

BRA 13/008

CONSOLIDATION
OF SOUTH-SOUTH
TECHNICAL
COOPERATION

FINAL REPORT 2021

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MID-TERM EVALUATION

BRA 13/008

CONSOLIDATION OF SOUTH-SOUTH TECHNICAL COOPERATION

FINAL REPORT 2021



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ACRÔNIMOS

ABC	Brazilian Cooperation Agency
ABRAGEM	Brazilian Association of Small and Medium Producers of Gems, Jewels and Similar Goods, Miners and Prospectors
ANA	National Water Agency
CAP	Project Monitoring Committees
CEASP	Friendship Educational Center São Paulo
CELAC	Community of Latin American and Caribbean States
CGAA	General Coordination for Technical Cooperation - Africa, Asia and Oceania
CGAE	General Coordination of Technical Cooperation - Latin America, the Caribbean and Eastern Europe
CGAO	General Coordination for Administration and Budget
CGCH	General Coordination for Humanitarian Cooperation
CGCPLP	General Coordination for Technical Cooperation with the CPLP
CGMULT	General Coordination for Multilateral Technical Cooperation
CGPALOP	General Coordination for Technical Cooperation - PALOP and East Timor
CGPCOM	General Coordination for Planning and Communication
CGTP	General Coordination for Technical Cooperation and Partnerships with Developed Countries
CGTRI	General Coordination for Trilateral Technical Cooperation with International Organizations

COBRADI	Brazilian Cooperation for International Development
CONAGUA	National Water Commission
CPLP	Community of Portuguese Speaking Countries
ENAP	National School of Public Administration
FIOCRUZ	Oswaldo Cruz Foundation
GIZ	German Agency for International Cooperation
HMB	Human Milk Bank
IAEG-SDG	Inter-agency and Expert Group on Sustainable Development Goal Indicators
IBGE	Brazilian Institute of Geography and Statistics
IFF/Fiocruz	Instituto Fernandes Figueira
IFPELAC	Institute for Vocational Training and Labor Studies Alberto Cassimo
IPEA	Institute of Applied Economic Research
LOA	Annual Budget Law
M&E	Monitoring and Evaluation
MERCOSUL	Southern Common Market

MRE	Ministry of Foreign Affairs
NAF	Financial Administration Center
OECD	Organization for Economic Cooperation and Development
PAA	Affirmative Action Program
PABA+40	Second High-Level United Nations Conference on South-South Cooperation
PPA	Multiannual Plan
PRODOC	Project Document
PTAs	Annual work plans
SAG	Sub-branch of Analysis and Monitoring of Government Policies
SAJ	Sub-branch of Legal Affairs
SAP	Project Monitoring System
SDG	Sustainable Development Goals
SEGIB	Ibero-American General Secretariat
SENAI	National Service for Industrial Training
SERE	State Secretary for Foreign Affairs
SGPFin	Project Management Financial System
SIOP	Integrated Planning and Budgeting System
SSC	South-South Cooperation

SSC	South-South Cooperation
TAC	Conduct Adjustment Term
TCDC	Technical Cooperation among Developing Countries
ToC	Theory of Change
TOSSD	Total Official Support for Sustainable Development
UNDAF	United Nations Development Assistance Framework 2013-2017
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
USD	American Dollar
WGs	Working Groups
WHO	World Health Organization
WWF	World Water Forum



EXECUTIVE SUMMARY

GOALS

The purpose of this mid-term evaluation is to provide the Brazilian Cooperation Agency (ABC), partner countries, Brazilian implementing agencies, and the United Nations Development Programme (UNDP) evidences on the results achieved by the BRA 13/008 project, as well as recommendations and lessons learned to inform its future planning. The nature of this evaluation is mostly formative. The general objective of the evaluation is to examine the ABC's ability to develop international technical cooperation for development actions in a horizontal, participatory, and sustained manner. The specific objectives of this evaluation are: to examine the quality of the design, the management and implementation of the actions; to consolidate the results of the subprojects; to assess the relevance, effectiveness, efficiency, replicability, and sustainability potential of the project as well as to measure its performance; to analyze the lessons learned and propose recommendations for its improvement.

PROJECT BRA 13/008: CONSOLIDATION OF SOUTH-SOUTH TECHNICAL COOPERATION

With a total budget of USD 47,414,367.42, the project represents a large compendium of Brazilian South-South Technical Cooperation (SSC) actions. Its project portfolio encompasses more than 600 initiatives in all regions of the Global South. Most of the initiatives are bilateral, while some are trilateral with organizations, trilateral with countries, as well as bloc cooperation.

The BRA 13/008 responds to the ABC's need to strengthen its institutional framework, both in normative and organizational dimensions, and expand its professionalization as a cooperation agency. It provides results and products geared towards the institutional strengthening of the Agency and the training of its technical staff; emphasizing the strengthening of Results-Based Management in the practice of SSC, as well as the achievement of horizontality, ownership, and the generation of mutual benefits among the involved partners.

APPROACH AND METHODOLOGY

The evaluation approach combined conceptual elements that underpin the reconstruction of the Project's Theory of Change and, later, the Evaluation Matrix. The conceptual elements include: capacity development as a key element of South-South Technical Cooperation (SSC); results-based management as the project's central axis; portfolio evaluation to respond to the 'umbrella' nature of the PRODOC BRA 13/008; and contribution analysis, recognizing that SSC initiatives contribute to development impacts, but these cannot be

exclusively attributed to the analyzed initiatives. The evaluation sought to be sensitive to racial, ethnic, and gender equity, taking into account local realities. The evaluation used the following methods for collecting primary and secondary data: interviews, desk review, and survey. Data collection and analyses were systematized through the development of nine case studies.

The mid-term evaluation encompasses the period between 2013 and 2020 and covers all subprojects and activities under the BRA 13/008 within this period. Its geographic scope focuses on Brazil and all regions reached by the project: Latin America and the Caribbean, English, French, and Portuguese-speaking African countries, Asia, Eastern Europe, and Oceania.

CONCLUSIONS

C1

The Brazilian SSC has achieved relevant results in terms of capacity development in partner countries, but it still presents challenges related to the efficiency, performance, and sustainability of the initiatives

Results were identified within the scope of individual capacities of professionals from institutions in countries with which Brazil cooperates, as well as in the strengthening of institutional and sectoral capacities, through the improvement of public policies.

However, we identified management issues that hinder further efficiency and performance of the portfolio: (i) recurring obstacles in the planning and implementation of equipment acquisition and transfer processes, as well as in infrastructure construction processes; (ii) limited local information to support risk and feasibility analyses; (iii) centralized decision-making process for authorizing previously ratified expenses.

Regarding the sustainability of SSC initiatives, limitations were identified in the processes of appropriation of results for governments and partner institutions, as well as the efficient exit of cooperators. Different sustainability strategies put into practice within the subprojects were identified, but there is still no evidence on their effectiveness, nor are they systematized in order to inform institutional policies.

C2**The design of the subprojects has shown improvements, but they still have technical gaps and are not guided by strategic planning to provide clarity on the Brazilian contribution to international development agendas, foreign policy goals, and the interests of cooperating institutions**

The South-South Technical Cooperation Management Manual and the training program with the National School of Public Administration (Enap) in 2017 contributed to the capacity development of the ABC professionals. We found significant advances regarding diagnoses of the problem situation; logical structure of initiatives; and definition of roles and responsibilities of the parties involved in the cooperation. There are gaps, however, in the conduction of feasibility analyses for initiatives and risk mitigation, monitoring implementation, and monitoring and evaluation activities. Combined, these gaps in the subprojects' design have impacted performance during implementation.

The design of the subprojects has not systematically established links with international development agendas. The lack of specific approaches sensitive to gender, race, and ethnicity in the SSC initiatives is an important gap, both because Brazilian SSC develops in partnership with countries whose population is mostly Indigenous and Black, and marked by gender inequalities; and for disregarding the leave no one behind principle (LNOB), a guideline for the objectives set out in the 2030 Agenda.

The introduction of annual work plans has contributed to a macro monitoring of the portfolio and to greater predictability in budget allocation. However, they do not fulfill the function of articulating initiatives around strategic objectives. There is little complementarity between the subprojects carried out within the same country, region, or theme, which results in a dispersed portfolio and makes it difficult to monitor and measure the results and impacts of Brazilian SSC in terms of contribution to the partner countries' development goals, the results for Brazilian foreign policy, or to implementing institutions in Brazil. We identified initiatives that sought to promote greater strategic guidelines for SSC, but these were punctual and not institutionally mainstreamed as a good practice.

C3**Capacities, instruments, and processes for results-based management still need to be strengthened**

Despite some advances identified in the elaboration stages of the initiatives, we identified gaps for the implementation follow-up and monitoring and evaluation. Projects that had greater support from implementing agencies, local contractors, or consultants for closer monitoring had better results.

Among the identified limiting factors in the capacity for results-based management, we

underline the fragility of the current physical and financial monitoring systems, the lack of instruments and processes for implementing generated knowledge into practice, and the low investment in training processes.

The variety and volume of SSC initiatives within the scope of the BRA 13/008 have provided important lessons that have not been institutionally systematized. Disjointed information flows between different teams within ABC and the fragility of the SSC monitoring and evaluation processes, as well as of the existing systems, hinder the use of lessons learned to feedback into practice and promote better performance and effectiveness of the Brazilian SSC. Insufficient evaluation and knowledge management processes are obstacles to the systematization and publication of the SSC results.

C4**The implementation of the BRA 13/008 has not invested sufficient efforts towards institutional strengthening, which has greatly impacted the efficiency, effectiveness, and strategic orientation of the portfolio**

The design of the BRA 13/008 identifies the main institutional challenges of the SSC, defines resources, and outlines strategies to address them. However, in binding institutional changes to the approval of the legal framework, the ABC did not explore alternatives to the diagnosed challenges since this framework was not approved.

With the exception of the South-South Technical Cooperation Management Manual and the training program with the Enap, no advances were identified in other products under the governance of the ABC: organizational restructuring; strategic planning; technical, administrative, and financial procedure manuals; as well as monitoring, follow-up, and evaluation systems. Considering that the BRA13/008 takes eight years to be implemented, the advances identified characterize low performance given the existing technical and financial resources vis-à-vis the previously identified gaps by the PRODOC BRA 13/008.

Such products are still relevant, and their absence has impacted the efficiency, effectiveness, and strategic orientation of the BRA 13/008 portfolio. We identified the need for greater investment in training to mitigate the previously identified gaps; the creation of instances to promote greater dialogue among different teams within ABC, more effective flows and management processes, and more careful and horizontal people management. The initiatives still face significant administrative challenges and no standardized guidelines have been identified to mitigate them. More notably, by binding the creation of a career in technical cooperation to the legal framework, the ABC failed to explore management alternatives to the agency's current technical staff, such as institutional processes for recognition, appreciation, and motivation, or professional development and progression perspectives.

RECOMMENDATIONS

As a transversal guideline for all recommendations, we suggest that they be implemented through participatory, horizontal processes rooted in the knowledge acquired by the ABC staff. To expedite the implementation of the recommendations, we suggest to evaluate the possibility of hiring external support for recommendations 3, 4, 5, and 6, with explicit guidelines about the importance of processes promoting results ownership among ABC staff.

R1

BUDGETARY
IMPLICATION

↓ LOW

DEADLINE

2022

PRIORITY

↑ HIGH

RESPONSIBLE ACTORS

ABC, CGPC, and CGAO management in dialogue with technical areas of the ABC and with the UNDP

Substantively review the PRODOC BRA 13/008 to extend its validity and review the expected products resulting from institutional strengthening

Proceed with a substantive review of the PRODOC 13/008 to extend its validity as to enable the implementation of the mid-term recommendations and the expected results achievement. We recommend the development of the Project's Theory of Change and to review the institutional strengthening results (R1) to incorporate new strategies to mitigate the institutional challenges identified by this evaluation, as well as to update the planned strategy for the previously foreseen products. The review may include the recommendations listed below as products, with their respective detailed and costed planning.

R2

BUDGETARY
IMPLICATION

↓ LOW

DEADLINE

2023

PRIORITY

↑ HIGH

RESPONSIBLE ACTORS

ABC and CGPC management in dialogue with the ABC's technical areas and the Itamaraty

Develop an internal regulation statute for the ABC

Develop an internal regulation statute to promote greater clarity and efficiency in management and decision flows and processes within the ABC. We recommend that the ABC's internal regulations should include a review of its governance instances and processes, such as technical and executive coordination bodies with clear responsibilities and structure; definitions of strategic planning processes, with clearly defined objectives, frequency, and involved stakeholders; foresee the creation of working groups according to the agency's needs, with clearly defined objectives, functioning, expected products, composition, and validity; inclusion of performance evaluation criteria for the Agency's professionals.

R3

BUDGETARY
IMPLICATION

- AVERAGE

DEADLINE

2023

PRIORITY

↑ HIGH

RESPONSIBLE ACTORS

CGPC in dialogue with other coordinations

Design and implement a permanent training plan to advance in the identified critical issues

Develop a training plan, including: (i) selected dimensions of the SSC Management Manual, (ii) internal management procedures, (iii) ad hoc opportunities (internships, exchanges, possibilities for external courses) with participation criteria and a knowledge management plan for the ABC; (iv) specific topics (monitoring and evaluation, intercultural dialogue, results-based management and adaptive management, gender); (v) permanent training spaces for the Agency's professionals. The plan must detail training objectives, target audience, products and action plan, with goals and budget forecast. We recommend the resumption of training for implementing agencies, exploring alternatives such as online modules and teaching materials to reach a wider audience and mitigate the high turnover of interlocutors.

R4

BUDGETARY
IMPLICATION

↑ HIGH

DEADLINE

2023

PRIORITY

↑ HIGH

RESPONSIBLE ACTORS

CGPC in dialogue with other coordinations

Design and implement a Monitoring, Evaluation, and Learning strategy

Design and implement a Monitoring, Evaluation and Learning strategy containing the objectives, products, activities, responsible staff, and concrete goals, including investment in the reformulation of management systems (SAP and SGPFIn), as well as the definition of the necessary processes, flows, and tools. The strategy must contain the minimum criteria common to the different modalities as well as an approach sensitive to gender, race and ethnicity, which dialogues with the capacity development focus of Brazilian technical cooperation and the contexts of its main partners. The learning component must envision how knowledge is generated, assimilated, registered, validated, disseminated, and applied.

R5BUDGETARY
IMPLICATION

↓ LOW

DEADLINE

2024

PRIORITY

↑ HIGH

RESPONSIBLE ACTORS

ABC and CGPC management in dialogue with the ABC's technical areas and with the Itamaraty

Develop guidelines to ensure further sustainability of initiatives and clarity on the Brazilian SSC exit strategies

Promote a systematization and reflection process about the challenges, good practices and lessons learned regarding the sustainability of SSC initiatives and consolidate such knowledge into criteria that encompasses technical, administrative, and diplomatic dimensions that should be considered during (i) the negotiation of projects; (ii) the elaboration of the PRODOCS; (iii) project reviews or closure. In this regard, it is also important to define information flows between embassies, the ABC, and certain areas of the Itamaraty to enable the appropriate exit strategy of Brazilian technical cooperation according to the established criteria.

R6BUDGETARY
IMPLICATION

- AVERAGE

DEADLINE

2022

PRIORITY

↑ HIGH

RESPONSIBLE ACTORS

ABC, CGPC, and CGAO management in dialogue with the technical areas of ABC and with the UNDP

Develop strategies to improve the efficiency of the subprojects

To map and analyze the quality of flows, deadlines, and responsibilities of the most common administrative processes or those that consistently present obstacles. This mapping should also consider challenges encountered alongside partners, implementing agencies, embassies, and the local UNDP offices. Promote meetings between the UNDP and the ABC's technical and administrative areas to prioritize urgent improvements and changes and agree on joint solutions for enhancement, including the importance of decentralizing certain decision-making processes. Furthermore, we recommend to register the processes in administrative and financial manuals that detail the cycle of the subprojects with effective ownership by all professionals involved.

R7BUDGETARY
IMPLICATION

↓ LOW

DEADLINE

2025

PRIORITY

- AVERAGE

RESPONSIBLE ACTORS

CGPC in dialogue with other coordination teams

Review and update the South-South Technical Cooperation Management Manual

Based on advances in recommendations 4 (Monitoring, Evaluation and Learning), 5 (sustainability of initiatives) and 6 (improvement of efficiency), we recommend a review and update of the South-South Technical Cooperation Management Manual so as to include the new guidelines.



INTRODUCTION

THE BRA PROJECT 13/008

In the context of expanding Brazil's role on the international scenario in the 2000s and consolidating Brazilian Technical Development Cooperation among Developing Countries (TCDC) on topics of great interest to developing countries, there has been a growing demand from countries in Latin America, Africa, and Asia to promote joint actions in South-South technical cooperation (SSC) with Brazil, especially regarding the sharing of technical knowledge, experiences, and innovative solutions developed in Brazil by way of social technologies and public policies to overcome poverty and inequality.

Given Brazil's growing role in international cooperation, it has become necessary to strengthen the role of the Brazilian Cooperation Agency (ABC) as a coordinating, promoting, and evaluating institution in Brazil's ITC. The BRA/13/008 Project hopes to support the consolidation of Brazilian SSC through institutional strengthening of the ABC, seeking to strengthen its capacity to implement programs and projects geared towards a results-based management.

1. BRA/09/008, BRA/04/044, and BRA/04/043: umbrella projects that comprised most of the actions of the Brazilian SSC.

2. According to information provided by the ABC in August 2021.

3. Especially MDG 8 (Establish a global partnership for development), later replaced by Sustainable Development Goal 17 (Strengthen the means of implementation and revitalize the global partnership for sustainable development).

4. Axis 4 aims to achieve three results: 1) Strengthen an intersectoral cooperation culture among Brazilian institutions with the consolidation of SSC mechanisms; 2) Expansion of systematized knowledge management mechanisms; and 3) Expansion of the South-South Cooperation Agenda based on comprehensive, planned, and complementary agendas. In this regard, the expected results are: 4.1 The strengthening of knowledge management mechanisms; and 4.2 The expansion of the South-South Technical Cooperation agenda to include comprehensive, planned, and complementary themes.

The Brazilian adopts the concept of partnership for development, and its objectives are: promote the autonomy of the partners involved; contribute to the strengthening of Brazil's relations with developing countries; expand, through exchanges, the generation, dissemination and use of technical knowledge; train human resources; strengthen partner institutions.

The Brazilian principles are: solidarity; horizontality; the absence of commercial interests and conditionalities; address the demands of partner countries.

Seeking to incorporate the recommendations of the control agencies, as well as the observations of the audits from prior projects¹, since its creation the BRA/13/008 is the largest portfolio of the ABC's projects, involving practically all of the agency's teams.

The project has two results. Result 1 responds to the ABC's needs to strengthen its institutional framework, both in normative and organizational dimensions, and expand its professionalization as a cooperation agency. It provides products and activities directly

geared towards the institutional strengthening of the ABC and Brazilian implementing agencies and the training of their technical staff. It envisions studies, events, creation of methodologies, tools, and processes for achieving this result, including communication actions.

Within the framework of the second result, emphasis is placed on strengthening Results-Based Management in the practice of managing South-South technical cooperation programs and projects, as well as the achievement of three dimensions of South-South Cooperation (SSC): horizontality, ownership, and the generation of mutual benefits among the different partners involved. Result 2 includes a broad portfolio of projects and activities that are mostly bilateral, but also trilateral with organizations, trilateral with countries, as well as bloc cooperation. As shown in Figure 2 (below)², the portfolio under result 2 encompasses more than 600 initiatives in all regions of the Global South, with a total budget of USD 47,414,367.42; thus, representing the major compendium of Brazilian SSC actions – with the exception of the BRA 12/002 project to support the development of the Cotton Sector, the received technical cooperation, the humanitarian cooperation, and the multilateral cooperation.

