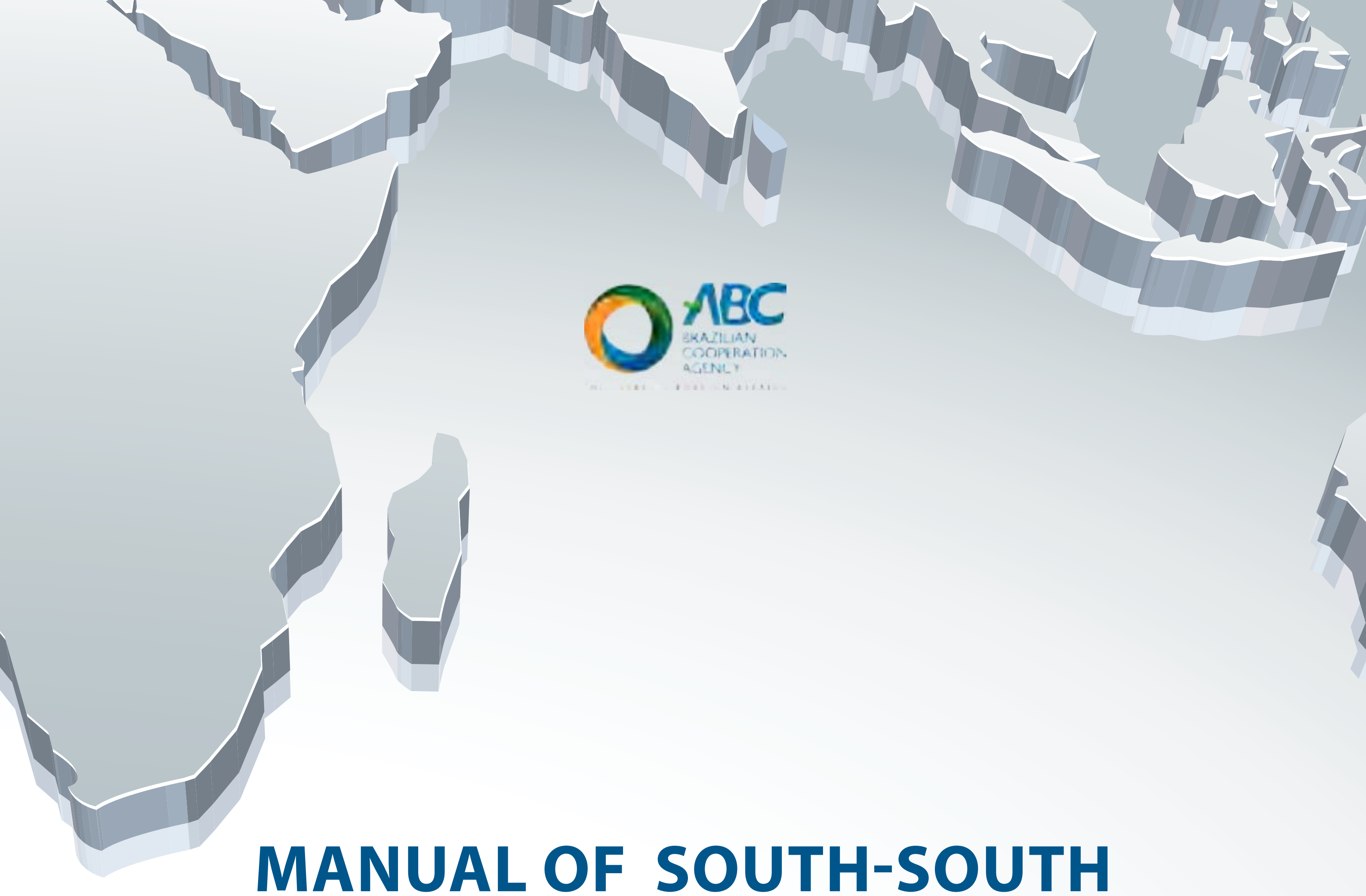
MANUAL OF SOUTH-SOUTH TECHNICAL COOPERATION MANAGEMENT

First Edition
2017

BRAZILIAN COOPERATION AGENCY



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BRASÍLIA

2017

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FOREWORD

The 2013 publication of the **Manual of South-South Technical Cooperation Management**, by the Brazilian Cooperation Agency of the Ministry of Foreign Affairs (ABC/MRE), marked the beginning of a new era, not only within the context of Brazil's technical cooperation with other developing countries, but for all modalities of Brazilian cooperation abroad. This claim is substantiated by ABC's success in its remit to establish a solid methodological basis to guide the formulation, appraisal, implementation and monitoring of Brazilian South-South technical cooperation. Such a framework reflects, in its concepts and procedures, the pivotal principles of South-South cooperation formulated in international forums dedicated to this matter, and enhances Brazil's commitment to international cooperation based on solidarity, as established by its Federal Constitution.

International technical cooperation practices are continually evolving, possibly even more rapidly within the scope of South-South cooperation. Notwithstanding that this Manual has been prepared with the goal of converging the state of the art of results-based management in development cooperation with ABC's experience in South-South technical cooperation, its practical application has also opened up new perspectives on the improvement of processes associated with this modality of Brazilian international cooperation. Among the most recent advances in this subject, to which ABC has sought to contribute substantively, is the expansion of the international debate on conceptual issues related to the measurement of South-South cooperation flows, including the definition of appropriate data and indicators to record and evaluate - in quantitative and qualitative terms - the exchange of knowledge, experiences and practices among developing countries.

In light of this, two years after publication and progressive dissemination of the Manual's first edition, ABC decided to take the opportunity to update it and translate it into further languages. The results of this effort have been consolidated into this second edition, which ABC is pleased to share with the national and foreign entities and organizations with which it partners in the design and implementation of South-South technical cooperation initiatives.

Ambassador João Almino
Director of ABC

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Abbreviations and Acronyms

ABC/MRE	Brazilian Cooperation Agency of the Ministry of Foreign Affairs
AWP	Annual Work Plan
BTCA	Basic Technical Cooperation Agreement
EAF	Evaluation Analytical Framework
ERG	Evaluation Reference Group
PSC	Project Steering Committee / Preparatory Action Steering Committee
SSTC	South-South Technical Cooperation
ToR	Terms of Reference
USD	American dollars

Part I

CONCEPTUAL FRAMEWORK

Part I

CONCEPTUAL FRAMEWORK

1. INTERNATIONAL TECHNICAL COOPERATION AND CAPACITY DEVELOPMENT

Technical cooperation is one of the main modalities of **international development cooperation**, and an instrument to strengthen Brazil´s relations with other countries, with an emphasis on economic and social integration. It is focused on developing capacities as an effort to identify, mobilize and improve knowledge and competencies available in partner countries, as a view to achieving local autonomy to design and implement endogenous solutions to development challenges.

As a pillar of technical cooperation, **capacity development** is a change process that takes place in four interconnected and interdependent dimensions, namely the individual, organizational, inter-institutional and contextual capacity levels.

Box 1 - Multiple Levels of Capacity Development

Individual level: Capacities at this level are related to individuals as social actors, that is, to the formal and informal knowledge and skills that people have to act collectively. The development of individual capacities is closely connected to the development of human resources (*i.e.* to the capacities people need to carry out their tasks and achieve the goals they share with others within organizations, institutions and society).

Organizational level: Developing capacities at this level is geared towards improving the structure, the human and technical resources, and the management and productive processes that organizations make use of to provide goods and services to their public. Examples include strategic planning, (re) designing organizational structures, redistribution of tasks, and enhancing management practices, coordination and communication. In this context, capacity development encompasses both organizational processes as well as outcomes and outputs of such processes. Likewise, capacities of this dimension involve an organization´s ability to establish and maintain relationships with partners in different sectors of society (government, private sector and communities). The term "organization" also refers to informal groups and other actors at community level.

Inter-institutional level: This level comprises the inter-institutional arrangements set by organizations or groups that interact with the purpose of achieving shared goals or performing a common task, such as health and public security systems in which government agencies, civil society and private sector organizations come together to implement public policy. The development of inter-institutional capacities may target a sector, a sub-sector or intersectorial public policies and programs. In addition, cooperation at this level commonly focuses on the quality of public services provided by inter-institutional arrangements, or on the improvement of coordination and communication mechanisms within such frameworks.

Societal or contextual level: Capacities of this dimension correspond to the whole set of contextual factors – of a political, social, legal, economic, material and financial nature – that impinge on individual and collective action within a given society. They connect and depend on the capacities of other dimensions. As such, they are shaped by the availability of a country´s human, scientific, technological, institutional, economic and environmental resources, such as formal and informal rules of society (*e.g.* legislation, public administration and government structure, development priorities and policies, cultural values and norms); relations of power; human capital, and economic variables (*e.g.* income distribution, growth rates and external debt). Consequently, changing capacities at this level entails long-term, complex processes that cannot be managed and coordinated within the scope of single technical cooperation initiatives.

International technical cooperation initiatives are not means for automatically transferring knowledge or introducing foreign practices to partner countries. On the contrary, country partners are not regarded as passive recipients of assistance, but rather as the main agents of change in parti cular national contexts. Therefore, the major role of a technical cooperation project is to provide the wherewithal for national development agents to access, acquire and/or apply relevant knowledge in a manner that enables them to strengthen their own capacities. This thus implies support for learning processes at the individual, organizational and inter-institutional capacity levels.

2. BRAZILIAN SOUTH-SOUTH TECHNICAL COOPERATION

Brazilian South-South Technical Cooperation is geared towards strengthening the capacities of individuals, organizations and institutions abroad. The mainstay of this process is the sharing of knowledge, experience and resources which have the potential for adaptation, assimilation and generation of positive impacts on the autonomous development of partner countries. Through concerted efforts, it offers viable opportunities for partner countries to attain self-reliance in technical and policy domains, ultimately contributing to the achievement of national development goals and sustainable development.

Brazil´s cooperation with other developing countries is grounded in the principles of solidarity, horizontality and mutual benefit, national ownership, respect for national sovereignty, and non-interference in domestic affairs. Nonprofit and disconnected from commercial interests, such cooperation is demand-driven, and free of impositions or conditionalities.[1]

Within the context of capacity development, Brazilian South-South technical cooperation is promoted by means of:

- Support for identification and mobilization of key actors and of capacities already available in the partner country.
- Exchange between cooperating countries of methods, approaches, experiences, strategies, techniques and tools for practical application in development processes.
- Organizational strengthening of country partner organizations, including training of professional and technical staff; improvement of managerial and technical competencies; and modernization or reorganization of production processes.
- Identification and establishment of local and external partnerships and promotion of inter-institutional arrangements associated with planning, design, implementation, monitoring and evaluation of sectorial public policies.

The mainstays of South-South Technical Cooperation are joint formulation, technical implementation and coordination of projects and other initiatives, which are realized thanks to the direct and active involvement of both Brazilian and partner country partners from the planning stage to monitoring and evaluation of results. Through participatory arrangements, partners seek to identify and systematize knowledge and competencies of beneficiaries in the partner country so that they can be used as resources for devising innovative development solutions.

[1] Institute for Applied Economic Research (Ipea), Ministry of Foreign Affairs (MRE), Brazilian Cooperation Agency (ABC) (2011) *Brazilian Cooperation for International Development 2005-2009,* Brasilia: Ipea: ABC, November 2011.

3. MODALITIES OF BRAZILIAN SOUTH-SOUTH TECHNICAL CO-OPERATION

Brazilian South-South technical cooperation may be carried out in different ways:

i. **Bilateral South-South Technical Cooperation**, where the two partners are developing countries.

ii. **Trilateral South-South Technical Cooperation**, which is divided into three sub-types:

- **Trilateral South-South Cooperation between developing countries:** All partner countries, in a number of three or more, are developing countries.

- **Trilateral South-South Cooperation with a developed country:** Two developing countries cooperate with participation of a developed country.

- **Trilateral South-South Cooperation with an international organization:** Two or more developing countries cooperate with participation of an international organization.

iii. **South-South Cooperation in a bloc:** Cooperation takes place within sub-regional, regional or international arrangements formed by developing countries, in which Brazil is a member, such as MERCOSUR, UNASUR and IBSA.

iv. **Decentralized South-South Cooperation:** The cooperation takes place between two or more subnational entities of two or more developing countries. Another modality may derive from this one, known as 'mixed cooperation', in which one of the subnational partners is in a developed country.

4. LEGAL FRAMEWORK FOR SOUTH-SOUTH TECHNICAL COOPERATION

South-South Technical Cooperation initiatives are preceded by the establishment of a legal-institutional framework to support and guide their implementation, comprised of two levels: the **Basic Technical Cooperation Agreement (BTCA)** and the **Complementary Agreement.**

4.1 Basic Technical Coopveration Agreements[2]

At the highest level, initiatives should be framed by a legal instrument referred to as the **Basic Technical Cooperation Agreement (BTCA)**. The BTCA formalizes the subject, means of implementation, responsibilities of signatories, and other provisions that will rule the approval and implementation of ensuing technical cooperation relationships between the Brazilian government and partner country governments. Some BTCA´s may provide specific provisions to support the implementation of trilateral cooperation with international organizations. In any case, the BTCA must be ratified by the Brazilian National Congress, while the other signatory party follows its own procedures to legally validate the agreement.

4.2 Complementary Agreements

The second level of the legal framework relates to the **Complementary Agreement**, a legal instrument subsidiary to the Basic Technical Cooperation Agreement, giving effect to projects and activities conceived under the scope of the latter. Complementary Agreements may be shaped in more than one format (a stand-alone document or a chapter in another document), and might sometimes be referred to as ´Executive Agreements´. Regardless of form and title, they provide specific details on the responsibilities of signatory parties, along with operational, financial, reporting and accountability arrangements related to the implementation of a given technical cooperation initiative, such as a program or a project. Complementary Agreements do not require approval by the Brazilian National Congress.

5. POLITICAL FRAMEWORK FOR SOUTH-SOUTH TECHNICA COOPERATION

5.1 Memoranda of Understanding and Joint Declarations

Memoranda of Understanding (MoUs) and **Joint Declarations** are documents that formalize the intention of cooperation partners (governments or international organizations) to implement South-South technical cooperation programs, projects and other initiatives, defined along broad lines of action. Because they are fundamentally political, they do not impose financial commitments or obligations of any kind, make no reference to financial contributions or implementation arrangements, and do not provide legal or operational support to ensuing initiatives.

[2] Based on Ministry of Foreign Affairs (Brazil) (2010) *Atos Internacionais: Prática Diplomática Brasileira*, Brasilia: Ministério das Relações Exteriores (MRE), May 2010. Available at http://www2.mre.gov.br/dai/002.htm

5.2 Letters of Intent

Within the ambit of Brazilian technical cooperation, the **Letter of Intent** is an instrument signed by a Brazilian public administration organization and a private sector organization (an NGO or a company), with the purpose of formalizing the intention of the parties to carry out joint actions. It does not impose commitments and it is generally the first document signed by cooperation partners. In addition, the letter of intent does not bear any operational or implementation value.

6. OPERATIONAL FRAMEWORK FOR BRAZILIAN SOUTH-SOUTH TECHNICAL COOPERATION

6.1 Arrangements for Financial and Administrative Execution:

There are three main arrangements for financial and administrative execution of South-South Technical Cooperation Initiatives:

- Execution by the Brazilian Government: The Brazilian government carries out the financial and administrative procedures and tasks related to technical cooperation.
- Joint Execution: Financial and administrative execution of a cooperation initiative is carried out in parallel by the Brazilian government and a partner entity, such as in trilateral South-South cooperation projects with international organizations or with cooperation agencies from other countries. Financial resources are provided by both parties, with each being responsible for executing its own share of the budget, but under joint coordination arrangements.
- Decentralized Execution: An entity of the Brazilian government is responsible for the financial and administrative execution of a South-South Technical Cooperation Initiative. Resources may or may not be provided by the Brazilian public administration, but the Brazilian Government keeps its role as one of the partner organizations responsible for joint coordination of the technical cooperation initiative.

Note on the difference between technical implementation and financial and administrative execution:

For the purposes of this Manual, a distinction is made between the terms **implementation** and **execution**. Although they are parallel and complementary processes deemed indispensable for the realization of any initiative, they are also intrinsically different.

'**Technical implementation**' will be used hereinafter in reference to actions that are directly related to technical implementation of cooperation programs and projects. These actions are activities that encompass knowledge, methodology and technology sharing and application by and between cooperation partners. Examples of such are the preparation of training course materials and carrying out a topographic survey for a project in the field of agriculture.

On the other hand, **'financial and administrative execution'** will refer hereinafter exclusively to the financial and administrative procedures and tasks carried out to deliver technical outputs, such as procurement and logistical support.

6.2 Technical Implementation Instruments

There are four instruments available for implementation of South-South Technical Cooperation Initiatives with the Brazilian government: **Program**, **Project**, **Preparatory Action**, and **Simplified Action**. They are characterized by their specific purposes.

6.2.1 Program[3]

A Program is a planning instrument under which a set of projects and other initiatives sharing common goals are designed and coordinated centrally, though implemented separately. The purpose of a Program is to provide coordination, and a common strategy and rationale, for those initiatives. Thus, a Program allows for evaluation of the combined outcomes of the projects and other initiatives carried out within its scope.

