The role of Delivery Units in the implementation of public policies and services

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Acknowledgements

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ABSTRACT
Governments worldwide have been facing huge budget constraints together with great pressure from society to better deliver public policies and services. In this scenario, state legitimacy depends not only of institutional mechanisms of participation, but also of concrete results to the lives of its citizens. For that reason, building strong state capacity to implement public policies and services is in the center of the debate. This paper intends to show how enhancing the steering capacity of the state, along with its coordination and performance management functions, can promote positive results – for the state itself and its population. Delivery Units have a great role in that regard, as they are an important tool governments in many regions are deploying in order to more effectively establish priorities, coordinate efforts and monitor results.

Keywords: State legitimacy, public administration, public policy implementation, centers of government, delivery units.

Disclaimer: the opinions expressed in this paper do not necessarily express the views of the Brazilian government on the subject.
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Introduction

The performance of the government is an issue that affects states worldwide. Public policies are increasingly subject to cost-benefit evaluation, in a context where mounting deficits and debt are placing enormous pressure on governments to cut spending. Besides financial constraints, the public sector also faces huge bureaucratic and administrative challenges in order to deliver sound public policies and services to its citizens.

State performance is, therefore, still an unresolved (and urgent) problem for countries to address. For that reason, national leaders around the world have been vocal advocates of reform in the public sector as a way to comply with increasingly impatient citizens who can no longer accept the combination of small public action and heavy taxation.

The United Kingdom Prime Minister, David Cameron, once said: “As part of our long-term economic plan, we have cut the costs of Whitehall and improved the way government is run. But the job of changing our country is far from done.” Similarly, the President of the United States, Barack Obama, stated that: “If we believe the government can make a difference in people’s lives, we have the obligation to prove that it works – by making government smarter, and leaner and more effective…”

Brazil, for its part, has made efforts to overcome its bureaucratic heritage and to better deliver public policies. However, as in many other countries, Brazil continues to have a state that, in the eyes of its citizens, has an unstable implementation record. Or, in other words, a state that implements haphazardly, with many losses (both material and immaterial) along the way.

This is a situation that raises important questions regarding the way citizens think about their governments:

...the public views the federal government as a chronically clumsy, ineffectual, bloated giant that cannot be counted upon to do the right thing, much less to do it well. ... Failure is also common in the private sector, of course. ... But, whereas consumers dissatisfied with private providers can usually take their business elsewhere (as Blackberry and other companies have discovered), discontented citizens are stuck with the government they have, until next election. Why, then, most members of such a successful society so disparage their government? ... The most straightforward answer is that the federal government does in fact perform poorly in a vast range of domestic programs.¹

In a context where resources are finite and social demands are endless and ever more sophisticated someone could arguably raise the question: **how then can states build effective institutional capacity to increase its performance?**

Carlos Santiso, the Head of the Division of the Institutional Capacity of the State at Inter-American Development Bank (IDB), points to some interesting issues to take into account while trying to answer that question:

Criticism of the capacity of the state to deliver quality services has become widespread, generating cynicism and undermining trust in government. Too often, governments overpromise and underdeliver, faced with increasingly complex problems and citizens’ pent-up expectations. Reinventing the state is about restoring trust in the government’s ability to deliver better public services; it is about leaner and smarter government capable of bridging the gap of expectations between citizens’ demands and governments’ capacity. This, in turn, calls for a rethinking of how government and citizens interact in a digital age. Achieving good governance requires the right mix of legitimacy, that is, being responsive and accountable to citizens; capacity, that is, the ability to get things done; and autonomy, that is, protection from political meddling. There is thus renewed interest in how to measure and strengthen state capacity, government effectiveness, and democratic accountability.²

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This paper will focus on the “capacity” aspect of the problem or, in Carlos Santiso words, “the ability to get things done”. To get there, this paper will go from the broader theme of state bureaucracy and public sector reform to the specific issue of public policy delivery and how the Delivery Unit arrangement can help promoting better implementation.

First of all, why performance matters to the government? It will be argued in chapter 1 that, nowadays, states legitimacy depends on performance; and performance depends on measuring results. In other words, governments worldwide cannot count anymore upon democratic electoral processes alone to take legitimacy for granted. The new “social pact” between governments and citizens now relies on visible, measurable results. In this process, taking the issue of public management (the “design and operation of the government”) more seriously is a condition for the state to deliver better public policies and services (the content of government’s operation).

However, what is the measure of state performance? In other words, in a context where states should make every money count, it can be said that performance is all about saving money or spending it more wisely? Will citizens be better off if they just give an “optimization mandate” to their government leaders? Chapter 2 will try to demonstrate that the answer to both question is “no”. Governments everywhere must be committed to results that actually transform the lives of its citizens and, for that reason, they must act with a good sense of direction and purpose.

After the debate over state legitimacy, and how it is closely related to state performance and effective results delivered to society, another important aspect of the subject is addressed: how to deliver those results? Chapter 3 concludes the previous discussion and returns to the main argument: strong centers of government with greater steering and monitoring capacities are essential for improving implementation of public policies and public services. That is why Delivery Units have such an important role to play.
Additionally, it is worth mentioning some aspects of this paper that deal with reader’s expectations. First, as an essay, these next pages are limited in both length and depth when analyzing the issue of state performance. For that reason, the invitation is for an overview on the subject and some indications of what might be useful views and proposals in order to make the Brazilian state delivering more and better.

Secondly, the intention is to make this paper as practical as possible. After all, as James Q. Wilson conveniently states it: “If we are to make the best and sanest use of our laws and liberties, we must first adopt a sober view of man and his institutions that would permit reasonable things to be accomplished, foolish things abandoned, and utopian things forgotten.” For that reason, the lessons learned offered in the last chapter of this paper can eventually generate reflections (and, hopefully, some action) by the Brazilian state.

