec01	209 559	427 500
37	Professional Education Program - State of Alagoas	Brazilian Treasury	ED	914BRA82	30Mar01 to 30Sept02	109 820	224 033
38	Support the UNESCO Office in the state of Rio de Janeiro and other special projects related to the education area	Brazilian Treasury	ED	914BRA83	01Apr01 to 01Apr02	260 857	547 800
39	Teachers Seminar: Establishing New Priorities		ED		31Maio01 to 30Jan02	175 000	402 500
40	Biosphere Reserves	Brazilian Treasury	SC	914BRA41	Dec 96 to 31Mai01	1 304 348	1 500 000
41	PROÁGUA - Management of Water Resources and Public Works	BIRD/Brazilian Treasury	SC	914BRA45	21Dec99 to 31Dec02	4 920 899	9 595 753
42	PROÁGUA - Strengthening of the Water Resources Secretariat	BIRD/Brazilian Treasury	SC	914BRA46	30Jun00 to 30Jun01	2 753 927	5 094 766
43	Environmental Education	Brazilian Treasury	SC	914BRA47	01Aug00 to 31Dec03	6 930 813	12 614 079
44	Unified System for the Strategic Environment Information	Brazilian Treasury	SC	914BRA48	01Jul00 to 31Mar01	1 086 904	2 026 694

45	Environmental and Social Development of the Nova Baixada in RJ	BID	SC	914BRA49	31Aug00 to 31Aug02	4 839 967	8 711 940
46	Program: "Comunidade Solidaria"	BID	SHS	570BRA55	05Dec96 to 04Dec01	7 893 816	8 327 976
47	Publications on: Youth Violence and Citizenship	Ayrton Senna Foundation	SHS	570BRA57	02Dec98 to 28Feb00	23 238	40 400
48	Education and Culture in the Brazilian Indigenous Population	Brazilian Treasury	SHS	914BRA05	03Aug99 to 09May01	1 811 910	3 442 177
49	Documentary Film:"Oswaldo Cruz"	Brazilian Treasury	SHS	914BRA18	15Jun97 to 31Dec00	518 832	600 000
50	Human Resources Development for the Decentralization of Epidemiological Surveillance	Brazilian Treasury	SHS	914BRA58	21Aug98 to 31Dec02	9 168 567	16 144 485
51	Training of Human Resources for the Sanitary Surveillance in Brazil	Brazilian Treasury	SHS	914BRZ58	26May99 to 31Jun01	10 168 564	18 290 000
52	Implementation of National Policies for Social Assistance	Brazilian Treasury	SHS	914BRZ59	12Jul99 to 02Aug01	456 862	822 352
53	Human Rights	Brazilian Treasury	SHS	914BRA07	01Oct99 to 31Dec01	1 947 760	4 046 320
54	Research and Studies for the National System of Health Surveillance	BIRD/Brazilian Treasury	SHS	914BRA02	10Nov99 to 30Jun02	14 650 000	27 835 000
55	Training and Institutional Support for the National Agency of Supplementary Health Care	Brazilian Treasury	SHS	914BRA04	23Dec99 to 23Dec01	7 716 667	15 047 500
56	Training, Research and Institutional Support in the scope of the Reforsus Program	BID/Brazilian Treasury	SHS	914BRZ01	03Apr00 to 03Apr01	30 388 464	52 572 043
57	Research on "Youth, Violence and Citizenship" in Fortaleza	Brazilian Treasury/State of Ceará	SHS	914BRZ55	Aug 98 to 30Dec01	55 698	65 000
58	Human Resources Development for the Management of the National Fund for Health	Brazilian Treasury/State of Ceará	SHS	914BRZ31	01Nov00 to 01Nov03	3 964 321	7 651 140
59	Implementation of National Policies for Social Assistance	Brazilian Treasury/State of Ceará	SHS	914BRZ03	02Aug00 to 02Aug01	738 215	1 328 788
60	Training on Integrated and Sustainable Local Development	Brazilian Treasury/State of Ceará	SHS	914BRZ34	19Dec00 to 19Sept01	1 290 738	2 491 125
61	Assessing outcomes of successful projects addressing the needs of underprivileged youth in Brazil	Kellogg Foundation	SHS	570BRA59	01Nov00 to 31Oct01	68 000	129 200
62	Reformulation and Rationalization of CNPQ's Acting Procedures Especially Regarding Human Resources Development	Brazilian Treasury	CII	914BRA61	15Dec99 to 15Dec03	4 258 005	8 000 000
63	Media for Citizenship	Brazilian Treasury	CII	914BRA63	27Dec00 to 27Aug02	1 052 149	2 030 648
64	Support to Software Development for the Education Learning of Physics, Biology, Chemistry and Maths	Brazilian Treasury	CII	914BRA64	08Dec00 to 30Sept01	207 254	400 000
65	Preparatory Assistance to the Ministry of Science and Technology for the Development of Technical Cooperational Project	Brazilian Treasury	CII	914BRA65	13Dec00 to 13Sept01	777 202	1 500 000