Programs are suitable for the following situations:

- Type A Program: Used when analysis of a cooperation request from a partner country indicates multiple, interrelated challenges in the various dimensions of capacity development. Coping with these challenges requires a systemic approach, something a project alone cannot provide. In the face of such complex situations, in order to generate the expected changes, it is necessary to implement a number of actions with a view to developing the individual, organizational and inter-institutional competencies of beneficiaries, from human resources training to restructuring and strengthening organizations and networks. To this end, a Program comprises a number of Projects and Preparatory Actions (described below), bound by a common goal, in a coordinated and interdependent way, and capable of engendering various outcomes in different sectorial or multisectorial thematic areas. This type of Program is accomplished in the medium term.

- Type B Program: Used to respond to a set of technical cooperation requests, relating to a common problem, received from a group of partner countries. In such cases, an 'umbrella Program' is jointly designed, instead of having separate parallel negotiations for attending to requests related to mutual problems in different partner countries. Here the Program provides common strategic guidance and a set of management and coordination arrangements valid for that specific group of initiatives having a shared goal. This type of Program may be implemented through Projects and Preparatory Actions.

- Type C Program: It encompasses a set of specific activities for training and/or exchange of experiences in one given thematic area, carried out as different sessions or stages, with participation of beneficiaries from one or various partner countries (such as sets of courses, workshops and forums in specific social policies or agriculture technology). All activities within a Type C Program share a particular learning outcome or goal. Learning goals should be cumulative and progressive. Type C Programs should not be mistaken for a set of one-time activities carried out separately, which are to be delivered by means of Simplified Actions.

[3] The term Program is used here in reference to a technical-operational instrument and should not be mistaken for an Executive Program, a type of legal document (Section 4.2 above).

Type A and **Type B** Programs require planning according to a logical structure encompassing a Development Objective, Specific Objectives and Outcomes (see Section 8.1 below).

Type C Programs involve detailed planning according to a logical structure encompassing expected Outputs and Activities, in addition to a Development Objective, Specific Objectives and Outcomes. In this regard, Type C Programs should make specific reference to, or include:

- The number, type and content of activities to be carried out (e.g. courses, trainings, and workshops).
- The number and type of Outputs expected for each Activity.
- The number of participants in each Activity.
- The sector, subsector or thematic area to which the Program is related.
- A work plan and an implementation schedule.

A template for South-South Technical-Cooperation Programs is presented in **Annex A3: South-South Technical Cooperation Program Document.**

6.2.2 Project

A **South-South Technical Cooperation Project** is a planned initiative, to be implemented within a specific timeframe, encompassing a number of interrelated activities. Its purpose is to contribute to a quantum leap forward in the development of the partner country by organizing and strengthening local capacities of a public organization, a group of public organizations or specific segments of society. To achieve that, South-South Technical Cooperation Projects offer access to technology, knowledge and experiences available from other developing countries.

Providing effective socioeconomic gains through capacity development is the principal goal of technical cooperation. Recognition of this is key to preventing projects from being seen as a mere roadmap for implementation of a set of one-time activities, incapable of producing lasting effects in the medium and long term, after project completion. As a result, a South-South Technical Cooperation Project requires coordinated mobilization of human, technical, financial and material resources available in partner countries, with a view to achieving objectives and outcomes previously and jointly established by cooperation partners.

Because a Project is the instrument that provides implementation mechanisms for Complementary Agreements and political cooperation frameworks, project documents should delineate in detail expected results and targets, joint coordination mechanisms as well as financial and administrative arrangements, along with a clear work plan.

6.2.3 Preparatory Action

The **Preparatory Action** is used as a technical and operational instrument for jointly formulating South-South Technical Cooperation project or program proposals.

The goals of a Preparatory Action are:

- To provide financial and administrative arrangements for joint scoping and formulation missions for South-South Technical Cooperation Projects and Programs.

- To support participative design and planning of projects and programs by means of application of the methodologies described in Part II, Section 9.1 and 9.2 of this Manual: Analytical and Planning Phases.
- To conduct feasibility studies and situation and needs analysis for future projects or programs, as required.

Characteristics of a Preparatory Action:

Preparatory Action outputs may include:

- Joint scoping and formulation missions for future South-South Technical Cooperation initiatives, and respective reports and outputs.
- Missions for in-depth (situation/problem/needs) analysis and studies of technical, social, economic and environmental feasibility, and respective reports/outputs.
- Mapping stakeholders and available capacities, surveys for baseline data collection and other components of logical frameworks.
- Formulation of concept notes and project or program proposals.
- Ad hoc training strictly related to the application of project/program planning and design tools (feasibility studies, situation and needs analysis).
- Duration of Preparatory Actions may not exceed 18 months.

Preparatory Actions may only encompass small scale procurement of goods and services in strict accordance with the limited operational scope and specific purpose of such initiatives. Recruitment of independent consultants (i.e. not staff of Brazilian partners) is eligible only if complementary to Brazilian contributions and essential to the achievement of expected outcomes and outputs. Medium and large scale training programs, procurement of equipment, immovable assets or property assets are ineligible.

6.2.4 Simplified Action

A Simplified Action is one of the four instruments used to implement South-South Technical Cooperation, serving one of the following purposes:

- Responding, on a case by case basis, to requests for ad hoc expert services of short duration, provided by Brazilian partners, encompassing specific outputs, not related to other South-South Technical Cooperation initiatives.
- Allowing implementation of one-off and non-recurring training, or knowledge sharing activities, provided they do not constitute the object of Preliminary Actions or Projects, or aim, at different stages, at cumulative and progressive learning.
- Providing the means for participation of Brazilian experts or representatives from partner countries in one-off and non-recurring South-South technical cooperation events.

Simplified Actions are initiatives implemented within limited timeframes, and not requiring a complex technical scope, thus providing flexibility to implementation of one-off technical cooperation activities.

A Simplified Action should not be mistaken for a Preparatory Action, because the former cannot encompass subsequent phases or developments, whereas the latter necessarily results in ensuing project or program documents.

Characteristics of a Simplified Action:

- One-off activities and a fixed timeframe.
- Simplified Action outputs may include:
  - o Expert services from Brazilian partners with specific outputs and short duration (e.g. studies, exchange and short and one-off training events, within a fixed timeframe and of non-recurring nature) and respective implementation missions;
  - o Technical missions, carried out by Brazilian partners, to participate in one-off South-South technical cooperation activities or events;
  - o Missions to Brazil, by representatives of partner country partners, to participate in one-off exchange events or training.
- Simplified Actions may use the same type of inputs as a project (experts, training, services, goods and equipment), though on a smaller scale and with maximum contract duration of 6 (six) months.
- Each and every Simplified Action should always provide final reports and technical outputs.
- Duration of Simplified Actions may not exceed 6 (six) months.

7. ACTORS IN SOUTH-SOUTH TECHNICAL COOPERATION: PARTNER ORGANIZATIONS, BENEFICIARIES AND OTHER STAKEHOLDERS

Stakeholders in a technical cooperation initiative - be it a Program, a Project or a Preparatory Action - include any individual or organization that may be directly or indirectly, positively or negatively, affected by it, or that has an interest in the process, or in the expected outcomes, of the initiative. The success and sustainability of any initiative relies heavily upon ownership, by partner country partners and beneficiaries, of both its process and results.

- **Partner Organizations:** These are the organizations in Brazil and in the partner countries directly involved in the technical implementation or in the financial and administrative execution of a given cooperation initiative. Partner organizations are always regarded as stakeholders and they may be the same as the direct beneficiaries, especially in the case of projects aimed at developing organizational capacities. Each partner will play one or more of the following roles:
  - o **Partners Responsible for Technical Implementation:** In Brazil, these are represented by public and non-governmental organizations that provide human and technical resources for implementation of SSTC initiatives (*e.g.* specific sectorial knowledge and

experiences). In the partner country, they are the organizations that participate in horizontal knowledge exchange or capacity development activities with Brazil within the scope of such initiatives.;

- **Partners Responsible for Administrative and Financial Execution:** This corresponds to the cooperation partner in charge of financial and administrative execution of a SSTC initiative, that is, the one responsible for carrying out operational procedures and tasks that support technical implementation, such as procurement and payments;
- **Partners Responsible for Coordination:** This role is fulfilled by the government agencies in Brazil and in the partner country which assume legal responsibility for the cooperation initiative. In general, they are organizations with a mandate at national level to develop and set guidelines, coordinate actions, and provide support to the development of international technical cooperation initiatives.

- **Beneficiaries:** Any actor that may benefit from the implementation of a technical cooperation initiative.
    - **Direct beneficiaries:** The organizations and groups of individuals (e.g. experts) from the partner country participating in knowledge sharing, technical exchange or capacity development activities within a SSTC initiative with Brazil. Very often, direct beneficiaries are also the partners responsible for technical implementation in the partner country;
    - **Indirect beneficiaries:** Technical cooperation initiatives are designed to attend to the needs of direct beneficiaries by generating positive effects in the short term. In turn, these short-term benefits are expected to have positive repercussions, or ramifications, that impact upon other organizations and groups of individuals, known as the ´indirect beneficiaries´, in the medium and long term. As a result of direct beneficiary capacity development, indirect beneficiaries enjoy increased access to improved services provided by those direct beneficiaries.
- **Other stakeholders:** All entities with vested interest in finding a solution to the problem, or undesired situation, targeted by the cooperation initiative: public organizations of the executive, legislative and judicial branches; civil society organizations; media and pressure groups; in addition to Brazilian and partner country audit and control agencies.

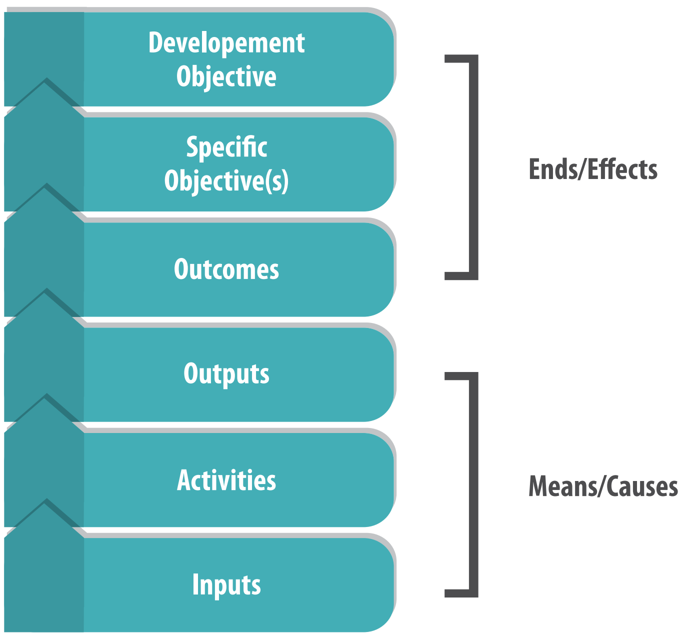
8. KEY CONCEPTS RELATED TO SOUTH-SOUTH TECHNICAL COOPERATION INITIATIVES

8.1 The Logical Structure

As mentioned previously, a project is a time-bound initiative through which human, technical, financial and material resources are converted into tangible outputs (courses, studies, training), and these, in turn, become the means for developing the capacities required to solve a problem or transform an initial, undesired situation.

The basic elements of a project strategy, from the planned objectives to the inputs required to achieve them, are embraced by and connected within the **Logical Structure**.

Figure 1 - The Logical Structure



The Logical Structure is an abstract representation of a sequence of cause-and-effect relationships that are expected to exist between:

- The Inputs that partners make available to implement required Activities.
- The Activities necessary to produce their respective Outputs.
- The delivery of these Outputs and the achievement of expected Outcomes.
- The relation between these expected Outcomes and the achievement of sustainable changes in the medium and long term, described by the Specific Objective and the Development Objective.

Box 2 - Logical Structure Components

***INTENDED EFFECTS*:**

The **Development Objective** coincides with the long-term positive impact described in the partner country development strategy or public policy to which the project is related. It refers to the overarching and multiple-level benefits that impact the whole society, to which the project aims to contribute by achieving the Specific Objective.

The **Specific Objective(s)** refer to the principal and specific purpose of the project and is equivalent to the solution[4] for the initial situation or problem targeted by the technical cooperation initiative. This solution will be partly composed of the capacities to be developed, enhanced or complemented with project support. Within the project timeframe, the Specific Objective is an intermediate element between the achievement of the Outcomes and the attainment of the Development Objective.

Outcomes correspond to the capacities of beneficiaries (skills, abilities, knowledge, and working methods) to be developed and disseminated with the support of technical cooperation. Such capacities, working on multiple levels, produce a technical environment, which, coupled with external factors, will provide the means for generating, consolidating and sustaining the solution to the initial situation or problem (*i.e.* the achievement of the Specific Objective). In order for outcomes to be sustainable, the capacities developed or complemented through the project should become effectively internalized and applied by partner country partners, and after project completion, anchored in institutional, human and material resources that enable their sustainability.

***MEANS*:**

Outputs are defined as the tangible goods and services delivered directly by the project, with the purpose of generating Outcomes. Outputs are technical documents, studies, analyses, diagnoses, training, course materials; administrative and managerial tools; technical and operational protocols or manuals; maps; and built, equipped or renovated facilities, and the like. Outputs should be produced exclusively by means of implementation of project Activities, and delivered before project completion.

Activities are the tasks carried out within the scope of the project with the goal of producing its Outputs. Their implementation is based on the provision and use of inputs. Several Activities are required to produce each given Output.

Inputs describe financial, material, human and technical resources required to implement project Activities. Inputs also include resources (*e.g.* capacities) previously existing within the partner country partners or within the community or region that will benefit from the project. The most common inputs are: experts man-hours; professional instrumentation; agricultural supplies; machinery; laboratory equipment; publications; various equipment and materials; facilities deemed indispensable for implementing Activities, in addition to computer programs provided free of charge.

Useful information for identifying the differences between logical structure components are provided below.

4 See Box 1: 'Multiple Levels of Capacity Development', above.

Difference between Development Objective and Specific Objective:

As seen above, the Development Objective coincides with the partner country´s development goals and priorities and with the institutional mission of the partner country organization which has presented the cooperation request. In this sense, its achievement lies beyond the scope of a technical cooperation initiative alone and points to an ideal desired situation in the partner country in the long term. Thus, it serves as a reference to the Specific Objective, which, in turn, corresponds to the project´s specific purpose.

Difference between Output and Outcome:

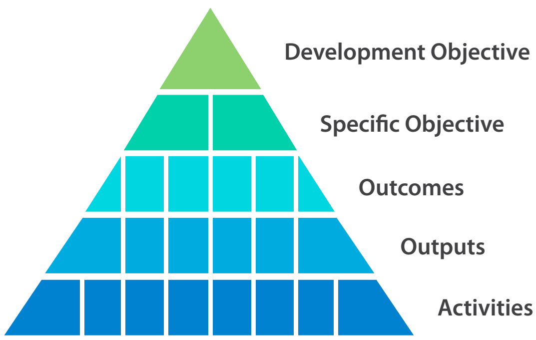
- Outcomes are the capacities to be developed, improved or complemented (knowledge, skills and competencies) through a technical cooperation project.
- Outputs are the tangible goods and services delivered directly by a project (i.e. a course delivered; a diagnosis carried out; laboratory equipment installed).

Hence, for instance, a training course is an **Output**. On the other hand, the new skill or knowledge acquired via the course, and its internalization and use by the people who have been trained, corresponds to an **Outcome**.

8.1.1 The Logical Structure viewed as a Pyramid

The components of the logical structure can be seen as the blocks of a pyramid, in which the lower layer represents the Activities and Outputs, while the top represents the Specific and the Development Objective. As in Figure 2 below, the number of blocks increases from the top to the bottom. This means that the number of Activities is greater than the number of Outputs, that the number of Outputs is greater than that of Outcomes, and so on. This logical structure model is flexible, thus allowing for the use of different numbers of blocks per layer, according to the scope of each project.

Figure 2 - The Logical Structure Shaped as a Pyrami



Adapted from CIDA: 'Results Based Management (RBM) in International Development: Tools and Resources for ITPP Projects'.