In order to be practical, this essay is also connected to the environment in which the Brazilian government operates. Therefore, Brazilian organizational culture and structure, although not explicitly contemplated or theoretically developed here, are always kept in mind when developing the issue. One important aspect of it comes from some recent experiences regarding strategic planning processes in the Brazilian federal government.

The usefulness of strategic planning to the implementation of public policies and services is beyond doubt: it gives the organization clearer view, specific targets, resource prioritization, comprehensive stakeholders mapping and collective mobilization. In order to make it work, there are always many challenges to be addressed. From the way reports are designed to the way top public officials support the plan and interacted with external actors (the “governance side” of the plan), many things are taken into account in order to have a successful process and outcomes. One particular issue from the “governance standpoint” that Brazil faces is how to effectively align the strategic plan of a particular public organization (a Ministry, for example) with the urgencies and priorities of the

Presidency of the Republic. Although it can be expected that those things should always be aligned, the fact is that they are not. The real world is so dynamic and complex for this to easily happen.

In this sense, unless the Ministry and the Presidency operates timely and in tune, there are chances that things won't end up well for both parts, as the Presidency activities are highly impacted by unproductive, unaccountable and unresponsive Ministries.

For that reason, adjusting the public governance is the unmistakable right thing to do if the government is to operate more efficiently and to deliver better services and policies to the citizens.

There is no other way around it: this adjustment must be led by the Presidency. Any isolated strategic plan and action by the Ministries couldn't succeed if not embraced by the President in charge and its staff. As far as coherence and effectiveness are concerned, states priorities must be defined, monitored, evaluated and communicated by the centre of the government:

The strategic management of the state requires agile centers of government able to steer, coordinate, and regulate public policies. It also requires the ability to plan and budget strategically, managing public spending effectively using robust information management systems, and monitoring and evaluating the impact of public service delivery ..."³⁶

The right and effective governance arrangement from the center of the government is a tool to foster better and more effective public policies delivery in an era of complex inter-agency challenges.

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Chapter 1
Perspectives on red-tape, state legitimacy and public sector reform: what states have been missing?

Brazilian state is acknowledged for being highly centralized and regulated. Up to the present moment, the rigidity of State action is one of the greatest difficulties faced by public managers in the federal, state and local contexts.

Throughout Brazilian history, successive governments have made efforts in order to overcome this dismal bureaucratic tradition. However, those efforts were often more theoretical than practical, more punctual than widespread. For that reason, in general, the message public servants daily receive in their office desks is: procedures, compliance and operation controls matter the most. That is why public institutions were often established and expanded along with the creation of “a burgeoning army of ‘waste-watchers’”.\(^7\)

As a consequence, the public sector became overwhelming in its control areas, but a dwarf when it comes to delivering timely, relevant, cost-benefit, and citizen-oriented public policies. In this context, it’s extremely difficult to claim for change, innovation and reform.

In the face of so many rules and resources (both human and financial) directed at controlling the public manager’s action, it is not difficult to guess that there has been increasingly less room for the use of discretion – a necessary tool to promote creative solutions and innovation. To a great extent, it happened by the distrustful climate and culture that permeates public administration in Brazil. In his studies about simplification and removal of red-tape, Hélio Beltrão expressly stated that: “it is necessary to get the morbid

presumption of fraud out of legislators and managers’ minds. It is the fear of fraud that creates bureaucratic complication [...]”.  

Tied to rigid and detailed rules, public servants are much more comfortable with a “self-preservation” idea of doing right by government rather than doing better by people, which requires change for effective results.

Besides legal and bureaucratic constraints, public managers need to deal with yet another factor limiting their actions: resources are finite, whereas social demands are endless and increasingly more sophisticated.

This is actually a double-edged sword: on the one hand, complex environment and expanded portfolio of government activities; on the other hand, the rise of citizenship expectations urging governments to do more things in a better, efficient manner.  

**State legitimacy at stake**

“The challenges we face are great but cynicism about the ability of government to make a difference has grown”

Michael Barber

To respond to that, it is imperative that governments stop putting resources in the transactions instead of the delivery. The government “engines” must function better and efficiently, as citizen’s higher expectations along with poor public policies and services delivery have contributed to an ever increasing gap between those who govern and those who are governed.

For that reason, probably one of the most important issues concerning state reform and what it ultimately should address is citizen’s distrust in their governments. Because of

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that, discussing state reform to improve its performance is synonymous with the basic issue of state legitimacy: “... the players in the public policy arena have to earn the trust of those for whom they claim to be working, rather than claiming legitimacy simply on the grounds that they were elected or that they are part of a prestigious profession.”

At the end of the day, reforming state to better deliver services is a process of reviewing its functions and role in order to reconnect it with citizens. As Christopher Pollitt and Geert Bouckaert states:

Public management reform is usually thought of as means to an end, not an end in itself. To be more precise we should perhaps say that it is potentially a means to multiple ends. These include making savings (economies) in public expenditure, improving the quality of public services, making the operations of government more efficient and increasing the chances that the policies which are chosen and implemented will be effective. On the way to achieving these important objectives, public management reform may also serve a number of intermediate ends, including those of strengthening the control of politicians over the bureaucracy, freeing public officials from bureaucratic constraints which inhibit their opportunities to manage and enhancing the government’s accountability to the legislature and the citizenry for its policies and programmes.

Public management reform, as seen in this paper, “consists of deliberate changes to the structures and processes of public sector organizations with the objective of getting them (in some sense) to run better”. In other words, public management reform should aim to better implement public policies and deliver public services.