66	Information technology for the Magnetic Card in Public Health System	Brazilian Treasury	CII	914BRA66	12Feb01 to 12Feb 02	7 351 151	14 408 255
67	MONUMENTA - Technical Assistance	BID	CLT	914BRZ70	01Feb00 to 31Dec01	5 577 954	9 872 978
68	CEF - World Heritage Book	Brazilian Private Bank	CLT	914BRZ71	25May00 to 31Mar01	127 995	226 552
69	Brasil Telecom - Developing Cultural and Community Programs	Brasil Telecom	CLT	570BRA70	01Jul00 to 20Mar01	109 890	200 000
70	Restoration of the Historical Center of Salvador	Brazilian Organization	CLT	914BRA79	10Jun98 to 31Aug01	251 689	298 664

Annex 4:

Correspondence of the activities carried out by UNESCO/Brazil with UNESCO Strategic objectives as defined in the Medium Term Strategy 2002-2007 (draft 31 C/4)

Strategic Objective 1: Promoting education as a fundamental right in accordance with the Universal Declaration of Human Rights

- **Every Child in School Programme** with the Ministry of Education
- **National youth and adults Literacy Programme** with the Ministries of Education and Rural Development, the civil society Solidarity Community Organisation, 38 federal universities, the Information Network for the Third Sector, Banco do Brasil Foundation, IDB.
- **Students with Special Needs** with the Ministry of Education

Strategic Objective 2: Improving the quality of education through the diversification of contents and methods and the promotion of universally shared values

- **Environmental education** with the Ministry of the Environment
- **Human Rights Education** with the Ministry of Justice
- **Aids and Preventive Education** with the ministries of Education and Health, over 600 NGO's, UNDCP, UNAIDS, World Bank, National Congress, Health Secretariats of the State and City of São Paulo
- **National Education Traffic Programme** with the National Department for the Traffic and the Ministry of Justice
- **National Award for Aids and Drug Abuse Preventive Actions in Schools** with UNDCP
- **Secondary Education Reform** with the Ministry of Education and IDB
- **National Framework on Elementary School Curricula** with the Ministry of Education
- **National Higher Education Evaluation** with the National Institute for Educational Research

Strategic Objective 3: Promoting experimentation, innovation and the diffusion and sharing of information and best practices as well as policy dialogue in education

- **The National Campaign for the Culture of Peace** with the Brazilian Government, several State and city authorities, the National Congress, the Latin American Youth For Democracy, the Viva Rio Foundation, Brahma Kumaris, major newspapers and radio stations.
- **Making Room: education and culture for peace** with the State Governments of Alagoas, Bahia, Mato Grosso, Pernambuco and Rio de Janeiro and the cities of Olinda, Recife, Palmas, Natal, Belo Horizonte and the World Bank

Strategic Objective 4: Promoting principles and ethical norms to guide scientific and technological development and social transformation

- **Design of the “Science and Technology Performance Indicator System”** with the National Council for Scientific and Technological Development (CNPq), Ministry of Science and Technology
- **Design of guidelines and strategies for science, technology and innovation in Brazil** with the Ministry of Science and Technology
- **Design and implementation of the National Desertification Policy** with the Ministry of Environment and the Esquel Foundation
- **Support to the National Environmental Education Programme** with the Ministry of Environment **Technical co-operation to assure water as a basic human right** within the framework of the recently created National Water Agency, Ministry of Environment

Strategic Objective 5: Improving human security by better management of the environment and social change

- **Mangrove Ecosystem project for preserving bio-diversity and socio-economic value of mangroves in tropical America** with the Ministry of Education and UNDP
- **Design and Implementation of the Proagua Programme, including Water Management, socially equitable water supply and disposal and desertification control** with the Ministries of Environment and of National Integration, World Bank, IDB and Japanese Government
- **Technical Assistance to the National Plan for Social Assistance** with the National Secretariat of Social Assistance
- **Promoting a citizen focused approach to the national policy of social security** with the National Institute for Social Security
- **Expansion of social inclusion through new technologies (Public Health Magnetic Card)** with the Ministry of Health and IDB
- **Improving the management of social projects** with the Presidency of the Republic and IDB