8.1.2 Consistency Analysis of the Logical Structure

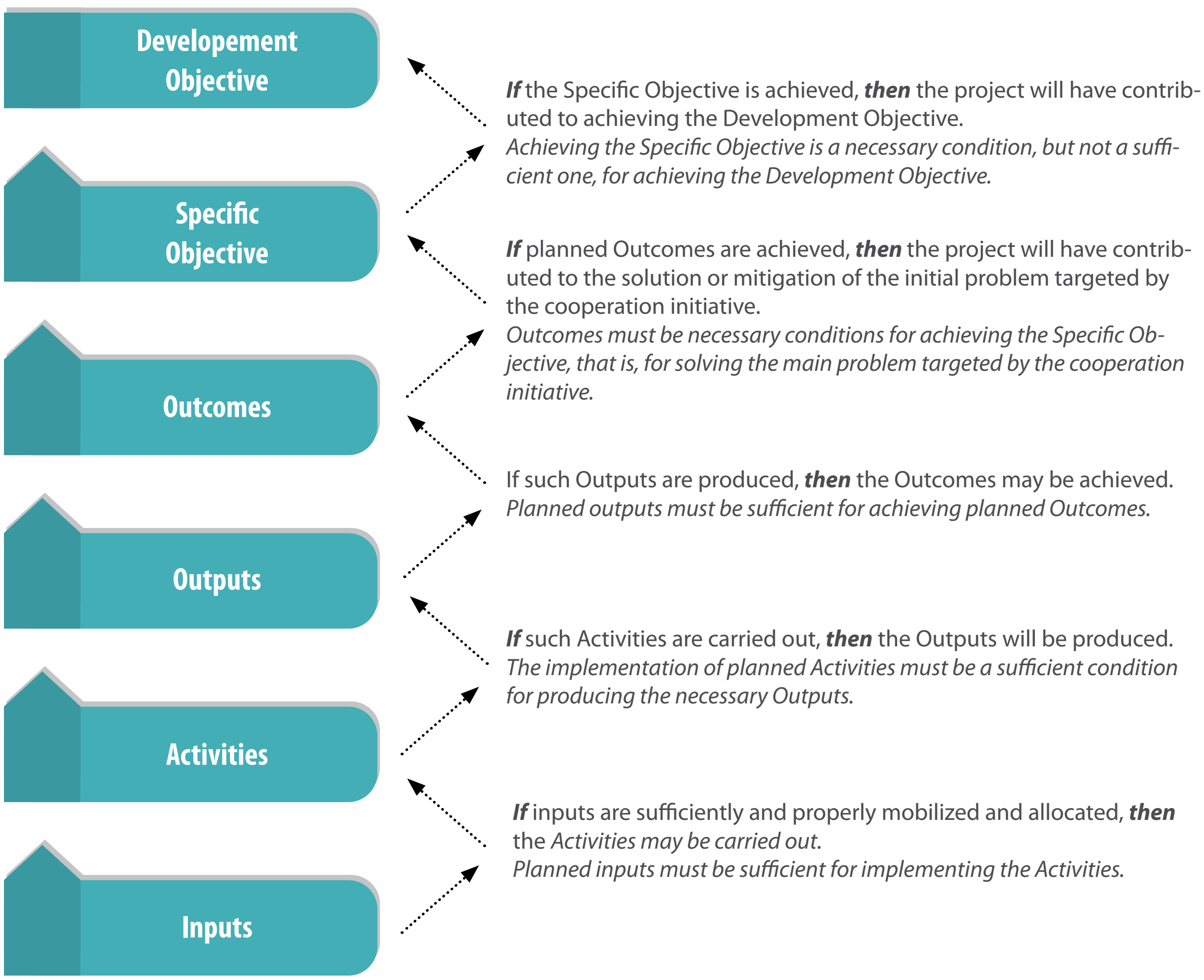
The components of the logical structure are connected to each other by means of cause and effect relationships, which in turn represent vertical "*if-then*" relations or hypotheses.

The Consistency Analysis is a test serving two goals. The first is to verify the logical coherence between of each hypothesis, for instance, by asking: *´If I deliver this Output, will it then help in achieving the expected Outcome?, and so on`*. The second is to find out whether each component suffices to achieve the next. For example, *´If I implement this set of Activities, will it be sufficient to deliver the Output?`*.

Therefore, if the logical structure is well-designed the following conditions will be met:

- The Activities related to each Output will be necessary and sufficient to produce it.
- The Outputs are adequate and sufficient to achieve each Outcome.
- Each Outcome represents a necessary condition for solving the main problem (the scope of the Specific Objective).
- The accomplishment of the Specific Objective represents the contribution of the project to the partner country's development strategy, plan or program, embodied in the Development Objective.

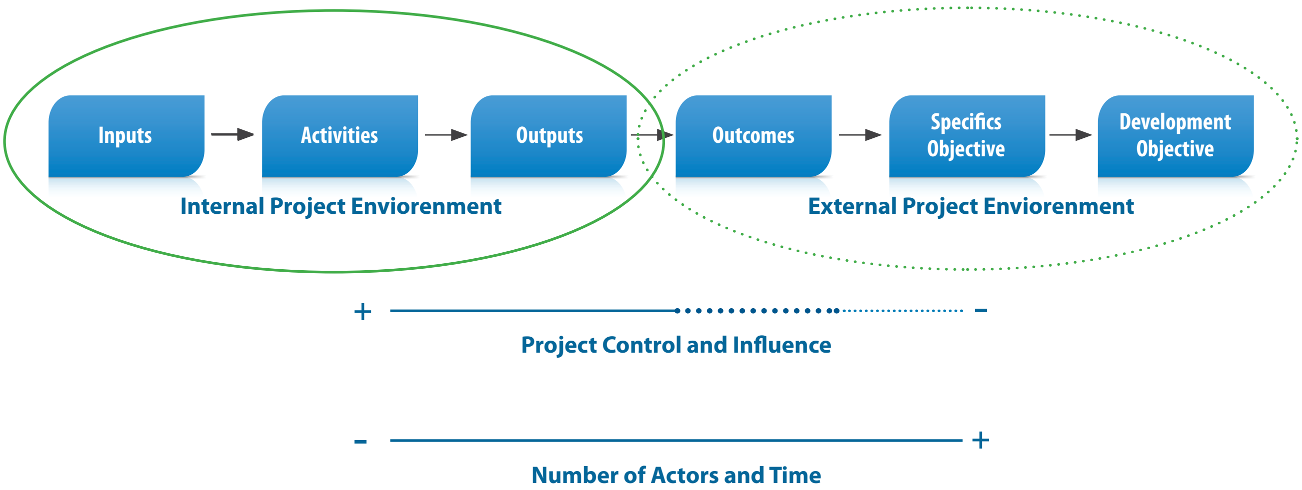
Figure 3 - Consistency Analysis of the Logical Structure



8.1.3 Influence of the Project in the Generation of Expected Effects

Along the logical structure, the influence the project has in generating the intended effects or results (Outcomes, Specific Objective and Development Objective achievement) decreases as the relative influence of external factors and actors increases. The reason for this is that there are multiple variables affecting the relationships between the logical structure components, and only a few of them may be controlled or directly influenced by the project, as explained below.

Figure 4 - Project Control and Influence on Logical Structure Components



As Figure 4 shows, in order to yield results, projects need to mobilize the **work and resources from several actors** within and beyond cooperation partnerships:

- Outputs are completely located within the sphere of project control and influence (internal project environment). This means that, the work of individuals and organizations involved in the project, and the resources they allocate to it, should suffice to produce a given output. Also, outputs are delivered within the lifetime of the project, in the short term. Thus, project partners are entirely accountable for their accomplishment, through their action, inputs and management.
- On the other hand, outcomes are changes in the skills, competencies and practices of individuals and organizations. Thus, they depend not only on the quality of project outputs, but also on external factors such as organizational culture and management capacity, as well as conducive policy and institutional environment.
- Likewise, as solutions to complex development challenges, the achievement of project objectives is influenced by the existence and success of national programs, policies and strategies put in place by governments, in joint efforts with civil society and, often, with international partners as well. Consequently, social, economic and institutional improvements at contextual level entail medium and long-term commitments that lie beyond project capacity. Nevertheless, a technical cooperation project should be designed to, and accountable for, effectively contributing to such advancements, even though the latter cannot be directly attributed as the result of project effects.

8.2 Participation, Ownership and Sustainability

To ensure sustainability of project effects, **participation** and **ownership** of initiatives by partner country partners are paramount. In essence, the strategy of South-South Technical Cooperation initiatives rests upon the sharing of knowledge, experience and practices, which, in turn, depends on the active involvement of partners and beneficiaries. Therefore, it is necessary that parties are empowered and motivated to participate effectively in cooperation activities and decisions, in addition to maintaining their commitment at all stages of the project cycle, from goal design through coordination and implementation, to the evaluation of results.

Partner country partners may demonstrate this commitment by offering contributions such as designation of project institutional and technical focal points, maintenance of payment of staff participating in project activities and, whenever possible, provision of logistic and infrastructure support for cooperation activities, such as facilities, transportation, materials and equipment. Such contributions are voluntary and by no means constitute conditionalities for the establishment of partnerships.

Furthermore, the positive effects arising from technical cooperation will be sustainable if capacities are systemically developed and disseminated at all capacity levels (individual, organizational and inter-institutional), given that these levels are interconnected and interdependent. This is referred to here as the **multiplier effect**: the knowledge, skills, abilities, methods and practices engendered or upgraded by means of a cooperation partnership are successfully internalized and applied by the people and organizations involved in it, and become embedded in effective policies and institutional arrangements in the wider environment. Hence, the design of technical cooperation initiatives should include effects to be produced at all three levels, in relation to short, medium and long-term goals.

Box 3 - The Multiplier Effect: An Example

The multiplier effect of technical cooperation results is a consequence of systemically developing and disseminating capacities at individual, organizational and inter-institutional levels. For example, a project for which the entry point is the improvement of individual capacities will be effective and sustainable if:

- At the individual level, in the short term, the knowledge and experience that are shared by South-South cooperation partners through training and peer-learning activities are effectively internalized and transformed into new individual competencies (skills and abilities).
- In the short to medium term, these new competencies are successfully applied at organizational level, enhancing individual and organizational performance and becoming key assets for improving organizational practices and processes.
- At the inter-institutional level, in the longer term, these new organizational capacities contribute to the achievement of shared goals in specific policy sectors.

Part II

FORMULATING SOUTH-SOUTH TECHNICAL COOOPERATION INITIATIVES

Part II
FORMULATING SOUTH-SOUTH TECHNICAL COOOPERATION INITIATIVES

9. FORMULATING SOUTH-SOUTH TECHNICAL COOPERATION PROJECTS

The preparation of a South-South Technical Cooperation Project encompasses three complementary and different stages:

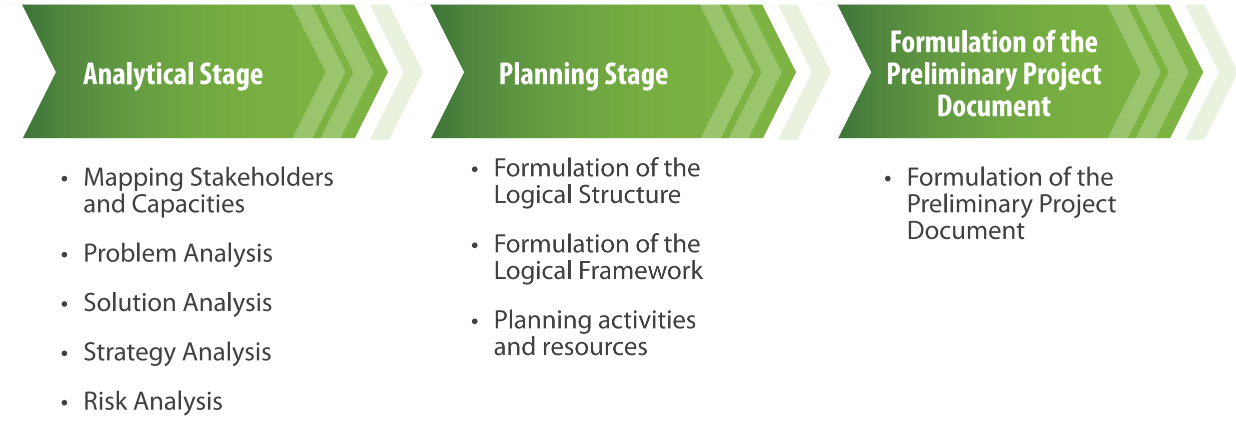
- **The Analytical Stage**: This stage consists of a collective and interactive exercise among project partners and beneficiaries, in which they jointly detail the initial project idea. It is conducted through the application of participatory methodologies and it usually takes place during a scoping mission. The components of this stage are:

  - **Mapping of Stakeholders and Capacities**, whereby the needs of partner country partners and potential beneficiaries will be identified, together with the pre-existing capacities that will be harnessed by the future technical cooperation project.
  - **Problem Analysis**, which consists of identifying and assessing the major problems related to the initial unsatisfactory situation, which gave rise to the request for Brazilian technical cooperation, as well as the cause-and-effect relationships characterizing that situation.
  - **Solution Analysis**, geared towards delineating a desired situation in which the problem has been solved or the initial situation transformed with contribution from South-South Technical Cooperation.
  - **Strategy Analysis**, which aims at choosing the best action strategy for the project.
  - **Risk Analysis**, whereby the factors that may negatively impact upon the project, as well as measures to mitigate them, are identified.

- **The Planning Stage**: At this stage, a participatory process builds upon the results of the Analytical Stage so as to define basic technical and operational elements for the future project. This includes identification of the expected positive effects (objectives and outcomes), the necessary means to generate them and targets for measuring their achievement, in addition to planning activities and inputs. Tools such as the logical structure, the logical framework, the work plan and the project´s overall budget are used to organize these elements.

- The third and last stage is the **Formulation of the Preliminary Project Document**. Formulation is based on information obtained in the previous stage (the Planning Stage). It includes preparation of an implementation schedule, a detailed budget and the remaining items of the Project Document (Annex A4: Standard South-South Technical Cooperation Project Document).

Figure 5 - Formulating South-South Technical Cooperation Projects

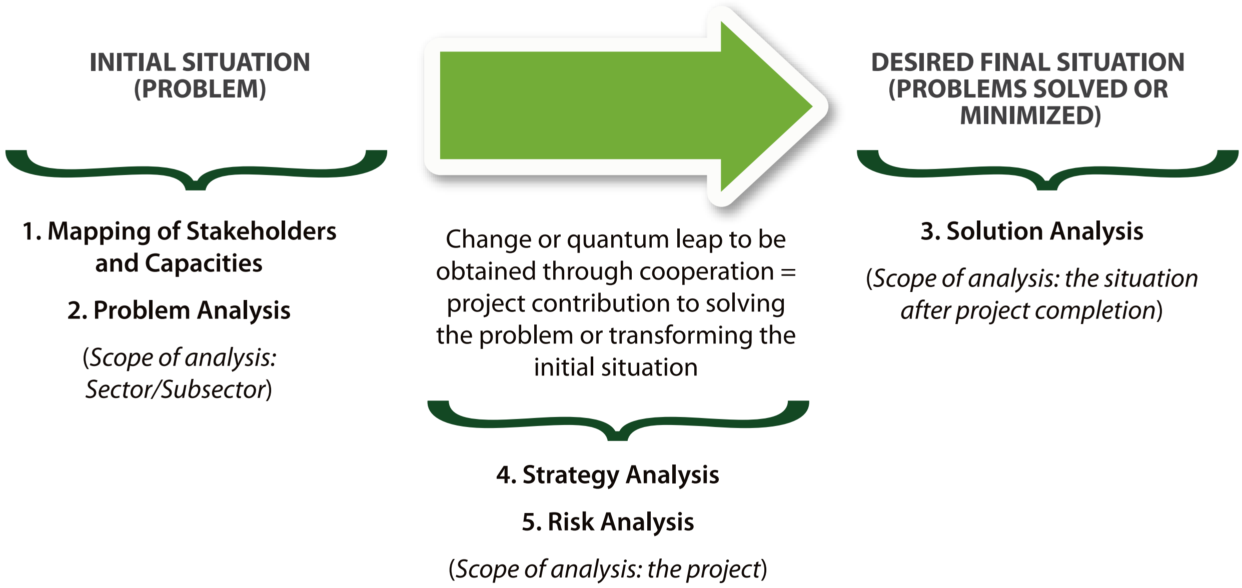


Adapted from European Commission (2004).

9.1 The Analytical Stage

The scope of analysis for the **Mapping of Stakeholders and Capacities** and the **Problem Analysis** comprises the policy sector, subsector or thematic area to which the initial situation is related. The **Solution Analysis** examines the expected positive situation the project sets out to achieve. In turn, the project itself and its activities are the focus of joint consideration through the **Strategy Analysis** and the **Risk Analysis**. The Analytical Stage, as with the other stages in project formulation, is a participatory and multi-stakeholder process.

Figure 6 - Components of the Analytical Stage



9.1.1 Mapping of Stakeholders and Capacities

Mapping stakeholders and capacities consists of collecting and analyzing information for the following purposes:

- Providing detailed data concerning the initial problem/situation which gave rise to the request for Brazilian technical cooperation.
- Collecting relevant data on the sector, subsector or thematic area to which that problem or situation is related, as well as its socioeconomic, physical (climate, geography), political, legal and inter-institutional environments.
- Identifying project stakeholders, their expectations and needs in regard to the initial situation/problem, in addition to existing capacities that might contribute to generating the desired changes.

Through this exercise it is possible to compare the ***expected*** level of individual, organizational and inter-institutional capacities (desired final situation) with the ***existing*** level of capacities (initial situation). Mapping stakeholders and capacities thus provides for jointly designing a project´s specific objective and outcomes. It also very helpful in building a common vision of desired changes and goals.

This task will be successfully complete once the answers to the questions 'which capacities?' and 'whose capacities?' are deemed sufficiently clear to the partner country and Brazilian partners, and when the parties agree on the results of Mapping. Possible points of disagreement must be indicated in the final document.

Preparation for Mapping Stakeholders and Capacities

Data collection for mapping stakeholders and capacities is carried out through application of questionnaires, semi-structured interviews, working groups, field visits or a combination of these methods. **Annex A1 - Guidelines for Formulation of Questionnaires for Mapping Stakeholders and Capacities** provides a useful set of questions to this end, customizable to the specific sector and circumstances of the project under formulation.

The consolidated results of the Mapping should be shared with partner country partners in their official language.

Note: A clear definition of direct and indirect beneficiaries is only possible after completion of Mapping and design of the logical structure components (Specific Objective, Outcomes, Outputs, Activities and Inputs) later on in the project´s Scoping Phase (see Section 11.2 below).

9.1.2 Problem Analysis

The **Problem Analysis** is based on the results of the **Mapping of Stakeholders and Capacities**, especially in regard to capacity gaps. The goal of this analysis is to identify the various negative elements of the initial situation that will be targeted by the future project. During the **Scoping Phase** (see Part III), Brazilian and partner country partners should carry out a detailed assessment so as to acquire a common and in-depth understanding of this situation. At this point, the involvement of potential beneficiaries is particularly relevant to achieve project ownership.

