



Modelo de Avaliação do Desempenho e Benchmarking da Sustentabilidade do Sector Público

Seminário – Avaliação de Desempenho e Benchmarking de Sustentabilidade no Setor Público

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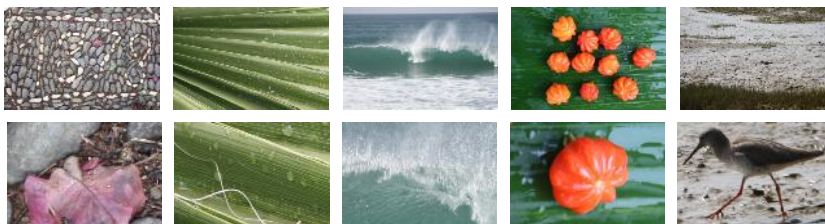
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Performance Evaluation of Public Environmental and Sustainability Policies



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I. Introduction and Objectives



I. Introduction and objectives

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- ✓ The performance evaluation of public sector environmental and sustainability policies provides particularly useful information for the top decision-makers and all key actors – is one of the most challenging targets at an international level;
- ✓ In opposition to the private sector performance evaluation in the public sector is more recent, showing a smaller number of initiatives;
- ✓ There is little scientific information in the evaluation of environmental performance and sustainability in public organizations;
- ✓ Nevertheless, there are several countries where it has already been implemented practical work undertaken by their governments.



I. Introduction and objectives

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- ✓ Many of these initiatives focus mainly on the environmental dimension of sustainable development and in measuring and evaluating the operational performance of governments:



such as energy, water and materials consumption, waste production, air and water emissions, environmental training, reporting, among many others, frequently associated with EMS;

- ✓ In most cases, it is ignored the integration of operational and strategic aspects;

- ✓ Environmental and sustainability performance assessment of policies, plans, programs has been increasingly recognized by public organizations as a fundamental step to evaluate the integration of sustainability objectives in government activities and processes, showing how well they provide their services and products:



Strategic Environmental Assessment (*Ex ante* assessment)



I. Introduction and objectives

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✓Public organizations should also evaluate the effective outputs and sustainability outcomes of the decision making processes

✓ *Ex post (follow-up) Assessment:* through a strategic monitoring framework are identified and evaluated the implementation effects of the strategic initiatives of the public sector (policies, laws, regulations, plans or programs).

✓Sustainability monitoring requires aggregate approaches, based on the integration of the different sustainability domains:



For this purpose, highly aggregated information is needed and performance indicators could play a central role in this kind of evaluation process.



I. Introduction and objectives

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✓The main objective of this research was to present a conceptual model for performance evaluation of public environmental and sustainability policies;

✓To put the proposed framework into practice the Portuguese Environmental Ministry case study was analyzed:

✓ identifying and evaluating the planned environmental policies for the period 2005 to 2009, and respective objectives, goals, targets and measures;

✓Developing a set of performance policy indicators.

✓This paper results from a larger research work developed in 2008-2009 for the Portuguese Ministry of the Environment and Spatial Planning.



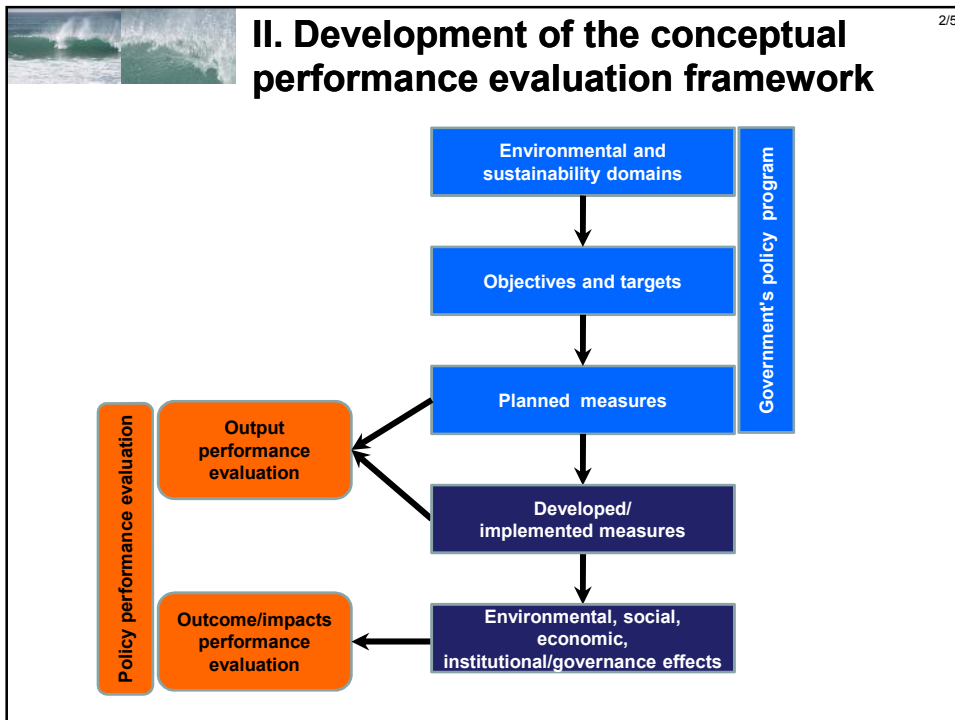
II. Development of the conceptual performance evaluation framework