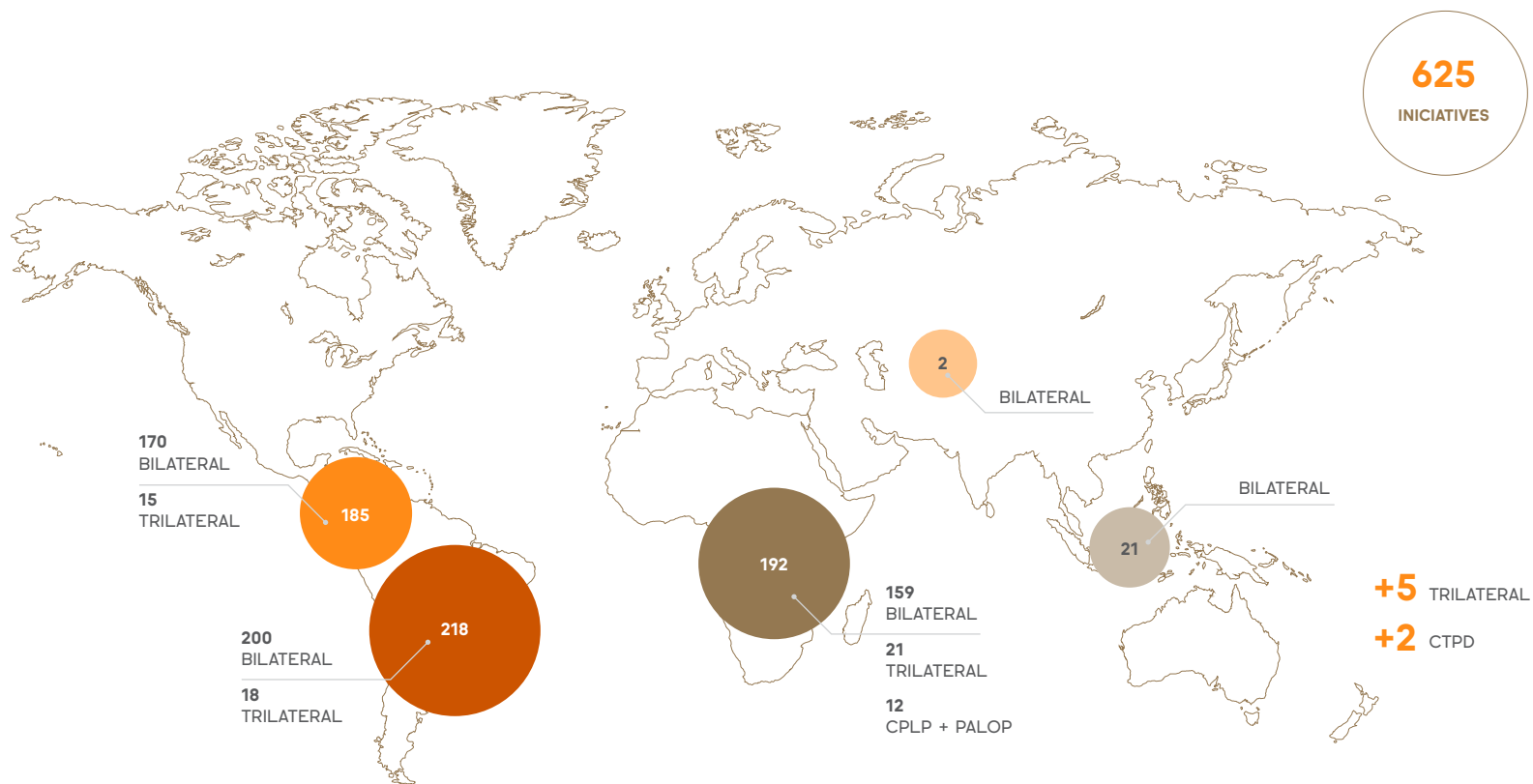
The BRA 13/008 project was conceived in consonance with the 2012-2015 Multiannual Plan, the Mais Brasil Plan, and the Millennium Development Goals³, as well as the United Nations Development Assistance Framework 2013-2017 (UNDAF), particularly regarding Axis 4, which refers to South-South Cooperation within the Context of Sustainable Development and poverty eradication.⁴

FIGURE 1 Portfolio of initiatives under the BRA/13/008 (Result 2), 2013-2021

2013 - 2021

BUDGET
USD 47,414,367

EXECUTION
USD 26,695,765



TOP 8



THEORY OF CHANGE

To clarify the causal relationships between desired products, results, and impacts, we chose to reconstruct the Theory of Change (ToC) underlying the BRA 13/008 project to guide the evaluation design and analysis.⁵ A Theory of Change articulates the objectives, assumptions, and change hypotheses for an intervention, in addition to presenting the expected causal relationships between the Project's contributions (inputs, activities, and products) and the desired results, considered as preconditions for achieving the objectives in the long term.

In this regard, the ToC prepared for the BRA/13/008 underscores the premise, strategies, and products envisioned in the aforementioned Project Document (PRODOC) in order to achieve short, medium, and long-term results. The long-term result (strengthened and structured ABC to coordinate Brazilian technical cooperation in line with the new configuration of local and international partnerships) is inserted within international frameworks, particularly the ODS and the framework-agreement between Brazil and the United Nations, UNDAF.

The strategies proposed in the PRODOC may be classified into three categories: a) the production of subsidies for the institutional reform of the ABC; b) the development of manuals, procedures, and systems, and c) the permanent training of the Agency's staff. The PRODOC expects that these strategies will generate different products (career-structuring proposals and legal framework; Monitoring and Evaluation (M&E) and knowledge management systems; manuals and courses), which should, in turn, contribute to the expected results in the short term.

The establishment of a legal and career framework, as well as the systematization and dissemination of the results of Brazilian SSC, contributed to its strategic planning. Process standardization and capacity development of personnel (as well as the systematization and dissemination of results) should contribute to the internalization of practices, processes, and tools for results-based management in Brazilian SSC, as well as their regular update based on lessons learned from practice. The combination of proposed strategies and products could contribute to the expected medium-term results,

5. The PRODOC does not provide a formal Theory of Change, but rather a logical framework as well as narratives on the diagnosis of the problem situation, justifications, and underlying assumptions in its design.

namely a structured ABC and results-based management adopted in the SSC actions.

Figure 3 (below) provides a timeline of the main moments of the BRA 13/008 project. We observe the importance of substantive revisions for adjustments and changes in the project's plan, allowing for temporal and budgetary expansions as well as further attention to strategic issues, such as the inclusion of SSC with Blocs and new implementing agencies. Likewise, we observe the scope of some of the products foreseen in the timeline: the annual work plans, the South-South Technical Cooperation Management Manual (hereinafter the Management Manual), the drafting of a bill and decree for the ITC, and the publication of the General Guidelines for the Design, Coordination, and Supervision of Trilateral Technical Cooperation Initiatives.

In its original version, dated from July 31, 2013, the BRA 13/008 project had an expected duration of five years, lasting until 2018. A Substantive Review in 2017 extended its duration until 2023, totaling ten years of implementation. The aforementioned substantive review also increased the budget by circa USD 16 million, in addition to further SSC actions within the scope of cooperation in blocs, such as the CPLP (Community of Portuguese Speaking Countries), MERCOSUR (Southern Common Market), CELAC (Community of Latin American and Caribbean States), SEGIB (Ibero-American General Secretariat), among others, guided and implemented with tools and mechanisms focused on results-based management.

The 2019 Substantive Review includes a budget increment of USD 10 million in addition to the updated Implementation Strategy and annual work plan. This review also updates the PRODOC Result 2, adding new Brazilian government implementing agencies to SSC actions.

FIGURE 2 Theory of Change of the BRA/13/008 project

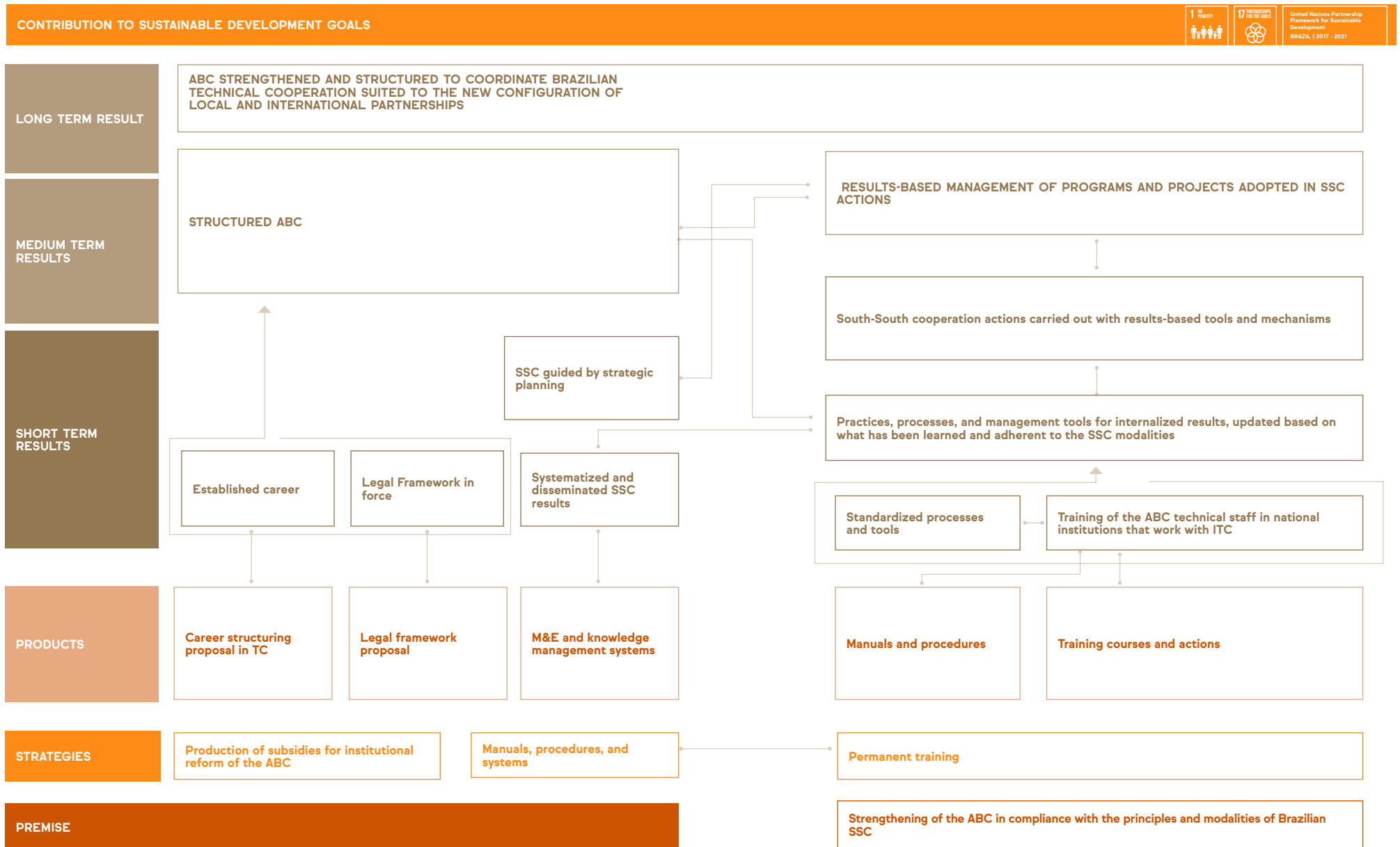
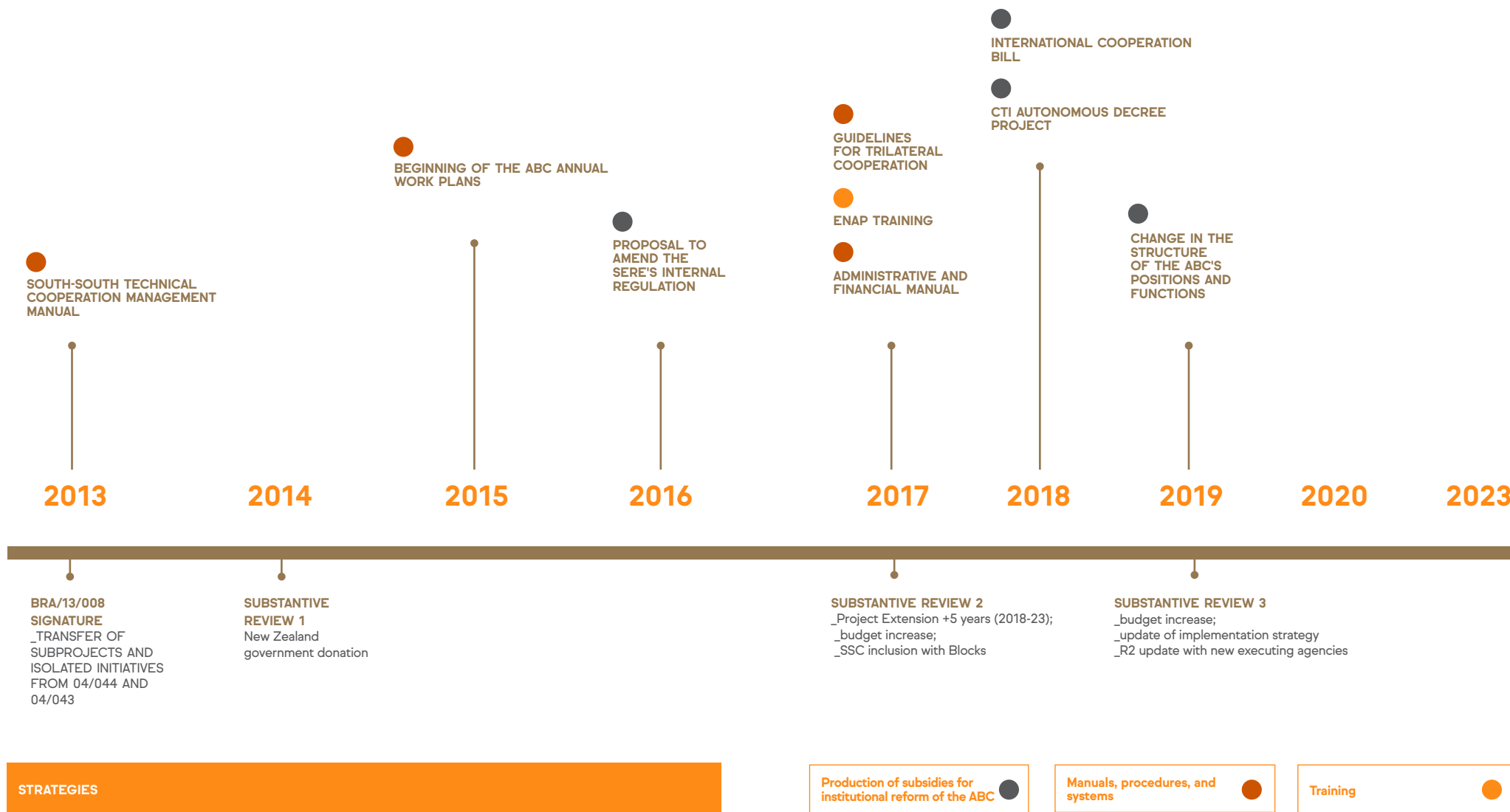


FIGURE 3 Timeline, BRA 13/008 Project



PURPOSE, GOALS, SCOPE, AND TARGET AUDIENCE OF THE EVALUATION

PURPOSE

The purpose of this mid-term evaluation is to provide the Brazilian Cooperation Agency (ABC) and the United Nations Development Programme (UNDP) with evidence on the results achieved by the BRA 13/008 project, as well as recommendations and lessons learned.

The evaluation seeks to contribute to the institutional learning of ABC, favoring the improvement of Brazilian South-South technical cooperation.

The evaluation results are expected to inform future planning, including substantive revisions of the BRA 13/008 project until its completion, scheduled for 2023.

As a mid-term evaluation, its nature is predominantly formative, with cumulative aspects regarding the compilation and complementation of data related to completed subprojects.

GOALS

The general objective of the mid-term evaluation is to examine the ABC's capacity to develop international technical cooperation actions for development in a horizontal, participatory, and sustained manner. Its specific goals are:

- to examine the quality of design, planning, management, coordination, and execution of actions;
- to assess the relevance, effectiveness, efficiency, and sustainability potential of the initiative, as well as to measure its performance;
- to analyze the contribution of SSC principles and guidelines.

SCOPE

The mid-term assessment encompasses the period between July 31, 2013 and December 31, 2020, covering the launch date of the BRA 13/008 and the full year of 2020. As such, it will be possible to evaluate, albeit partially, the impact of the first year of the COVID-19

pandemic on the implementation of the expected results for 2020, as well as the respective mitigation actions.

The mid-term evaluation covers all subprojects and activities implemented under Project BRA 13/008, including its thematic diversity and the International Technical Cooperation (ITC) arrangements. Furthermore, as detailed in later sections, projects and activities financed by sources other than BRA 13/008, but which contributed to its expected results (particularly for R1), were also covered in our evaluation.

The geographic scope of the exercise covers, along with Brazil in the capacity development of the ABC and implementing agencies, all regions reached by the subprojects: Latin America and the Caribbean, English and French-speaking African countries, Portugal, Asia, Eastern Europe, and Oceania.

TARGET AUDIENCE

The main users and expected uses of the mid-term evaluation are listed in table 1 below:

TABLE 1 Users and uses of the mid-term evaluation of the BRA 13/008 project

Users	Uses
Brazilian Cooperation Agency	Gather evidence of the results achieved by the project, analyze challenges and lessons learned, and provide recommendations to inform future decisions within the scope of the BRA13/008, including substantive revisions of the subprojects (R2) and practices, processes, and the ABC's institutional development tools (R1).
Strategic project partners (Brazilian implementing agencies and partners)	Gather evidence and analyses of the results achieved by the project informing strategic decisions for the planning and implementation of future partnerships.
Bodies responsible for ITC in the Legislative and Executive Branches	Gather information and analyze the results achieved by the project, as well as on challenges and lessons learned to inform strategic debates on Brazilian ITC, in accordance with the principles of transparency of the Public Administration and the ABC-MRE (Ministry of Foreign Affairs) accountability policy and the UNDP.
General public	Gather information and analyze the results achieved by the project, informing the general public interested in Brazilian international technical cooperation, in accordance with the principles of transparency of the Public Administration and the accountability policy of the ABC-MRE (Ministry of Public Foreign Affairs) and the UNDP.



METHODOLOGY

6. As a basis for evaluating results-based management, we used the United Nations Manual for Results-Based Management, as well as the study on Good Practices in Results-Based Management by John Mayne. MAYNE, John. **Best Practices in Results-Based Management: A Review of Experience.** [S. l.: s. n.], jul 2007, p 4.

7. BRASIL. **Manual de gestão da cooperação técnica Sul-Sul.** Brasília: Agência Brasileira de Cooperação, Ministério de Relações Exteriores/ABC, 2013.

ANALYTICAL APPROACH

The evaluation approach combined conceptual elements that underpinned the elaboration of the Project's Theory of Change and the Evaluation Matrix. Namely:

- The focus on **Results-Based Management** of the BRA/13/008 project. We sought to verify to what extent the organizational practices and tools implemented to strengthen the ABC's institutional framework (Result 1) fostered a results-based management culture, both within the Agency and among partner and implementing institutions. A results-based management culture may be understood as a sustainable set of processes, products, and services that contribute to achieving the expected results over time. The focus on results-based management explores the link between Results 1 and 2 of the BRA/13/008 project.

RESULTS-BASED MANAGEMENT⁶

"Results-based management is a management strategy by which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services contribute to the desired results (outputs, outcomes and higher-level goals or impact and use information and evidence on actual results to inform decision making on the design, resourcing and delivery of programmes and activities as well as for accountability and reporting".

United Nations Development Group (UNDG). Results-based Management Handbook, 2012

- The focus on **capacity development**, through knowledge exchange, as a key element of SSC. In this regard, we understand that the results observed as a contribution of the Brazilian SSC along with its partners focus on interdependent and endogenous changes in capacities at the individual, organizational, inter-institutional, and social levels.⁷ Given the SSC focus on

capacity development, the assessment is guided by the **Contribution Analysis**, recognizing that SSC initiatives are not intended to achieve development impacts, as these are outside their governance.

- Given the ‘umbrella’ nature of the BRA 13/008, **portfolio evaluations**⁸ serve as our reference to address the object. Portfolio evaluations are more comprehensive than depth-based, offering the opportunity to examine trends, interactions, and effects across projects. They serve as a summary and therefore cannot be considered a substitute for project evaluations. Portfolio evaluations should provide systemic evidence and systemic reflections regarding project design, innovative methodologies, and synergies, including thematic and geographic coherence, across portfolio projects.⁹ In this regard, success and risk factors – when confirmed in different projects – acquire greater significance within the portfolio, informing the future of the interventions under analysis.