Making the case for better public management

Taking the Brazilian political context, the next big attempt to reform the government should have a very specific result-driven agenda. Brazil must realign the making of public policies and services with good, result-oriented public management. There should be an

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12 Ibid., p. 8.
interdependence path where public policies and services will never make full sense without assessing quantifiable results and effective implementation.

In this context, for all the contribution that good and useful management instruments, processes and arrangements can offer to the implementation and delivery of public policies and services, governments should definitely stop regarding public management as a second-class issue – which unfortunately persists to be the case for most countries:

Systematic studies of government performance exist, but they are rarer than one might think. ... ‘Based on our rough calculations, less than $1 out of every $100 of government spending is backed by even the most basic evidence that the money is being spent wisely, which is hardly surprising given that in the hugely costly health care area, ‘less than $1 out of every $1000 that the government spends ...this year will go toward evaluating whether the other $999-plus actually works’. And those studies that are conducted are narrow in scope. Alan Gerber and Eric Patashnik report that political scientists ... publish four times as many works on distributive issues than on studies of government effectiveness." 

In his book “Limits of Administration”, Christopher Hood insists on the “importance of focusing on the ‘administrative factor’ in the implementation of public policies.” In the years to come, there must be a greater concern on the part of public sector leaders and citizens that “policy management structure” should be equivalent to the challenges to be faced. It is not an argument for bigger governments, but strong, smart ones.

Regarding that perspective, public management should be regarded as a highly central (core) activity of the state as much as public policy and control/audit activities also should be. Although some might disagree, public management should (in the worst case scenario) at least be valued by the costs of managing the state activities. After all, the cost of every public policy or service that a state delivers is not confined to the budget resources
that are assigned to it. There are management costs that are translated as organograms, processes, people and time.

At the end of the day, in the eyes of the citizens, the major cost is not having the policy implemented at all. For that reason, it could be argued that state performance is intrinsically related to a view of public management that is committed to regain the appreciation of citizens by promoting a smarter, more delivery-oriented bureaucracy.

As it will be demonstrated in the next chapter, it is not merely a demand of the society, but a fundamental right that every state owes to their constituents: the right to a good administration.
Chapter 2
Perspectives on the right to a good administration, strategic management and performance in the 21st century.

As mentioned before, performing well should be a duty of the State and, above all, a right of the taxpayers/citizens, which can be added to other rights and principles in what is known as the right to a good administration: ¹⁵

This is the fundamental right to an efficient and effective public administration, a proportional observant of its duties, who acts with transparency, motivation, impartiality and respect to morality, social participation and plain accountability for its actions, either omissive or commissive. To such right corresponds the public administration’s duty to observe, in administrative relations, the biding nature of all constitutional principles that govern it: ¹⁶

This right is understood to be implicit in the constitutional text, especially in the set of principles that guide the public administration’s actions and conducts. However, these principles cannot be considered in isolation. None of them is, per se, able to give a proper account of the real extension and importance of the concept of good public administration: ¹⁷

Let’s take for instance the so-called principle of efficiency. If not combined with the other constitutional principles, the principle of efficiency is not self sustainable as a guideline for the achievement of goals and improvement of the performance of the state. In other words, “the constitutional principle of efficiency does not exhaust itself just in the

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¹⁵ Diogo de Figueiredo Moreira Neto, in this regard considers that: “A good administration is not an available end among others that may eventually be achieved by the public power: it is a constitutional duty of whomever engages freely and willingly in managing the public interests. That is why the good administration corresponds to a civic right of the managed; it is implicit in the very notion of citizenship”. MOREIRA NETO, Diogo de Figueiredo. Curso de direito administrativo: parte introdutória, parte geral e parte especial. 15ª Edição. Rio de Janeiro: Forense, 2009.


¹⁷ The European Union was the first to recognize the term "Right to a Good Public Administration" as a fundamental right of a given community (Article 41 of the Charter of Fundamental Rights).
correct employment of its available resources, as supposed by those in the administration field. The achievement of results previously defined must be considered simultaneously. Otherwise, this principle would be something of an “optimization mandate” – which is not sufficient. As a matter of fact, none of the principles of public administration, within its own boundaries, is sufficient if state actions are not embedded by a sense of direction.

In other words, the state performance must not be considered only by the optimization or reduction of costs. More than ever, citizens need to see results: less traffic, less crimes, more public schools, better public transportation, etc. And governments, for its part, need to be accountable for where they are going to – and if they are actually being successful on chosen direction.

The role of strategic management

Without direction, achieving state objectives would be comparable to hitting “moving targets”: although you can actually hit them, you just don’t follow a path; you just stand still pointing around your view. This situation evidently withdraws from the state action all chances of purpose and concrete generation of positive and sustainable results for society. As a matter of fact, the existence of one or more "moving targets" prevents the generation of adequate public awareness about state concrete performance. After all, when devoid of a clear "arrival point" and a previously and critically outlined pathway to get to it, what are the chances that the state will understand and also communicate the real dimension of its role to promote national development and welfare for the society?

For that reason, strategically planning and managing state action are well known for offering benefits in order to improve state performance. The following benefits are included:

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i. The opportunity to focus more on results than on procedures, creating a culture of assessment and value creation;

ii. When it comes to the finite nature of the resources available to a state, it allows it to properly prioritize its use;

iii. It provides greater transparency, critical-thinking and justification for state measures, which may foster state scrutiny by society and other interested parties (market agents included);

iv. It better allows reasoning about the conditions and general capacities (political, economic, legal, organizational, etc.) necessary to achieve a specific goals; and

v. If properly internalized as a consistent practice of the public administration, it creates institutional predictability and sets up trust, from the market and society, in the stability and credibility of State action in the future.