The **Problem Tree**, the **Solution Tree** and the **Possible Action Strategies Tree** are participatory methodological tools useful for problem analysis. Their application is described below. Other methodologies might be used, provided that they are participatory.

Use of these tools produces a list of potential action strategies for the future project. Each one of these strategies should then be subjected to an eligibility assessment, to be conducted in accordance with the **Guidelines for Eligibility Assessments of Action Strategies** (Table 3 below).

How to develop a Problem Tree?

The **Problem Tree** is a diagram that organizes the problems related to the initial situation according to the cause-and-effect relationships extant between them. It is built as a cooperative group activity with the participation of Brazilian and partner country partners and other stakeholders (e.g. potential direct and indirect beneficiaries).

Supporting materials include paper cards in various colors on which problems may be described, in addition to a frame or board where the cards can be posted and reposted, so that the final arrangement displays the cause-and-effect relationships between the problems identified.

Problem Tree: Step-by-Step

Step 1: Prepare a brief statement describing what the Group considers to be the essence of the initial situation, write it on a card and place it at the center of the board. The statement should correspond to the 'core problem' or the 'root' of the tree, serving as a reference for the development of the **Problem Tree**. For the statement of the core problem, the Group may choose to use a socioeconomic indicator that 'captures' and summarizes the initial situation.

Note: A brief narrative of the initial situation should have been previously included by the partner country partners in their formal request conveying their interest in carrying out technical cooperation with Brazil (see Section 11.1.2 below). This narrative, which can be adjusted and/or improved based on the **Mapping of Stakeholders and Capacities** (Section 9.1.1 above), should be used to support the formulation of the core problem. It is worth noting that the initial situation is related to limited or lacking technical skills amongst individuals, groups, organizations, and/or institutional arrangements.

Step 2: Conduct a brainstorming session to identify the problems that the Group believes are directly related to the core problem. The results of the **Mapping of Stakeholders and Capacities**, which should previously have been shared with the members of the group, should provide reference for this task. The following questions provide support: 'What are the main problems faced in relation to the core problem?', 'Whose problems are these and how do we know they exist?'. A brief statement of each problem identified must be written in a card.

Note: The problems identified should be concrete. Value judgments or assumptions should be avoided. Hypothetical problems, no matter how plausible, should not be taken into account.

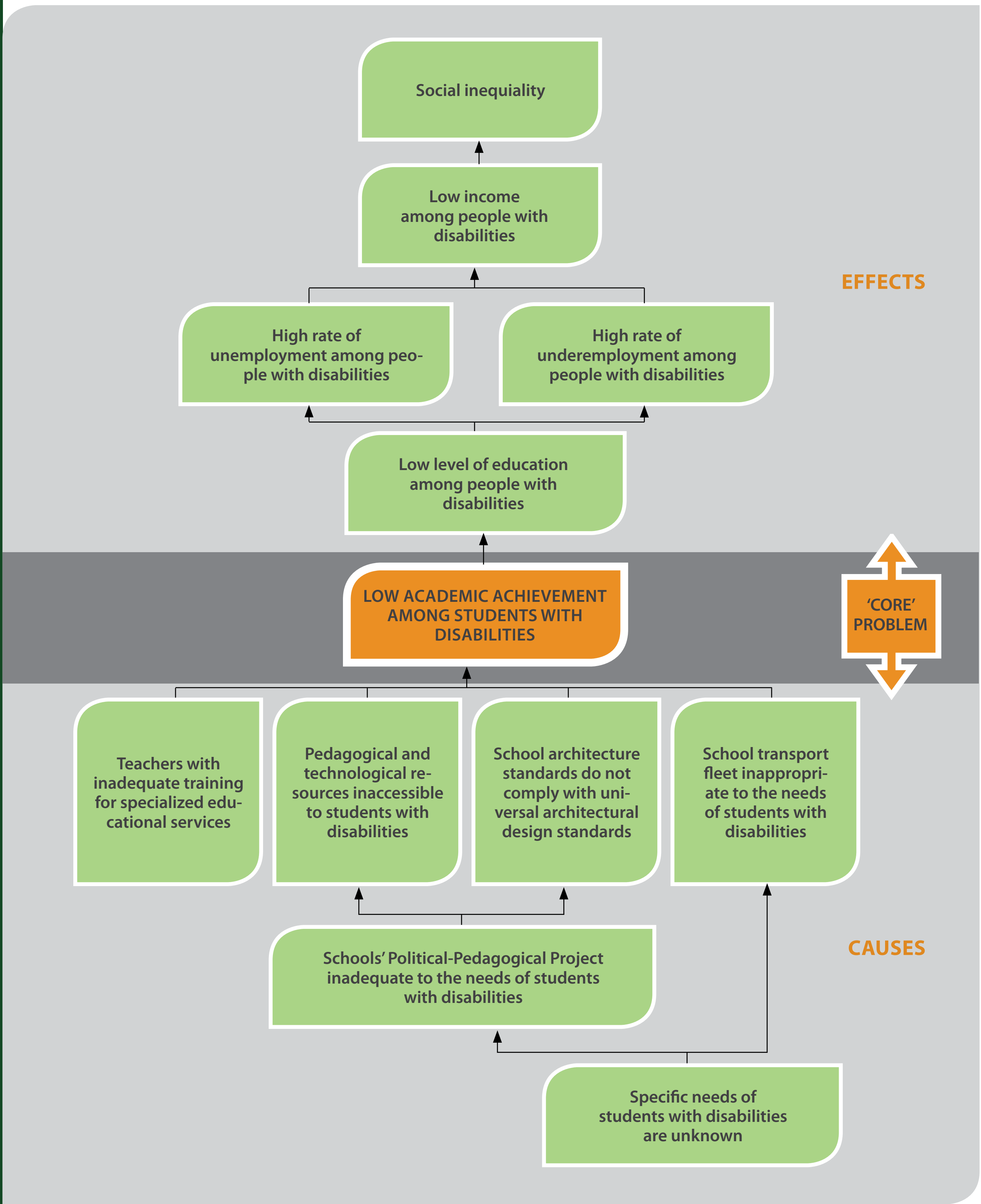
Step 3: Organize the problems identified according to their cause-and-effect relationships. The issues considered by the group as **causes** of the core problem should be grouped below it, representing the 'root' of the tree. The problems that the group considers to be **effects** of the core problem should be placed above it, forming the 'branches' of the tree. The problems that are neither a cause, nor an effect, of the core problem are to be placed next to it, at the same level. Then use arrows to connect the problems on the board according to the cause-and-effect relationships between them.

Note: The problem tree has different levels of causes ('roots') and effects ('branches') of the core problem ('trunk'): direct causes and effects are placed on the first level immediately above and below the core problem, respectively. Indirect causes and effects are placed in subsequent levels (secondary, tertiary, etc.), as shown in **Figure 8: Problem Tree: Multiple Causes and Effects** below. The tree can have as many levels of roots and branches as deemed necessary.

Step 4: Review the problem tree to correct possible gaps in causes and effects, or flaws in their logical relationships. After this review, if necessary, select a new core problem. As a rule, the core problem will correspond to the problem to which all or most of the causes and effects are related. When in doubt, the group should select the problem to which a solution is considered the top priority in order to attend to the needs of the partner country partners and other beneficiaries.

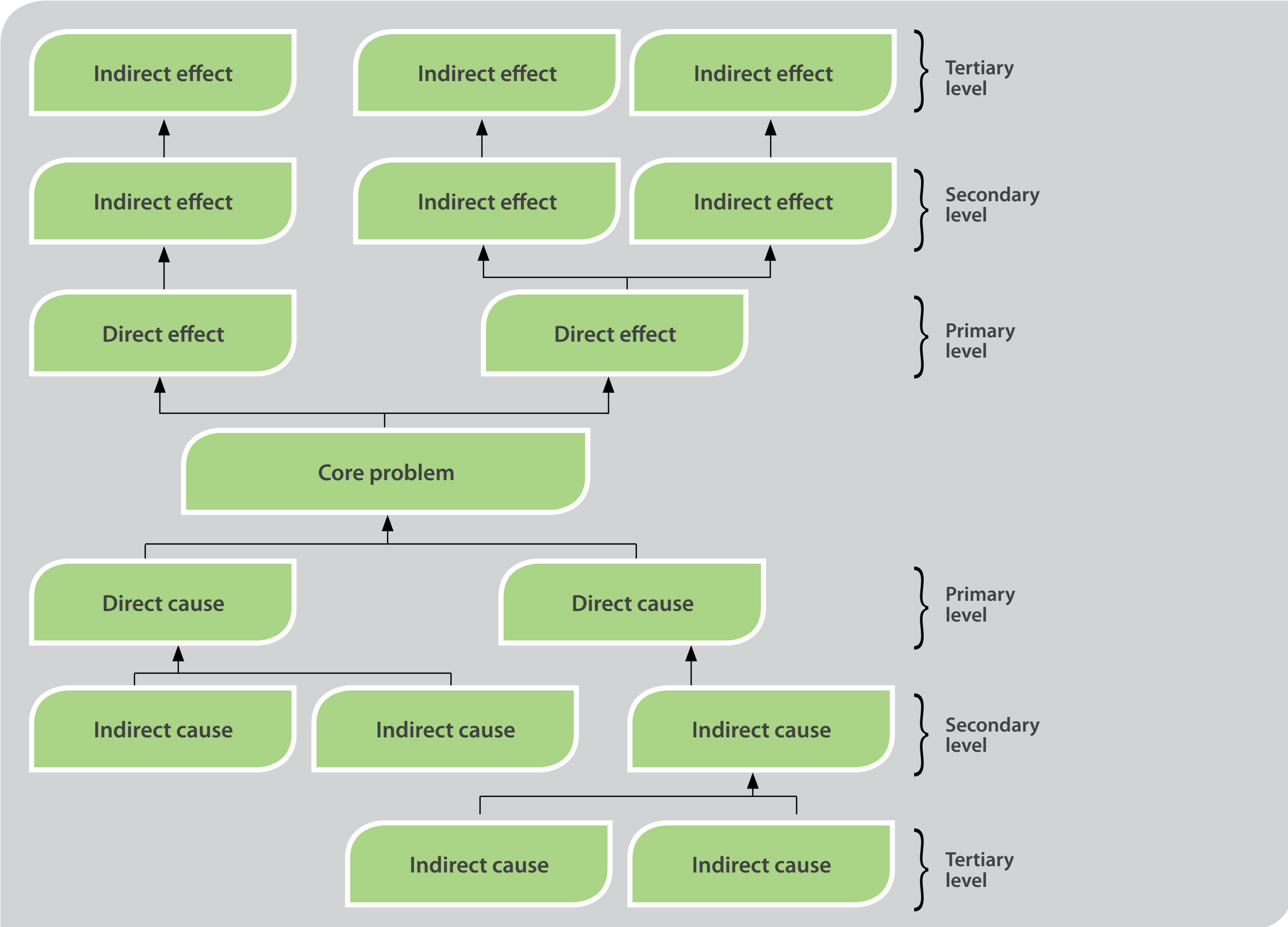
Step 5: Review the tree from bottom to top, checking to see if any information has been neglected (causes and effects) and if the tree accords with the group's perception in regard to the situation under analysis. Steps 3 and 4 should be repeated until all participants consider that the group´s analysis portrays, as closely as possible, the existing situation, and until the causal relationships are properly represented.

Figure 7 - Problem Tree: An Example



A good definition of problems increases the probability of finding good solutions. Therefore, the major causes of the core problem must be branched as much as possible, because they will enhance the search for alternative solutions to the initial situation.

Figure 8 - Problem Tree: Multiple Causes and Effects



Despite being a very useful tool, the problem tree requires extreme simplification of the initial situation, in addition to being an exercise carried out in a short period of time, based solely on the experience and knowledge of participants. For these reasons the diagram often does not correspond to a thorough analysis of the situation one wishes to change. Nevertheless, the problem diagram must be drawn in the most linear and vertical way possible.

Table 1 - Common Difficulties in Formulating Problem Statements

Problems are often formulated as the lack of a desired situation and not as the existence of an undesirable state of circumstances. Avoid stating a problem as the lack of the desired situation or solution. Instead, each statement should refer to a negative <u>*state*</u> of circumstances, people or things. The problems listed as situations where something positive is absent are inacwcurate and misleading. They can also generate future disagreements or lead to biased interpretations.	
Undesirable: Problem described as the absence of a desired solution	**Preferable**: Accurate statements/ Problem as negative state of circumstances, people or things
'There is no transportation for students with disabilities.' *(Is the number of adapted vehxicles insufficient or has the fleet never been adapted to the needs of students with disabilities?)*	'The fleet of vehicles used for school transport is inadequate to the needs of students with disabilities.' *(This statement makes it clear that the problem is the inadequacy of the vehicles in the fleet.)*
'Lack of teachers to provide specialized educational services.' *(Is the problem lack of money for hiring teachers, insufficient teacher skills or poor quality teacher training? Who is responsible for the problem: the organization developing teacher admission exams/ hiring or those organizations responsible for teacher training?)*	'Teachers with inadequate training in specialized educational services.'
'There is no pest management.' *(Pest management is one of the possible solutions for the problem.)*	'Agricultural production is being attacked by (specified) pests.'
Vague statements. Vague statements of the problems hamper the identification of measurable solutions to the solution tree.	
Undesirable:	**Preferable**:
'Prejudice'	'Prejudiced perceptions about workers with disabilities by potential employers.'
'Discrimination'	'Discriminatory recruitment practices.'

9.1.3 Solution Analysis

The solution analysis consists of reversing the problem tree, by replacing the negative statements (problems) with positive ones (solutions) and thus creating a second diagram known as the Solution Tree. This new diagram provides an overview of the potential future situation in which the current problems have been solved.

The difference between the current unsatisfactory situation (exemplified in the Problem Tree) and the future desired situation (exemplified in the set of solutions of the new tree) will correspond to the changes to which South-South Technical Cooperation should contribute.

A **solution** is a problem defined by a positive perspective and measurable by indicators.

How to develop a Solution Tree?

Step 1: Transform the negative aspect of the core problem into a positive aspect, and then further into a measurable solution. This solution must be placed at the center of the board, on the same spot as the core problem ('tree trunk').

Example: Turning the core problem into a measurable solution

Core problem: *Low academic achievement among students with disabilities.*

Inversion: *High academic achievement among students with disabilities.*

Measurable solution: *Increase the academic achievement of students with disabilities.*

Note: The purpose of the solution analysis is to build a desired future scenario, and not yet to formulate the components of the logical structure of the project. This will be done at a later stage. Keep in mind that the 'core' solution will not necessarily correspond to the objectives of the future project.

Step 2: Transform the negative aspects of the remaining problems into positive aspects, and then further into measurable solutions. What was previously identified as causes of the core problem ('roots' of the problem tree) becomes the necessary **means** to achieve the solution at the center of the board. The following questions can assist this process: 'How can this problem be transformed into a contribution to the achievement of the solution at the center of the board?'

Examples: Turning causes into means

Cause*: School architecture standards do not comply with universal architectural design.*

Inversion*: School architecture complies with the universal architectural design.*

Means (measurable solution)*: Universalizing school facility architecture standards.*

Cause*: The specific needs of students with disabilities are unknown.*

Inversion*: The specific needs of students with disabilities are known.*

Means (measurable solution)*: Producing statistical data about the specific needs of students with disabilities.*

Step 3: Transform the negative aspects of the problems identified as effects on the problem tree (the 'branches') into positive ones so that they are formulated as realistically achievable **goals**. The purpose of having a solution tree with various levels is to help understand the sectorial context surrounding the problems.