Lastly, our evaluation sought to be **sensitive to racial, ethnic, and gender equity**, considering local realities and how gender, race, and ethnicity are understood and prioritized by partner countries. We observed the capacity development of the agents involved in the SSC to incorporate the perspective of gender, race, and ethnicity in their actions.

EVALUATION MATRIX

The evaluation matrix seeks to analyze, through evaluation dimensions and criteria, the purposes and objectives of the evaluation, as well as to understand the chain of results reconstructed through the ToC. As shown in table 2, the evaluation matrix proposes 3 dimensions detailed in 8 criteria, with their respective evaluation questions.

The complete matrix is detailed in Annex 1. We chose a series of projections, all of which were qualitative, as the evaluation criteria of the descriptor (indicator), through which we evaluated the collected evidence. The matrix also records the methods and sources used to analyze the evidence collected in each of the evaluation criteria. For all criteria, the analyses will be contextualized, triangulated, and complemented with explanatory factors.

8. A portfolio of projects is understood as “an aggregate grouping of discrete projects or programmes linked by an overarching, time-bound strategy. Individual projects within the portfolio have vertical lines of accountability to an overarching organizing entity and all share a core unifying element, but the specific objectives and interventions each project pursues may be quite different.” BUFFARDI, Anne L.; MASON, Paige; HUTCHINGS, Claire; SHARP, Samuel. **Monitoring and learning for country-level portfolio decision-making and adaptation**. Londres: ODI, maio 2019. Disponível em: <https://cdn.odi.org/media/documents/12713.pdf>. Acesso em: 5 out. 2021.

9. SANDERS, James. Cluster Evaluation. **The Evaluation Exchange: Emerging Strategies in Evaluating Child and Family Services**, [s. l.], v. 4, n. 2, 1998.

TABLE 2 Dimensions, criteria, and evaluation questions

Dimension	Criteria	Question
Procedural	Relevance and strategic pertinence	To what extent is the project responsive to relevant national and international agendas?
	Efficiency	To what extent has the project complied with deadlines and the efficient use of resources, oriented towards the sustainability of the results?
	Performance	To what extent has the project management ensured the quality of deliveries and contributed to the achievement of the stipulated goals?
	Design quality	To what extent does the PRODOC present a quality design that contributes to the achievement of results?
Intermediate Results	Individual dimension	To what extent has the project contributed to the capacity development of the Brazilian SSC actors?
	Institutional/organizational dimension	To what extent has the project ensured the use of results-based management in South-South technical cooperation actions?
	Normative dimension	To what extent has the project contributed to a strengthened and structured Brazilian Cooperation Agency to coordinate Brazilian technical cooperation?
Long-Term Results	Consolidation of Brazilian SSC	To what extent has the project contributed to consolidate the SSC, adapted to the new configuration of local and international partnerships?

EVALUATION METHODS

The mid-term evaluation is grounded on **Mixed Methods**, seeking an intelligent combination of qualitative and quantitative analysis. The following methods were used according to the Evaluation Matrix:

SEMI-STRUCTURED INTERVIEWS: Interviews with key informants in the ABC, Brazilian implementing agencies, the Itamaraty, the UNDP, representatives from institutions in external partner countries, and representatives from international organizations. The list of people interviewed can be found in Annex 2.

DOCUMENTARY REVIEW: The evaluation included an in-depth review

of project-related documents, as listed in Annex 3. The documentary review served as a source of evidence, which was then triangulated with other collected data through the different evaluation methods.

CASE STUDIES: An in-depth view of the internalization of results-based management. They were used to identify trends, issues, and divergences between different cases. The list of subprojects and actions analyzed by this assessment can be found in Annex 4. The sampling and selection of case studies is discussed in more detail subsequently in this report.

ONLINE SURVEY: An online survey with the ABC staff to collect information, primarily on the reach of the R1 products. The survey results were shared with the ABC through a technical note found in Annex 5.

COMPARATIVE ANALYSIS: To help build the analysis parameters, we analyzed the forms of hiring and training, as well as the evaluation policies and practices of institutions responsible for SSC in four Latin American countries (Argentina, Chile, Colombia, and Mexico). We consulted primary and secondary sources to support the analyses described in specific charts.¹⁰

The principles of **Utilization-Focused Evaluation** guided the evaluation process, seeking a dialogic construction with the main project stakeholders. Collaborative methodologies were used to define the sample, analyze the results, and draft recommendations.

10. The comparative analysis was based on the Master's Research in International Policy Analysis and Management (MAPI) at PUC-Rio, performed by students Yasmin Paes, Nina Bouqvar, Julia Abbud, and Vitória Kavanami.

SAMPLE

The main sampling method used was intentional, a specific type of qualitative method to address the formative purposes of this mid-term evaluation.

The intentional method allowed us to respond to the need to collect relevant data illustrating the great diversity and number of initiatives under the BRA 13/008, and, at the same time, configure a set of cases to enable the evaluation to explore the extent of the

internalization of results-based management in SSC – considering the diversity and the scope of its reach.

In this regard, the intentional sample combines typical cases (the most common patterns among the BRA 13/008 initiatives) complemented with atypical cases, which differ from the set of sub-projects and may provide learning and innovation elements for the general analysis.

The sample definition process consisted of a detailed analysis of the projects' portfolio in focus¹¹, as well as a mapping of relevant actors to provide information to adequately answer the questions proposed in the matrix. Table 3 summarizes the criteria used to define the sample for each used method.

11. The analysis was based on information provided by the ABC in June 2021 through extraction from SGPFIn – comprising a universe of 438 initiatives, circa 70% of the total universe of initiatives under the BRA 13/008. The database with all the initiatives was received in August 2021.

TABLE 3 Criteria used to define the sample for each method

Method	Sample
ABC survey	No sample. The survey was sent to all active ABC employees.
Case studies	Amostra intencional baseada nos seguintes critérios: <ul style="list-style-type: none"> •Territory (by country/region); •Scale (number of projects and/or budget); •Theme (object of cooperation); •Atypical approaches: civil society and private sector participation •SSC modalities: according to the institutional configuration of the ABC and performance of its coordinators.
Interviews with key informants	Intentional sample, based on mapping of actors, seeking diversity of relevant institutional profiles to answer the questions of the evaluation matrix.

To define the sample of the case studies, we consulted the ABC coordinators through initial exploratory interviews and an online survey sent to the Agency's staff. Considering the proposed criteria, the ABC indications, and the analysis of the BRA 13/008 portfolio, we arrived at a final sample of 8 cases. A detailed explanation of the definition of the case studies can be found in Annex 6. Figure 4 provides information on the sample of case studies.

FIGURE 4 Summary of Initiatives analyzed in the sample of case studies

8

CASE STUDIES

- 4 COUNTRIES**
GUINEA-BISSAU, MOZAMBIQUE, MEXICO, AND SURINAME
- 3 THEMES**
HUMAN MILK BANK, WATER RESOURCES, PROFESSIONAL TRAINING
- 1 ATYPICAL CIVIL SOCIETY**

DATA COLLECTION

From the Evaluation Matrix, we created the following instruments for data collection: interview scripts for each of the consulted profiles and a survey for the ABC professionals.

SOURCES

70
INTERVIEWED PEOPLE

46
SURVEY PARTICIPANTS

+150
REVIEWED DOCUMENTS

+
10%
OF THE PRODOC 13/008 INITIATIVES

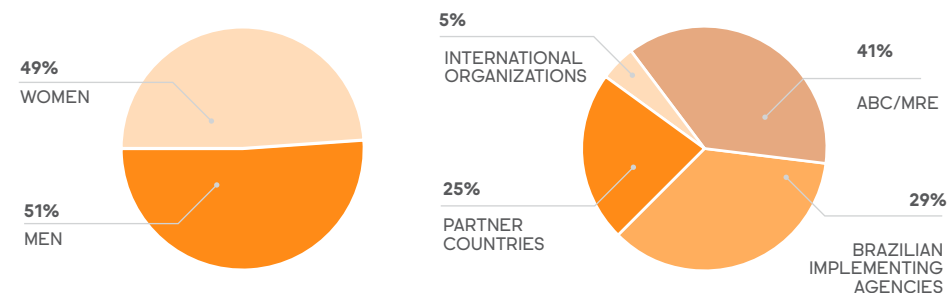
+
40%
OF THE AMOUNT EXECUTED UNDER THE PRODOC 13/008

+
50%
OF THE BUDGET OF THE PRODOC 13/008

68
SSC INITIATIVES ANALYZED

10 mi
EXECUTED

+
U\$24m
BUDGETED



We systematized all the collected data in interview registration forms and in the evidence database compiling information from interviews, survey and document reviews, as well as case study reports. These tools ensured the reliability and uniformity of data collection and analysis. In addition, we used the evidence database to verify the quality and robustness of the evidence to support the analysis. All tools are found in Annex B1.

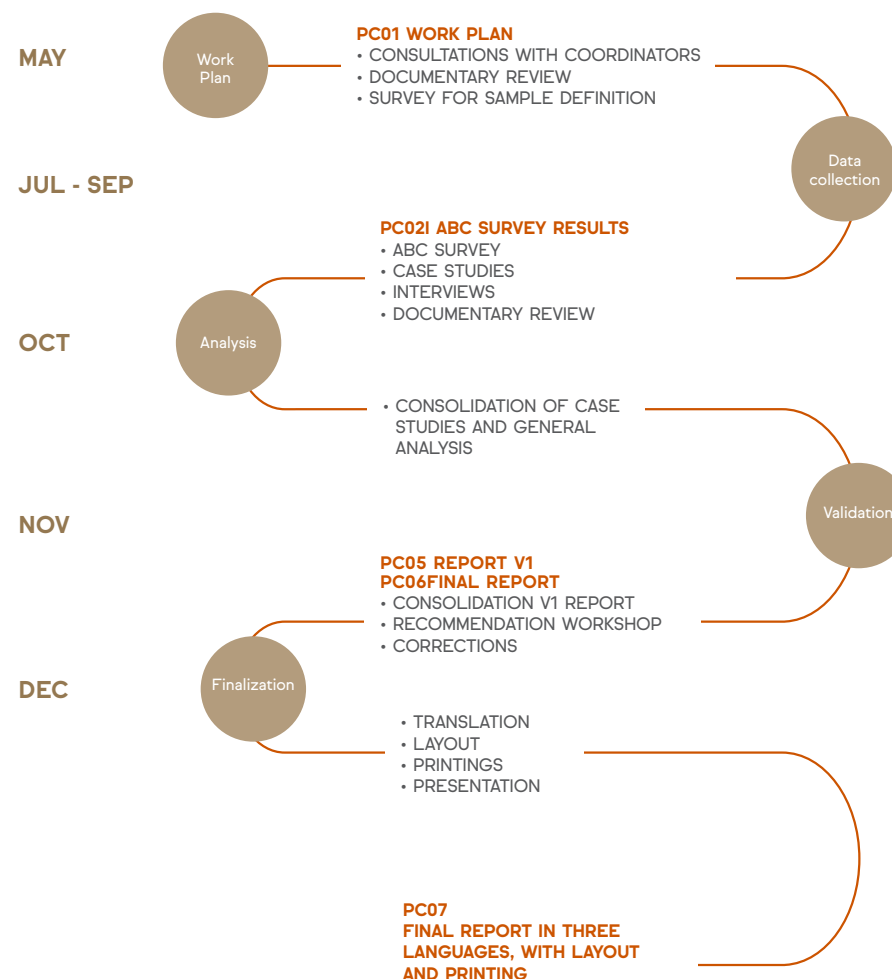
Table 4 records the main limitations faced by the evaluation, as well as the mitigation strategies employed.

TABLE 4 Main Limitations and Mitigation Strategies

Limitation	Mitigation Strategy
Lack of systematized information on institutional-strengthening activities (R1)	The evaluation constantly requested information from the ABC team. However, since this information was not consolidated internally at the ABC, it is not possible to guarantee that all institutional-strengthening activities have been analyzed.
Lack of a contact list of representatives from Brazilian implementing agencies participating in the training programs	We sought to consult with implementing agencies in the case studies.
Difficulty in finding contacts for interviews	The evaluation team made repeated requests to the responsible persons and sought to explain the relevance of the evaluation. In the case studies, when possible, we adjusted our focus to the subprojects that we were able to obtain contacts.
Need for diplomatic support to interview partner institutions	The evaluation team kept in constant contact with the ABC to monitor the progress of the diplomatic liaison and made the evaluation schedule more flexible for these cases.
Lack of access by the evaluation team to relevant documentation on the BRA 13/008 products, as well as specific subprojects.	The evaluation team adapted the sample of case studies to provide as much information as possible. Regarding the BRA 13/008 products, cases in which the lack of information prevented triangulation or analysis were duly recorded in the report.
Remote data collection has constrained the team's ability to make field observations and obtain information through informal conversations during expeditions and interactions in the field.	In order to obtain a greater diversity of perceptions and a deeper analysis, the evaluation team intensified the document review of primary and secondary sources and sought to increase the number of interviewed people on the Brazilian side, as well as of other actors with knowledge of the sector and Brazilian cooperation.
Varied understandings regarding the focus of the PRODOC 13/008: despite the project foreseeing the strengthening of Brazilian technical cooperation, some areas of the ABC understood that the evaluation should limit its scope to South-South Cooperation actions.	The evaluation team sent the survey to all professionals at the ABC and sought interview contacts with all ABC teams, explaining the focus of the PRODOC 13/008 and the objectives of the evaluation.

Figure 5 illustrates the evaluation process, detailing its stages, activities, and products.

FIGURE 5 Evaluation process



ETHICAL CONSIDERATIONS

The evaluation process ensured at all times:

USEFULNESS: In order to ensure that the evaluation process and its products are relevant to stakeholders, the evaluation team consulted with the ABC throughout the process. This was done mainly through (i) constant information about the process and progress of the evaluation; (ii) survey with coordinators in order to gather information to define the sample of case studies; (iii) a workshop to inform the elaboration of recommendations; (iv) analyses and returns of contractual products by the ABC.

INTEGRITY, INDEPENDENCE, IMPARTIALITY, AND TRANSPARENCY: In order to provide transparency and systematic feedback throughout the evaluation process, the evaluation team provided systematic written justifications for the acceptance or rejection of all comments made about each of the evaluation products. At all stages, the team ensured objectivity, professional integrity, and absence of bias. Lastly, we recommended that the final reports should be made accessible to the public.

PRIVACY, CONFIDENTIALITY, AND RESPECT FOR RIGHTS: The interviewed people were duly informed about the purpose of the evaluation, its contractors, and the use of our findings. Participation in the evaluation was completely voluntary. All information collected was consulted exclusively by the independent evaluation team and was not shared, nor will be, with the contracting parties or made public. The contribution of the consulted people is anonymous and confidential.

RESPECT FOR DIGNITY AND DIVERSITY AND THE RIGHT TO SELF-DETERMINATION: The evaluation team sought to respect at all times the diversity of the actors involved in this evaluation process, taking into account the beliefs, manners, and customs of their social and cultural environment, as well as human rights and gender equality.

CREDIBILITY: To ensure credibility, the evaluation team ensured independence, impartiality, rigorous methodology, transparent evaluation process, the involvement of relevant stakeholders, and a robust quality assurance system. All evaluation questions were answered by data triangulation from multiple sources.

3

MAIN FINDINGS

1. The design of the PRODOC BRA 13/008 is relevant and responsive to the need to enable and strengthen SSC, but its implementation has shown uneven advances in expected results and products

DIMENSIONS: Strategic relevance and pertinence, Design quality, Performance, Efficiency

1.1 THE PROJECT RESPONDS TO PREVIOUS DIAGNOSES AND INNOVATES BY PREDICTING RESULTS FOR OVERCOMING INSTITUTIONAL CHALLENGES

Signed in 2013, the BRA 13/008 project replaces the BRA 04/044, following a series of agreements signed between the ABC and the UNDP since the mid-1980s.¹² Akin to its predecessors, the BRA 13/008 project is essential for Brazilian SSC as it enables its administrative-financial execution, in the absence of a national legal norm contemplating its specificities.¹³

Unlike previous projects, which focused on the “identification, planning, and implementation of Technical Development Cooperation among Developing Countries (TCDC)¹⁴”, the BRA 13/008 innovates, in its Result 1, by envisioning products for the institutional strengthening of the ABC and the capacity development of its technical staff, contemplating the recommendations from previous internal evaluations and control bodies.¹⁵

¹² The UNDP has supported the ABC prior to its creation as an Agency, after the transition from the so-called Planning Secretariat to the Itamaraty, in the second half of the 1980s. The UNDP supported the ABC in the training of human resources, in the adoption of management techniques, and in the implementation of project monitoring systems – although the received cooperation modality prevailed, the partnership with the UNDP also envisioned Technical Cooperation among Developing Countries, or TCDC, and the institutional strengthening of the ABC, mainly through the projects BRA/86/001 - Technical cooperation among developing countries, BRA/87/041 - Institutional Strengthening of the Brazilian Cooperation Agency, and BRA/87/032 - Automated technical cooperation management systems. In the 1990s, the PRODOCS BRA/93/004, BRA/94/017, and BRA/98/004 also listed TCDC as their object, as well as the BRA/04/043 and BRA/04/044 in the decade of 2000. In addition to the mentioned projects, the DEX BRA/09/008 includes activities for institutional strengthening and implementation of the SSC, but, unlike the previous projects, it is implemented through direct execution by the UNDP. Sources: LAMPREIA, 2017; CERVO, 1994; ABC, 2005. Project evaluation BRA/98/004; MILANI, 2017.

¹³ Brazil interviews

Therefore, the design of the BRA 13/008 is pertinent and responsive in considering two of the main challenges for strengthening SSC¹⁶: **(i)** the absence of a specific legal framework for international cooperation that meets the needs of Brazil as an actor in international cooperation, which implies the need for a partnership with the UNDP (and with other International Organizations) for its operational viability; **(ii)** the need to have a staff of permanent professionals instead of consultants with temporary contracts linked to projects. These challenges were incorporated into the PRODOC 13/008 in the form of products under Result 1 (R1), which seeks to strengthen and structure the ABC to coordinate Brazilian technical cooperation suitably to the new configuration of local and international partnerships.

Furthermore, the project is also relevant because its expected results should contribute to two goals of the 2012-2015 PPA: **(i)** increase the number of international technical cooperation instruments by 20%, as compared to 2010, and **(ii)** prepare a proposal for regulatory framework for international technical cooperation between Brazil and other developing countries. Lastly, the project proposes to improve methodology and tools for the appropriate follow-up, monitoring, and evaluation of projects.¹⁷

14. The PRODOC BRA/04/044, in force from 2004 to 2015, had only one expected result ("Support the identification, planning, and implementation of TCDC projects and activities with Latin America, Africa, the CPLP, and Portuguese-speaking countries") and three products, each of them related to the "identification, planning, and implementation of the TCDC projects and activities" in Latin America, Africa, and Portuguese-speaking countries. Source: ABC, 2015. Final report BRA/04/044.

15. Source: Project Document BRA/13/008, Situation Analysis (p. 5).

16. The issue of the lack of a specific legal framework for the SSC - and its consequences - has already been the subject of studies and internal diagnoses at the ABC since the 1990s, and appears in publications prior to the elaboration of PRODOC BRA 13/008, such as in PUENTE, Carlos Alfonso Iglesias. A cooperação técnica horizontal brasileira como instrumento da política externa (FUNAG, 2010) and CABRAL and WEINSTOCK, Brazilian technical cooperation for development: drivers, mechanics and future prospects (ODI, 2010). The final report of the previous project (BRA/04/044) also highlighted the absence of a legal framework as a threat to the project's sustainability.

17. Source: Project Document BRA/13/008, Situation Analysis (ABC-PNUD, 2013, p. 7).

18. The first audit report that the evaluation team had access (from a total of six, covering the period from 2013 to 2019) already listed that the project had carried out, in the first two years of validity, "notably activities related to Result 2 in detriment of Result 1". Source: CGU, 2015. Audit report, fiscal years 2013 and 2014. Project BRA 13/008: Consolidation of South-South technical cooperation. The 2019 report also mentions the general low execution percentage of the BRA 13/008, without discriminating between results.

19. Source: Technical Note Survey ABC 13-008. Available in Annex 5.

20. Source: CONTROLADORIA-GERAL DA UNIÃO. Relatório de auditoria exercícios 2013 e 2014 Projeto BRA 13/008. Brasília: [s. n.], 2015.