Unfortunately, many countries – Brazil included – have often missed the opportunity to fully take advantage of those benefits. For the most part, they give too much attention to plan (the written document) more than they do to planning (the process, the recurrent practice).¹⁹

This often happens because of one of two situations: countries either take strategic plan just as a bureaucratic process or they face a problematic “maturity gap” between planning and management, where planning functions, although frequently insufficient and rigid, are more developed than management ones. This result in a situation where planning becomes distrusted because there are not enough management structures to support and implement the initiatives once planned.

Brazil is a good example of this situation. Jose Cardoso is one to affirm that, in order to make the country industrialize faster, there was an imbalance between planning and management functions:

The sense of urgency that is associated with industrialization task causes the apparatus of planning, albeit precarious and insufficient, get organized and go faster so that the very structure of other administrative apparatus of the State, including those intended for public management itself – with obvious emphasis on systems for structuring and managing the bureaucracy, as well as the collection of functions, budgeting, management of currency, implementation, monitoring, evaluation and control of government actions – come only in tow, later against planning.20

Years later, during the 90’s, the problem for Brazil was of a different nature: state planning was invaded by a “fiscalist” approach focused on rationalization, bureaucracy management and a boost to budget and taxation functions: “by this expedient, plan becomes understood often only as a process through which they are made compatible actions to be performed with the expected budgetary limits.”21

There are other set of reasons that, in general, prevent countries to make planning more of a habit than just a piece of paper. One is that politicians tend to be short-sighted, mostly because of electoral cycles. As Peter Schuck states:

This radical present-orientation undermines the credibility that the government must have in order to induce others to make the long-term investments in reliance on government promises – investments that are often essential to policy success. Instead, programs are designed in order to address only current and short-term political needs.22

There is also the question of “bad bureaucracies” that can be manifested in many different ways. One of them is what in chapter 1 was called “self-preservation” behaviour of public servants, often translated to the phrase: “I don’t make the rules, it’s the way we have

21 Ibid., p. 12.
always done things”. Or in Peter Schuck words, “making their work easier by using a rule-driven checklist approach.”

Quite too often, this legalistic and rigid approach leads to inflexibility and mismanagement. As a consequence, “since tools are relatively fixed and the social complexity is ever-increasing, this chasm between policy means and ends can only widen in the future.” As an outcome, states are ill equipped to implement or deliver what it once has planned.

Getting rid of the “crises management mode”

The fact is that states fail to strategically manage state action and to actually deliver public policies that meet citizens’ expectations. In the absence of strategic management of actions, prioritization, culture of assessment and value creation, states react passively, often in “crisis management mode”.

As Jeffrey Zients, ex-Deputy Director of Management and Federal Chief Performance Officer of the United States government, states it: “This is hard in government because senior political leaders tend to focus on policy development in crisis management –not execution and not implementation.”

Although it must be recognized that governments have to deal with crisis situations and unexpected issues arising, it also should be recognized the utility to manage few priority issues strategically. Issues to which governments have to stick no matter what in order to give content to their commitments. As Carlos Matus states it, “Politics requires that commitments are expressed as results announcements.”

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23 Ibid., p. 314.
The necessity to deliver or to really commit to “result announcements” is directly related to our argument in this paper. For that reason, it is just unexpected that the above mentioned gap between planning and delivering is not well resolved yet in many national contexts, despite the fact of being an urgent issue:

... the problem of delivering occupies little space in the planning theory when the plan is complete only when action takes place, never before. ... As a result, a central theme of concern should be the study of the forces that, at the time of action, proclaim the domain of improvisation over the plan or the plan over improvisation.27

When improvisation takes place – or is the only thing in place –, there is a kind of aimless management that causes government to end up satisfied with a second best approach to the problems it faces.

If it is also considered that governments are typically implementing a diverse range of major projects, ranging from transportation to education with lots of stakeholders involved, the question of policy coordination immediately arises. In a world where problems are increasingly multidisciplinary in nature and possible solutions are only possible through crosscutting action, the problem of improvisation is no longer just a problem; it is really a nightmare.

Coherence and coordination from the center

It is unmistakable that “... the problems our government faces require that same sort of collective action day in day out. ... it takes management rules, procedures and leadership to enable federal agencies to work in a more unified and coordinated manner.”28.

In a context of aimless management and effort fragmentation due to the lack of strategic management, goal clarification (direction), results assessment and weak policy

27 Ibid., p. 137.
coordination, leadership and responsibility must come from the center of the government. It is not to argue in favor of a more centralized of action, but to deal with the real fact that monitoring priorities and pushing for right and timely delivery should be done by the one who should care the most: the top executive chief in charge of the nation, state or city.

Michael Barber, a British specialist on government reform and former head of the Prime Minister’s Delivery Unit (PMDU) during Tony Blair’s second term, believes that there are some necessary steps to make states to deliver more. Among them, it can be cited: i) set some few priorities and turn them into measurable goals; ii) set up a dedicated unit – Delivery Unit – that is focuses on delivering those priorities; iii) make sure you get facts, data and projections that give you the sense that you are going in the direction you planned; iv) create routines; v) have a problem-solving attitude; and vi) persist.

The “Delivery Unit” approach is consistent with this paper’s objective of addressing the issue of state performance measurement and enhanced public policies delivery. By strengthening the institutional capacity of the state to strategically manage and evaluate its priorities and results, there are better chances for the state to respond to the most pressing issues at hand.