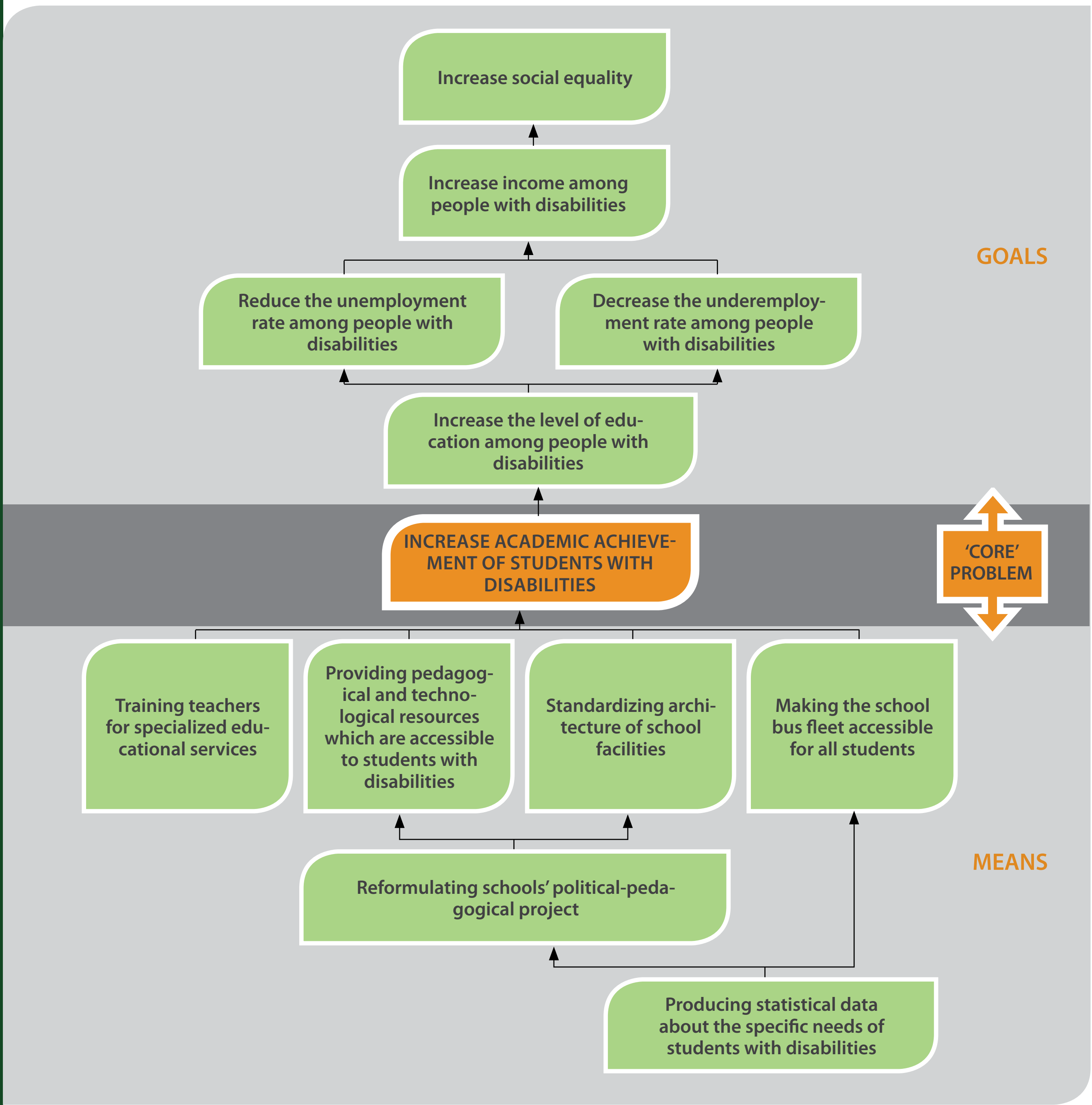
Example:

Effect: Low income among people with disabilities.

Inversion: Increased income among people with disabilities.

Goal (measurable solution): To increase the income of people with disabilities.

Figure 9 - Solution Tree: An Example



Step 4: Review the solution tree in order to detect and correct any flaws in the identification of means and goals ("gaps" in the solution schemes and in the cause-and-effect relationships). If necessary, new solutions should be added and/or others eliminated, according to the group's decisions.

Table 2 - Common Difficulties in Formulating Solution Statements

- A statement with two solutions or goals: To formulate the solution tree each statement should refer to a single solution only, and be indicated in a single card.

Undesirable	Preferable
'To double agricultural production and to increase rural employment.' (Two different solutions on the same card.)	'To double agricultural production.' 'To increase rural employment.' (Two solutions in two separate statements, indicated in separate cards.)

- Inaccurate statements: the solutions must be measurable and their statements accurate.

Inaccurate statement / Inaccurate solution	Accurate Statement / Measurable solution
'To change school environment to accommodate diversity.' 'To fight discrimination.'	'To adapt school facilities to the needs of students with disabilities.' 'To increase the number of companies that adopt non-discriminatory practices'.

9.1.4 Strategy Analysis

The last step of the analytical phase consists in selecting the best action strategy for achieving the desired solutions. This step consists in choosing, among eligible options, the solution that will lead to the Specific Objective of the Project and the means to achieve it. Similar to the previous exercises, the strategy analysis should be a participatory process. Given the specific context of the technical cooperation initiative foreseen, the alternative selected should satisfy the following criteria:

i. Be an eligible action strategy.

ii. Be the action strategy which is most suitable to meet the needs of beneficiaries.

iii. Be an action strategy with high technical, financial, economic and operational, but which also presents the greatest sustainability potential.

How to conduct the Strategy Analysis?

Step 1: Through brainstorming, identify potential, concrete measures to be taken for the implementation of each of the solutions located at the 'root' of the tree.

Examples:

Solution: Train teachers to offer specialized educational service.

Potential measures:

- *Review the curriculum of teacher training to include Specialized Educational Service (SES).*
- *Offer continuing education in SES for teachers working in public schools.*
- *Train teacher instructors in SES.*

Solution: *Adapt school facilities to the needs of students with disabilities.*

Potential measures:

- *Renovate school facilities.*
- *Design and adopt an inclusive school architecture standard.*

Step 2: Select the eligible measures related to the solutions located below the core solution. To do so, the Group must determine the eligibility of measures identified by asking questions from the Guidelines for Eligibility Analysis (Table 3 below). *Eligible measures will be those answering all the questions listed in Table 3 below with an affirmative response.*

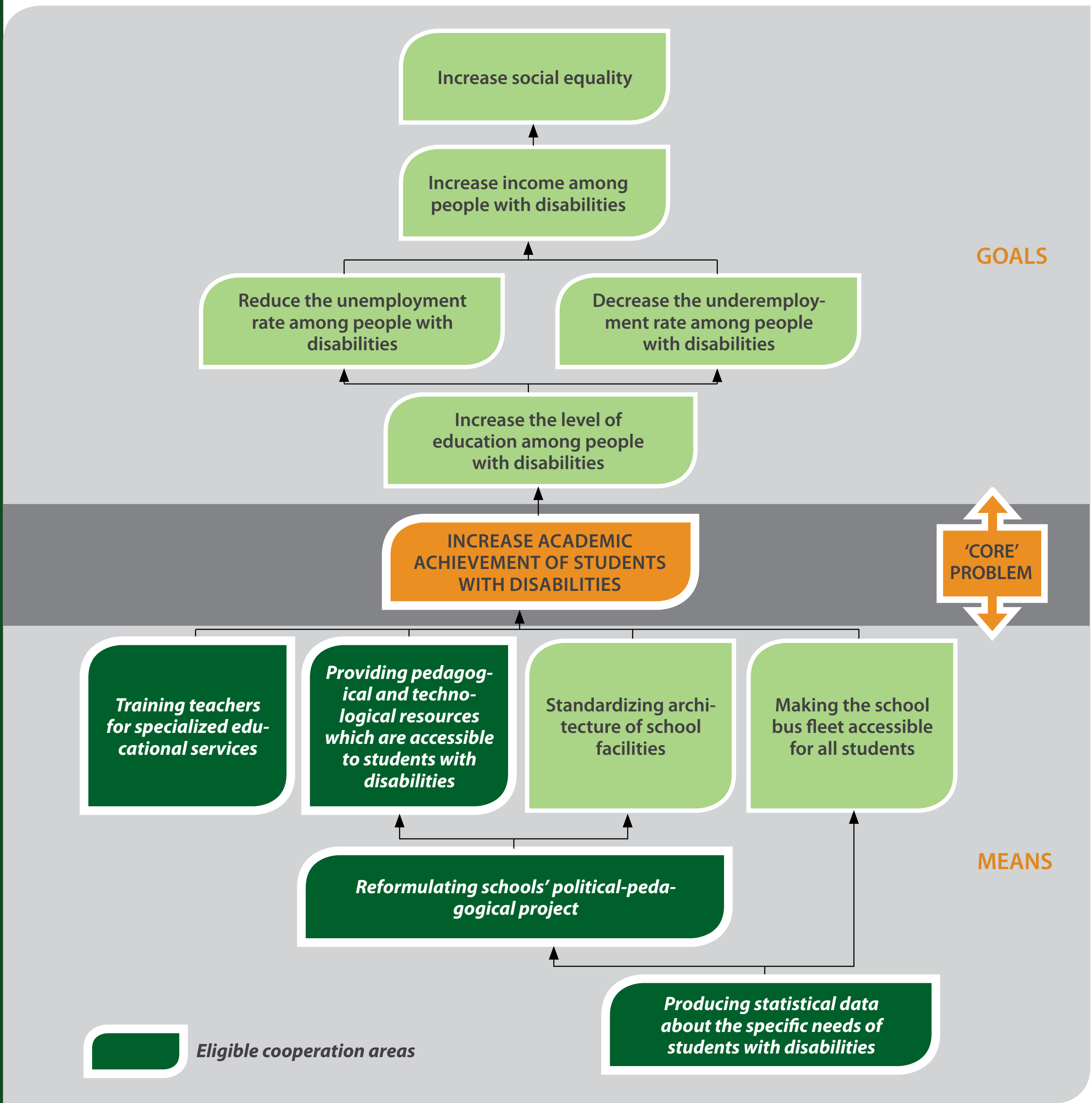
Table 3 - Guidelines for Eligibility Assessment of Action Strategies

Supporting questions	Criteria
1. Is it necessary to develop capacity to achieve this goal? Purely humanitarian aid or measures that constitute economic or financial cooperation mechanisms must be disregarded. 2. If the answer to the previous question is affirmative, can the development of capacities be made through one or more technical contributions and/or eligible operating mechanisms? (See listing in the column alongside).	As for the object of technical cooperation and modalities of technical exchanget: **I. The following are eligible for a South-South Technical Cooperation Project:** I.1 – Concerning the **purpose** of the initiative: • Social and economic development initiatives (which differ from humanitarian aid and other similar initiatives) based on the sharing of knowledge, practices and experiences between Brazilian agencies/organizations and their homologues in developing countries. I.2 – Concerning the **modalities** of technical exchange: • Human resources capacity development activities (seminars, courses, trainings and technical workshops); • Design and implementation of methodologies, techniques, strategies and approaches;

Supporting questions	Criteria
3. Are there successful Brazilian experiences on the topic, or specific area, related to the capacity development activities/strategies that are being envisaged? 4. Can the group indicate which Brazilian organizations would have such expertise and could make available technical and human resources for a cooperation initiative on the topic?	• Development of management models, administrative tools and/or production and operational processes for organizations; • Preparation of studies, analyses, surveys and assessments of technical nature; maps; manuals; booklets and related publications; • Provision, purchase or transfer of material resources (goods, equipment), providing it falls under an eligible category for technical support. **II. The following are <u>ineligible</u> for a South-South Technical Cooperation Project:** • Budget support or cash transfers in any form; • Subsidized lending, lines of credit, revolving funds, or any other type of financial instruments; • Scholarships or any action in the academic field; • Acquisition of property (lands, buildings); • Construction and / or renovation of physical infrastructure on a large scale; • Payment of recurring expenses or funding of regular activities of partner country partners or other beneficiaries (*e.g.* payment of staff salaries, recovery of public service tax; • Direct provision of public goods and services (*e.g.* operation of schools, hospitals and police stations, police patrol, building sanitation infrastructure or transport infrastructure, garbage collection); • Provision of occasional or continuous professional services to support regular activities of the partner organizations (*e.g.* legal advice, medical professionals, IT support).
5. Is the sector, subsector or thematic area related to the targeted objective/goal (or the necessary means to achieve it) aligned with the technical cooperation programmatic framework between Brazil and the partner country? 6. Is there duplicity/overlapping between (i) the targeted objective/goal or any of the necessary means to its achievement and (ii) other South-South Technical Cooperation Initiatives jointly carried out by Brazil and the partner country? 7. Are the initiatives foreseen to achieve the targeted objective/goal aligned with the mandate and/or roles/responsibilities of Brazilian and partner country partners?	**Concerning the South-South Technical Cooperation principles and guidelines adopted by the Brazilian government:** **I. The following are <u>eligible</u> for South-South Technical Cooperation Projects:** • Initiatives focused on sharing experiences (*e.g.* knowledge, methodologies, and experiences) **available in Brazil**. These can be reformulated and adapted to the context of partner country, supporting the development of new practices and techniques by the beneficiaries. • Initiatives with direct and effective participation of Brazilian partners possessing the experience and knowledge to be shared (within the Project thematic area or specific sub-sector). • Initiatives that are aligned with the approved technical cooperation programmatic framework or priorities between Brazil and the partner country. **II. The following are <u>ineligible</u> for South-South Technical Cooperation Projects:** • South-South Technical Cooperation Initiatives that duplicate other projects and activities in the same modality between Brazil and the partner country, regardless of their stage of implementation (under identification, scoping, formulation, execution or completed). Overlapping (duplicity) may occur: i. With regard to the problem targeted by the initiative, and/or ; ii. With regard to the capacities that will be developed, complemented and disseminated.

Step 3: Indicate on the board the cooperation areas corresponding to solutions that present eligible measures for South-South Technical Cooperation (Figure 10).

Figure 10 - Solution Tree with Eligible/Non-eligible Cooperation Areas



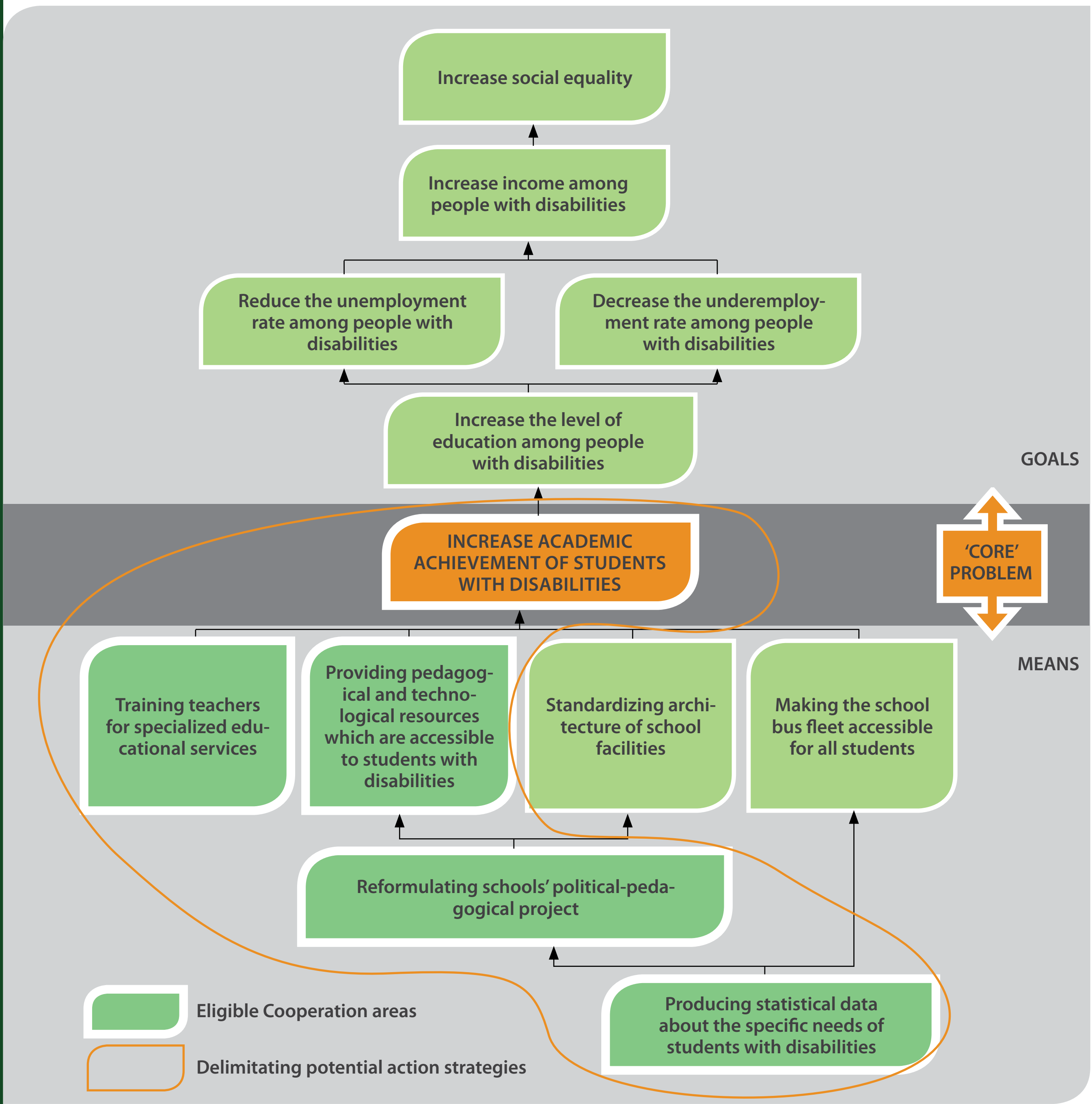
Exercise for identifying eligible cooperation areas - Examples

Solution	Potential measures	Eligible for a SSTC* initiative?	Why?
To train teachers for specialized educational services.	To review the curriculum for the training of teachers working in special education.	Yes	This potential measure attends affirmatively to all eligibility requirements in the Guidelines above.
	To offer continuous training in SES for teachers working in public schools.	No	Direct provision of public goods and services. Recurrent activities are not eligible.
	To develop and implement training courses to train teacher instructors on SES.	Yes	This potential measure attends affirmatively to all eligibility requirements in the Guidelines above.
To provide pedagogical and technological resources accessible to students with disabilities.	To build multi-purpose classrooms in schools of the public system.	No	It requires large-scale renovation and infrastructure works.
	To implement a multi-purpose classroom as a pilot project in a public school, aimed at systematizing and disseminating the experience.	Yes	This potential measure attends affirmatively to all eligibility requirements in the Guidelines above.
	To formulate a proposal of pedagogical guidelines for the national sign language.	Yes	This potential measure attends affirmatively to all eligibility requirements in the Guidelines above.
To standardize the architecture of school facilities.	To adopt a standardized architecture for schools.	No	This decision must be taken by local authorities and stakeholders. However, technical cooperation may provide quality information to support this decision.
To make the school transport fleet accessible to all students.	To adapt or purchase a new school transport fleet.	No	It requires provision of goods on a large scale.
To reformulate schools' Political-Pedagogical Project.	To develop and implement a proposal of an inclusive Political-Pedagogical Project in as pilot projects in schools.	No	All the questions in these Guidelines have been answered affirmatively.
To produce statistical data about the specific needs of students with disabilities.	To develop, validate and implement research methodology for collecting data about the educational needs of students with disabilities.	Yes	All the questions in these Guidelines have been answered affirmatively.
	To train researchers in the use of the new methodology.		