21. The course was called "Management of South-South technical cooperation projects", carried out in three modules in 2017: the first module dealt with the elaboration of SSC projects (problem tree and logical matrix), the second consisted in the application of the knowledge acquired in case studies, and module 3 addressed the monitoring and evaluation themes of SSC. Source: Enap, 2017. General course program.

1.2 THERE HAS BEEN PROGRESS IN THE DESIGN AND IMPLEMENTATION OF MANAGEMENT TOOLS, ESPECIALLY REGARDING NEGOTIATION SKILLS AND THE DESIGN OF SSC PROJECTS. HOWEVER, THERE IS A DEMAND FOR MORE APPROPRIATE MANAGEMENT SYSTEMS AND CONTINUED TRAINING

The implementation of the BRA 13/008 presents a disparity in the progress of expected results: the R1 products and activities have a slower pace of implementation when compared to R2, dedicated to the implementation of results-based SSC initiatives.¹⁸

The main advances, under result 1, are the preparation of the South-South Technical Cooperation Management Manual (published in 2013), and the training program in 2017 in partnership with the National School of Public Administration (Enap). The Manual has become a reference tool within the Agency and for external actors. A survey sent to the ABC professionals within the scope of this evaluation resulted in a total of 92.85% of respondents evaluating the South-South Technical Cooperation Management Manual as very useful or extremely useful¹⁹. It is also referenced in audit reports, both by control bodies and the Agency itself, as an advance towards providing the SSC with "comprehensive and standardized guidelines".²⁰ The training activity with the Enap²¹, in turn, involved the entire Agency, based on identified needs²² and focused on the management of SSC projects according to what was systematized in the Management Manual.

Regarding result 2, in *quantitative* terms, the goal of surpassing the number of cooperation instruments in relation to 2010 was reached in the first years of implementation. In *qualitative* terms, during the process of this evaluation, we identified significant advances.

Figure 6 summarizes the investments for each product (financial or otherwise), as well as their scope. Some initiatives were conducted with resources from the BRA 13/008, but contributed to R1 and were thus referenced during the collection of information. Such is the case for both the Manual and the aforementioned course at the Enap, whose funding was not provided under the BRA 13/008, but rather included, to a certain extent, in this evaluation since they were mentioned in interviews and in the document review as the

main training activity for the Agency's technical staff in the period under analysis²³. Still, no evidence of investments and improvements was found regarding the existing management systems to support SSC in the Agency – Project Management Financial System (SGP-Fin) and Project Monitoring System (SAP) – object of product 1.9.

On the other hand, there was a significant volume of resources implemented in actions to support SSC. Subproject S161, titled “TCDC Coordination”, represents the largest volume of expenditures not related to the implementation of SSC initiatives with partners, totaling more than USD 2.1 million in expenditures from 2013 to 2020 (circa 8% of the total in the period).²⁴ However, the objective of the subproject (“to support the execution of the technical cooperation provided”)²⁵ and the subsequent recorded expenditures (translation, printing, and transport services)²⁶ only enabled the operationalization of SSC in its daily implementation, and did not contribute to strengthening the ABC.

Even though the BRA 13/008 reserved resources for hiring consultants to support the realization of products related to the

22. Prior to the implementation of the BRA 13/008, the ABC and the Enap, with the support of the German Agency for International Cooperation (GIZ), made efforts to create a Training Course in International Cooperation in 2012, aimed not only for ABC professionals, but also for advisors and directors of Brazilian public institutions engaged in international cooperation. Implemented in pilot mode, the course was ultimately not incorporated into the school's course schedule.

23. An analysis of the records under BRA 13/008 in the SGPFIn reveals that there is only one activity directly related to the training of civil servants in the topic of knowledge management (A22B). Neither did the preparation of the SSC Management Manual generate related expenditures within the scope of the aforementioned project, with the exception of A09B, which deals with a technical visit to the ABC. Annex 4 details the actions and subprojects identified for each R1 product.

24. SGPFIn report of August 8, 2021, provided by the ABC.

25. Source: AGÊNCIA BRASILEIRA DE COOPERAÇÃO. *Acompanhamento de Projetos*. Ficha Sintética: 2013 a 2021. [S. l.: s. n.], 2021.

26. Source: AGÊNCIA BRASILEIRA DE COOPERAÇÃO. *Relatório de Progresso*. [S. l.: s. n.], 2018.

FIGURE 5 Investment summary and scope of the PRODOC 13/008 products²⁷

R1 ABC strengthened and structured to coordinate Brazilian technical cooperation suited to the new configuration of local and international partnerships	1.1 Studies and diagnoses that support the structuring of the legal framework for Brazilian technical cooperation				
	1.2 Studies and diagnoses that support the organizational restructuring of the ABC				
	1.3 Studies and diagnoses that support the elaboration of proposals for the ABC's strategic planning and technical cooperation				
	1.4 Career structuring proposal for staff training in technical cooperation				
	1.5 Survey, systematization, and dissemination of results of Brazilian Technical Cooperation				
	1.6 Capacity building of the ABC technical staff				
	1.7 South-South Technical Cooperation Management Manual				
	1.8 Manuals for technical and administrative-financial procedures				
	1.9 Technical cooperation monitoring, follow-up and evaluation systems operationalized				
R2 Results-based management of programs and projects adopted in South-South technical cooperation actions	2.1 South-South cooperation actions, at the bilateral level, focused on results-based management				
	2.2 South-South cooperation actions, at the trilateral level with IOs, focused on results-based management				
	2.3 South-South cooperation actions, at the trilateral level with countries, focused on results-based management				
	2.4 National institutions better prepared to work on TC projects				
	2.5 Project monitored and evaluated				
	2.6 South-South cooperation actions, at the bloc cooperation level, focused on results-based management				
Other initiatives related to institutional strengthening identified	Support for TCDC (S161) and coordination teams (CGTP, CPLP, CGAA)				
	Capacity building initiatives in South-South Cooperation alongside partner countries				

PRODOC'S RESOURCES
 COMPLETED
 PARTIALLY REACHED
 PERFORMED BY ABC PROFESSIONALS OR OTHER INSTITUTIONS
 COMPROMISED REACH

27. Regarding the design of the PRODOC 13/008, it is noteworthy that the first four products (1.1 to 1.4) focus on the elaboration of studies and proposals, unlike other PRODOC products that clearly mention the need to change various processes identified as important for a strengthened and structured ABC. Our evaluation did not find evidence that such studies were conducted, nor did it have access to such documents. In this regard, our analysis of the scope of such products focused on the central object of the product and not on studies and diagnoses, given that their existence is not indicative of changes.

legal framework (1.1) and career structuring (1.4)²⁸, there are no expenditures recorded in the ABC's financial tracking system regarding these two products²⁹, and the progress reported is associated with activities carried out by the technical staff and the Agency's Management, which worked on drafting a legislative Bill to regulate Brazilian international cooperation across its various modalities.

The proposal received subsidies from other Ministries, and the resulting Bill received a positive opinion from the Sub-branch of Analysis and Monitoring of Governmental Policies (SAG) and the Sub-branch of Legal Affairs (SAJ) of the Civil House/PR; a proposal for an autonomous decree with the same content was also prepared. Furthermore, according to the progress report prepared by the ABC, the change in the Federal Government Administration in 2019 resulted in the Bill returning to the MRE, so that "the current administration could be heard"³⁰, this being the last referral identified by our evaluation.

It should be noted that while the design of the PRODOC envisions different products to structure and strengthen the Agency, the implementation ultimately bound several products to the legal framework product:³¹ the career proposal for the international cooperation professional, as well as organizational planning and structuring, were contemplated in the aforementioned bill.³² In other words, with the suspension of the negotiation of the legal framework due to the administration changes at the federal level, other products were also suspended.

28. Respectively USD \$165,000 and USD 100,000. Source: ABC-PNUD. **Documento de Projeto BRA/13/008**: Consolidação da Cooperação Técnica Sul-Sul Brasileira. Brasília: Agência Brasileira de Cooperação, 2013.

29. Except for activity A098: Technical Visit to the ABC – SSC Management Manual – Project Capacity Development in the Management of South-South and Trilateral Cooperation, whose goal was to "Contribute to the creation of instruments similar to the Manual, by the participants of the technical visit, in their institutions of origin, through knowledge of the ABC experience, as well as promoting dialogue on common challenges and points of interest between representatives of cooperation bodies in governments of developing countries and ABC representatives". Source: Brazil Informants, (ABC); AGÊNCIA BRASILEIRA DE COOPERAÇÃO. **Acompanhamento de Projetos**: Ficha Sintética: 2013 a 2021. [S. l.: s. n.], 2021.

30. The proposal for an autonomous decree also sent by the ABC was rejected by the Civil House in December 2018, as it was not considered adequate for the new political context. Source: AGÊNCIA BRASILEIRA DE COOPERAÇÃO. **Relatório de Progresso**. [S. l.: s. n.], 2019.

31. The evaluation team did not have access to the bill and autonomous decree, which makes it impossible to categorically analyze its content and to what extent it addresses the institutional development dimensions envisioned in R1.

32. Source: Brazil Informants; AGÊNCIA BRASILEIRA DE COOPERAÇÃO. **Relatório de Progresso**. [S. l.: s. n.], 2019.

33. Our evaluation survey can be found in Annex 4. This survey is an estimate to reference the evaluation stage of the projects that effectively used resources from the project under analysis. However, as already explained, the diffuse nature of institutional strengthening activities hinders this distinction, both due to the lack of activities as well as the interviewees' understanding.

34. Source: CGTP Report, 2017.

35. Source: Brazil informants.

36. Brazil interviews.

37. In 2001, the Public Ministry of Labor of the Federal District filed a Public Civil Action contesting the hiring of human resources in international technical cooperation projects without public tender and compliance with labor and social security obligations, prohibiting new recruitments. A Term of Adjustment of Conduct (TAC) was agreed between the Union and the Public Ministry of Labor, with a proposal to replace the contracting model via the UNDP, which included the hiring of temporary professionals, the holding of public tenders, and the outsourcing of support (PUENTE, 2010).

A paradigmatic example of this relationship between the planned products and the legal framework is the creation of a career that would guarantee a specialized and permanent body of technical employees at the ABC. As previously mentioned, this is one of the main challenges for strengthening SSC in Brazil, and it has been the object of attention for several decades. The solution found – hiring consultants via the UNDP – despite various manifestations of the control bodies regarding its inadequacy, was ultimately consolidated over the years. We should note, however, that despite this difficulty, part of the technical staff has remained for significant periods. In fact, among those who replied to the survey sent to the ABC within the scope of this evaluation, 56% of them have been with the Agency for over ten years.

It is worth noting that we identified the possibility of using BRA 13/008 resources in institutional-strengthening initiatives, even if these do not explicitly fit into the products envisioned by the PRODOC.³³ The isolated activity A128 (Support for the Coordination of Partnership Mechanisms and International Technical Cooperation Programs between Brazil and Developed Countries) is one example. The activity includes the development of tools and evaluation criteria that sought to give a more strategic dimension to the General Coordination of Technical Cooperation and Partnerships with Developed Countries (CGTP).³⁴ Previously devoted to managing the bilateral cooperation received from developed countries, this coordination changed its focus in 2016 to address this issue within trilateral cooperation and the formation of strategic partnerships with developed countries.³⁵

In summary, the mapping of resources and efforts employed towards the goal of institutional strengthening reveals few strategic actions to overcome institutional bottlenecks and a tendency to invest in the maintenance of existing arrangements. Thus, if on the one hand there is general recognition that the BRA 13/008 project plays a fundamental role in *enabling* SSC in Brazil³⁶ and that the agreement with the UNDP offers a solution to the issues of lack of a specific legal framework and maintenance of the technical framework, on the other hand the arrangement, at first regarded as provisional, has been prolonging itself over the last decades – even though federal and state control bodies have already warned about this issue.³⁷

INSTITUTIONAL AND PROFESSIONAL ARRANGEMENTS OF SSC IN LATIN AMERICA

A comparative analysis of the institutions responsible for SSC in the four countries (Argentina, Chile, Colombia, and Mexico) reveals that, despite different arrangements, there are common traits to all of them, such as their hybrid nature; that is, they all deal with received international cooperation as well provided cooperation. Furthermore, they have external consultants in their professional staff, in addition to career personnel from the public service and professionals linked to international organizations. The different institutional arrangements range from uncomplicated arrangements such as the FO.AR, a department of the Argentine MRE, which functions as a fund and has a total of 34 employees (career, commissioned employees, and external consultants), to autonomous institutions such as the AMEXCID, part of a robust system of Mexican international cooperation supported by specific legislation and with 301 dedicated professionals. AGCID (Chile) and APC-Colombia are similar to the ABC in terms of the number of professionals devoted to international cooperation, with 92 and 101 respectively. However, the proportion of external consultants (more than 83% of the total) in the case of the ABC compared to the others and the lower relative presence of career professionals (just over 10%) is noteworthy.

38. Previously known as “isolated activities”, the Management Manual has since described them as “simplified actions”. It is one of the four SSC implementation instruments (the others are programs, projects, and preparatory actions) whose objective is to enable specific actions which do not require a complex technical scope and are limited in time. Source: AGÊNCIA BRASILEIRA DE COOPERAÇÃO, 2013, p. 19.

39. Expression used by informants in Brazil.

40. Source: Case studies and Brazil informants.

41. Source: MRE. Secretaria de Controle Interno. Relatório de auditoria, 2019.

2. The design of SSC initiatives has significantly improved, but the ABC's capacity for tracking implementation, monitoring, and evaluation of results still presents gaps

DIMENSIONS: Performance, Intermediate Results - Individual scope and organizational scope

2.1 THE SSC MANAGEMENT MANUAL AND THE TRAINING PROGRAM IN 2017 CONTRIBUTED TO THE PROJECT PREPARATION STAGE

Within our analyzed sample, we found initiatives developed prior to the publication of the SSC Management Manual, as well as simplified actions and subprojects developed at a later stage.³⁸ In the “old model”³⁹, the structure of the initiatives presented generic diagnoses and lacked a theory of change. The definition of the goals behind the implementation of SSC projects was open to the interpretations of the various actors involved. Furthermore, they did not systematically present mechanisms for managing, monitoring, and evaluating activities.

In most recent initiatives, the use of more accurate diagnostic tools, as per the Manual's guidelines (such as a problem and solution tree), has enabled a more efficient prospection. The elaboration of logical frameworks in project design has provided greater clarity on how the proposed activities relate to the goals and expected results, providing more solid ground for planning actions. However, not all planning elements that arise from the logical framework are adequately measured. Major issues such as procurement planning and customs clearance; technical hours and availability of the implementing institutions; schedules and budgets more realistic and compatible with local contexts are usually adjusted during the execution of activities.⁴⁰ These lags cause a constant need to extend the schedules and to simplify actions to make up for unpredicted actions.⁴¹

Both the 2013 Manual and the training carried out with the Enap in 2017 were initiatives that contributed to a substantial improvement

in the results-based management of the SSC subprojects, especially regarding negotiation capacities and elaboration.

According to a survey that our team carried out with the ABC professionals, circa 79% of the interviewees underwent capacity development for better performance in the SSC management.⁴² Among the interviewees, 49% considered the trainings useful for prospecting and defining the scope of the initiatives and 46% considered them relevant for elaborating preliminary documents. In the open answers, respondents mentioned that the capacity development trainings focused more on problem and solution trees, on comprehending cause and effect relationships, and on the logic for building expected results, which was confirmed by the interviewees.

The creation of the Manual also mirrors an inner perception of the ABC (and discussed with control bodies in the audit processes), which believes that the responsibilities for SSC results – whether met or not – were disproportionately imputed to Brazil. The systematization of this tool facilitated a broader understanding on how to share responsibilities among partner countries and institutions.⁴³ Thus, the Manual presented a new normative standard, determining the project scope and clearly stating the role played by the partner country at the negotiating and planning stages of the initiatives.

However, the perceived progress in the design of initiatives was not observed in other project stages: in particular, feasibility studies on initiatives and risk mitigation, and monitoring and evaluation activities. We found, in the case studies, a lack of necessary information for feasibility studies based on knowledge about local contexts. In countries with institutional and political vulnerabilities, analyses regarding the situation of the country and the specific region where a particular project will be implemented as well as recommendations about political context, institutional situation, and traditions and customs were not consistently shared with the implementing personnel. In particular, in projects with implementing institutions that were new to SSC, this contextualization was entirely absent from the design and planning phases, resulting in negative impacts on the progress of the projects.⁴⁴

42. The survey was not restricted to evaluating the contribution of the Enap training in 2017 to the ABC team's capacity development in results-based management. The survey sought to map which types of competences had been approached in general capacity development initiatives, thus enabling to identify initiatives carried out within the scope of specific ABC teams or subprojects under the BRA 13/008, such as exchanges with other cooperation agencies. However, since the promotion of such initiatives is diffuse and decentralized, we were unable to triangulate the answers with a list of promoted initiatives.

43. Source: Interviews Brazil.

44. Source: Case studies

45. The Management Manual states that "Gender indicators are meant to collect and analyze information for later assessment of the merits of South-South technical cooperation projects and actions in terms of positive changes and benefits on gender equality, and also for assessing how the cooperation contributed to identifying gender disparities in the context/theme/sector of each initiative" (AGÊNCIA BRASILEIRA DE COOPERAÇÃO, 2013, p.58).

46. Published in 2018, the Ordinance established the topic within the scope of the Agency and the UNDP partnership - however, the change of government in the following year slowed down the predicted advances, such as developing indicators and dialoguing with further entities from the executive branch, with scholars and specialists, besides elaborating a manual that incorporates gender, race, and ethnical perspectives during the entire project cycle and in cooperative South-South technical actions. Source: Official Federal Gazette. Ordinance dated August 17, 2018.

CHART 2

IMPROVED DESIGN OF SSC INITIATIVES: EXAMPLES IN MOZAMBIQUE AND GUINEA-BISSAU

In Mozambique, the design of the BRA 04/044-S309 subproject (Implementation of the Human Milk Bank and Lactation Center in Mozambique), prior to the Manual's publication, is restricted to presenting justification, goals, and planned activities. Still within the scope of the PRODOC prior to 13/008, the BRA 04/044-A1094 (Young Leaderships for Good Socio-educational Practices Diffusion in Guinea-Bissau) and, again, the BRA 04/044-S309 presented under-specified diagnoses which need further corrections throughout the implementation of the initiatives.

In turn, the BRA 13/008-SSANM (Strengthening Governance in Food and Nutrition Security in Mozambique) from 2019, still in the negotiation phase, presents sections dedicated to monitoring, evaluation, risk mitigation, and sustainable strategies planned as per the Manual guidelines. The same differences can be found, for example, between the Subproject BRA 04/043-S115 (Creation of a Brazil-Mozambique Vocational Training Center), of 2009, and its Phase II (BRA 13/008-S337), already implemented in the framework of the PRODOC 13/008.

Regarding the design of the SSC initiatives, we noted that the inclusion of minority groups has been incorporated as a normative instrument of the ABC⁴⁵: the creation of a working group, established by the MRE Ordinance to include gender, race, and ethnic perspectives in 2018, was considered an important advance.⁴⁶ However, it did not generate visible results, and the inclusion of minority groups or vulnerable populations was not explicitly foreseen in the subprojects and actions for the analyzed sample. The survey respondents consider this a gap in the training processes promoted by the ABC: 40% of the interviewees recognize that gender and race issues were 'slightly' or 'very slightly' explored in their trainings.

One of the mentioned reasons for this situation is the fact that SSC initiatives do not directly target the final beneficiaries of public policies, but rather the responsible public institutions.⁴⁷ Even so, there is no evidence of strategies to ensure further inclusion of public managers from minority groups in the SSC actions, nor strategies for monitoring or evaluating the impact of institutional capacity development actions among these groups (whether as direct and indirect beneficiaries).