So where to start? Carlos Santiso suggests a direction: “There are two crucial areas: improve the capacity of the executive to steer government and put statistics at the forefront of policy design. An effective state requires a strong strategic core – not a strong state.”

In the book “Reinventing Government”, David Osborne and Ted Gaebler are very clear about the benefits of focusing on the steering capacity of states:

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29 Institute for Government. (2015, March 20) How to run a Government so that citizens benefit and taxpayers don’t go crazy. Retrieved from https://www.youtube.com/watch?v=VLqLVb469P4
...governments we saw that steered more and rowed less – like St. Paul – were clearly stronger governments. ... Governments that focus on steering actively shape their communities, states, and nations. They make more policy decisions. They put more social and economic institutions into motion. Some even do more regulating.\(^{31}\)

Moreover, they argue that it was in that process of considering the importance of the steering capabilities that governments begun to be aware of their lack of management expertise. This is an issue that has already been raised in the previous chapter: the lack of public management capacities by the government. In general, governments “... often find that they have no real policy management capacity. ... Policy management is done on the fly – or not at all. As governments embrace a more catalytic role, they are often forced to develop new organizations to manage the steering role.”\(^{32}\)

The next chapter is dedicated to the study of how this “strong strategic core” can effectively contribute to a better delivery of public policies and services.


\(^{32}\) Idem, pp. 39-40.
Chapter 3
Building the core, delivering results.

What are Delivery Units?

To start, the discussion on Delivery Units should be focused on the broader area of what theory calls “Centers of Government”. As a matter of fact, the definition of Centers of Government does not adhere to a single standard, but rather varies in its understanding. Despite that, this paper will embrace the concept of the Inter-American Development Bank:

In the strict sense, the CoG refers to the organizations and units that provide direct support to the country’s chief executive (president or prime minister), generally for the political management of the government’s actions, the strategic management of its priorities, the coordination of policy design, the steering of policy implementation, the monitoring of performance and delivery, and the communication of results. The CoG is the steering wheel of government, able to drive forward its priority objectives in a coherent way. It can be a valuable transmission mechanism to ensure that the government’s priority policies are effectively implemented and deliver results for citizens.\(^3\)

In many regions and countries, Centers of Government have gathered growing interest by academics and practitioners alike. It is a useful tool to address, at the same time, the most important emerging issues facing governments today and the organizational functions required to tackle them. Figure 1 explicitly states what those emerging issues are and how Centers of Government can handle them.\(^4\)

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\(^3\) ALESSANDRO, Martin, LA FUENTE, Mariano and SANTISO, Carlos. Governing to Deliver: reinventing the Center of Government in Latin America and the Caribbean. Washington, DC: IDB, 2014, p. xvii

\(^4\) Ibid., p. 03.
According to the IDB, there are five very typical functions assigned to a Center of Government:

i) Strategic Management: planning the government’s key priorities to ensure coherent, actionable and measurable goals;

ii) Coordinating policy: chairing inter-ministerial committees for the design and implementation of programs in cross-cutting issues;

iii) Monitoring and improving performance: monitoring progress in the priorities and intervening to enable performance and unblock obstacles;

iv) Managing the politics of policies: leading the political negotiations with other actors to ensure the approval of the government’s plan; and

v) Communicating results and accountability: producing a coherent narrative of the government’s actions and achievements, and being accountable to the public.

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Figure 1

<table>
<thead>
<tr>
<th>Emerging Issue</th>
<th>Role of the CoG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Most priority issues are multidimensional and cross-cutting; they cannot be properly addressed by vertical ministerial silos.</td>
<td>Coordinating and brokering solutions, bringing together the relevant ministries and agencies to make decisions and design and implement policy.</td>
</tr>
<tr>
<td>Citizens increasingly demand better public services and results from government.</td>
<td>Establishing and communicating priority goals (being selective), ensuring budgetary alignment; continuously monitoring progress; unblocking obstacles that affect performance.</td>
</tr>
<tr>
<td>Government activity has expanded into new policy areas.</td>
<td>Supporting and advising the chief executive in managing a complex government structure, especially if policymaking is fragmented or decentralized.</td>
</tr>
<tr>
<td>A 24/7 news cycle, which can deviate the government’s attention from priorities.</td>
<td>Keeping a systematic focus on strategic priorities; aligning the government’s message.</td>
</tr>
</tbody>
</table>

Source: Authors’ elaboration.

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35 Ibid., p. 06.
In this context, the functions of a Delivery Unit are actually a sub-set of activities inside the broader functions of Centers of Governments. As a matter of fact, a strong Center of Government is a key aspect to empowering Delivery Units to drive improvements in performance.36

Among those typical functions, efforts coordination and performance monitoring in the government’s key priorities correspond to what an usual Delivery Unit does, although it can vary according to the context in which the D.U. operates.

For a more informal concept, McKinsey Company defines Delivery Units as:

...a small group of dedicated individuals focused exclusively on achieving impact and improving outcomes. The Delivery Unit constantly challenges performance and asks difficult questions, taking any excuses off the table. While a Delivery Unit should acknowledge competing priorities and unexpected situations, it should also consistently push for faster progress, knowing full well that the tendency of any system is toward inertia.37

As for the World Bank, which has established its President Delivery Unit (PDU) as a place where priorities are defined, monitored and communicated, the type of activities of the PDU includes bringing “together subject-matter experts across the institution to set timebound targets, develop the underlying data flows necessary to track performance, and shine a light on our progress through an interactive website in order to accelerate progress.”38