Strategic Objective 6: Enhancing scientific, technical and human capacities to participate in the emerging knowledge societies

- **Continuous professional development** with State Secretariats of Education
- **Human Resources Training** with the Ministry of Health
- **Program for the Expansion of Professional Education** with the Ministry of Education, UNDP, 12 out of 27 federal states and IDB
- **Professional Education of Nursing Personal** with the Ministry of Health

Strategic Objective 7: Promoting the drafting and implementation of standard-setting instruments in the cultural field

- **Monumenta programme implementing the World Heritage Convention** with the Ministry of Culture, The Historic and Artistic Heritage Institute and IDB

Strategic Objective 8: Protecting cultural diversity and encouraging pluralism and dialogue between cultures and civilisations

- **Indigenous People Education** with the National Indigenous Foundation and the Ministry of Justice

Strategic Objective 9: Enhancing the linkages between culture and development, through capacity building and sharing of knowledge

- **Solidarity Craftmanship** with Solidarity Community
- **Designing cultural policy as a development tool** with the Municipal Culture Secretariat, Rio de Janeiro

Strategic Objective 10: Promoting the free flow of ideas and universal access to information

- **International Virtual Education Network** with the Ministry of Education and other 5 Latin American countries
- **Youth Working Group on HIV/aids** with the Ministry of Health, UNAIDS and non governmental organisations
- **Parliamentary Group for Aids in Brazil** with the National Congress, UNAIDS and the Ministry of Health
- **Long Distance Education and Bridging Digital Divides** with the Ministry of Education, the Committee for New Technologies Democratisation, the Forum for Youth Ethics on the Internet and the UNESCO Parliamentary League in Brazil
- **Improving policy design and implementation** with the National Council on State Education Secretariats (CONSED)

Strategic Objective 11: Promoting the expression of pluralism and cultural diversity in the media and world information networks

- **Diffusing best practices in diversity among youngsters** with the Childhood Rights National Agency
- **Best practices on Aids prevention** with the Ministry of Health
- **Debates on Youth and Aids** with the Ministry of Health

Strategic Objective 12: Access for all to information and communication technologies, especially in the public domain

- **Empowering Children and Youngsters through culture, communication and new technologies** with Edisca (NGO), Committee for New Technologies Democratisation (CDI), Travessia (NGO), the Aprendiz Project, the Viva Rio Foundation, the UNAIDS Theme Group, the National Council of Industry and The International Centre for Education (National Service of Industrial Learning).

Annex 6:

UNESCO/BRAZIL PUBLICATIONS - 1997 - Jul. 2001

The list of publications is divided in three categories: works developed by sectors at UNESCO/Brazil (direct publishing or co-publishing); publications elaborated by third parties that count on the institutional support of UNESCO; publications that result from specific technical co-operation projects with stakeholders.

DIRECT PUBLISHING OR CO-PUBLISHING:

EDUCATION:

- **From proclaimed values to experienced ones : transforming in acts the United Nations and UNESCO principles in school projects and educational policies. (UNESCO Brazil handbooks. Education Series; 7)**
Dos valores proclamados aos valores vividos : traduzindo em atos os princípios das Nações Unidas e da UNESCO para projetos escolares e políticas educacionais. (Cadernos UNESCO Brasil. Série educação; 7).
Cândido Alberto Gomes.
UNESCO, Rio de Janeiro State Government, Aug. 2001.
- **Educational policies : ideas and actions. (UNESCO Brazil handbooks. Education Series; 6)**
Políticas de educação: idéias e ações. (Cadernos UNESCO Brasil. Série educação; 6).
Jorge Werthein e Célio da Cunha.
UNESCO, 2001.
- **Schools of peace**
Escolas de paz.
Miriam Abramovay et alii. Translated by Romes de Sousa Ramos
UNESCO, Rio de Janeiro State Government, University of Rio de Janeiro, 2001.
- **Making room: education and culture for peace**
Abrindo espaços : educação e cultura para a paz
Marlova Jovchelovitch Noleto, coord. et alii
UNESCO, Jun. 2001.
- **Cochabamba Declaration : Education for all, accomplishing our collective commitments.**
Declaração de Cochabamba. Educação para todos: cumprindo nossos compromissos coletivos.
UNESCO, 2001.
Education for all : the Dakar commitment. World Education Forum. April 26-28, 2000.
Educação para todos : o compromisso de Dakar. Fórum Mundial de Educação, Dakar, 26-28 abril, 2000.
UNESCO, Consed, Ação Educativa, Ford Foundation, Apr. 2001.
- **Literacy : building the future. (Worker Education; 2)**
Alfabetização : construir o futuro. (Educação do trabalhador; 2)
Daniel Wagner.
UNESCO, SESI, CNI, Oct. 2000.
- **Personnel training for educational management in Latin America. (UNESCO Brazil handbooks. Education Series; 4)**
Formação de Recursos Humanos para a Gestão Educativa na América Latina. (Cadernos UNESCO Brasil - Educação; 4)
UNESCO, Oct. 2000.
- **Fundamentals of the new Education. (UNESCO Brazil handbooks. Education Series; 5)**
Fundamentos da nova educação. (Cadernos UNESCO Brasil - Educação; 5)
Jorge Werthein e Celso da Cunha
UNESCO, Oct. 2000.
- **The seven necessary knowledge steps to future Education.**
Os Sete saberes necessário à educação do futuro
Edgar Morin. Translated by Catarina Eleonora F. da Silva and Jeanne Sawaya
UNESCO, Cortez, aug. 2000.
- **Second International Congress on Technical and Vocational Education. Seoul, Republic of Korea, 26-30 Apr. 1999.**