We found some initiatives with a clear focus on more vulnerable groups in subprojects and actions with the participation of implementing agencies with prior experience in SSC projects, or through the engagement of civil society partners. This indicates that this incorporation is related to the program of these institutions, rather than a systematic practice of the ABC. Chart 3 details such initiatives.⁴⁸

47. As for the final beneficiaries, there is potential for vulnerable groups to become indirect beneficiaries of the SSC initiatives. In the case of the Human Milk Banks, for example, women and children are the immediate beneficiaries of a breastfeeding policy, however, there is no evidence of tools for including vulnerable populations in their project. Also, in the subproject BRA 13/008-S345 (Evolving from Itinerant Farming to Agroforestry Systems: food security from sustainable production), signed by Brazil and Suriname, the direct beneficiaries are the Surinamese technicians, but in the long term the initiative could benefit local communities. Furthermore, within the scope of Suriname cooperation, in the subprojects BRA 13/008-S349 (Support for the Processing and Marketing of Non-Timber Forest Products) and BRA 13/008-S357 (Introduction of Sustainable Açai Cultivation in the Surinamese countryside), Quilombola and Indigenous people are also direct beneficiaries, since they are part of the productive chain and the project expects to create jobs in the sector.

48. Sources: Interviews and document review from the Case studies.

CHART 3

INCLUSION OF MINORITY OR VULNERABLE GROUPS IN SSC ACTIONS

Brazil-São Tomé and Príncipe Professional Training Center: review of the original plans for promoting the inclusion of youth, populations that do not live in the center of São Tomé, people with disabilities, and access of women to the offered courses.

Brazil-Mozambique Professional Training Center: effective actions have been taken to deal with the inclusion of people with disabilities through the concept of “inclusive professional training”.

The subproject “Support for Implementing the Cultivating Good Water Program” in the Dominican Republic applied an award-winning methodology developed by Itaipu Binacional, and included targeting dimensions such as prioritizing the most vulnerable populations among the beneficiaries. Mechanisms for inclusion and broad participation of various social segments were also foreseen in the various stages of the project.

In the subproject “Transfer of Knowledge for the Production of Cut Gems, Jewels, and Mineral Crafts”, the gender perspective was not included in the initial design, having been suggested by the Brazilian Association of Small and Medium Producers of Gems, Jewels and Similar Goods, Miners and Prospectors (ABRAGEM). The results achieved through this adaptation were considered very positive. The inclusion of women in training courses was responsible for breaking cultural paradigms in Algeria.

The analysis of the 13/008 project portfolio also reveals two initiatives in South America, with an exclusive focus on minority or vulnerable groups. Within the scope of trilateral cooperation with Uruguay, we find actions for the Implementation of Public Policies for Racial Equality within the scope of the National Strategy of Public Policies aimed at the Afro-descendant Population with subnational Governments (S323 and S241). Both subprojects have a budget of USD 26,000, but their execution was limited to USD 5,000 in 2018. As part of the bilateral cooperation with Bolivia, USD 2,000 was allocated to A124 - Support for Training in the Week for Gender Equality and Fighting Violence Against Women in Bolivia.

Similarly, the few subprojects in the selected sample whose design signaled an explicit link with the SDGs and/or alignment with regional and/or global agendas were executed by implementing agencies with consolidated internationalization processes. Chart 4 shows the examples identified in the sample.

49. See BRA/13/008-S354. TECHNICAL NOTE ON PROJECT FRAMEWORK. Internal document. (No date).

50. Source: Almeida et al., 2017.

52. Source: Technical Note Survey ABC 13-008. Available in Annex 5.

53. This adaptation was adopted, among other reasons, after failed attempts to train young local leaders to work in the management of the Educational Center and their subsequent departure from the project, generating a high cost for new trainings. The presence of a local consultant helped to retain trained young leaderships and make use of these human resources to manage the project, ensuring the sustainability of the results.

54. Interview with Brazil informant

CHART 4

INITIATIVES IDENTIFIED AS HAVING EXPLICIT LINKS TO THE SDGS

In the case of the National Service for Industrial Training (SENAI), the second phase of the Brazil-São Tomé and Príncipe Professional Training Center project specifically targets SDG 4 (Quality Education), SDG 8 (Decent Work and Economic Growth) and SDG 17 (Partnerships and Means of Implementation).⁴⁹

The Human Milk Banks (HMBs) directly address SDG 3 (Health and Well-being) and 17 (Partnerships and Means of Implementation). The initiative gained international recognition from the awards received by the World Health Organization (WHO) for its significant contribution in reducing child mortality rates.⁵⁰

The SSC agenda regarding Water Resources proved to be quite transversal in achieving the SDGs, as it directly impacts the achievement of SDG 6 (Drinking Water and Sanitation), which, due to its transversality, helps in the achievement of several other development dimensions, such as SDG 2 (Zero Hunger and Sustainable Agriculture), SDG 3 (Health and Well-being), SDG 7 (Clean and Affordable Energy), SDG 13 (Action Against Global Climate Change) and SDG 14 (Protecting Life Below Water).⁵¹

51. ANA. ODS 6 no Brasil: visão da ANA sobre os indicadores. Brasília: 2019.

2.2 INITIATIVES THAT HAVE GREATER TECHNICAL SUPPORT ARE MORE EFFECTIVE

Capacities related to *implementation, monitoring, and evaluation* were identified as important gaps. In the conducted survey, just over 30% of respondents considered that training contributed to the technical implementation of activities, and only 19% considered that training contributed to monitoring the progress of results.⁵²

It is important to note that the projects that received greater technical support from the Brazilian implementing agencies, in the form of consultants or local contractors to monitor the implementation, obtained better results. One of the reasons behind this finding is the attribution, to ABC analysts, of the responsibility to monitor the entire management cycle of several projects at once, which makes it difficult to monitor and timely manage initiatives in partner countries.

The interviewees often attributed the performance of SSC initiatives to the support of local contractors, whether consultants, civil society, or professionals supported by implementing agencies to closely monitor the projects. For example, the subprojects developed with SENAI, which had a dedicated professional for each subproject, were considered efficient and effective, just as the subprojects carried out by the Global Network of HMBs, which independently monitors the initiatives. This finding is further ratified by the importance of civil society engagement and assistance of a local consultant⁵³ for achieving results in the subproject “Young Leaderships for the Propagation of Good Socio-educational Practices” in Guinea-Bissau, which also promotes its own sustainability.

The case that best expresses the good results of this technical support is the collaborative relationship between the National Water Agency (ANA) and the ABC, permeated by synergy and institutional enhancements. The performance and contribution of the implementing agency directly influences the effectiveness and efficiency of the project management. We found a progressive improvement in the design of SSC initiatives in the area of water resources through the inclusion of risk analysis, better technical diagnoses, and more robust assessments, with the inclusion of verification means and more accurate indicators. In addition, the hiring of specialized consultancy for the World Water Forum (WWF) process was also recognized as an important factor for the success of the initiative.⁵⁴

3. Subprojects generated good capacity development results in partner countries. However, they face significant challenges regarding the exit strategy and the sustainability of the initiatives

DIMENSIONS: Performance, Intermediate Results - Individual and organizational dimension

3.1 THE RESULTS OF THE BRAZILIAN SSC ARE ROBUST REGARDING CAPACITY DEVELOPMENT FOR PARTNERS, ALTHOUGH THEY STILL ENCOUNTER SIGNIFICANT OBSTACLES IN INFRASTRUCTURE IMPLEMENTATION

As for the results of SSC for the partners, we found evidence of the development and improvement of individual capacities of the professional staff of public institutions in partner countries through the transfer of knowledge in priority areas for their development.⁵⁵ The subprojects also presented relevant results for the partners in terms of institutional and sectoral capacities, as well as in the improvement of public policies and other normative instruments. However, it is not possible to measure the results accurately for all areas, due to the absence of baselines and benchmarks and insufficient evaluations. Table 4 summarizes the main findings of the evaluation regarding capacity development.

55. Interviews with informants from partner countries.

TABLE 4 Summary of key capacity development results

Individual capacities	The quality of training, knowledge, and experience of Brazilian implementers stands out, as well as the training and education stages present in all subprojects within the sample. Cooperation with Brazil provides support to partner countries so they may have excellent professionals to train their human resources through a relationship that effectively generates knowledge and skills. Fulfilling this demand for capacity building was identified as a positive differential of Brazilian SSC, mainly due to the fact that the projects seek to work in a flexible way, adapting to local characteristics and conditions, rather than through the implementation of closed models. The young people who participated in training activities within the scope of the subproject in Guinea-Bissau , for instance, acquired new knowledge about construction techniques with locally available resources and also had the opportunity to participate in other training and articulation initiatives with partner NGOs in Brazil.
Institutional and sectoral capacities	In the area of Water Resources, the five analyzed initiatives focused on the development of human and institutional capacities in partner countries. In the case of Brazil-Mexico cooperation, there is a clear horizontal relationship between the countries expressed in the sharing of human, material, and financial resources between governments and in mutual benefits. In the case of Brazil, some adjustments and improvements were made in the calculation of SDG6 indicators based on the Mexican experience, and themes presented in the annual report <i>Estadísticas del Agua en Mexico</i> were incorporated into the annual report on the Conjunction of Water Resources in Brazil. Furthermore, the experiences of Mexico's National Water Plan have contributed to the process of elaborating the new National Water Resources Plan in Brazil. A relevant result for Mexico was the coding of a pilot basin using Otto Pfaster's methodology, carried out by the ANA in 2020. The activity contributed to the improvement of the instruments adopted by the country and to the publication of data, statistics, and annual indicators, including regarding the monitoring of the 2030 Agenda. In the initiative with the SENAI in Mozambique , the results converged on the objective of training staff and strengthening the management tools of the Mozambican State. Reports indicate that the Alberto Cassimo Institute for Professional Training and Labor Studies (IFPELAC, a local partner institution) is undergoing a series of institutional reforms because managers realized, due to the project with SENAI, that they have the potential to strengthen their activities. In general, there were no common guidelines in the pedagogical and management processes, and even in terms of infrastructure, permeating the work of the institute as a whole before the dialogue with the SENAI. The workload of the courses offered at different IFPELAC units, for example, was not standardized, and the graduates' capacity profile were not the same. The institution has sought to build such parameters through lessons learned in trainings carried out in projects with the SENAI. We emphasize the introduction of the concept of mobile units developed by the Brazilian implementer, which the IFPELAC has already managed to replicate in 29 other units, albeit with different sizes and structures.
Improvement of public policies and other regulatory instruments	The technical cooperation subproject between the central banks of Brazil and Suriname developed the risk management policy pursued by the partner country. This mechanism has even been incorporated into the financial agency's Strategic Plan 2021-2024, which has also adopted a gradual implementation approach to the SSC recommendations for its new monetary policy framework. Also in Suriname, regulations and techniques for agricultural defense and sanitary surveillance are being reformed, and a new regulation based on the Brazilian regulation is under discussion. The perception of the interviewees is that SSC with Brazil has a strong influence on Surinamese public policies in the health area, with the incorporation of HIV tests, although it is difficult to estimate its sustainability for future periods. Mozambique is undergoing major reforms in its governance structures, and cooperation with Brazil has been directed towards this component. In this context, the Fernandes Figueira Institute (IFF/Fiocruz) was invited by the Mozambican government to assist in the preparation of a project to strengthen reproductive, child, school, and adolescent health. The subproject "Support for the implementation of the Human Milk Bank in Mozambique" is one of the technical support strategies for this broader program. In the case of the Oral Health subprojects, despite the mishaps faced in Phase I, relevant lessons learned were recorded for the next stage of the initiative, in which the proposal is to develop Mozambique's own National Oral Health Policy. It is also worth mentioning the project for the Legal Training of Trainers and Magistrates, which have contributed to the reform of the country's justice system through the production of manuals aimed at the practice of judges, in accordance with Mozambican and international legislation. At the regional level, the preparatory process for the 8th WWF led to the elaboration of three Agendas for the Development of Water Management, for South America, the Caribbean, and Central America. The preparatory activities for the 8th WWF also promoted strategic gains in the most relevant international forum for the theme: a new arrangement and forms of partnership with foreign governments were established through the creation of the Network of Directors of Water Resources of the CPLP Countries. At the bilateral level, there were indirect impacts on Mexican public policy through the development of the institutional capacity of the National Water Commission (CONAGUA). In addition, the CONAGUA will draft a document on the analysis of the management and dissemination of water information, relating to guidelines, governance policy, and information technologies. In the subproject developed with the Dominican Republic, the program "Cultivating Good Water" was included in the Social Management Directorate of the Ministry of Energy and Mines and in the Water Resource Coordination Board.

An important dimension regarding institutional capacities concerns the necessary infrastructure and equipment to provide public services⁵⁶. Although Brazilian SSC results are “visible” in the countries – such as laboratories and reference centers –, there are recurring obstacles for the acquisition and transfer of equipment, as well as for the implementation of infrastructures. Projects with purchases of goods and services abroad require bidding processes adapted to the local legislation and according to Brazilian and UNDP rules and procedures; specific documentation for tax and customs clearances; technical knowledge to enable the international acquisition of goods and services in places where the availability of suppliers and guarantee of execution of the services depend, to a large extent, on local conditions and customs in countries with a high level of informality. Despite being operational-administrative obstacles, they require specialized knowledge and cause an impact on technical results.

The factors that impact the implementation capacity of Brazilian SSC include⁵⁷: **(i)** lack of clarity about the technical and financial responsibilities of each of the actors involved in the arrangements and implementation; **(ii)** lengthy bureaucratic procedures in the bidding process for contracting services and purchasing products; **(iii)** difficulties in customs clearance; **(iv)** insufficient strategic information about the country and the specific location of the project in order to support cooperating institutions regarding the contextual specificities of each country in their bureaucratic, legislative, political, and cultural dimensions.

The impacts generated by such obstacles include: **(i)** the deterioration of equipment and acquired materials; **(ii)** the mismatch between capacity development of human resources and the implementation of equipment and infrastructure; **(iii)** upholding project schedules; **(iv)** the effective allocation of resources. These are, therefore, problematic situations that affect the consolidation of Brazilian SSC and affect the country's image vis-à-vis its partners.

Finally, it was not possible to analyze the results of the projects for the wider population of the partner countries, primarily because the direct beneficiaries of the SSC are the institutions themselves and their professional staff. Secondly, because there is no follow-up of the results after the cooperators leave, and this type of impact would be better measured in the medium and long term. There is

56. Overcoming these difficulties is a persistent challenge already emphasized in the Final Report of the BRA 040/44 project, which states that “Projects that contain physical infrastructure works (...) must be carefully analyzed. In general, these projects are difficult to execute, with high financial costs and time-consuming implementation. Furthermore, complex bidding requirements imposed by local legislation to the partner entities, alongside the low operational capacity of most Brazilian institutions and recipient countries, may also increase the gap between planning and execution” (p. 25)

57. Interviews Brazil and partner countries

58. According to the SSC Management Manual, the exit strategy consists of defining parameters for the completion of the Project or Preparatory action, or move on to more advanced levels of a Project (new phase, exclusive to Projects or Programs). Source: AGÊNCIA BRASILEIRA DE COOPERAÇÃO, 2013. p. 101.

59. Source: AGÊNCIA BRASILEIRA DE COOPERAÇÃO, 2013, p. 114

a gap in the SSC proposals regarding the performance of ex-post evaluations and the sustainability of the initiatives, as detailed below.

3.2 THE PLANNING OF THE EXIT STRATEGY OF THE PROJECTS WAS DEFICIENT, REVEALING LIMITATIONS ON THE SUSTAINABILITY OF SSC ACTIONS

We considered the flow and sharing of information among partners as satisfactory, with improvements derived from the creation of the Project Monitoring Committees (CAP). However, conducting an effective exit process⁵⁸ is a frequent challenge and, despite the various strategies proposed within each subproject, we found no significant evidence about institutionalized procedures at this stage, making it difficult to transition the results to governments and partner institutions, as well as an efficient exit of cooperators. The Management Manual addresses the issue of an exit strategy, albeit insufficiently: the sustainability factors of SSC initiatives are listed generically, and there are no systematic examples of measures to be taken within the scope of subprojects or lessons learned.⁵⁹

Among the subprojects comprising the sample of this evaluation, those in Guinea-Bissau were the most emblematic in relation to such difficulties, given the difficulties faced by the Guinean government in owning the results. Guinea-Bissau's fragile financial and institutional capacity has been a limiting factor in the transition of SSC projects results to public management in the country.

In the case of the subproject developed with SENAI, although the management transfer has been agreed among stakeholders, the moment of departure of the Brazilian team has been continually postponed, and the project has already completed over fifteen years of implementation. With the end of activities initially scheduled for January 2018, the current “REVISION G” of S238 constitutes the seventh amendment to the project, extending its validity until December 2022. The political instability in Guinea-Bissau was identified as the main factor that hinders the project implementation, as well as an element that prevents proper ownership in the Professional Training Center by the country's government. On the other hand, the lack of contextual information to support the planning of more coherent actions in face of the country's reality, as well as the

difficulty in maintaining a closer monitoring of the project, were also mentioned as elements that make it difficult to close the project.⁶⁰

Similar obstacles were found in the project “Young Leaderships for the Propagation of Good Socio-educational Practices”, whose demand came from the civil society in Guinea-Bissau. Although the project innovates by engaging civil society organizations as implementers, the design of the initiative showed limited knowledge of the country's reality, as it was based on the premise that the Guinean government would have an active participation and that the project could be grounded on community volunteering. Once again, political instability contributed to the lengthy execution period of the project, leading to long-lasting periods of halted activities which impacted the achievement of goals. Several adaptations to the initial design were made to enable its sustainability, such as the inclusion of a local consultant; the change in the management of the Educational Center, which was taken over by an Association of Parents and Guardians (APAE)⁶¹; the training of young people to take over the management of the center and promote the creation of small income-generating businesses. The main sustainability factor foreseen in the design of the initiative (maintenance of structures and inclusion of school teachers' salaries in the government budget), however, was not guaranteed. Informants consider the engagement of civil society partners and the personal involvement of ABC managers to be decisive for the achieved results.⁶²

Difficulties in the cooperation exit strategy were also found in the area of Oral Health in Mozambique. In the case of the subproject for Capacity development of Dental Prosthesis Technicians, conducted before the implementation of the ABC SSC Manual, the design of activities did not consider the differences between the Brazilian and Mozambican oral health services, resulting in difficulties for the operationalization of the installed prostheses laboratory. First, the material used in the transferred technique was not easily found in the region. Thus, the maintenance of the laboratory has become more

60. Sources: Interviews Brazil and partner country

61. The new management had a participatory character and allowed the payment of symbolic fees by the parents of the students, used to pay the teachers of the São Paulo Friendship Educational Center (CEASP).

62. Sources: Interviews Brazil and partner country

63. In Mozambique, the prosthetists, rather than the dentists, the initial target audience of the capacity development initiative, perform all the dental prosthesis health care. This impacted the entire flow of care for these professionals and resulted in low adherence to the new microwave polymerization technique by trained dentists. Source: Interviews Brazil and partner country.

expensive than expected and has generated unsustainable costs for the Oral Health Program in Mozambique. The training had to be readapted due to differences between the clinical care protocols in both countries. The cooperation initiative proposed changes in local work dynamics through a model disconnected from the country's conditions in this sector, which hindered ownership of the results.⁶³ Nonetheless, an evaluation of the initiative, conducted by the ABC with the cooperating parties, was important to identify obstacles and lessons learned and inform next phases and new projects on this topic.

The design of the most recent projects indicates paths for management transition, such as sections detailing implementation and sustainability strategies, definition and mitigation of risks, and attribution of the stakeholders' roles and responsibilities. However, we found no significant evidence of the practical effects of these guidelines. We found three main recurring limitations for the ownership of initiatives.

LIMITATIONS FOR THE OWNERSHIP OF INITIATIVES BY PARTNERS

Constant changing of teams and professionals in the different institutional spheres of the cooperating countries (ABC, partner countries, implementing institutions in Brazil, Brazilian embassies in partner countries): constant changing of professionals and focal points throughout the development of the projects resulted in the loss of transferred knowledge, poor record of lessons learned, discontinued activities, frequent need for new training of local technicians, and renegotiation of commitments. In general, we found few investments for recording a “memory” of the initiatives that could contribute to the continuity of the project management.

Lack of contextual information to support planning: implementing institutions do not always have prior knowledge about the different contextual dimensions of partner countries and their potential impact on the execution of activities, which has resulted in inaccurate or unfeasible diagnoses and schedules. There is no local instance to assume a tactical role, for example, and mediate in a timely and efficient manner the technical and political mismatches that may arise during the execution of projects.⁶⁴

Recurring structural risks that threaten the feasibility of projects over time as well as the physical integrity of the on-site technical staff: this includes a set of recurring and interconnected factors, such as delays in releasing payments, public bidding processes, customs clearance, lack of strategies to mitigate risks, as well as impacts from political instabilities, environmental disasters, or other externalities that harm both management transition and the sustainability of the performed activities.