Another case worth noting is the U.S. Education Delivery Institute, an organization dedicated to adapting the delivery concept pioneered by United Kingdom’s Prime Minister’s Delivery Unit to drive American education reform efforts. Quite interestingly, the key roles

and responsibilities of Delivery Units go beyond strategic management, monitoring and communication. They also help changing organizational culture around the concept of delivering.\textsuperscript{39}

i) Plans and planning: Delivery Units ensure that a system has priority goals and that each goal has a plan for how it will be achieved. They work with others to facilitate or drive this planning as necessary;

ii) Monitoring and reporting: when plans are in place, Delivery Units set up the right routines to consistently monitor progress against each goal;

iii) Evaluation and follow-up: between these routines, Delivery Unit members work with goal leaders and their teams to arrive at a shared view of progress, to tease out the implications for the work, and to align system resources to keep things on track;

iv) Capacity-building: Delivery requires a shift in mindsets and capabilities from the top to the bottom of a system. This shift begins within the Delivery Unit itself, but the unit must take advantage of every opportunity to “teach” delivery to system staff – including formal training, everyday interactions, and job-embedded coaching; and

v) Communication and relationship management: Because their job is to exercise influence without authority, Delivery Units must be experts at managing relationships throughout the system.

\textbf{Why do they matter?}

Several organizations and governments around the world have set up Delivery Units in order to manage, coordinate, measure, deliver and communicate results. Although

\textsuperscript{39} www.deliveryinstitute.org, visited in January 27.
with singularities in each specific context in which it has been applied – in terms of size, scope and level of institutionalization – Delivery Units became somehow a trend worldwide.

Delivery Units became a trend because of what was discussed in both chapters 1 and 2: quite too often states fail to implement what they planned, among other reasons, because public management sometimes is still a second-class issue in the public sector. As a consequence, there are no sufficient management mechanisms to ensure: i) the minimum conditions for the delivery of public policies and services and ii) the assessment of the success of this delivery. In many cases, this trend represented a greater emphasis on the need to reinforce delivery mechanisms in government\textsuperscript{40}.

For that reason, many countries have taken into account the tools Delivery Units offer, strengthening their steering capacities and, even more significantly, making good use of data and monitoring to improve delivery.

\textbf{Figure 2} helps us understand to where this movement has been spreading in recent years\textsuperscript{41}.

\begin{figure}[h]
\centering
\includegraphics[width=\textwidth]{figure2.png}
\caption{Figure 2}
\end{figure}

\textsuperscript{40} \textsc{GOLD, Jennifer.} \textit{International Delivery: centres of government and the drive for better policy implementation.} Mowat Centre and Institute for Government, September 2014, p. 17.

\textsuperscript{41} Ibid., p. 16.
In the United States, for example, a federal government initiative tried to take advantage of the Delivery Unit-type of organizational arrangement under The Office of Performance and Personnel Management (OPPM). Its mission is to “...drive mission-focused performance gains across the Federal government. OPPM coordinates the Administration’s goal-setting and performance review process for agencies’ high priority performance goals and guides agency strategic and annual planning, performance reviews and performance reporting.”

Under this organizational structure the Obama Administration established, through the GPRA Modernization Act of 2010, Cross-Agency Priority Goals that “... address the longstanding challenge of tackling horizontal problems across vertical organizational silos. ... These Cross-Agency Priority Goals are a tool used by leadership to accelerate progress on a limited number of Presidential priority areas where implementation requires active collaboration between multiple agencies.”

In some parts of Latin America, as well, countries have been trying to take advantage of this trend, with different experiences and successes. In any case, what can be taken from those experiences as a whole is that there is a lot to gain from the empowerment of centers of government and from the Delivery Unit “mindset” throughout the region. As an IDB report on the issue suggests:

In many countries, a more consolidated fiscal situation means that a different type of whole-of-government coordination, one that goes beyond ensuring fiscal balance, needs to be achieved. Frequent economic crises in previous decades have put emphasis on the budget as the main coordinating tool (and thus led to the prominent role of the ministries of finance), but a more stable fiscal scenario allows governments to better plan, implement, and monitor their priorities, with greater focus on improving performance and delivering results. In addition, many governments in the region have assumed a larger role in different areas, such as social policy (Levy and Schady, 2013). This new role shifts the focus of government

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42 www.whitehouse.gov/omb/performance, visited in February 03.
toward implementing these programs and the quality of the services being delivered.\textsuperscript{44}

In this context, Brazil is clearly one of the countries that faces the most pressure for sound public policy and services implementation. In the last few years, Brazilian government officials have been dealing increasingly with the very question discussed in chapter 1: how state legitimacy is currently so engrained in the notion of public performance and accountability.

In the case of the Brazilian federal government, the Executive Office of the President of Brazil (“Casa Civil”) is a typical Center of Government. It has under its umbrella the responsibilities of: i) ensuring coherent, actionable and measurable goals to government priorities; ii) chairing inter-ministerial meetings for the design and implementation of programs in cross-cutting issue; iii) monitoring progress in the priorities and intervening to enable performance and unblock obstacles; and iv) leading the political negotiations with other actors to endure the approval of the government’s plan and producing coherent narratives of the government’s actions and achievements.\textsuperscript{45}

The activities that are typical of a Delivery Unit in the Brazilian Presidency are carried out by the Deputy-Chief of Evaluation and Monitoring, which among other things, has the responsibility to: i) advise the Minister of State in the monitoring of objectives and priority goals set by the President; ii) coordinate, monitor and evaluate the results of the priority programs and projects considered by the President; iii) support the design of the overall agenda of the government, especially with regard to the goals, programs and projects prioritized by the President of the Republic; and iv) plan, coordinate and monitor the implementation of systems for evaluating performance of government action.

\textsuperscript{44} ALESSANDRO, Martín, LAFUENTE, Mariano and SANTISO, Carlos. Governing to Deliver: reinventing the Center of Government in Latin America and the Caribbean. Washington, DC: IDB, 2014, p. 106.