II. Development of the conceptual performance evaluation framework

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- A conceptual performance evaluation framework of environmental and sustainability policies was developed, aiming the top strategic level of the government action – government policy program
- This developed model seeks to incorporate the main relationships between the different categories of policy performance monitoring.
- This model does not attempt to support any individual assessment of the outcomes and impacts of specific sectoral policies, plans or programs (e.g. a National Climate Change program), rather it is proposed an integrated evaluation approach for monitoring the environmental policy program of an elected government
- The proposed framework was developed taking into account the input-processes-output-outcomes model. The evaluation framework was designed to include the main policy “products”/“services” and information flows.



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- ## II. Development of the conceptual performance evaluation framework
- The proposed model includes the following components for each environmental/sustainability policy domain:
- **Policy objectives and targets delimitation** – objectives and targets identified in the government policy program
 - **Policy evaluation**
 - (i) **output performance:**
 - For each planned measure we have the identification of the existence of significant relationship (yes or no) between the planned and all the developed/implemented measures identified for the related specific policy domain;
 - For each planned measure an integrated assessment is produced through a classification of the degree of achievement in the various categories;
 - This evaluation analysis is accomplished through a qualitative expert assessment of the policy level of achievement. The panel of experts should involve academics and other specialized practitioners to conduct all the process, assuring an independent evaluation of the policy program.



II. Development of the conceptual performance evaluation framework

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Matrix of planned against developed/implemented measures

| Environmental and sustainability policy domain | | | | |
|--|---------------------------------|---------------------------------|---------------|-----------------------|
| Objectives and targets | | | | |
| | Developed/implemented measure 1 | Developed/implemented measure 2 | ... measure m | Degree of achievement |
| Planned measure 1 | Y/N* | ... | | A/PA/NA** |
| Planned Measure 2 | ... | ... | | ... |
| ... | ... | ... | | ... |
| Planned Measure n | ... | ... | | ... |

* Y/N – yes or no: existence or not of significant relationship between the planned and the developed/implemented measure.
 ** A – planned measure accomplished; PA – planned measure partially accomplished; NA – planned measure not accomplished or not enough information available to assess it.



II. Development of the conceptual performance evaluation framework

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(ii) **outcome/impacts performance: assessment of the policy measures effects, analysing the contribution to the objectives and goals identified in the Policy Program.**

The assessment is carried out through a set of **outcomes/impacts performance indicators** – the core component of the evaluation framework;

Several specific criteria were used for the selection process;

This evaluation will measure to the **effectiveness of the policy outcomes**, verifying the contribution for the achievement of the objectives and targets;

Each indicator was classified in two levels: (a) **current data analysis** and (b) **expected future trends** according to the following performance categories:

 **positive trend: approaching the objectives and targets**

 **without significant changes**

 **negative trend: deviation from the objectives**



II. Development of the conceptual performance evaluation framework

| Environmental/sustainability policy domain | | | |
|--|---|--------------------------------------|---------------|
| Indicator | Assessment | Effectiveness of the policy outcomes | Future Trends |
| Name and brief description | Assessment of the policy measures effects, analysing the contribution to the objectives and goals identified in the Policy Program. | | |



III. Performance evaluation of the Portuguese Environmental policies



III. Performance evaluation of the Environmental policies

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The Portuguese Ministry of the Environment

- ✓ The Ministry for Environment and Spatial Planning is the Portuguese government department whose mission it is to define, implement and coordinate policy for the environment, regional planning and cities;
- ✓ This government department have 28 independent institutions;
- ✓ Up to 2009 the Portuguese Ministry of the Environment integrates three main areas: Environment, Spatial Planning and Regional Development;
- ✓ The Portuguese public policies are established by the Government's Policy Program for a period of four years. The environmental and sustainability related policies integrate several specific chapters of this document;
- ✓ The 17th Portuguese government has defined, on its program, environmental and sustainability policy objectives, targets and measures to be addressed throughout 2005 – 2009 by the government environment department;
- ✓ Adjustments to these main strategy are accomplished by the Government's Planning Options reports for the following periods: 2005 – 2009, 2007, 2008 and 2009.