65. Although the “Young leaderships” project was not implemented as a pilot, its results have a demonstrative effect that has been valued and referenced by the Government of Guinea-Bissau. Source: Subproject BRA 04/044-A1094 (Young Leaderships for the Propagation of Good Socio-educational Practices in Guinea-Bissau), informants Brazil.

66. Resulting from a political demand by representatives of the country's government, the HMB encountered resistance to its implementation by the management and technicians of the maternity hospital where it was planned to be installed. Once installed, its functioning fell short of its capacity, as pediatricians did not make use of it. The project review in 2019 incorporated a cycle of lectures aimed at the maternity technical team, as the monitoring carried out by the HMB Network assessed that it would be necessary to instruct the technical staff about the benefits of the HMB to ensure its sustainability.

Despite reported difficulties, some strategies were developed within the scope of the subprojects to support the partners’ ownership process. However, each strategy was designed based on the particularities of each project and have not been systematized within an institutional framework. Furthermore, it was not possible to verify to what extent these strategies were effective and the obstacles encountered. These include **(i)** implementing pilot or demonstration projects (Transfer of knowledge for the production of Cut Gems, Jewels and Mineral Crafts; Young Leaderships for the Propagation of Good Socio-educational Practices⁶⁵; Support for the Development of Mozambique's National Oral Health Policy: oral health research); **(ii)** capacity development for “training trainers” (Brazil-Guinea-Bissau Professional Training Center PHASE III; Implementation of the Brazil-Mozambique Professional Training Center Phase II; Legal Training of Instructors and Magistrates; Guinea-Bissau Security Forces Training Center); **(iii)** maintenance of local consultants for longer periods (Young Leaderships for the Propagation of Good Socio-educational Practices); **(iv)** implementation of reference centers (Project to Support the Implementation of the Human Milk Bank and the Lactation Center in Mozambique); **(v)** review of planned activities to promote greater ownership and sustainability, such as the HMB in Angola.⁶⁶

64. DTwo cases are illustrative: i) the production model for dental prostheses transferred to Mozambique was not properly integrated into the reality of the oral health care system in the country, which has generated unforeseen costs for the local government and the need to reorganize the management of dental and prosthetic care; ii) insufficient in-depth exploration of the reality of Guinea-Bissau resulted in what was described as “a utopian vision” in the design of the subproject BRA/13/008 - S224 (Young Leaderships for the Propagation of Good Socio-educational Practices), which relied on active government participation and community volunteerism. Sources: Case studies and informants Brazil.

SSC ON THE THEME OF WATER RESOURCES: SUSTAINABILITY OF RESULTS IN DIFFERENT CONTEXTS

In the A146 action between Brazil and Mexico, the various planned activities were carried out jointly, covering a broad agenda with efficiency and resource savings. A mapping of topics of interest for future Brazil-Mexico cooperation projects in water resources indicates that the countries are willing to keep this cooperation initiative active.

In the preparatory activity for the 8th WWF with the CPLP countries (A125), in addition to the consistency between resources and results, there were guidelines towards sustainability, such as the establishment of the Network of Water Directors of the CPLP countries, presently very active. An example of this continuity was the ANA Institutional Mission to Cape Verde, which held the Pro-tempore Presidency of the CPLP Water Resources Directors Network, in 2019, in the context of the Hydraulics and Water Resources Symposium of Portuguese-Speaking Countries, under the theme "25 years building the CPLP Water community."

In the subproject with the Dominican Republic, information on resources, activities, and results were shared clearly and transparently among the directly involved actors. The Cultivating Good Water project received a budgetary contribution from the Ministry of Mines and Energy of the Dominican Republic to continue its implementation in the country. The sustainability of the subproject is expressed in the fact that it is in its second phase of implementation, with replication in other basins in the country.

67. Interviews Brazil

68. The delay in providing the minutes of the tripartite meetings, preparing progress reports, and the difficulty in evaluating the SSC and its results stand out. Source: CGU. Audit report BRA 13/008 (year 2015)

69. Interviews Brazil

4. There have been limited advances in monitoring and evaluation, as well as in the systematization and communication of results, constituting an important obstacle for the lessons learned to be fed back into practice and improve results

DIMENSIONS: Individual, institutional/organizational and normative scopes, Consolidation of Brazilian Cooperation

Among the advances identified in the scope of monitoring and evaluation, we emphasize greater internal awareness about the importance of monitoring and evaluation, which enabled the ABC's better acceptance of resources allocated for evaluation.⁶⁷ In addition, within the sample of the case studies, the team had access to external evaluation reports (1 case) and project evaluation forms.

However, designing and executing strategies for monitoring and evaluating SSC projects is a challenge reiterated by the ABC professionals who responded to the survey, by case studies, and by the audit reports.⁶⁸ Although the SSC Management Manual provides instructions and models for carrying out monitoring and evaluation, the only appropriate guideline by the ABC team concerns the importance of monitoring and evaluation processes carried out with partners. In fact, the subprojects in our sample show that reflective moments between Brazilian actors and their partners are promoted, to some extent, at the end of each action or subproject.

On the other hand, the existence, format, and/or access to evaluations is heterogeneous, and the interviewees emphasize that there is still no clarity on which criteria should be observed during an evaluation, nor on methodologies for data collection or how to record the findings⁶⁹, resulting in little homogeneity of the monitored and evaluated aspects in each initiative.

MONITORING AND EVALUATION IN LATIN AMERICAN AGENCIES

The topic of SSC evolution is a shared challenge. Among the analyzed agencies, the following stand out:

The “modular evaluation” methodology, developed by the FO.AR, is independently filled out by the actors involved through the combination of quantitative and qualitative variables, focusing on learning processes for future initiatives.

The APC developed a quantification model to measure the added value of the Colombian SSC, including the direct and indirect costs of its projects, relating them to five dimensions of SDG results, capacity development, sustainability, visibility, and differential focus (which includes a sensitive approach to the most vulnerable groups).

The AGCID adopts the Project Management Cycle (PCM) and logical framework methodology, and is currently developing an evaluation plan.

The lack of a systematic and standardized monitoring, evaluation, and information recording system is an impediment to systematizing transversal results or sharing learnings about lessons and good practices. While our evaluation found many reports of lessons learned and incorporated into new subprojects⁷⁰, this feedback was hindered by two factors: **(i)** the lessons learned circulate within a specific coordination and there are no institutional spaces or flows to inform the work of the institution as a whole; **(ii)** the lessons learned are recorded in the evaluation reports found in the SAP; however, this currently operates as a repository of files rather than as a project management system, not allowing for an efficient planning and monitoring or extraction of analyses of results and lessons.⁷¹ The fact that the SAP is not integrated with the financial monitoring system (SGPFin) is also considered an obstacle, as it forces analysts to resort to a set of tools that do not communicate with each other, hindering the ABC's internal administrative procedures.⁷²

70. Interviews Brazil and document review of the case studies.

71. Interviews Brazil.

72. The evaluation team was unable to access the systems directly, but the system's users were consulted about their functionality through the survey and during interviews with informants in Brazil.

73. Sources: Survey and informants Brazil

74. Source: Informants Brazil.

75. Interviews Brazil

76. Interviews Brazil

77. According to information provided by the ABC: The two working groups were created by order of the Agency's management, facilitated by the Planning and Communication Coordination with analysts designated by the technical administrators. The first group was in charge of proposing assignments for a potential future evaluation unit at the ABC. During the discussions, the group chose to draft a counter-proposal, consisting of an action plan for elaborating an evaluation policy. The action plan was prepared and envisioned an external consultancy specialized in evaluation as well as the creation of a consultative group with external actors to support the ABC in this process; however, the action plan was not implemented. The second group was in charge of drafting a proposal for an evaluation policy and a method for operationalizing the internal evaluation of SSC projects. The group only went as far as drafting the evaluation policy proposal without further continuity after reaching this product.

A related challenge concerns the feeding and usability of the system, which, according to the interviewees, is not uniform and lacks established processes to guarantee the quality, management, and use of the collected information. Finally, challenges related to remote access within the pandemic context were also raised.⁷³ The heterogeneity regarding the SAP feed, as well as the difficulty in extracting reports, are considered obstacles for the ABC to gather information that can contribute to knowledge management at the Agency and to capitalize on the institution's knowledge accumulated.⁷⁴

More specifically regarding evaluations, these have been predominantly carried out for the purpose of project closure, and it is noteworthy that there is no standardization in the use of results and lessons learned from the evaluation exercises.⁷⁵ In these evaluations, carried out with partners, the analyst responsible for the project plays the role of discussion facilitator, which was reported as an obstacle to a more effective incorporation of the lessons learned by the ABC in the evaluations, given the mismatch between the concomitant roles of participant and facilitator.⁷⁶ Regarding the use of evaluation results, the evaluation identified, for example, that the General Coordination for Technical Cooperation - Latin America, the Caribbean and Eastern Europe (CGAE) has carried out evaluation exercises with partner countries whose results inform the elaboration of new projects (see box 8). Furthermore, the CGPALOP has ensured that participatory evaluations are carried out at the end of each of the initiatives, promoting learning with the main stakeholders and feeding the planning of the subsequent phases of the initiatives.

Two informal evaluation working groups (WGs) were created internally within the ABC to advance the topic and produce instruments. However, such initiatives were not successful in advancing propositions and consensus to enable the consolidation of more robust evaluation practices in the Agency.⁷⁷ Contributing factors to such limitations include: **(i)** participation in the WG overlapped with the everyday activities of interested analysts; **(ii)** The ABC's internal capacities on the subject were insufficient to advance in the design of the processes and instruments and **(iii)** the discussion remained at

the technical level among professionals without a mandate to make binding decisions.⁷⁸ As mentioned before, we found no evidence of specific financial investments in this topic.⁷⁹

Lastly, we identified a lack of cost-benefit analyses of the SSC initiatives.⁸⁰ Given the impact of administrative and financial management on the subprojects' schedules, we deem this type of analysis to be an important tool to generate learning and guide future actions.⁸¹ Some respondents mentioned that the agency plans to develop a single monitoring and evaluation system in the near future, developed jointly with Brazilian government institutions with known experience in the subject.⁸²

78. Brazil interviews

79. SAP and SGPFIn analysis.

80. Brazil and Partners interviews

81. Brazil and Partners interviews

82. Brazil interviews

CHART 8

STRENGTHENING PARTICIPATORY EVALUATION IN SSC IN LATIN AMERICA

Initially, the CGAE's evaluation exercises were limited to filling out a form (different from the one found in the SSC Management Manual) by the implementing institutions responsible for the initiative under analysis. The form was then used within the bilateral Working Groups, held every biennium, to inform about the negotiation and elaboration of new projects. Subsequently, a more robust form was used, in which the implementing institutions shared, in the same instrument, their impressions about products, results, eventual articulations with public policies, in addition to challenges and recommendations. Occasionally, on-site missions are carried out, with the participation of ABC analysts, to help filling out the evaluation form. Furthermore, exclusive meetings were held recently to discuss evaluation, such as the meeting in 2021 with Mexico.⁸³

Lastly, regarding communication, product 1.5 addresses the “collected, systematized and disseminated Results of Brazilian Technical Cooperation”. This product envisioned the production and dissemination of a document with results, through a review of qualitative results previously identified by the Institute of Applied Economic Research (IPEA)⁸⁴, as well as an ABC internal review and discussions

83. Source: Final Results Report - SECAD, referring to project BRA/13/008 -S326 - Technical cooperation for the development of competences in social protection to strengthen the information systems of social programs. Evaluation meetings were also held with other countries in the region, such as Colombia, Uruguay, Paraguay, among others. Source: Brazil informant

84. It is worth mentioning the periodic publication of the COBRADI reports – Brazilian Cooperation for International Development (prepared by the IPEA with the support of the ABC and other federal institutions), which represented an advance in the conceptual systematization and accessibility of international cooperation data. The ABC conceptually and institutionally supports this process. However, the COBRADI reports do not address the SSC results, but rather the sums invested at the federal level from Brazil's international cooperation actions to other countries and international organizations, including different technical cooperation modalities.

in workshops with internal and external actors. Our evaluation found no evidence of these activities.⁸⁵

We found, albeit heterogeneously, a systematization and communication of results on specific initiatives.⁸⁶ Advances in the communication of the results in Brazilian Technical Cooperation were more limited and restricted, with the publication of activity reports for the years 2015, 2016, and 2017.⁸⁷ More broadly, on the occasion of the agency's 30th anniversary⁸⁸ and, to a lesser extent and more dispersed, on the agency's social media pages.⁸⁹ The ABC's new website is seen as an opportunity to advance the communication of the agency's results, given that migration to the gov.br platform has provided the ABC with greater autonomy to manage the website's content, previously under the responsibility of the MRE's communication department.⁹⁰ In this regard, the agency's efforts with the

MRE are worth mentioning, as well as the MRE's acknowledgement of the importance of communication about cooperation.⁹¹

However, the respondents categorically suggested that the current monitoring and evaluation capacities are below the Agency's institutional demand for knowledge management, for contributing to institutional learnings and improved performance and effectiveness in SSC, as well as for the effective communication of the work performed by the Agency.⁹²

85. Among the actions of the BRA 13/008 regarding measurement, one initiative deals with international standards for measuring international cooperation. According to an informant from Brazil, the ABC coordinates Brazil's participation in the Task Force of the Organization for Economic Co-operation and Development (OECD), which develops the measurement platform Total Official Support for Sustainable Development (TOSSD), with the participation of the IPEA and the Brazilian Institute of Geography and Statistics (IBGE). The ABC also coordinates Brazil's participation in the United Nations Inter-agency and Expert Group on Sustainable Development Goal Indicators (IAEG-SDG) Workgroup, which discusses new indicators to measure Goal 17.3 of SDG 17, which will develop through an additional measurement format. (Source: BRA/13/008 -A234: Definition of new indicators for the quantification of international cooperation flows (TOSSD methodology) within the scope of Goal 17.3 of Sustainable Development Goal 17 of the United Nations and its impact on the International Technical Cooperation system of the Brazilian government).

86. AGÊNCIA BRASILEIRA DE COOPERAÇÃO. Brasil e Argélia: Uma década de cooperação para a produção de gemas e joias. Brasília: Núcleo de Comunicação da ABC, 2018. 42 p.; SERVIÇO NACIONAL DE APRENDIZAGEM INDUSTRIAL. Educação profissional, a presença do Brasil no mundo: Parceria SENAI-ABC. Brasília: SENAI, 2017. ; AGÊNCIA NACIONAL DE ÁGUAS. ANA - A Água no Cenário da Cooperação Técnica Internacional. [S. l.: s. n.], 2017.

87. Available on the Agency's website <http://www.abc.gov.br/imprensa/publicacoes> (older version, last accessed on November 29, 2021).

88. MRE/FUNAG (2017) 30 YEARS OF ABC VIEWS FOR BRAZILIAN INTERNATIONAL TECHNICAL COOPERATION.

89. As of 2018, the SGPF in records disbursements related to the implementation of the Agency's strategic communication plan. Circa US\$150,000 in 2018 and 2019, which coincides – in part – with the PABA+40 event (Second High Level United Nations Conference on South-South Cooperation), in which the ABC had its own stand. (BRA/13/008 - A178 and A227: Implementing ABC's Strategic Communication Plan).

90. In this regard, it is worth noting that prior to the new website, website updates implied disbursements by the MRE, as an external company was responsible for these changes

91. Brazil Interview.

92. Brazil Interviews.

5. The budget for the 13/008 is sufficient to achieve the expected results. Planning, allocation, and implementation must and can greatly evolve

DIMENSIONS: Efficiency and performance

The resources destined for the BRA 13/008 include the sum envisioned for the complete implementation of the subprojects and activities signed and approved for execution. Sufficient Federal resources have been destined to cover the entire implementation period agreed between partner countries.⁹³ Furthermore, the ABC annually transfers a sufficient sum for the UNDP to use according to the calendars of the subprojects and activities. In this regard, it is possible to say that there are enough resources to enable the SSC initiatives: in fact, the low budget execution (56%) identified over the years of implementation of the BRA 13/008⁹⁴ is linked to factors other than insufficient budgets.

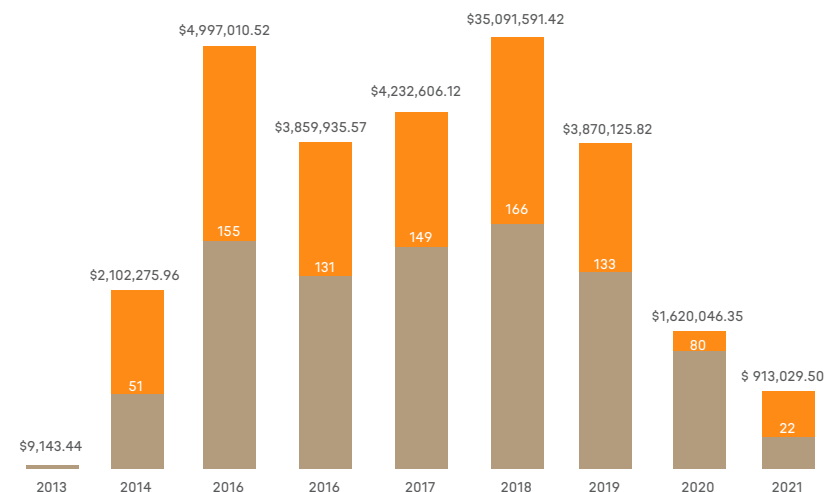
Figure 7 shows the annual execution of resources under the 13/008, as well as the number of initiatives in execution per year. While the Progress Reports for the period 2013-2016 impute the low implementation of projects to budget constraints from the public administration and the ABC, the resources destined to the planned subprojects were transferred by the Federal Government to the UNDP and were available for execution.⁹⁵

93. Brazil Informant.

94. Since 2013, the budget execution level of the BRA 13/008 accumulated in the 2013-2019 period was 40% (Source: CGU. Relatório de auditoria BRA 13/008 2019).

95. As a proxy, we analyzed data from the Integrated Planning and Budget System (SIOP). The ABC's own resources, authorized by the National Congress and consigned in the Annual Budget Law (LOA), through Action 2533 - International Technical Cooperation, despite showing a downward trend over the period, are incompatible with the ABC's argument that points to budgetary restrictions for the first years of implementation of the BRA13/008. The BRA13/008 progress reports, from 2013 to 2016, attribute the low financial execution of most subprojects to "budgetary constraints that affect the Brazilian public administration". The 2017 report, in contrast, states that, despite the transitioning Federal Government Administration, the implementation of the subprojects allowed for a more favorable performance of South-South cooperation, from a budgetary point of view, in addition to "minor improvements" in the financial execution of most subprojects (BRA 13/008 Progress reports, 2013 to 2017). The 2019 report, in turn, demonstrates an increased response to new demands in 2018 and 2019 and the normalization of the bilateral and trilateral cooperation agenda, without attributing this increased response to a less restrictive budget environment. Unlike previous reports, the 2019 report mentions the 2019 government transition and institutional changes as a factor that impacts "national partner institutions and their readiness to promote international technical cooperation". (BRA 13/008 Progress Report, 2019. p.10).

FIGURE 7 Financial execution and number of initiatives per year⁹⁶



The evidence raised in our evaluation also confirms the finding that the BRA 13/008 resources are sufficient for the SSC initiatives and suggest other responsible factors that impact the efficiency of the initiatives⁹⁷:

POLITICAL-INSTITUTIONAL CHANGES IN BRAZIL AND IN PARTNER COUNTRIES: these events impact the interest and willingness of institutions to participate in international cooperation actions. Changes in the Federal Government Administration and/or in Brazil's foreign policy guidelines as well as domestic budgetary restrictions impact the willingness of implementing institutions to invest resources – technical and/or financial – in SSC actions. On the other hand, changes in Government and/or focal points in partner countries also have an effect on the execution of actions, as they demand the renegotiation of agreements, commitments, counterparts, and responsibilities.

CURRENCY EXCHANGE RATE VARIATIONS: resources destined for

96. Source: SGPFin. According to the ABC's clarification, the number of Subprojects and Isolated Activities repeat themselves during the years in which they are active.