Segundo Congresso Internacional sobre Educação Técnico- Profissional. Relatório Final. Seul, República da Coréia, 26-30 de abril, 1999.

Translated by Fernando Meirelles de Azevedo Pimental e Manuela Maria Corrêa Frazão
UNESCO, Jun. 2000.

- **Handbook on monitoring learning achievement: towards capacity building**
Rendimento da Aprendizagem : construção de competências
Vinayagum Chinapah. Translated by Francisca Aguiar
UNESCO, Carlos Chagas Foundation, Ed. Autores Associados, May 2000.
- **Education and transdisciplinarity**
Educação e transdisciplinaridade
Basarab Nicolescu et alii.
UNESCO, USP, Escola do Futuro, CESP, Apr. 2000.
- **Municipal educational managers : a profile**
Dirigentes municipais de educação : um perfil
UNESCO, Undime, Ford Foundation, Mar. 2000.
- **Citizenship and education: heading for a significant practice**
Cidadania e Educação: Rumo a uma Prática Significativa
Luis Abdala-Bertrand, org.
UNESCO, Papyrus, 1999.
- **Declaration of Hamburg : agenda for the future - Confintea**
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UNESCO, SESI, 1999.
- **Education for a sustainable future**
Educação para um futuro sustentável
UNESCO, 1999.
- **Education, work and unemployment: new time, new perspectives. (UNESCO Brasil handbooks. Education series; 3)**
Educação, trabalho e desemprego. (Cadernos UNESCO Brasil - Educação; 3)
Jorge R. Werthein
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- **Change and development policy on higher education**
Política de Mudança e Desenvolvimento no Ensino Superior
UNESCO, MEC/SESu , Garamond, 1999.
- **Trends on Higher Education for the XXI century. World Conference on Higher Education for the 21st Century. Reports. Paris, 5-9 Oct. 1998.**
Tendências da educação superior para o século XXI. Conferência Mundial sobre o Ensino Superior.
Anais. Paris, 5-9 out. 1998.
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- **School Scholarship : educational improvement and reduction of poverty**
Bolsa-Escola : melhoria e redução da pobreza
Julio Jacobo Waiselfisz, Miriam Abramovay e Carla Andrade
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- **Learning: the treasure within**
Educação : um tesouro a descobrir.
Jacques Delors, org. et alii. Translated by José Carlos Eufrázio
UNESCO, Cortez, 1998.
- **Higher Education and Mercosul**
O Ensino Superior no Mercosul
Jacques Veloso
UNESCO, MEC/SESu, Garamond, 1998.
- **New paths for secondary education: Brazil in perspective. (UNESCO Brasil handbooks. Education series; 1)**
Novos rumos do ensino médio: Brasil em perspectiva. (Cadernos UNESCO Brasil – Série educação; 1)
Cândido Alberto Gomes

- UNESCO, 1998.
- **How much does the enlargement of Secondary Education cost? (UNESCO Brasil handbooks. Education series; 2)**
Quanto Custa a Expansão do Ensino Médio? (Cadernos UNESCO Brasil - Série Educação; 2)
Cândido A. Gomes
UNESCO, 1998
- **Computer Science for basic education : a curriculum for schools**
Informática para a educação básica : um currículo para escolas
T. van Weert, coord.
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- **Paulo Freire: a biobibliography**
Paulo Freire : uma biobibliografia.
Moacir Gadotti
UNESCO, Instituto Paulo Freire, Cortez, 1997.