* SSTC = South-South Technical Cooperation

Step 4: Identify possible action strategies for the project within eligible cooperation areas (Figure 11). Each potential action strategy consists of a set comprising the core solution and the eligible solutions located below it. The latter ('root' solutions) correspond to the means required to achieve the core solution within each potential action strategy.

Figure 11 - Tree of Potential Action Strategies



Step 5: Select the project´s action strategy by conducting a **Viability Assessment** based on the parameters listed below (items 'a' to 'f'). In doing so, only eligible action strategies should be taken into account. The action strategy with best overall assessment in relation to these parameters will be the most viable alternative and should therefore be selected for the project.

- **Technical viability factors:**
    - Relevance: Meeting the needs of direct and indirect beneficiaries.
    - Access to adequate methodologies and techniques suitable for the solution of the target problem.
    - Access to qualified human resources throughout the project (experts who will take part in the project as members of a technical team). In other words, can partner organizations provide experts for the project? Will they have the necessary qualifications? Will they be available for the entire duration of the project?
    - Focus on exchanging knowledge and experiences available in Brazil.

- **Economic and financial viability factors:**
    - Access to/availability of financial resources throughout the project.
    - Access to the necessary material inputs.
    - Adequacy of the timing of activities: *Is it possible to implement all activities in the average time-frame of a South-South Technical Cooperation Project*?

- **Cost-effectiveness:** Potential benefits of a given action strategy should justify financial, technical and operational costs. In view of this, the best cost-benefit alternative will be the one that presents the greatest potential for generating social advancements (positive results in meeting the needs of beneficiaries) at the lowest cost.

- **Operational viability factors:**
    - Number and qualification of administrative and operational support teams to be made available by partners.
    - Availability of focal-points throughout the project.
    - Access to, and availability of, appropriate infrastructure (*e.g.* physical facilities, electricity, transport).
    - Access to, and availability of, adequate material resources.
    - Availability of a supply market for procurement of goods and services needed to carry out the activities envisaged (*e.g.* equipment, machinery, agricultural inputs).

- **Environmental viability factors:**
    - Potential of the action strategies under consideration for generation of positive and negative environmental impacts.
    - Availability of viable measures to avert/control the negative impacts.

- **Sustainability factors:**
  - Alignment with the current sector-specific policy priorities or programs of the partner country.
  - Potential for acceptance, and for political support from, direct and indirect beneficiaries, and other stakeholders.
  - Potential for involvement, commitment and mobilization of direct and indirect beneficiaries, and other stakeholders.
  - Estimation of availability, after project completion, of financial, human and physical resources for appropriation and dissemination of project results, as well as for maintenance of the new standards achieved through technical cooperation.
  - Estimation of the availability of public or international funding in support of the changes achieved as a result of the project (*e.g.* estimation of public budget availability for future years).

9.1.5 Risk Analysis

Risks can be defined as the probability of occurrence of undesirable situations, which cannot be controlled by the partners directly involved in the project. Once a potential risk becomes a concrete problem, it may compromise the attainment and sustainability of outputs and outcomes, the timely implementation of activities and/or availability of necessary inputs.

There are internal and external risks. Internal risks are those due to the lack of capacity for effective participation of partner organizations in the project´s technical implementation, or due to partners´ inability to meet technical and logistical requirements throughout the project. As for external risks, examples include the negative impacts of an unstable environment or the possibility of outside interference in project development.

Examples of risks:

Economic, political and environmental risks:

- *Economic crises.*
- *Geological and climatic events (e.g. droughts, floods, cyclones, earthquakes).*
- *Political or social instability, civil or international conflicts.*

Administrative, financial or operational risks:

- *High project focal point turnover.*
- *Delays in customs clearance of project inputs/supplies.*
- *Lack of financial resources resulting in non-payment of partner country organizations staff.*
- *High turnover and lack of staff capacity of partner organizations, especially in regard to staff directly involved in project implementation.*
- *Unreliable infrastructure and communications.*

Technical risks: Any event or factor that may impair or preclude the achievement of expected outcomes (capacity development at individual, organizational and/or inter-institutional levels). Technical risks may also result from the other types of risk.

Risk analysis is conducted by means of a qualitative assessment of the likelihood of each risk identified for a project. It also takes into consideration the possible negative consequences of such an occurrence. The results obtained by this analysis are used for the formulation of a contingency plan, which should contain measures to avert or address each envisaged risk during project implementation.

Risk Analysis Step-by-Step

Step 1: Identify potential internal and external risks and their potential negative impact to the future project by taking into consideration the following variables: costs, time and quality of envisaged activities and outputs, as well as by estimating the consequences of risk occurrence to the achievement of expected project outcomes and goals. Sources of information for risk analysis include the **Mapping of Stakeholders and Capacities** and partners' knowledge and experience.

Guiding questions for risk analysis include:

- *What are the contextual factors that may jeopardize the development of project activities?*
- *What are the assumptions inherent to the cause-and-effect relationships between the means and the goals in the **Tree of Potential Action Strategies?** (see Section 9.1.4 above).*
- *Are the human, material, technical and/or financial resources to be made available by Brazil and the partner country sufficient and adequate for effective and timely project implementation?*

Step 2: Estimate the probability of each risk and the intensity of their impact.

Probability	Estimated impact on the project (Intensity)
Low	Low negative impact
Average	Average negative impact
High	High negative impact

Step 3: Plan the type of response for each risk. There are three possible responses to risks depending on the intensity of their impact: **accept** the risk (take the chance of risk impact), **avoid** the risk (change project design to by-pass or bring risk probability to an acceptable level) or to **mitigate** the risk (plan and implement systematic measures to control the likelihood of the risk or to minimize its impacts).

Probability	Impact	Response
Low	Low	Accept
Low	Average or High	Avoid or Mitigate
Average	Low or Average	Avoid or Mitigate
High	Low	Mitigate
	Average or High	Avoid the risk by modifying project design. If this is not possible, the project idea should be abandoned.

- **Accept the risk** (only the risks with low probability **and** impact should be accepted).
- **Avoid the risk:** Adjust project design (e.g. action strategy, inputs), avoiding or replacing certain elements in order to avoid the risk or prevent negative impacts on expected outputs and outcomes.
- **Mitigate the risk:** Satisfactorily reduce the probability or the negative consequences of an undesirable event by establishing a **contingency plan**. The plan consists of a number of mitigation measures to be taken when the risks occur during project implementation. When this option is adopted, it is worth allocating contingency funds to the project budget, as well as additional time, financial resources and experts, as needed.

Step 4: Prepare a **contingency plan** with measures for each risk identified under the category "Response: Mitigate" on the table presented in Step 3. The plan can be developed by asking '*How should the project deal with this risk if it occurs?*' The contingency plan should designate those responsible for risk monitoring, for risk reporting (in case of occurrence), and for timely taking action in regard to each mitigating measure. The contingency plan is an integral part of the Project Document.

Example:

Community empowerment project to promote autonomous access to drinking water on which the major output is the development of a cistern model adapted to local climate and geography.

Risk under analysis: *Seasonal drought.*

Estimated impact intensity: *Average.*

Probability: *High.*

Type of response: *Avoid the risk by modifying project design. In this hypothetical case, the response negotiated between project partners should be to adjust the project work plan and implementation schedule so as to prevent the impact of droughts on activities that depend on rainfall.*

9.2 The Planning Stage

In the Planning Stage the results of previous analysis and assessments are used to the Analytical Stage are used as the basis detailed project design and formulation of the project document. This is also a participatory exercise, jointly carried out by partner country and Brazilian partners.

Through planning, it is often possible to identify gaps or errors from the preceding stage. This happens because project design and formulation are both dynamic processes, and each new phase can be used to control and validate the previous one. As such, adjustments should be made whenever deemed necessary.

Prior to initiating the Planning Stage, it is recommended to consult the conceptual framework presented in Section 8 of this Manual.

9.2.1 Formulating the Logical Structure

Logical structure components are drawn directly from the Solution and Strategy Analysis, more specifically from the **Solution Tree** and from the **Tree of Potential Action Strategies**, after the viability assessment (see Section 9.1.4 above).

a. Development Objective:

The Development Objective should be designated by the partner country partners, and it should align with the long-term goals (or ´branches´) stated in the **Solution Tree**, as long as they have passed the eligibility and viability assessments.

The Development Objective is preferably expressed by verbs in the infinitive.

> ***Examples of Development Objective:***
>
> • *To increase social equality.*
>
> • *To increase income.*
>
> • *To provide universal access to primary education.*

Specific Objective:

The Specific Objective also derives directly from the Tree of Potential Action Strategies (Figure 11 above) and from the viability assessment. Because it reflects the project´s technical, financial and operational scope, it is limited and determined by the availability of material, financial, technical and human resources.

The Specific Objective statement is formulated jointly by all partner organizations. When there are sufficient financial and in-kind resources available, the Specific Objective will correspond to the Core Solution of the selected project action strategy. When that is not the case, the Specific Objective should be selected from among the remaining solutions of the project action strategy located below the Core Solution. Consequently, in practice, the partners and beneficiaries involved in project design are free to select any goal in the Solution Tree/Action Strategy, providing that it qualifies as a result of the eligibility and viability assessments.

The Specific Objective statement should reflect a single idea, formulated as a single, brief and straightforward sentence. Accurate and measurable terms should be used, such as *increase*, *double*, *reduce, install* and *establish*, as opposed to vague terms such as *promote, support, strengthen, stimulate*, as in the example below.

> ***Example of Specific Objective:*** *To increase access to safe water free from contamination to the population of ´community x'.*

In addition, the Specific Objective statement should accurately determine:

- The expected situation after project implementation, which is either a solution or an alleviation of the initial problem.
- The beneficiary or subject of the expected change (a group of individuals, a community, an organization or an institutional arrangement benefitting from project implementation).

- The geographic area that circumscribes the expected change, such as a neighborhood, municipality or province/region.

Box 4 - Number of Specific Objectives

It is recommended that a project should be focused, as much as possible, on the achievement of a single Specific Objective. The reasons for this are:

- South-South Technical Cooperation Projects usually have two to three outcomes related to one Specific Objective. Projects that exceed this average have greater technical and operational complexity, which necessarily requires longer term commitments and sizeable budgets.
- Multiple Specific Objectives might lead to dispersion of efforts and inefficient use of resources, with a negative impact on the achievement of expected results.

Nevertheless, a project may be designed with two Specific Objectives as long as the following conditions are met:

1. Sufficient funds should have been previously earmarked.
2. Both Brazilian and partner country partners agree that the complexity of the problem/initial situation demands that the main project goal be broken down into two main objectives.
3. Both Brazilian and partner country partners agree that a single project with a larger scope (two Specific Objectives) is feasible, and that is has an acceptable probability of success. This means that there should be sufficient financial and in-kind resources available for the project to **effectively contribute to solving two problems at the same time**.
4. A suitable justification regarding the conditions above should be provided.

When all the above conditions are met, with the exception of condition nº 3, the Program format should be preferred. Within the scope of a program, the problem that gave rise to the project idea can be addressed on several fronts through a longer-term initiative. This increases the potential results of technical cooperation, that is, the possibility of effectively producing the necessary positive effects.

Common problems in the formulation of the Specific Objective statements include:

- A Specific Objective formulated as a sum of outcomes and not as the representation of a significant change (or breakthrough/quantum leap) to which project outcomes should contribute.

  Example:

  CORRECT: *To improve the quality of the water of the river supplying 'community x.'*

  INCORRECT: *To improve river water treatment and to reduce pollutant discharge.*

- There is a tendency to simply "import" goals from the partner country´s public policy or programs and use them as the project´s Specific Objective. To avoid this error, it is important to bear in mind that the main goal of a technical cooperation project is to develop the capacities required for the provision of public goods and services, but not to directly serve as a means for providing them.

  Example:

  INCORRECT: *To provide continuing teacher education as a means to offer specialized educational services to students with disabilities.*

- The use of two objectives in a single sentence, usually with cause-and-effect relationships between them.

  Examples:

  INCORRECT: *To improve academic achievement of students with disabilities (in order) to increase schooling rates among people with disabilities.*

  (The Solution Tree used as an example in Figure 10 clearly demonstrates that there is a cause-and-effect relationship between these two objectives.)

  CORRECT: To briefly state a single Specific Objective: *To increase academic performance of students with disabilities in elementary schools in the ´provinces x and y'.*

- Finally, the Specific Objective statement should not contain explanations aimed at enhancing its comprehension. Instead, a simple, concise and straightforward statement should suffice. In addition, such explanations are generally related to objective indicators or further goals. When this is the case, they should instead be taken into consideration during formulation of the project´s **Logical Framework** (see Section 9.2.2).

- **Outcomes:**

  Outcomes represent the quantum changes in capacity required to achieve the project´s main purpose or Specific Objective. In essence, they correspond to the capacities that the direct beneficiaries need to develop, absorb and disseminate in order to solve or minimize the main problem targeted by the project. As such, they can be inferred from the project action strategy´s remaining goals/solutions (see **Figure 11 - Tree of Potential Action Strategies**).

Consequently, good Outcome statements explicitly describe the technical or qualitative gains to be achieved by the project, and include a reference to the direct beneficiaries of the latter. Thus, an Outcome statement should clearly answer the following questions: *´Whose capacity?*' and '*Capacity for what?*'. Additional questions used to formulate an Outcome include: '*What capacity needs to be developed, complemented or disseminated to achieve the Specific Objective (so that the core problem is solved/minimized*?'); '*Why does the beneficiary need this capacity/what for?*'. It is important to bear in mind that measures taken to disseminate or develop capacities must be suitable for South-South Technical Cooperation Projects (see **Table 3 - Guidelines for Eligibility Assessments of Action Strategies**).

The Outcome statement should be formulated in the most clear, direct and concise way possible, using verbs in the past tense (*e.g.* '*adopted*', '*implemented*', '*applied*', '*validated*', '*negotiated*', '*approved*', '*provided*', '*formed* ') to indicate that outcomes are expected to have been obtained by the end of the project. Vague terms should be avoided. Action verbs or verbs that indicate measurable changes should be used instead.

Examples:

VAGUE STATEMENT: *Improved capacities of teachers.*

ACCURATE STATEMENT: *Teacher instructors of ´province x' are qualified to conduct training in specialized educational services.*

AVOID (VAGUE TERMS): *Improved / Encouraged / Promoted / Strengthened.*

PREFERABLE (ACCURATE AND MEASURABLE TERMS): *Skilled / Trained / Adopted / Incorporated / Installed / Adapted / Disseminated.*

Other examples of Outcomes:

- Farmers of ´community x' adopted sustainable cassava planting techniques.
- Pilot-projects in schools in 'provinces x and y' with installed physical and technical capacity to develop and implement the Inclusive Political-Pedagogical Plan.
- Rural extension agents are skilled in the provision of quality technical assistance and rural extension to family farmers in ´country x´.

Project capacities regarding monitoring and evaluation can be listed under an Outcome especially designed for this purpose. Examples of Outputs under such an Outcome are monitoring and evaluation reports, monitoring or evaluation missions and the like.

Example:

Outcome 3: Capacity for participatory monitoring and evaluation of the Project developed and implemented.

Output 3.1: Project monitoring and evaluation reports formulated and approved by partners.

Activity 3.2.1: Conducting the meetings of the Project Steering Committee (PSC).

Activity 3.2.2: Preparing, analyzing and approving Project Progress Reports.

Activity 3.2.3: Preparing, analyzing and approving the Project Final Report.

- **Outputs:**

Project outputs can be determined by answering the following question: *'In the short term, which products or services should the project deliver in order to develop, complement or disseminate the required capacities related to this Outcome?'*. When formulating Output statements, verbs in the past tense should be used.

Examples:

10 sessions of the teacher trainers course delivered in the ´province x'.

40 cisterns built in 'region x'.

Study on rainfall in ´province x´ prepared and approved.

- **Activities**

Activities are defined as verifiable measures needed to produce each Output. The number of Activities depends on the technical nature and the technical scope of the project (number of Outputs and Outcomes). The quantity under each Output should represent a sufficient set of conditions to implement and deliver that Output. This is known as the '**sufficiency rule**'. In the Project budget, each Output should be broken down into as many Activities as necessary to determine their costs and time needed to implement them, but no more.

Breaking down Activities into purely administrative tasks, known as **Sub-activities**[5], is required only for the purpose of formulating the project Work Plan (Section 9.2.5 below), which should be done only in the early stages of the Implementation and Monitoring Phase. It is preferable to await implementation of the project so that its Activities can be individually planned with greater detail and accuracy, since there can be a long period between preparation of the **Preliminary Project Document** and the effective beginning of Activities. In addition, the Activities breakdown should stop as soon as it is sufficient to estimate the time and resources required for the implementation of each Sub-activity.

In the formulation of Activity statements, the infinitive is used.

Examples:

Carry out 'x' sessions of the teacher instructors course in 'province x´.

Prepare course material.