97. Brazil interviews, partner country interviews and document review.

SSC are reserved by the Federal Government in national currency, which are then transferred to the UNDP in US dollars, and only then used in the projects. Thus, currency exchange rate variations significantly impact the availability of resources for SSC, becoming a complicating factor for planning actions vis à vis available resources.

ENDURING DIFFICULTIES IN PURCHASING AND CONTRACTING: refers to the elaboration of terms of reference to integrate technical details, purchasing and bidding rules, transport and delivery of equipment, and availability of suppliers in a coordinated approach with the calendar of activities and the particularities of national contexts and cooperation themes. Furthermore, administrative flows are shared between the ABC's technical and administrative areas, as well as between the ABC and the UNDP, adding greater complexity to management. We did not identify the existence of manuals or standardized guidelines to mitigate technical and coordination challenges.

CENTRALIZED DECISION-MAKING: the authorization of expenses was mentioned as a delay factor for the progress of the initiatives.⁹⁸ Resources are already envisioned for use in SSC, via transfer to the UNDP, but still require internal approvals by the Board. Changes in the Agency's Management, every three or four years on average, also indirectly contribute to the budget execution levels of the BRA 13/008, as it takes time to understand the SSC's management procedures and inner workings.⁹⁹

Budget execution is relatively balanced among different regions where the Brazilian SSC operates, even though disparities exist in the budget distribution and number of initiatives in Africa and the Americas. While the African continent has the greatest budget volume (62% of the total in the BRA 13/008), the Americas have the most initiatives (65%). This finding reinforces the analysis that institutional obstacles are responsible for hindering the greater efficiency of SSC initiatives, since they do not reveal particularities among different geographic contexts.

98. Brazil interviews, partner country interviews.

99. Brazil interviews, partner country interviews.

100. Source: SGPF in – extracted on August 8, 2021 provided by the ABC. The ABC classifications were grouped to understand the geographic scope of the initiatives in accordance with geographic regions.

The ABC rating contained the following separate entries:

1. 'Central America and the Caribbean' + 'Latin America' + 'Latin America and the Caribbean': compiled under 'Latin America, Central America, and the Caribbean'

2. 'Asia' + 'Oceania': compiled under 'Asia - Oceania'

3. 'South America' + 'Mercosur' + 'Zopacas': compiled under South America

4. 'CPLP' + 'PALOP': compiled under 'Africa'

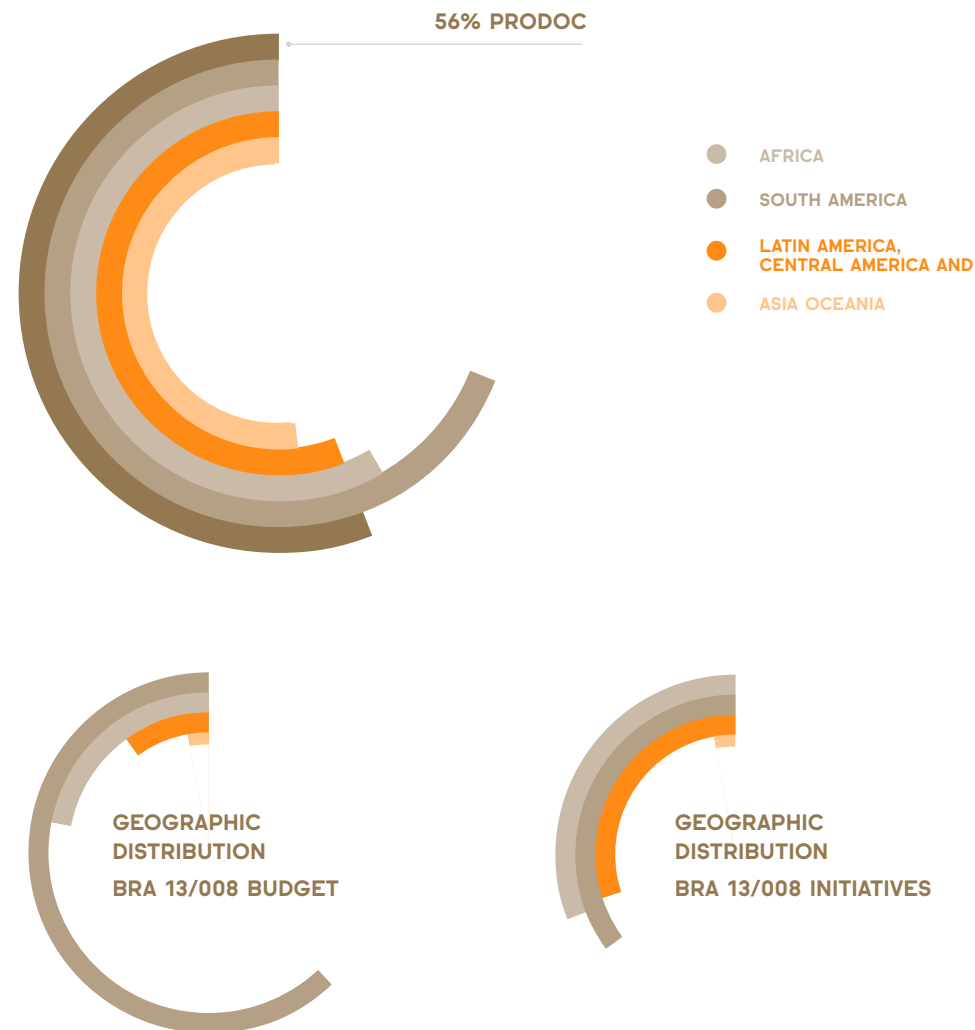
5. 'Eurasia': hereby classified as TCDC, due to its nature (ABC exhibition 30 years of the South-South Expo)

6. Several entries such as trilateral cooperation or trilateral cooperation with organizations containing a specific country listed in the country column: in these cases, we regrouped them according to the continent of the indicated country.

FIGURE 8 Budget distribution and financial execution of the BRA 13/008 by region¹⁰⁰

FINANCIAL EXECUTION (AUG/2021)

Total budget USD 47,414,367.42



6. The lack of strategic planning for the project portfolio impacts the capacity of Brazilian SSC to accomplish better and more efficient results

DIMENSIONS: Institutional/Organizational and Regulatory dimensions, Consolidation of Brazilian Cooperation

The creation of the Annual Work Plans (PTAs) in 2015, in dialogue with other units of the State Secretary for Foreign Affairs (SERE), represents an important advance insofar as they contribute to macro monitoring subprojects and provide greater predictability in the use of the budget.¹⁰¹ In addition, the ABC is aware of the limited impact of specific and isolated projects, as well as the need to optimize the scope and reach of the results, avoid the scattered allocation of resources, and better measure the contribution of Brazilian cooperation for development results in the country.¹⁰²

However, the PTAs are configured as budget planning, performed separately by different administrations, and do not promote synergies between modalities and administrations, nor do they promote strategic discussions on development goals alongside partner countries, mutual benefits for Brazilian agencies, or Brazilian foreign policy interests.¹⁰³

Although there is consensus that SSC is instrumental for Brazil's foreign policy goals, the relationship between the technical results of SSC and Brazil's priorities was rarely mentioned during our data collection.¹⁰⁴ For example, in the cooperation with Suriname in agriculture and pest control, individual gains were mentioned for the Brazilian technicians involved, in the sense of "learning other methods", but there is no evidence that such gains have been systematically incorporated into the institution, in addition to the confessed asymmetry in the flow of technical knowledge.¹⁰⁵ As for foreign policy, respondents mentioned national interest gains in border issues such as phytosanitary control, but such gains have not been mapped or documented.

101. Brazil interviews

102. Brazil interviews. The ABC requested the IPEA not only to develop an internal project evaluation methodology, but also to use one of the projects (Support for Urban Development) with Mozambique to adapt public policy evaluation methodologies for evaluating SSC.

103. Brazil interviews

104. Brazil interviews

105. Source: Brazil interviews and document review.

106. Brazil interview

107. SGPFin - August 8, 2021.

108. Source: Brazil interviews

109. Source: Brazil interviews

110. Source: Minutes of the VII Brazil-Mexico Working Group meeting, 2018.

111. South-South Technical Cooperation Management Manual; Brazil interviews.

On the other hand, our evaluation found a series of initiatives to promote further strategic value to SSC actions alongside partners. One paradigmatic example regarding strategic coordination was undertaken by the ABC coordinators alongside the SSC portfolio with Mozambique, which is considered scattered¹⁰⁶ despite representing the largest budget in execution within the BRA 13/008.¹⁰⁷ The coordination initiative with Mozambican partners sought greater alignment between subprojects from different ABC teams in order to avoid duplication and overlaps.

Furthermore, strategic planning provides an opportunity to involve implementing agencies in a more tangible dialogue for aligning SSC with institutional priorities and the expected mutual benefits.¹⁰⁸ Even the COBRADI report, performed by the IPEA, has demanded that managers conduct internal institutional analyses of the results achieved and the cooperation benefits for the Brazilian government.¹⁰⁹ In this regard the Technical Cooperation Working Groups (WGs), conducted in bilateral cooperation with Latin American countries, are worth mentioning. In the specific case of the Brazil-Mexico WG, it is possible to observe that it contributes to the effective use of lessons learned from past projects to negotiate new initiatives. Associated with the practice of evaluation exercises carried out by implementing institutions from both countries, the bilateral WG, held every two years, contributes to the strategic planning of the bilateral cooperation agenda, detailing the expected results for both partners while also encompassing policy areas of the two foreign affairs ministries.¹¹⁰ It is not possible, however, to verify whether this practice has strengthened the conception of cooperation programs with convergent initiatives to strengthen a "sector, subsector, or thematic area".¹¹¹

The 13/008 portfolio also provides examples of actions proposed by Brazil for enhancing the results of SSC initiatives. The proposal – by the ANA – of a preparatory process for the World Water Forum sought to consolidate regional agendas for water resources in Latin America, Central America, and the Caribbean as well as in African Portuguese-speaking countries. Such agendas complement

the SSC-supported efforts in water resources by promoting further alignment between the responsible agencies and the institutionalization of South-South exchanges. In the case of the CPLP, the creation of a network of Water Resources Directors working within the Bloc allows for further support of regional collective actions. Within the ABC, Action A128 materializes the strategic objectives and expected results of the CGTP and provides indicators for annual progress measurements.¹¹²

The examples above demonstrate potential gains in combining on-demand initiatives with strategic propositions aimed at increasing performance, impact, and sustainability. However, there is no evidence that such efforts have been institutionally consolidated by way of lessons learned.

7. The lack of people-management initiatives and practices at the ABC entails challenges regarding institutional results and risks

DIMENSIONS: Individual, institutional/organizational, and normative. Consolidation of Brazilian Cooperation

The main team strengthening initiative identified was the 2017 training course with the Enap. Despite the positive feedback by the ABC professionals, the training took place five years ago and did not include professionals who have recently joined the Agency. Furthermore, the discontinued partnership between the Enap and the GIZ, which began in 2012, mobilized partners and generated products (pilot course, application report with continuity recommendations) that were not incorporated in the 2017 capacity development, focused on the contents of the SSC Management Manual.¹¹³

Other activities and training situations were also identified in our evaluation, such as exchanges with other international cooperation agencies, capacity development activities offered by banks and development agencies or foreign universities, in addition to training environments within the ABC by way of small workshops and meetings focused on the team's experience and knowledge. In relation to

112. According to the 2017 CGTP Report: "The Coordination Support Activity (BRA/13/008-A128) was justified by the need to strengthen internal capacities and provide the CGTP with agile tools to operate in different coordination and management dimensions within international technical cooperation programs, resulting from Brazil's new approach to partnerships with developed countries. In view of the newly defined activities and expected results for the CGTP, the Support Activity BRA/13/008-A128 enabled the conclusion of coordination tasks envisioned in the PTA 2017, in addition to corroborating to a general control of the execution of all programs under the responsibility of the area."

113. Source: ENAP. Programa de capacitação em cooperação técnica internacional (Projeto de cooperação técnica triangular Brasil e Alemanha). 2010.

114. Sources: poll and Brazil informants.

the latter modality, such environments are valued as good opportunities for exchanging lessons learned from practice¹¹⁴, however they are limited to each team or coordination and do not constitute a systematic practice in the Agency. It is worth mentioning that it was not possible to triangulate documentary evidence regarding these activities nor determine their dimension or focus.

CHART 9

CAPACITY DEVELOPMENT OF COOPERATION PROFESSIONALS IN LATIN AMERICAN AGENCIES

Among the analyzed agencies, we highlight the following tools for the capacity development of the professional staff:

The APC has an Institutional Capacity development Plan, which contains guidelines for the knowledge management of its employees (both for career and temporary employees). The plan lists the topics addressed in the Team Learning Projects, such as public value, knowledge management, and governance for peace (Rulfo, 2018).

The FO.AR provides scholarships for Argentine cooperation officials, such as the "Regular Academic Scholarship Program", the "Strategic Alliances Program for Education and Training", and the "Professional Development Scholarship Program".

The AMEXCID has the support of the UNDP and cooperation with Germany for strengthening its capacities and management tools; systematized in publications such as "Tools for the AMEXCID internal capacity development strategy", "Study of best practices in staff development in the Mexican public sector and mapping of external capacity development providers to AMEXCID" and "AMEXCID teaching capsules regarding its internal processes" (AMEXCID; GIZ, 2020).

115. For example, capacity development in facilitation, M&E, and use of tools detailed in the Manual.

116. Poll and Brazil interviews

The participants positively evaluated the 2017 training course, deeming it as one of the few opportunities for integrating analysts and coordinators, as well as to promote interactions between different ABC teams. As a result, two dimensions were mapped for future improvement efforts: the need for continuous capacity development¹¹⁵ and improved organizational dynamics for strengthening the ABC's internal relationships and workflows. Both dimensions were reiterated during this evaluation¹¹⁶: the data collection process

revealed that, in addition to the absence of a permanent training program, the ABC does not have people-management initiatives.

A series of challenges pose obstacles to greater staff motivation and institutional effectiveness. These include: **(i)** vertical relationships and little autonomy; **(ii)** lack of incentives for innovative initiatives proposed by the Agency's professionals; **(iii)** absence of mechanisms and criteria for evaluating performance and recognition of professionals; and **(iv)** insufficient security protocols for missions in unstable countries and in disaster situations, as well as for extended missions.¹¹⁷

Regarding verticalization and low autonomy, we observed that the high degree of centralized decisions – among which the approval of resources for subprojects – has a direct impact on the efficiency of the projects, given that the decision-making process is not always sufficiently swift to cover the needs of a portfolio as broad as Brazilian SSC. Furthermore, an expression of this hierarchy is the distance between the political and technical levels. The case studies point to a lack of clarity about the relationship between technical results and the strategic guidelines of Brazilian Foreign Policy, as well as a perception of a lack of technical ownership or political valuation. Lastly, participants expressed discouragement due to contradictions between SSC principles, such as horizontality, and the hierarchical and vertical management within the ABC.¹¹⁸

The actions mentioned above, such as the evaluation working group and the dialogue initiative between ABC teams in the Mozambique projects, illustrate the lack of incentives for the initiatives proposed by the agency's professionals, given that in both cases there was no institutional ownership to ensure continuity.

One contributing element for the insecurity of professionals working in SSC is staff performance evaluation, which is limited to the evaluation criteria of UNDP consultants who are not involved in the direct management of professionals within the Agency. Criteria for evaluating performance end up being subjective and depend

117. In cases when a professional is assigned to stay in a country accompanying a subproject for extended periods, we found no evidence of clear protocols about, for example, periodic returns to Brazil.

118. Brazil interviews

119. Source: Technical Note Survey, available in Annex 5.

120. Source: Brazil interviews

121. Source: FALA. BR - Plataforma Integrada de Ouvidoria e Acesso à Informação. 2017. Disponível em: <https://falabr.cgu.gov.br/Principal.aspx>. Acesso em: 5 out. 2021.

on the individual perceptions of the coordinator. The lack of clarity regarding performance criteria is also reflected in the discretion when assigning internal responsibilities to the team: our data collection revealed several cases of work overload among analysts.

Alongside the lack of a clear performance criteria, the nature of individual consulting contracts, temporary and without institutional ties with the Agency, was also reported as an insecurity factor. Nonetheless, most of the staff devoted to SSC had their contracts renewed consecutively: most of the survey respondents (56%) have worked at the agency for more than 10 years.¹¹⁹

Insufficient or unclear security protocols for missions in unstable countries and in disaster situations, and the lack of clear policies for the well-being of professionals on extended missions were also identified as contributing factors to the insecurity of personnel dedicated to SSC, which may impact not only the performance of professionals, but also their own willingness to contribute to SSC.

In view of these elements, the lack of sufficient mechanisms to ensure safety and promote incentives for professionals is a limiting factor for the strengthening and performance of the Agency.¹²⁰ This creates an institutional risk factor, given that there are no mechanisms to operate as an ombudsperson within the Agency to which professionals may report any type of occurrence for swift and adequate measures, without risk of reprisals. The ABC responds, indirectly, to complaints sent to the MRE through the integrated ombudsman and information access platform of the Comptroller General of the Union (FalaBR System). However, the complaint submission form is limited to events that took place in the national territory.¹²¹

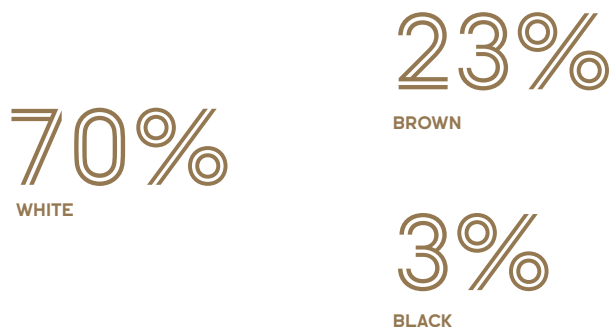
DIVERSITY OF THE ABC'S PROFESSIONAL STAFF

The evaluation sought to verify whether the people working with Brazilian SSC mirror the country's racial and gender diversity, understanding that such diversity would not only confer alignment with the affirmative actions adopted by the MRE (Affirmative Action Program and Law No. 12,990/2014), but also incorporate diverse perspectives into SSC actions.

According to the survey, answered by circa 50% of all ABC professionals, there is an equal proportion of male and female professionals. Among the 9 general ABC teams, four are coordinated by women. However, the Director-General position is traditionally held by men. Regarding race, most respondents declared themselves white, while 20% of respondents declared themselves mixed race, and 3% declared themselves black. The remaining 7% did not answer this question. We were unable to identify the distribution of positions between white, brown, and black people.

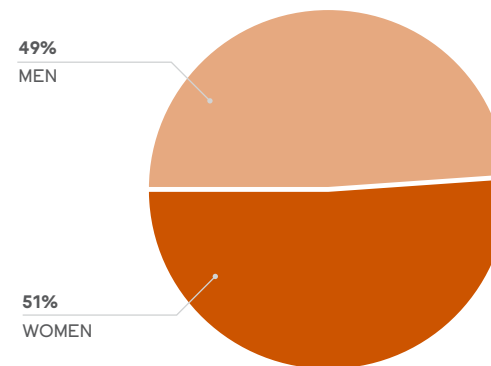
MOST RESPONDENTS DECLARED THEMSELVES AS WHITE

The percentage of professionals who declared themselves black or brown was low in our sample.

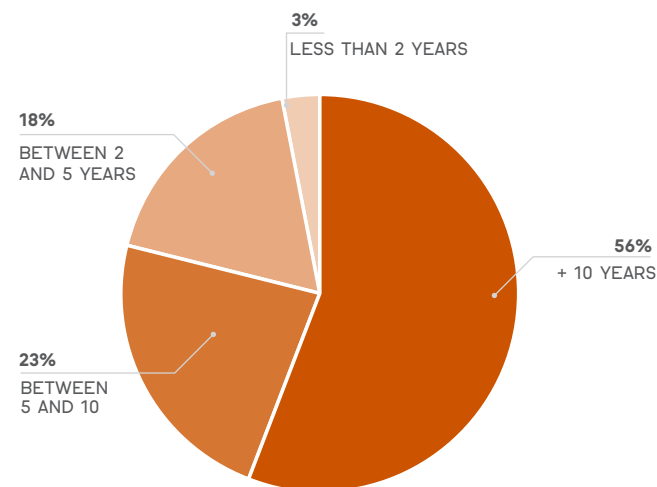


THE PARTICIPATION OF MEN AND WOMEN WAS BALANCED

Coinciding with the universe of professionals at the ABC, in which 54% are women and 46% are men.