III. Performance evaluation of the Environmental policies

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Output Performance: Planned and Developed/Implemented Policy Measures

- ✓ The identification of the government's **environmental policies measures planned** for the period 2005 to 2009 was done through a content analysis of the Government Program for that period and the related Government's Planning Options reports;
- ✓ The public policy measures were associated with the following environmental and sustainability twelve domains:
 - water supply and wastewater sanitation;
 - water resources;
 - solid wastes;
 - noise and air quality;
 - climate change and energy;
 - biodiversity and nature conservation;
 - coastal areas; land use planning;
 - urban planning;
 - local and regional development;
 - environmental management and assessment tools;
 - Interdisciplinary and intersectoral domain.
- ✓ The **objectives and targets** were identified for each domain. About **221 planned measures** were also individualized and associated with one of the twelve closest sectoral policy areas. **More than half are regulation measures and about 30% are financing measures.**




III. Performance evaluation of the Environmental policies

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Output Performance: Planned and Developed/Implemented Policy Measures

- ✓The identification of the government's policies measures developed/implemented by the Ministry of the Environment was done through the content analysis of the government's activity reports for the period 2005 to 2009;
- ✓Besides, several other sectoral reports were also considered to complement and cross-validation of the data obtained;
- ✓Overall, about 273 developed/implemented measures were individualized and associated with one of the twelve closest sectoral policy areas. About 60% are regulation measures followed by the financing measures with 20%;
- ✓Twelve domain specific matrixes of planned measures against developed/implemented measures were developed;
- ✓Overall results show that the planned government's measures have a significant degree of achievement for the period 2005-2009, contributing to the achievement of desired objectives.



III. Performance evaluation of the Environmental policies

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Outcome/Impacts Performance: Development of Policy Indicators

- ✓In this research, where the main aims are outcomes/impacts-oriented, the policy indicators was considered with particular importance;
- ✓The selection process resulted in a set of 59 indicators which were presented and discussed with the Ministry staff;
- ✓The indicator set was developed particularly to satisfy policy level needs, i.e. the indicators proposed are made up of key policy relevant areas;
- ✓These indicators have a high information content and are relevant to communicate the sector's public policy performance results and impacts to decision-makers and the general public;
- ✓The direct involvement and collaboration of the government resources was important to obtain part of the raw data, since some of this was not available. Nevertheless, the majority of the indicators were determined from data collected in the public institutions internet sites and official publications.

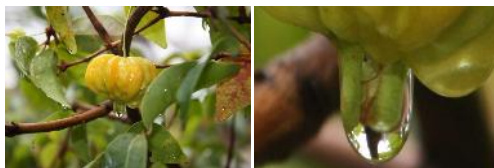


III. Performance evaluation of the Environmental policies

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Outcome/Impacts Performance:
Development of Policy Indicators

- ✓The data analysis of each indicator allowed a qualitative evaluation of its current trend and the expected future trend regarding the achievement of the policy objectives and targets;
- ✓Overall, many indicator show positive signals for several domains (water supply and wastewater sanitation;biodiversity and nature conservation; solid waste), even though some outcomes and impacts will only be effective for the medium or long term;
- ✓It must be stressed that despite a fair or even high degree of measures achievements(regional development and land use planning) presented negative signals for the effectiveness of the adopted measures, with deviation from the objectives and targets;
- ✓Policy implications usually have an important time delay from the time it was developed and implemented to the time it will produce real effects, producing changes in the performance indicators;
- ✓On the other hand policy effects could be mainly indirect and cumulative, therefore some of the outcomes and impacts will be hardly evaluated through direct measures.



IV. Conclusions



IV. Conclusions

- ✓The policy as a “product” can have potential outcomes/impacts that are mainly indirect, immaterial, uncertain and very difficult to assess;
- ✓Policy decisions generally reflect an adaptive, flexible, dynamic, iterative and incremental process, leading to an extraordinary degree of complexity for the follow-up monitoring;
- ✓Government’s plans and programs are often blurred extensive documents, presenting a weak structure, with the good news and intentions as the most abundant signals;
- ✓The performance evaluation of public sector environmental and sustainability public policies is an strategic and challenging research field which is, up to now, not completely supported by an adequate literature;
- ✓Therefore, the complexity and the dimension of this policy domain are important limitations to take into account. Due to this cross-cutting domain and sector interactions, establishing the evaluation target and scope is one of the main tasks.



IV. Conclusions

- ✓In this research, a conceptual framework was developed to evaluate the performance of public environmental and sustainability policies.
- ✓Several evaluation matrixes of planned policy measures against developed/implemented policy measures and policy indicators were adopted in a national case study – the policy program of the Portuguese Ministry of Environment.
- ✓The usefulness of this methodology was tested and demonstrated.
- ✓Overall case study results showed some positive signals but they should be read with particular care, e.g. strategic nature of evaluation target and the raw data sources.
- ✓More than try to obtain precise answers the developed framework gave insights to understand if the followed policy strategies were implemented in the right direction and what future trends can be expected.