Prepare a pedagogical sign language proposal for the partner country.

[5] Examples of Subactivities: payment of per diems ,purchase of flight tickets, procurement of specific machinery, recruitment.

Box 5 - Example of a Logical Structure: A Project on Inclusive Education

Development Objective: Increase social inclusion of people with disabilities.

Specific Objective: Increase academic achievement of students with disabilities in ´country x´ by n%.

Outcome 1: **Ministry of Education of 'country x' qualified to develop and review teacher training curricula on special education accord ing to the evolution of the demand.**

Output 1.1: ***Survey of specific educational needs of students with disabilities in 'country x' formulated and validated.***

Activity 1.1.1: Draft the Terms of Reference for the survey.

Activity 1.1.2: Conduct a workshop involving Brazilian and partner country part ners to validate the Terms of Reference.

Activity 1.1.3: Conduct the survey according to the Terms of Reference.

Output 1.2: ***'Country x' public school teacher training needs surveyed for an inclusive approach to special education.***

Activity 1.2.1: Prepare the methodology for the survey.

Activity 1.2.2: Train the experts who will conduct the survey.

Activity 1.2.3: Conduct the survey.

Output 1.3: ***Basic curriculum for training 'country x's' state school teachers in inclusive special education, revised and validated in a partici patory manner.***

Activity 1.3.1: Review the model of teacher training in special education currently in place in 'country x'.

Activity 1.3.2: Draft the Terms of Reference for reviewing the basic training curric ulum in special education using an inclusive approach.

Activity 1.3.3: Conduct a workshop to validate the Terms of Reference with part ners from 'country x' and from Brazil.

Activity 1.3.4: Prepare the review document of the basic training curriculum in special education using an inclusive approach.

Output 1.4: ***Teacher training model on inclusive special education for 'country x's' public school teachers reviewed and adopted by relevant part ners.***

Activity 1.4.1: Identify the parameters for reviewing the teacher training model in inclusive special education based on the conclusions and recom mendations of Outputs 1.1, 1.2 and 1.3.

Activity 1.4.2: Draft a proposal for a teacher training model on inclusive special education according to the new basic curriculum.

Activity 1.4.3: Conduct workshops to validate the proposal of a new teacher train ing model on inclusive special education.

Output 1.5: ***'N' sessions of the course on the new teacher training curriculum in special education for managers of the three government levels and school principals in each of the geographic regions of the 'country x'.***

Activity 1.5.1: Develop educational material for the courses on the new teacher training curriculum.

Activity 1.5.2: Organize and carry out the courses on the new teacher training curriculum.

Output 1.6: ***Course Evaluation Report on the new teacher training curriculum in special education for managers and school principals formulat ed and validated.***

Activity 1.6.1: Develop and apply a questionnaire for the evaluation of courses on the new curriculum for teacher training.

Activity 1.6.2: Systematize and disseminate the results of the evaluation and pre pare a consolidated report.

Outcome 2: **Instructors providing training for public school teachers of 'country x' possess the skills to offer training in inclusive special education.**

Output 2.1: ***'N' sessions of the training course for teachers providing instruc tion on special education conducted according to the proposal of the new basic curriculum in each of the geographic regions of 'country x'.***

Activity 2.1.1: Develop training materials according to the new basic curriculum.

Activity 2.1.2: Prepare a questionnaire to evaluate the course.

Activity 2.1.3: Conduct and evaluate 'n' sessions of the course in each administra tive region of 'country x'.

Activity 2.1.4: Systematize the results of the evaluation, and prepare and dissemi-nate the course report.

Output 2.2: ***Evaluation Report on the course for teachers' instructors formu lated and approved.***

Activity 2.2.1: Prepare an evaluation questionnaire for the training course.

Activity 2.2.2: Hand out the evaluation questionnaire at the end of each session.

Activity 2.2.3: Analyze the questionnaire and prepare a consolidated course evalu ation report.

Outcome 3: **Capacity for participatory monitoring and evaluation of the project developed and applied.**

Output 3.1: ***'N' meetings of the Project Steering Committee (PSC) conducted.***

Activity 3.1.2: Conduct meetings of the PSC according to the project work plan.

Output 3.2: ***Project monitored using a participatory approach and validated by partner organizations.***

Activity 3.2.2: Prepare Project Progress Reports.

Activity 3.2.2: Validate Project Progress Reports during PSC meetings.

Activity 3.2.3: Prepare the Project Final Report.

Activity 3.2.4: Validate the Project Final Report during the last meeting of the PSC.

Output 3.3: ***Project evaluated using a participatory approach.***

Activity 3.3.1: Prepare the Terms of Reference for recruiting evaluation consul tants.

Activity 3.3.2: Carry out evaluation missions.

Activity 3.3.3: Prepare and validate the Project External Evaluation Report.

9.2.2 Formulating the Logical Framework

The **Logical Framework** is a matrix diagram that summarizes the project´s design and strategy, by providing a quick view of logical structure components and the relationships between them, as well as milestones and indicators of project performance and effectiveness. As such, it serves as the main frame of reference for monitoring and evaluation of initiatives.

In the logical framework, the columns designate indicators, baseline values, targets and means of verification for the logical structure components (rows). The number of rows depends on the technical complexity of the project, which in turn reflects the number of Specific Objectives and expected Outcomes. The logical framework is on average 1 to 4 pages long.

Table 4 - The Logical Framework

Specific Objective / Outcome	Indicator	Baseline	Targets	Means of Verification
Specific Objective: *(statement)* *Indicate the medium-term goal to be achieved by the project. It should describe a situation in which the initial problem no longer exists or has been minimized.*	*Which indicator clearly shows that the Specific Objective has been achieved (problem solved or minimized)?*	*Baseline value of this indicator (before project implementation).*	*Aggregated added value for this indicator (a single value), as expected at the end of the project.*	*Which data sources will be used to demonstrate the changes in this indicator? Which method will provide such information?*
Outcome 1: *(statement)* *Indicate the capacity (skill, ability or knowledge) to be developed, complemented or disseminated through direct project action in order to solve the initial problem.*	*Which indicator shows that the capacity/technical competencies has/have been developed, absorbed, installed and/or disseminated?*	*Baseline value of this indicator (before project implementation).*	*Aggregated added value for this indicator (a single value), as expected at the end of the project. Or: intermediate target values for this indicator per period (quarters, semesters, years).*	*Which data sources will be used to demonstrate the changes in this indicator? Which method will provide such information?*
Output 1.1: *(statement)*	*Which indicator provides evidence of required quality of this output?*	*Baseline value of this indicator (before project implementation).*		
Output 1.´n´: *(statement)*	(...)	(...)	(...)	(...)
Outcome 2: *(statement)*	(...)	(...)	(...)	(...)
Output 2.´n´: *(statement)*	(...)	(...)	(...)	(...)
Outcome 'n': *(statement)*	(...)	(...)	(...)	(...)

FIRST COLUMN: SPECIFIC OBJECTIVES AND OUTCOMES

The Specific Objective and the Outcomes of the project will constitute the first lines of the logical framework, each one corresponding to a separate line.

SECOND COLUMN: INDICATORS

As the term itself suggests, an indicator is a measure that 'indicates' - in other words, describes or represents - the positive changes or variations that the project intends to produce or influence in favor of its direct and indirect beneficiaries.

In this sense, the major role of indicators is to reveal the progress (or lack thereof) in achieving the expected positive effects of the project (Outputs, Outcomes and Specific Objective). This is done by comparing the expected with actual project effects. Comparison of baseline data with the data collected during and after completion of activities allows for verification as to whether or not the latter is producing and/or has produced the expected effects.

Two categories of indicators should be used: **effect indicators** and **cross-cutting indicators**.

Effect Indicators:

Effect indicators are designated for each type of expected effect.

- **Specific Objective Indicators**: Describe project effects in terms of measurable changes from the initial problem/situation to the final expected situation. In other words, they show whether the initial situation or problem has, or has not, been altered as desired. This is a change in the medium or long term. Its factual verification will depend on Post-Project evaluations. The Specific Objective should be related to measurable qualitative and quantitative indicators (see Box 6 below).
- **Outcome Indicators**: Indicators that demonstrate if the capacities have been developed, adopted, absorbed, transferred and/or disseminated at individual, organizational and/or inter-institutional levels. Outcomes represent technical gains and qualitative changes in capacities resulting from the use or application of project Outputs by the beneficiaries. Therefore, Outcome indicators should convey whether or not the knowledge and skills developed through project implementation are being applied as expected, during and after the completion of project activities. Outcomes should be related to measurable qualitative and quantitative indicators.
- **Output Indicators** can be qualitative or quantitative, providing that they are measurable and verifiable. Quantitative output indicators are used in the project´s Work Plan and Implementation Schedule as operational targets (Activity implementation and Output delivery deadlines), thus complementing the Logical Framework. Qualitative output indicators should be included as integral parts of the Logical Framework. Data on such indicators is usually collected through Output Evaluations (see **Section 11.5.2: Types of Evaluation**).

Table 5 - Examples of Effect Indicators

Logical Structure Component	Indicator
Specific Objective: To increase access to safe and contamination-free water for the population of riverside ´community x' by ´n´%.	*Number of households in riverside ´community x' with access to safe and contamination-free water.*
Outcome: Riverside ´community x' with capacity to build cisterns.	*Percentage of members of the riverside community that (successfully) adopt the cistern building method.*
Output 1: Cisterns built in riverside ´community x´.	*'N' cisterns built in riverside ´community x'.*
Output 2: Pedagogical material prepared for the cistern building course.	*Degree of satisfaction of participants of the course with the quality of teaching materials.*

Cross-cutting indicators:

These are related to some of essential characteristics of South-South Technical Cooperation:

- **Indicators of horizontality**, such as the examples below:
  - o *All phases of the project cycle are carried out with active and effective participation of Brazilian and partner country partners.*
  - o *Projects are jointly formulated and developed, based on a convergence between what was requested by the partner country and the availability of Brazilian knowledge and successful experiences in the target sector or thematic area of interest.*
  - o *Horizontal exchange of knowledge and experiences between the developing partner countries, with mutual learning and benefits.*
  - o *Projects are aligned with the national development priorities of the partner country.*
  - o *Technical and strategic decisions taken jointly by the Project Steering Committee (joint project management and coordination).*

- **Gender indicators**: Gender indicators are used to collect and analyze information to measure success in terms of changes and benefits related to the promotion of gender equality, as well as to evaluate project contributions to the identification of gender disparities in the relevant context/thematic area/sector.
- **Participation indicators** are used to measure the degree of active participation of beneficiaries and civil society representatives from the partner countries in project implementation.

Box 6 - Difference between Quantitative and Qualitative Indicators

Quantitative indicators are measures of quantity such as frequency, numbers and percentages.

Examples:

Rate of... (child mortality, illiteracy, education, deforestation, etc.).

Percentage of ... (population from ´community x' with access to safe water).

Proportion of ... (female candidates in relation to male candidates for Federal elective office).

Presence/absence of ... (federal legislation focusing on the rights of ethnic minorities).

Qualitative indicators are judgments, perceptions or opinions of individuals or groups that express the quality of the information or of the object to which the data relate. Qualitative indicators might be related to the degree of satisfaction of direct and indirect beneficiaries, partner organizations and other stakeholders in regard to the quality of project outputs and to the achievement of outcomes and objectives. They may also relate to the quality of management, coordination and other aspects of the project. Data collection methods include opinion polls, focal or discussion groups, interviews and questionnaires. Qualitative indicators can be quantified and complement quantitative measurement by explaining 'how' and 'why' quantitative targets are being achieved or not.

Examples:

Satisfaction of.... (residents of ´region x' with the public health service).

Performance of... (Ministry of Justice staff during the training course on the new system of civil registry).

Percentage of participants satisfied with course content, methods and results.

How are indicators chosen?

Indicators are chosen jointly by partners during the project´s **Scoping** and **Formulation & Appraisal** Phases (Sections 11.2 and 11.3 of this Manual). The questions below are quite useful in performing this task:

- *Who are the direct and indirect beneficiaries and other project stakeholders?*
- *What are the interests, needs and expectations of partner country partners and beneficiaries?*
- *What are the expected changes which the project is expected to generate (Outcomes and Objectives)?*
- *Which deficiencies should be overcome in order to achieve and sustain the desired changes?*
- *What are the criteria for assessing the success of the initiative?*

Each project requires its own system of indicators, portraying the specific conditions of each context. There is no optimal number or list of indicators applicable to all projects. This decision should be made based on dialogue between the various partners and stakeholders involved. Nevertheless, there should be at least one indicator for the Specific Objective and each Outcome.

Difficulties in the Formulation of Capacity Development Indicators (Outcomes)

The formulation and use of capacity indicators is not always an easy task, especially with regard to definition of variables related to qualitative aspects of individual, organizational and inter-institutional capacities. In many cases, the selection of measurable parameters can be difficult given the qualitative nature of human capacities and the influence that different environments have on them.

- *Capacity development is a complex and dynamic process of adaptation and learning at the individual, organizational and inter-institutional levels. Indicators for these processes are difficult to quantify because of their subjective nature.*
- *Individual and organizational capacities are often associated with behaviors and attitudes. Attempts to measure them may seem intrusive and even generate discomfort for individuals or organizations.*
- *A single indicator hardly ever manages to capture all aspects of desired capacities. This restriction can lead partners and other stakeholders to propose a large number of indicators, which can result in difficulties and increased costs related to data collection and analysis.*

Given these challenges, the formulation of the Logical Framework tends to become a simple formality, which can consume a significant amount of the scarce time available for jointly planning a project. Moreover, it can limit the understanding of partners. In order to avoid such obstacles, the following is recommended:

- **Establish the difference between what is worth measuring and what can be measured and favor the simple over the complex.** In the choice of indicators, it is necessary to balance accuracy with a flexible dose of pragmatism.
- **All phases of project cycle should be based on the principles of participation and horizontality.** The difficulties pointed out above suffice to promote the effective involvement and participation of all stakeholders, from the identification of the project idea through its implementation and evaluation. In view of this, indicators should reflect the needs and interests of beneficiaries and should always be established by means of dialogue between project partners and other stakeholders about existing capacities and those they wish to develop or complement.
- **Relate indicators to one another.** Given the systemic nature of capacity development, indicators must be analyzed jointly.
- **Innovate and adapt.** There is no formula or combination of indicators that can be generalized and adopted automatically by all projects. Therefore, it is important to establish priorities by analyzing the factors that limit individual, organizational and inter-institutional capacities, in addition to identifying the capacity gaps or inadequacies that most affect beneficiaries.
- **Measure on a scale and maintain flexibility.** Capacity development should be measured on a scale, along a continuum of short-, medium- and long-term targets, but without losing sight of the multidimensional, systemic nature of capacities. Also, targets should be reviewed and adjusted according to progressive capacity gains, always using a consensual and participatory approach. Similarly, indicators may lose relevance or become redundant. Those should be eliminated or replaced.

Good indicators are:[6]

Directly related to the specific objectives and outcomes they intend to measure.

Affordable in terms of the costs of data collection and analysis.

Available for collection from the outset and throughout the project.

Objective and unequivocal about what will be measured, and which data will be collected.

Simple and easily understood by all partners involved.

THIRD COLUMN: TARGETS

Targets are the desired values for Specific Objective, Outcomes and Outputs indicators, as measured over a given period of time. In other words, targets are equivalent to 'y' in the equation: 'from x to y'. In the Logical Framework, the targets may be presented:

- As a single, **consolidated value** expected for the indicator at the end of the project, or;
- As partial/intermediate values (a consolidated value for the indicator, divided by a period of time - quarter, semester, year, etc.), provided that the data is available for collection at the required intervals.

Examples:

Consolidated Target:

100% of workers of health centers of community x' trained in the use of the protocol to assist victims of violence by the end of the project.

Non-consolidated Targets:

Semester 1: 50% of ´community x' health center workers trained to adopt the protocol to assist victims of violence.

Semester 2: 100% of ´community x' health center workers trained to adopt the protocol to assist victims of violence.

[6] Note by the author: in Portuguese, the acronym ´DADOS´ (meaning ´data´) is as a useful mnemonic device.

Box 7 - Indicators, Baseline and Targets in the Logical Framework: Two Presentation Possibilities

Indicators, baseline and targets statements may be presented in the Logical Framework in two ways:

Presentation as a Single Statement: Indicator statements contain data concerning the baseline and the targets, in the format 'x to y':

- Where 'x' is the baseline value for the indicator (initial value of the indicator before project implementation and directly related to the initial problem or situation.
- Where 'y' is the value of the target (expected value of 'x' after project implementation).

This presentation format can be used for outcome qualitative indicators when baseline values are absent or equal to zero, as well as for non-quantified qualitative indicators.

Examples:

Reduce from 10% to 5% the failure rate of disabled, primary school students in ´province z' by December 2015.

By the end of the project, unit managers of 'organization x' will be using lessons learned to inform decisions related to the formulation, implementation, monitoring and evaluation of new projects and initiatives.

By the end of the fifth project semester, a participatory management model is developed and adopted by 'organization x'.

Presentation as Separate Statements: Indicator, baseline and target statements are expressed in separate statements, presented in three different columns. This format is especially used for quantitative indicators. Targets, in turn, can either be presented as a single value (for the whole project) or as partial values (to be collected periodically during project implementation).