MOST RESPONDENTS HAVE A LONG CAREER AT THE ABC



8. The different ABC ABC teams operate in isolation, hindering harmonization initiatives and results-based management within the Agency, with impacts on the SSC results alongside partners

DIMENSIONS: Efficiency and Performance, Institutional/Organizational, Consolidation of Brazilian Cooperation

Although the PRODOC foresees studies to subsidize the organizational restructuring of the ABC, the reform of the ABC's organization chart registered in 2019 was reactive to the January Decree in that year, which reorganized the distribution of commissioned positions within the MRE¹²², and had no practical impact on the Agency's actions and organization¹²³, mainly with regard to the coordination silos.¹²⁴

Each coordination team performs different activities in the SSC management, in line with the particularities of the different possible cooperation modalities (bilateral, trilateral, in bloc, humanitarian). On the other hand, the Agency's activities are marked by weak interaction between the ABC teams. The existence of "several ABCs" – in which each of these "ABCs" is often associated with the individual who holds the position of coordinator – was mentioned several times in our data collection as a persistent characteristic of the Agency.

Informants in Brazil have said there is no institutionalized standard to ensure the consolidated flow of SSC information at the Agency. The flow of internal information within the ABC is scattered among Coordinators and Management, which does not favor the sharing of lessons learned and the management of institutional knowledge, nor the identification of synergies between initiatives on the same themes or countries, in addition to contributing to an isolated performance of the ABC teams.

There are shared responsibilities between different areas of the ABC, both technical and administrative, which have impacted the

122. Source: Presidency of the Republic, General Secretariat, Deputy Chief for Legal Affairs. DECREE No. 9,683, Dated January 9, 2019.

123. Currently comprised of: CGTP – General Coordination for Technical Cooperation and Partnerships with Developed Countries; CGAO – General Coordination for Administration and Budget; CGCPLP – General Coordination for Technical Cooperation with the CPLP; CGPALOP – General Coordination for Technical Cooperation - PALOP and East Timor; CGAA - General Coordination for Technical Cooperation - Africa, Asia and Oceania; CGTRI – General Coordination for Trilateral Technical Cooperation with International Organizations; CGAE - General Coordination for Technical Cooperation - Latin America, the Caribbean and Eastern Europe; CGMULT - General Coordination for Multilateral Technical Cooperation and CGCH - General Coordination for Humanitarian Cooperation; CGPCOM - General Coordination for Planning and Communication.

124. Source: Brazil interviews.

125. Source: Brazil interviews.

126. MRE. Secretaria de Controle Interno. Relatório de auditoria do Projeto BRA/13/008 (UCI 240032 CISET/MRE, exercício 2016).

127. Source: Brazil informants.

128. Source: ABC. Activity Report 2015. Page 341.

129. As stated in the 2017 Activity Report (ABC, 2017). The two acronyms (CGPC and CGPCOM) appear on the online website as per the following link <https://www.gov.br/abc/pt-br/composicao/coordenacao-geral-de-planejamento-e-comunicacao-cgpc> (last accessed November 29, 2021).

130. Source: Brazil interviews.

efficiency and effectiveness of SSC initiatives.¹²⁵ At the administrative level, audit reports for the BRA 13/008¹²⁶ have emphasized the need for further coordination between the technical areas responsible for the subprojects and the administration and budget areas (former NAF - Financial Administration Center, current CGAO – General Coordination for Administration and Budget).

Articulation initiatives and further internal technical dialogue regarding a country or theme depend, to a large extent, on the individual efforts and willingness of analysts and coordinators. Previously mentioned examples in this report include the initiative to coordinate projects in Mozambique and the creation of Working Groups (WGs) to address intersectional issues (gender, evaluation). All these examples were described as promising, albeit limited, as they overload the Agency's professionals and lack clearer support from the Board to present results that can be institutionalized.¹²⁷

The 2015-2016 activity report mentions the drafting of a "Work Plan proposal for the new Center for Planning, Conceptual Frameworks, and Work Methods"¹²⁸, which would become the General Coordination for Planning and Communication (CGPC or CGPCOM).¹²⁹ The creation of the CGPC envisioned coordinating the ABC's strategic planning actions, action plans, work plans, and annual reports, in addition to publicizing the activities developed by the Agency. The CGPC is also formally responsible for knowledge management and capacity development. There is no evidence, however, of advances attributed to the CGPC's performance in these areas.

The lack of institutionalized dialogue and communication between the ABC teams was mentioned as a restrictive element of the Agency's institutional development.¹³⁰ The fact that such practices are associated with the profile of specific ABC teams also puts the institutional memory of ABC at risk, given that information and knowledge are largely centralized in individuals rather than systematically recorded through systems and instruments.



CONCLUSIONS



BASED ON
FINDINGS
3, 4 AND 5

The Brazilian SSC has achieved relevant results in terms of capacity development in partner countries, but it still presents challenges related to the efficiency, performance, and sustainability of the initiatives

The SSC promoted by the BRA 13/008 has contributed to capacity development in partner countries. We identified results in the individual capacity development of the professional staff from institutions in countries with which Brazil cooperates, as well as in the strengthening of institutional and sectorial capacities through the improvement of public policies.

However, we identified some management issues of the sub-projects under the BRA 13/008 that hinder further efficiency and performance of the portfolio. Even though sustainability, quality of results, compliance with stipulated goals, and efficiency in the use of resources are conditioned to political-institutional contexts, we observed low performance initiatives even amid favorable contexts in Brazil or in partner countries. The main management challenges include: (i) recurring obstacles in the planning and implementation of equipment acquisition and transfer processes, as well as in infrastructure construction processes; (ii) inadequate local information to support risk and feasibility analyses, such as analysis of sensitive themes and contexts, risk regions, more vulnerable groups, potential institutional interlocutors, or support for identifying local equipment and service providers; (iii) the centralization of the decision-making process for authorizing previously ratified expenses.

Regarding the sustainability of the SSC initiatives, we found limitations in the transitioning of results to governments and partner institutions, as well as in the efficient exit strategy of cooperators. We identified different sustainability strategies in practice within the subprojects, but there is still no evidence on their effectiveness, nor are they systematized in order to inform institutional policies.



BASED ON
FINDINGS
2, 4, 6, AND 8

The design of the subprojects has shown improvements, but still have technical gaps and are not guided by strategic planning to provide clarity on the Brazilian contribution to international development agendas, foreign policy objectives, and the interests of cooperating institutions

The South-South Technical Cooperation Management Manual and the training program with the Enap in 2017 contributed to the capacity development of the ABC professionals in the design of SSC initiatives, as well as to mobilize implementing agencies in Brazil. We found significant advances regarding the diagnoses of the problem situation; the logical structure of initiatives; and the definition of roles and responsibilities of the parties involved in the cooperation project. There are gaps, however, in the conduction of feasibility analyses for initiatives and risk mitigation, monitoring implementation, and monitoring and evaluation activities. Combined, these gaps in the subprojects' design have impacted performance during implementation.

The design of the subprojects has not systematically established links with international development agendas, such as the UN Sustainable Development Goals and the 2030 Agenda. The lack of specific approaches sensitive to gender, race, and ethnicity in the SSC initiatives is an important gap, both because a considerable part of the Brazilian SSC develops in partnership with countries whose population is mostly Indigenous and Black, and marked by gender inequalities; and for disregarding the leave no one behind principle (LNOB), a guideline for the objectives set out in the 2030 Agenda.

Despite some improvements in the design of individual subprojects, there is still a need for greater clarity about the strategic results sought by the subprojects portfolio under the 13/008 in terms of contribution to the development goals of partner countries, the results for Brazilian foreign policy, or the mutual benefits expected by the implementing institutions in Brazil. While the creation of

annual work plans has contributed to the macro monitoring of ongoing subprojects and to greater predictability in budget allocation, they fail to articulate initiatives around strategic objectives. We found little complementarity between the subprojects implemented in a same country or region: the subprojects vary in theme, subregions, interlocutors in the country, and Brazilian implementing institutions, which results in a dispersed portfolio, making it difficult to monitor and measure the results and impacts of Brazilian SSC. Lastly, we identified initiatives – under the BRA 13/008 portfolio – that sought to promote greater strategic guidelines for the SSC, but these were limited and not institutionally mainstreamed as a good practice.



BASED ON
FINDINGS 2, 4,
7, AND 8

Capacities, instruments, and processes for results-based management still need to be strengthened

Despite some advances in the prospecting, negotiation, and elaboration stages of the initiatives, we identified gaps for the implementation follow-up and monitoring and evaluation. In fact, projects with greater support from local contractors or consultants for on-site monitoring, or with experienced implementing agencies in SSC, obtained better results as the initiative was closely monitored, which allowed for course correction and other appropriate measures.

Among the identified limiting factors in the capacity for results-based management, we underline the fragility of the ABC's current physical and financial monitoring systems, the lack of instruments and processes for implementing generated knowledge into practice, and the low investment in training processes, even in the face of demand for continued education as found in the results of the 2017 training evaluation.

The Agency's existing systems, in turn, are unable to support follow-up, monitoring, and evaluation of SSC, and there has been no sign of improvement, which jeopardizes results-based management. Furthermore, the existing systems fail to meet the ABC's needs in the good use of lessons and knowledge learned from practice, systematization, or communication of results.

In this regard, the variety and volume of SSC initiatives coordinated by the ABC within the scope of the BRA 13/008 have provided important lessons that have not been institutionally systematized. Although the South-South Technical Cooperation Management Manual envisions recording the lessons learned, it does not provide further details on how these lessons should feedback into practice or the appropriate opportunities and institutional spaces sharing them. There are no current mechanisms in place to seize this knowledge learned from practice as a subsidy for developing or improving the SSC instruments or processes. Learning takes place informally and within the scope of each subproject or Coordination, without further generalizations to promote reflection and appropriation by the Agency. Disjointed information flows between different teams within ABC and the fragility of the SSC monitoring and evaluation processes, as well as of the existing systems, hinder the use of lessons learned to feedback into practice and promote better performance and effectiveness of the Brazilian SSC. Insufficient monitoring and evaluation processes, as well as knowledge management, are obstacles to the further systematization and publication of SSC results.



BASED ON
FINDINGS 1, 4,
5, 7, AND 8

The implementation of the BRA 13/008 has not invested sufficient efforts towards institutional strengthening, which has greatly impacted the efficiency, effectiveness, and strategic orientation of the portfolio

The design of the BRA 13/008 identifies the main institutional challenges of the SSC, defines resources, and outlines strategies to address them. However, in binding institutional changes to the approval of the legal framework, the ABC did not explore alternatives to the diagnosed challenges since this framework was not approved. Although the legal framework is a product beyond the ABC's governance scope, as it depends on other stakeholders and specific political and institutional contexts, other products envisioned under R1 have also not advanced significantly.

With the exception of the South-South Technical Cooperation Management Manual (2013) and the training program with the Enap (2017), no advances were identified in other products under the governance of the ABC: organizational restructuring; strategic planning; technical, administrative, and financial procedure manuals; as well as monitoring, follow-up, and evaluation systems. Considering that BRA 13/008 takes eight years to be implemented, the advances identified characterize low performance given the existing technical and financial resources vis-à-vis the previously identified gaps.

Such products are relevant and their absence has impacted the efficiency, effectiveness, and strategic orientation of the BRA 13/008 portfolio. We identified the need for greater investment in training to mitigate the previously identified gaps, with particular attention to the training of newly incorporated professionals. The

organizational restructuring did not respond to the need to create institutional mechanisms to promote greater dialogue between different ABC teams, more effective flows and management processes, as well as a more careful and horizontal people management. The initiatives still face significant administrative challenges and we did not find standardized manuals or guidelines to mitigate them. More notably, by binding the creation of a career in technical cooperation to the legal framework, the ABC failed to explore management alternatives to the agency's current technical staff, such as institutional processes for recognition, appreciation, and motivation, or professional development and progression perspectives.

Finally, efforts to improve the scope and reach of products included investments by the Agency's technical and directive staff, without any associated financial resources. If, on the one hand, this strategic approach proved relevant by valuing internal knowledge about the SSC's practices and needs, on the other hand it resulted in limited advances. One example is evaluation, which depended on specific initiatives by the Agency's professionals, on top of their routine functions, and did not result in institutionally incorporated instruments. Furthermore, we cannot answer to what extent lessons learned during these internal processes were systematized for future incorporation into political-institutional windows of opportunity in a timely and efficient manner.



RECOMMENDATIONS

As a transversal guideline for all recommendations, we suggest they be implemented through participatory, horizontal processes rooted in the knowledge acquired by the ABC staff. To expedite the implementation of the recommendations, we suggest evaluating the possibility of hiring external support for recommendations 3, 4, 5, and 6, with explicit guidelines that they should contribute with specific expertise and act as process facilitators, promoting ownership among ABC staff.

R1

Substantively review the PRODOC to extend its validity and review the expected products resulting from institutional strengthening

ANSWER TO CONCLUSIONS

ALL

BUDGETARY IMPLICATION

↓ LOW

DEADLINE

2022

PRIORITY

↑ HIGH

RESPONSIBLE ACTORS

ABC, CGPC, AND CGAO MANAGEMENT in dialogue with technical areas of the ABC and with the UNDP

Proceed with a substantive review of the PRODOC 13/008 to extend its validity as to enable the implementation of the mid-term recommendations and the expected results achievement. We recommend a review of the institutional strengthening results (R1) to incorporate new strategies to mitigate the institutional challenges identified by this evaluation, as well as to update the planned strategy for the previously foreseen products. The review may include the recommendations listed below as products, and their respective detailed and costed planning.

We recommend further clarification regarding the Project's Theory of Change, particularly the understanding of the objective "A strengthened and structured ABC for coordinating Brazilian technical cooperation suited to the new configuration of local and international partnerships". The Theory of Change elaborated for this evaluation may serve as a starting point for this review, with attention to the strategies and expected results in the short, medium, and long term.

R2

Develop an internal regulation statute for the ABC

ANSWER TO CONCLUSIONS**C2** , **C4** and **C5****PRIORITY****↑ HIGH****BUDGETARY IMPLICATION****↓ LOW****DEADLINE****2023****RESPONSIBLE ACTORS**

ABC AND CGPC management in dialogue with the ABC's technical areas and the Itamaraty

In an attempt to partially mitigate the lack of a legal framework regarding the organizational structure, people management, and strategic planning, we recommend the creation of an internal regulation statute to promote greater clarity, efficiency, and management and decision flows and processes within the ABC, within the scope of the agency's activities: planning, coordinating, negotiating, approving, executing, monitoring and evaluating programs, projects, and activities for humanitarian and technical cooperation.¹³¹

We recommend that the ABC's internal regulations should include:

- review of governance spaces and processes, such as technical and executive coordination bodies with clear responsibilities and structure, to promote further dialogue between ABC teams, as well as the impacts caused by direction changes on the SSC management;
- define the strategic planning processes, with clear objectives, frequency, and stakeholders involved; promote greater strategic alignment of the ABC's project portfolio;
- contemplate the WGs in the internal regulation statute, with clearly defined objectives, operation, expected products, composition, and validity;
- performance evaluation criteria, to ensure uniformity and clarity in the evaluation of the Agency's professionals.

¹³¹. Source: Presidência da República, Secretaria-Geral, Subchefia para Assuntos Jurídicos. DECRETO Nº 9.683, DE 9 DE JANEIRO DE 2019.

R3

Design and implement a permanent training plan to advance in the identified critical issues

ANSWER TO CONCLUSIONS**C2** , **C4** e **C5****PRIORITY****↑ HIGH****BUDGETARY IMPLICATION****- AVERAGE****DEADLINE****2023****RESPONSIBLE ACTORS**

CGPC in dialogue with other coordinations

Develop a training plan to encompass activities regarding: (i) selected dimensions of the SSC Management Manual; (ii) internal management procedures; (iii) ad hoc opportunities (internships, exchanges, potential external courses) with participation criteria and a knowledge incorporation plan for the ABC; (iv) specific topics (M&E, intercultural dialogue, results-based management and adaptive management, gender); (v) permanent training spaces for the Agency's professionals.

The plan must detail the training objectives, target audience, products, and action plan with goals and budget forecast. If the plan includes spaces for permanent education, these may develop through specific WGs on important topics for the development of technical cooperation. In this case, the ABC should grant time for its professionals to advance in the self-training spaces to avoid overlap with the other responsibilities of the technical staff.

We recommend the resumption of the intent to provide training for implementing agencies, exploring more sustainable alternatives such as online modules and simple teaching materials in order to reach a wider audience and mitigate the challenge of high turnover of interlocutors in the implementing agencies.

R4

Design and implement a Monitoring, Evaluation, and Learning strategy

ANSWER TO CONCLUSIONS

C2, C3, C4, C5

BUDGETARY IMPLICATION

↑ HIGH

DEADLINE

2023

PRIORITY

↑ HIGH

RESPONSIBLE ACTORS

CGPC in dialogue with other coordinations

We recommend to design and implement a Monitoring, Evaluation, and Learning strategy containing the objectives, products, activities, responsible staff, and concrete goals, including investments for reformulating management systems (SAP and SGPFIn) as well as the definition of the necessary processes, flows, and tools.

The Monitoring and Evaluation component should further detail the gaps identified in the South-South Technical Cooperation Management Manual, based on the agency's current needs, while providing minimum criteria common to the different modalities, as well as possibilities to address the particularities of each coordination and modality. Furthermore, approaches that are sensitive to gender, race, and ethnicity, which dialogue with the capacity development focus of Brazilian technical cooperation and the contexts of its main partners, must be duly considered.

The learning component must enable the ABC to make the best use of the knowledge learned from its practice to achieve its objectives, and it must also consider how such knowledge is generated, assimilated, registered, validated, disseminated, and applied (feedback).

Strengthening the Monitoring, Evaluation, and Learning component also contributes to the communication of results and lessons learned, to the community of development partners, and to the general public.

R5

Develop guidelines to ensure further sustainability of initiatives and clarity on the Brazilian SSC exit strategies

ANSWER TO CONCLUSIONS

C1 and C2

BUDGETARY IMPLICATION

↓ LOW

DEADLINE

2024

PRIORITY

↑ HIGH

RESPONSIBLE ACTORS

ABC AND CGPC management in dialogue with the ABC's technical areas and with the Itamaraty

Promote a systematization and reflection process about the challenges, good practices, and lessons learned regarding the sustainability of SSC initiatives and consolidate such knowledge into criteria that encompasses technical, administrative, and diplomatic dimensions that should be considered during (i) the negotiation of projects; (ii) the elaboration of the PRODOCS; (iii) project reviews or closure. In this regard, it is also important to define the information flows between embassies, the ABC, and certain areas of the Itamaraty to enable the appropriate exit strategy of Brazilian technical cooperation according to the established criteria.

R6

Develop strategies to improve the efficiency of the subprojects

ANSWER TO CONCLUSIONS**C3** and **C4****PRIORITY****↑ HIGH****BUDGETARY IMPLICATION****- AVERAGE****DEADLINE****2022****RESPONSIBLE ACTORS**

ABC, CGPC, AND CGAO management in dialogue with the technical areas of ABC and with the UNDP

We recommend mapping and analyzing the quality of flows, deadlines, and responsibilities of the most common administrative processes or those that consistently present obstacles. This mapping should also consider challenges encountered alongside partners, implementing agencies, embassies, and the local UNDP offices.

Based on this mapping, promote meetings between the UNDP and ABC's technical and administrative areas to prioritize urgent improvements and changes (larger bottlenecks that prevent greater effectiveness) and agree on joint solutions for enhancement, including the importance of decentralizing certain decision-making processes. Furthermore, we recommend to register the processes in administrative and financial manuals that detail the cycle of the subprojects with effective ownership by all professionals involved.

R7

Review and update the South-South Technical Cooperation Management Manual

ANSWER TO CONCLUSIONS**C2**, **C3**, **C4** e **C5****PRIORITY****- AVERAGE****BUDGETARY IMPLICATION****↓ LOW****DEADLINE****2025****RESPONSIBLE ACTORS**

CGPC in dialogue with other coordination teams

Based on the advances in recommendations 4 (Monitoring, Evaluation, and Learning), 5 (sustainability of initiatives), and 6 (improved efficiency), we recommend a review and update of the South-South Technical Cooperation Management Manual so as to include the new guidelines.

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