\textsuperscript{45} BRASIL. Decreto 5.135, de 07 de julho de 2004. Aprova a Estrutura Regimental e o Quadro Demonstrativo dos Cargos em Comissão e das Funções Gratificadas da Casa Civil da Presidência da República, e dá outras providências.
Thus, inside the Executive Office of the President of Brazil, the Deputy-Chief of Evaluation and Monitoring carries out many of the typical activities of a Delivery Unit, although they are not occupied with publicly communicating the results of their assessment and with building capacity for – or fostering the culture of – delivery in the public sector.

It is not our intent here to go through the many different experiences of Delivery Units around the world, neither to make a critical evaluation of a particular case. For that reason, in the remaining pages of this chapter there will be some of the most important findings and lessons learned on what matters to Delivery Units to get the job done.

Hopefully the following set of best practices can contribute to the improvement of some specific patterns of government Delivery Unit activities, either on the national level (the Executive Office of the President of Brazil or the Ministries) or the subnational level in Brazil.

Delivery Unit: lessons learned
The following components of an ideal Delivery Unit mechanism are taken from the main readings, lectures, conversations, reports and reflections used in this paper. Assuming that there is no such thing as a “one size fits all” approach, what follows will only take into account a few of the possible approaches to a successful Delivery Unit.

1. Leadership is everything.

The success of a Delivery Unit is highly dependent on the leader’s (President, Prime-Minister, Mayor) commitment to the Unit’s work and outcomes. This is probably the most important component of all successful cases of governments that improved their implementation performance. Bob Behn, a Harvard Kennedy School of Government specialist in state performance, is one of the most prominent voices
to acknowledge that the performance in the public sector should be taken as a leadership strategy, not just a process or function. ⁴⁶

2. **Delivery Units should have political empowerment and technical capacities.**

This is an immediate consequence of the previous component. Political authority is essential for a Delivery Unit to work well. The other parts of the government should respect and respond to the demands and requests of the Delivery Unit. However, authority itself is not sufficient without the backing of a skilled staff. The lack of staff technical capacities can affect the credibility of the Unit and, therefore, its chances of getting the job done.

3. **Top priorities matter.**

Delivery Units should focus in just a few key priorities, so they are not overwhelmed by the various issues at hand. The role of coordinating efforts among agencies, tracking numbers, monitoring results and reporting useful information to decision-making processes needs laser-focus to be successfully done.

4. **The role of a Delivery Unit is important, but a subsidiary one.**

The ownership of a particular public policy or service – the responsibility for its failure and success – do not fall upon the Delivery Unit. In the case of the United Kingdom, the contribution of the Delivery Unit “... had less influence on creating the substance and content of the actions to be unrolled, but focused instead on

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securing the coherence and integration of these actions.\(^{47}\) For that reason, strong and synchronized working relations between Delivery Units and ministries are crucial, but never to a point where program ownership transfers to the Delivery Unit.

5. **Citizen engagement should be part of the process.**

Although quite disputable in some specific situations where sensitive political issues and “pre-decision” information disclosure can make the decision-making process unmanageable and unstable, this component is certainly one of those that democracies everywhere will need to meet in the near future. In the context of a huge information technology going on now, innovation and public policies and service delivery in the public sector can largely benefit from empowering citizens by giving them the opportunity to directly access bureaucratic information, monitor government activities, and supply real-time feedback on public service delivery.\(^{48}\) The main argument in this regard is that exposing your data, your assumptions and priorities in a user-friendly and honest way can improve state self-reflection:

> That’s about opening ourselves up to get feedback that can help us perform better. ... In terms of performance, opening government gets us two things. First, it makes us more accountable by holding our feet to the fire. Second, it accelerates innovation by engaging the best minds to get the best solutions.\(^{49}\)

Ultimately, it might be easy to be accountable when outcomes reflect well on the government. However, the challenge is to be accountable when the outcomes are negative.


\(^{49}\) Ibid.
6. **There should be disciplined routines.**

In order to create institutional capacity and increasing the odds of having successful and timely program delivery, there should be disciplined (and documented) routines, including progress-reporting meetings: “routines work because they create deadlines, which in turn creates a sense of urgency.”

It is also essential to document experiences and case studies in order to promote institutional knowledge on the works of the Delivery Unit. This has the intent of learning from best practice sharing and of inducing the culture of delivery across government agencies.

7. **Delivery Units must have a clear mandate.**

In an environment where issues are increasingly challenging governments to act in a rapid and multidisciplinary fashion, clear mandate of the Delivery Unit is an essential component for political success. Since Delivery Units are in charge of articulating the action and tracking the implementation of public policies and services, it is important for them to avoid overlapping competences among different organizations, which clearly disrupts coordination from the center.

8. **Incentives matter.**

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The way rules and institutions affect behavior is important, in either public or private contexts: “Incentives must be capable of eliciting the desired behaviors both of the policy makers and of the actors they must influence in order for the policy to work.” Delivery Units, because of the type of mandate they have, must promote a problem-solving posture rather than a blaming atmosphere. Motivating people and giving them discretion and flexibility, more than putting them in a “command-and-control” situation, is critical to any effort to make Delivery Units work better.

9. **Data should be clear, timely, relevant, reliable and systematic.**

Everything a Delivery Unit does is supported by data. A performance-driven agenda for the public sector is all about data and the way it is gathered, treated and communicated. In that sense, data should be clear, timely, relevant, reliable and systematic to support decision-making processes and permit “deep dive” reviews whenever Delivery Unit’s staff feels it is necessary on a particular issue.