CULTURE:

- **Cultural dimensions of the global transformation: an anthropological approach**
As dimensões culturais da transformação global : uma abordagem antropológica
Lourdes Arizpe, org.
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- **World Cultural Heritage in Brazil**
Patrimônio Mundial no Brasil
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- **Cultural industries and regional integration: the cases of NAFTA, the USA and Mercosul.**
Las Industrias culturales en los acuerdos de integración regional: el caso del Nafta, la EU y el Mercosur.
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- **Our creative diversity. Report of the World Commission on Culture and development.**
Nossa diversidade criadora : relatório da Comissão Mundial de Cultura e Desenvolvimento.
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SCIENCE AND ENVIRONMENT:

- **Water Use in Brazil: first evaluation of today's situation and perspectives to 2025.**
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Carlos E. M. Tucci, Ivanildo Hespanhol e Oscar de M. Cordeiro Netto.
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- **Vegetation in the Federal District : time and space**
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O ecomercado de trabalho na reserva da biosfera do Cinturão Verde da cidade de São Paulo. (Cadernos da UNESCO. Série meio ambiente e desenvolvimento; 1)

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- **Science and power.**
Ciência e Poder
Federico Mayor e Augusto Forti, org. Translated by Roberto Leal Ferreira
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COMMUNICATION:

- **The child and the media : image, Education and participation**
A criança e a mídia : imagem, educação e participação
Cecilia von Feilitzen e Ulla Carlsson.
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- **Children and media violence**
A criança e a violência na mídia
Carlson, U. & Feilitzen, C., org
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- **Innocence in danger : child sexual abuse, child pornography, and pedophilia on the Internet.**
Inocência em perigo : abuso sexual de crianças, pornografia infantil e pedofilia na internet.
UNESCO, Abranet, Garamond, 1999.
- **Youth's perception of violence in mass media communication. (UNESCO Brazil Handbooks – Human Rights series; 1)**
Percepção dos Jovens sobre a Violência nos Meios de Comunicação de Massa. (Cadernos UNESCO Brasil - Direitos Humanos; 1)
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SOCIAL SCIENCES/SOCIAL DEVELOPMENT:

- **Cultivating life, disarming violence : experiences in Education, Culture, leisure, sports and citizenship among youth in poor conditions.**
Cultivando vida, desarmando violências : experiências em educação, cultura, lazer, esporte e cidadania com jovens em situações de pobreza
Mary Castro et alii.
UNESCO, Brasil Telecom, Fundação Kellogg, Banco Interamericano de Desenvolvimento, Aug. 2001.
- **UNESCO Brazil : new signs of action. (English and Portuguese versions)**
UNESCO Brasil: novos marcos de ação. (versões em inglês e português)
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- **Struggling partners or pots and pan coordinators? : gender relationship in rural assessments.**
Companheiras de luta ou coordenadoras de panelas? : as relações de gênero nos assentamentos rurais.
Maria das Graças Rua and Miriam Abramovay
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- **Latin America : a region of risk, poverty, inequality, social institutionalism. (UNESCO Brazil Handbooks. Social development series; 1)**
América Latina : uma região de risco-pobreza, desigualdade e institucionalidade social. (Cadernos UNESCO Brasil. Série desenvolvimento social; 1)
Bernardo Kliksberg. Translated by Norma Guimarães Azeredo
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- **Map of violence II : youth of Brazil.**
Mapa da violência II : os jovens do Brasil.
Julio Jacobo Waiselfisz
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- **Street children**
Meninos de Rua

- M. Filomena Gregori e C.A. Silva
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Desigualdade na América Latina : o debate adiado
Bernardo Kliksberg. Translated by Sandra Trabuco Valenzuela.
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Engendrando um novo feminismo : mulheres líderes de base
Miriam Abramovay and Mary Castro
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 - **Say it gang: youth, violence and citizenship in Rio de Janeiro**
Fala galera: juventude, violência e cidadania na cidade do Rio de Janeiro
Maria Cecília de Souza Minayo et al.
UNESCO, Garamond, 1999.
 - **Gangs, crews, buddies, and rappers. (English and Portuguese versions)**
Gangues, galeras, chegados e rappers
Miriam Abramovay et alii. . Translated by Cláudia Kern.
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 - **Youth from Curitiba : hopes and disillusion, youth, violence and citizenship.**
Jovens de Curitiba : esperanças e desencantos, juventude, violência e cidadania.
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