10. **Relentless follow-up and regular data-driven meetings are critical.**

The job of a Delivery Unit is actually more about performance management than performance measurement. After all, collecting performance data does not translate into improved delivery.

Ultimately, there is no sense in gathering facts and numbers just to measure performance. Hence, it is using performance to inform decision-making that matters. That is why regular meetings are so important in the context of Delivery Units.

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11. **Goal Ownership Improves Results.**

In any case, an empowered leader should be appointed to represent the public goal. In other words, there should be someone that assumes responsibility for managing progress in every target. In other words, program delivery depends on having somebody’s nameplate in each priority goal tracked. As a consequence, people lined up for a project will be always informed about who needs to do what by when to achieve a specific goal.

12. **Improvement is the objective, after all.**

Whatever the target of a specific policy, it can never produce a failure-victory perspective along the monitoring process. Constructing progress and establishing a long-term tendency is important. However, it does not mean that challenging goals should not be pursued.

Behind every target there must be a deep understanding of the realities in which government wants to induce change or improvement. But once again: it is not a specific target that counts; it is the tendency created towards change or improvement.

13. **Data visualization can make a special contribution to performance management.**

The use of clear graphics and mapping is of utmost importance to let top leaders of the organization understand the big picture of priority goals in a simple, organized and informative way. Making the important information available in the most efficient format is vital, because public authorities often have a very brief attention span.
Additionally, governments are often quite ineffective when reporting to the public what is working to accomplish, how it seeks to accomplish its objectives, and why the efforts are important. Reports are not only frequently “user-unfriendly”, but they are also often fragmented in many different documents, which does not allow for coherent public communication by governments. For that reason, using centers of government to better communicate and produce coherent narratives about the government initiatives makes a lot of sense.

Many different organizations that embraced the Delivery Unit concept developed some kind of an online dashboard, either to make state action accountable for citizens (external transparency) or to promote follow-up and subsidize data-driven meetings and the decision-making process of the top leader in the organization (internal transparency). As for the first case, two examples of citizen-oriented dashboards are the World Bank President Delivery Unit53 (Figure 3) and the Open Michigan State Dashboard54 (Figure 4):

Figure 3

![World Bank President Delivery Unit Dashboard](https://www.pdu.worldbank.org)

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54 [https://midashboard.michigan.gov](https://midashboard.michigan.gov), visited in March 07.
These are relevant examples where online information can make part of the broader strategy of making states accountable as to how their priority actions have reached expected outcomes. Unlike the private sector, where successful companies are immersed in a data-driven culture, governments are well known for not making full use of straightforward data-visualization and performance report. They are often too bureaucratic when handling strategic information. For that reason, successful governments must rely on data-oriented reporting and progress analysis on key priorities. It is essential to make the work of a Delivery Unit more useful.

It should be emphasized that the above-mentioned “lessons learned” are just a selected list of recurrent topics pointed-out by the literature regarding Delivery Units and what kind of practices could contribute for it to better function. This paper’s ultimate goal is to explore the links between state legitimacy and state performance and how the use of Delivery Units is an effort worth taking in order to better drive the culture of performance management.
Conclusion.

Ultimately, Delivery Unit is a tool that can provide governments in all levels a set of means to enhance coordination, performance management and delivery of public policies and services.

National and subnational governments alike can take advantage of the Delivery Unit. As a matter of fact, as cities are much closer to the beneficiaries of their policies and services, unlike federal governments, it could be said that Delivery Units could do even more good to government results. But, regardless of the level of government in case, one thing that should be plainly noted is that cultural and organizational structures play a great role in the functioning of Delivery Units. Leadership personalities, political and legal realities and other contextual factors are extremely relevant in order to grasp the chances for success of an experience with Delivery Units.

There is no definite evidence in the literature that Delivery Units can always produce the results it “promises”. Taken the context in which they operate, what works and what does not work can vary. One thing is certain, though: the culture of assessing performance can make a huge contribution to the public sector.

For that reason, one of the most important aspect of Delivery Units, mainly in countries with weak governments or bad implementation records, is that they can put performance management in the political agenda of state leaders and in the daily activities of public officials.

More than that, the Delivery Unit experience can contribute to bring the citizens back to the “front seat”, once the data and performance openness that Delivery Units potentially can provide is of utmost importance to the exercise of citizenry. In the worst case scenario, Delivery Units are less about what they proved to produce than what they proved to induce: the awareness for monitoring, evaluation and report on priorities to track
political commitments and messages. Understanding that thinking ahead of time, establishing goals and priorities, rationally aligning people, resources and processes to gradually and timely making progress towards those goals and priorities is the beginning for any country willing to embrace the opportunities to deliver better public policies and services.

The main objective was not to build criticism on the theory or experiences worldwide, but to select some aspects of the problem regarding the operations of Delivery Units to suggest good starting points to any new initiatives, including in Brazil.

Recently, states are no longer relating to their constituencies in the form of “transactions”, but in a manner that is much more about “conversations”. That conversation should be much more about trust and respect than discredit and malicious jokes on government and public servants. After all, Henry Mintzberg was right when he said that “Societies get the public services they expect. If people believe that government is bumbling an bureaucratic, then that is what it will be. If, in contrast, they recognize public service for the noble calling it is, then they will end up with strong government.\textsuperscript{55}


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**Sites**

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MICHIGAN STATE DASHBOARD: www.midashboard.michigan.gov

UNITED KINGDOM GOVERNMENT: www.gov.uk

THE OFFICE OF MANAGEMENT AND BUDGET: www.whitehouse.gov/omb

DELIVERY INSTITUTE: www.deliveryinstitute.org

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