Examples:

Outcome	Indicator	Baseline	Consolidated Goal
Riverside ´community x' has developed and makes use of capacities for cistern building.	*Percentage of heads of households from riverside ´community x' that adopt the project´s cistern building technique.*	*0%*	*100% up to the end of the project (30 heads of households).*

Outcome	Indicator	Baseline	Non-consolidated Goal 2014			
			1st quarter	2nd quarter	3rd quarter	4th quarter
Riverside ´community x' has developed and makes use of capacities for cistern building.	Percentage of heads of households from riverside ´community x' that adopt project´s cistern building technique.	0%	25%	50%	75%	100%

Regardless of the presentation format, each indicator should clearly indicate the following:

a) The beneficiary of the outcome (individuals, population group, organization, ...).

b) The geographic/spatial dimension related to the indicator (e.g. community, neighborhood, municipality, region, country, organization).

c) The deadline for achieving the desired change that the indicator represents.

FOURTH COLUMN: MEANS OF VERFICATION

The Means of Verification are the sources of information used to verify data/variations in the indicators.

Examples:

Census and other sources of public statistics.

Data from international organizations (in case there are no national official statistics available).

Attendance list of courses and trainings.

Evaluation questionnaires (of course/training, for example).

Project progress reports.

Interviews.

Visual inspection.

Audit reports.

Accounting records.

Figure 12 - Example of Logical Framework: Inclusive Education Project

Specific Objective / Outcome	Indicators, Baseline and related Targets	Means of Verification
Specific Objective: Increase the academic achievement of students with disabilities.	Increase from 'x' to 'y' the rate of academic achievement among students with disabilities in primary education in up to 'x' years after project completion.	School census.
Outcome 1: Ministry of Education of country x' with capacity to develop and review teacher training curricula in special education according to the profile of the demand.	Participatory rules and procedures for periodic review and update of the teachers training curriculum are adopted by the Ministry of Education of ´country x'.	Document or manual of rules and procedures.
	The rules and procedures for reviewing and updating the teacher training curriculum include participation of external stakeholders (teachers, school principals, parents and students with disabilities).	Document or manual of rules and procedures.
	A plan for periodic review and updating of teachers training curricula is adopted by the Ministry of Education of ´country x'.	Document with a plan for periodic review and updating of curricula; Interviews with members of the team in charge of updating the curricula at the Ministry of Education.
	There is a qualified team enabled to coordinate and implement the review and updating of teachers training curriculum within the Ministry of Education of ´country x'.	Minutes of staff meetings; questionnaires and interviews with team members.
Outcome 2: Instructors providing training for public schools of ´country x' qualified to offer training on inclusive special education.	Teacher instructors of the public system of ´country x' who have been trained by the project are capable of dealing routinely with the individual needs of students with disabilities in the classes/schools where they work.	Interviews with teacher instructors of public schools of ´country x' trained by the project.
	The Plan for periodic review and updating of teacher training curricula includes teacher training goals.	Document of the Plan for periodic review and updating of teacher training curricula.
Outcome 3: Capacity for joint project management and evaluation developed and effectively applied.	Lessons learned through project implementation have been disseminated within and outside the Ministry of Education of ´country x'.	Interviews with experts and staff of the Ministry of Education and with external partners and stakeholders (principals, teachers, parents and students); publications by the Ministry of Education.

Note: The Logical Framework may also include qualitative indicators of project outputs.

9.2.3 Preparing the Implementation Schedule

The project implementation schedule is a bar chart (a Gantt chart diagram) that indicates the operational milestones for execution of project Activities and for the production and/or delivery of project Outputs. As such, it is in this chart that the project´s operational targets are presented.

As seen in **Section 9.2.2** above, the quantitative targets for the execution of project activities that are established by the Implementation Schedule constitute, along with the budget and the Logical Framework indicators, the set of parameters for project monitoring and evaluation.

Depending on the total duration of the project, the Implementation Schedule should be organized into quarters (for projects of up to 36 months) or semesters (for projects lasting longer than 36 months). Nevertheless, regardless of the chosen periodicity, the reference year of each period should be clearly indicated (2014, 2015, etc. instead of ´Year 1´, ´Year 2 ´, etc.), as in the example below. Planning with shorter time references (monthly or bimonthly) should be done in the Work Plan (Section 9.2.5 below).

Example: Implementation schedule for a three-year project

Outputs/ Activities	2015				2016				2017			
	1st quarter	2nd quarter	3rd quarter	4th quarter	1st quarter	2nd quarter	3rd quarter	4th quarter	1st quarter	2nd quarter	3rd quarter	4th quarter
Output 1.1. (*statement*)												
Activity 1.1.1 (*statement*)												
Activity 1.1.2 (*statement*)												
Activity 1.1.3 (*statement*)												
Output 1.2 (*statement*)												
Activity 1.2.1 (*statement*)												
Activity 1.2.2 (*statement*)												
Output 2.1 (*statement*)												
Activity 2.1.1 (*statement*)												
Activity 2.1.2 (*statement*)												
Activity 2.1.3 (*statement*)												

Step-by-step Formulation of the Implementation Schedule

Step 1: Review the Activities of the Logical Structure to determine if they suffice for producing the Output to which they are related. The list of planned activities to produce each Output should be exhaustive.

Step 2: Check the sequencing between the Outputs; between the Activities of the same Output, and between the Activities of different Outputs in order to determine the logical/chronological order required. In doing so, it is important to answer the following questions:

- Does the delivery of an Output depend on the production or delivery of another?
- Does the beginning/implementation/completion of an Activity depend on the start or completion of another?
- Can Outputs/Activities be produced/performed simultaneously?

Sequencing is the main pillar of the Implementation Schedule. The sequencing in the Implementation Schedule should clearly demonstrate the correlation between the Outputs and the Activities. For example, in a project that foresees the conduction of training, the Activity 'Prepare the terms of reference for the training sessions' should be implemented before the training sessions take place.

Step 3: Estimate realistic deadlines for the completion and/or delivery of Activities and Outputs. To do so, it is important to take into account the availability of financial, human and material resources; weather conditions at certain times of the year; holidays and other calendar events in the country, region or place where the activities are performed, in addition to any other factors or risks which may affect timely project implementation.

Step 4: Indicate the deadlines in the Implementation Schedule.

9.2.4 Preparing the Budget

In order to produce outputs, all projects require a specific set of inputs (financial, material and human resources, knowledge and expertise). Inputs may be acquired with project budgetary funds or provided directly by partners.

Categories of Contributions

Financial contributions are cash allocations to the project budget. **Non-financial contributions**, on the other hand, refer to in-kind inputs (i.e. non-cash) mobilized by partners within the scope of that same project, comprising technical, human and material resources, tangible and intangible, such as partners staff and experts; know-how, methods and practices; infrastructure and physical facilities; operational and technical materials and equipment; transport and other logistical support.

Some types of non-financial contributions can be quantified in monetary values, such as expert´s man-hours. These will be included as part of the budget, alongside financial contributions, as shown bellow. Conversely, non-quantifiable non-financial contributions are described in a specific section of Program, Project and Preparatory Action documents.

Types of Budgets

The budget presents the estimation of expenditures (in US dollars) as required for implementing project activities.

- The **Operational Budget** comprises only the expenses that will be covered with financial allocations (i.e. cash contributions).
- The **General Budget** is composed of the Operational Budget, combined to the non-financial contributions that can be quantified in monetary values.

Budget Formats

The **General Budget** is formatted as a single table (below), presented in the cover page of Program, Project and Preparatory Action Documents.

Table 6 - General Budget Table

A. Financial Contributions (Operational Budget)	
For Brazil	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	USD ...
For (Name of Partner Country)	USD …
(Name/acronym of funding source):	USD …
(…)	
Subtotal:	USD ...
Total (A)	USD ...
B. Non-Financial Contributions (Quantifiable in Monetary Values)	
For Brazil	USD ...
For (Name of Partner Country)	USD ...
Total (B)	USD ...
C. General Budget (A+B)	**USD ...**

The **Operational Budget (A)** is presented in a specific section of Program, Project and Preparatory Action Documents (see Annexes A3, A4 and A5 of this Manual). This budget is subdivided into several tables, as shown below. Complementary budget formats may be used according to partners´ needs, as long as the mandatory tables are also presented.

Operational Budget Tables

A. Detailed Operational Budget (Financial Contributions)

A.1 Operational Budget per Budget Line Item (in USD)

Budget Line Item	Year			Total
	20 xx	20 xx	20 xx	
Code and title of the Budget Line Item	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
Total per year	USD 0.00	USD 0.00	USD 0.00	USD 0.00

A.2 Operational Budget per Funding Source: Brazil and Partner Country (in USD)

Budget Line	Source: ABC	Source: Other	Source: Other	Total
Code and title of the Budget Line Item	0.00	0.00	0.00	0,00
(…)	0.00	0.00	0.00	0,00
(…)	0.00	0.00	0.00	0.00
Total	USD 0.00	USD 0.00	USD 0.00	USD 0.00

A.3 Operational Budget: Annual Contributions from Brazil and Partner Country (in USD)

For Brazil:

Budget Line Item	Year			Total
	20 xx	20 xx	20 xx	
Code and title of the Budget Line Item	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
Total per year	USD 0.00	USD 0.00	USD 0.00	USD 0.00

For the Partner Country:

Budget Line Item	Year			Total
	20 xx	20 xx	20 xx	
Code and title of the Budget Line Item	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
Total per year	USD 0.00	USD 0.00	USD 0.00	USD 0.00

A.4 Operational Budget per Outcomes and Outputs (in USD)

Budget Line Item	Year			Total
	20 xx	20 xx	20 xx	
Outcome 1 *(statement)*	USD 0.00	USD 0.00	USD 0.00	USD 0.00
Output 1.1. (*statement*)	0.00	0.00	0.00	0.00
Output 1.2 (*statement*)	0.00	0.00	0.00	0.00
Outcome 2	USD 0.00	USD 0.00	USD 0.00	USD 0.00
Output 2.1 (*statement*)	0.00	0.00	0.00	0.00
Output 2.2 (*statement*)	0.00	0.00	0.00	0.00
Output 2.3 (*statement*)	0.00	0.00	0.00	0.00
Outcome 3	USD 0.00	USD 0.00	USD 0.00	USD 0.00
Output 3.1 (*statement*)	0.00	0.00	0.00	0.00
Output 3.2 (*statement*)	0.00	0.00	0.00	0.00
Output 3.3 (*statement*)	0.00	0.00	0.00	0.00
Total per Year	USD 0.00	USD 0.00	USD 0.00	USD 0.00

Quantifiable Non-Financial Contributions (B) are also presented in a specific section of Program, Project and Preparatory Action Documents, according to the table below. Information on monetary value of non-financial contributions by Brazilian partners is mandatory, and optional for partner countries.

B. Non-Financial Contributions Quantifiable in Monetary Values (in USD):

For Brazil	Total (USD)
Category: Capacity Development	
Hours per Person (technical instructors)	0.00
Hours per Person (undergraduated)	0.00
Hours per Person (graduated)	0.00
Technical studies	0.00
Training	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Public sources	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Private sources	0.00
Category: Capacity Development Associated Costs	
Tickets, daily allowances and insurance for foreigners	0.00
Tickets, daily allowances and insurance for nationals (Brazilian)	0.00
Administration and management	0.00
Services (associated with capacity development)	0.00
Operational costs in the country (Brazil)	0.00
Operational costs abroad	0.00
Total Brazil	***USD 0.00***

For (*Name of Partner Country*)	Total (USD)
Category: Capacity Development	
Hours per Person (technical instructors)	0.00
Hours per Person (undergraduated)	0.00
Hours per Person (graduated)	0.00
Technical studies	0.00
Training	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Public sources	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Private sources	0.00
Category: Capacity Development Associated Costs	
Tickets, daily allowances and insurance for foreigners	0.00
Tickets, daily allowances and insurance for nationals (Partner Country)	0.00
Administration and management	0.00
Services (associated with capacity development)	0.00
Operational costs in the Partner Country	0.00
Operational costs abroad	0.00
Total (Name of Partner Country)	***USD 0.00***

For Preparatory Actions, budget tables should be adapted in accordance with the provisions of Section 6.2.3 and Section 11.3.3 of this Manual.

Step-by-step for Preparing the Operational Budget

Step 1: The first step in preparing the Operational Budget is the identification of the necessary inputs for conducting each Activity. It is essential to identify:

a. Unit of measure for each input.

b. Funding sources.

c. Budget line to which each input is related.

Example:

Activity: Carry out a scoping mission with Brazilian experts to Cape Verde

Budget Line Item *(What is the category of expense or the budget component for each input?)*	**Inputs** *(What are the inputs required?)*	**Funding Source**
Code and title of the budget line item	*Air tickets and travel insurance (Brasilia- Praia -Brasilia)*	*ABC*
Code and title of the budget line item	*Per-Diems in Praia*	*ABC*
Code and title of the budget line item	*Vehicle rental for transportation of the delegation in Praia*	*ABC*

Step 2: The second step is to estimate the unit cost of each input. In doing so, it is important to take into consideration:

a. Expected duration of the Activity or Sub-activity.

b. Estimated monetary value for each input unit.

c. Potential risks, given that some external factors may alter or impact the price of inputs (*e.g.* during high season, airfares are more expensive).

The estimated monetary value of inputs can be determined by:

- Consulting historical information, such as previous technical cooperation projects between the partner countries.
- Consulting Brazilian embassies in the partner country.
- Knowledge and experience of the project team members.
- Trade data and other cost data bases (*e.g.* by consulting websites of airline companies to estimate airfares).

Example:

Activity: Carry out a scoping mission to Cape Verde with Brazilian experts

Budget Line Item *(What is the category of expense or the budget component of each input?)*	**Inputs** *(What are the inputs required?)*	**Measurement unit** *(How is each input measured?)*	**Unit cost in USD** *(What is the unit cost of each input?)*
Code and title of the budget line item	Air tickets and travel insurance (Brasilia- Praia -Brasilia)	1 roundtrip ticket + travel insurance for a technician during the entire trip	USD 3,200.00
Code and title of the budget line item	Per-Diems in Praia	1 per-diem in Praia	USD 264.00
Code and title of the budget line item	Vehicle rental for transportation of the delegation in Praia	1 daily-rental of a vehicle in Praia	USD 300.00

Step 3: The third step consists of preparing a Calculation Log, indicating the quantity, unit of measurement and unit price (per unit of measurement) for each input used in each Activity. The Calculation Log is a key step for the preparation of the budget. It is an essential tool for the follow-up of financial performance and provides transparency in regard to the use of funds. As such, the Calculation Log should clearly state all of the following:

a. The unit of measurement of each input.

b. The quantity required of each unit of measurement.

c. The unit price in USD.

The Calculation Log

Budget Line Item	**Input**	**Funding Source**	**Calculation (in USD)**	**Subtotal (in USD)**
Code and title of the budget line item	*Type of input (e.g. per-diems, tickets, experts´ man-hours)*	*Name/Acronym of the funding source*	*Unit of measurement of the input x required quantity x unit value in USD*	*Value of calculation in USD*

Example 1: A Good Calculation Log

Budget Line Item	**Input**	**Funding Source**	**Calculation (in USD)**	**Subtotal (in USD)**
Code and title of the budget line item	*Air tickets and travel insurance (Brasilia- Praia -Brasilia)*	*ABC*	*U1 **<u>ticket</u>** x 1 **expert** x USD 3,200.00*	*<u>USD 3,200.00</u>*
Code and title of the budget line item	*Per-Diems Praia (3x Brazilian experts)*	*ABC*	*6 **<u>Per-Diems</u>** x 3 **experts** x USD 264.00*	*<u>USD 4,752.00</u>*
Code and title of the budget line item	*Vehicle rental for transportation of the delegation in Praia and Mindelo*	*ABC*	*1 **<u>vehicle</u>** x 5 **Daily-rentals** x USD 300.00*	*<u>USD 1,500.00</u>*

***Note**: The information underlined in the table above is essential to correctly preparing the calculation log.*

Example 2: A corrected example of Calculation Log

Budget Line Item	Input	Funding Source	Calculation (in USD)	Subtotal (in USD)
INCORRECT:				
? *(What budget line?)*	**Training course in water management, irrigation and planting techniques** *(The name of the input is incorrect, inaccurate. Training courses are not an input, but a project output, which needs to be broken down into activities, and these, into inputs.).*	**Embrapa** (OK)	**6 x USD 530.00** *(6 what? Sessions of the course? Trainer´s man-hours? Course material? facilities?).*	**3,180.00** *(What currency?)*
CORRECT:				
71300 ***National consultants***	***National consultants to provide technical support to Activity 'x'.***	**Embrapa**	*7 experts x 20* ***man-hours*** *x USD 800.00*	*USD 112,000.00*
71200 ***International consultants***	***International consultants 'for supervision and technical support to Output 'y'***	**ABC**	*6 experts x* ***'n' man-hours*** *x USD 530.00*	***USD*** *x,xxx*

9.2.5 Preparing the Work Plan

The **Work Plan** comprises a detailed planning of activities, broke down into groups of smaller, purely operational or administrative tasks known as **Sub-activities**. The Work Plan is an important project management tool, by means of which it is possible to visualize the logical and chronological relationships between Sub-activities, Activities and Outputs, in addition to monitoring progress towards operational deadlines in order to make timely adjustments.

The Work Plan is built with information contained in the **Implementation Schedule** and in the **Operational Budget**. It provides:

- Deadlines for completion of each Activity and Sub-activity.
- Persons or departments of partner organizations responsible for each Sub-activity.
- Costs and funding sources of each Sub-activity.

All Projects with duration greater than 18 months should have Annual Work Plans. The first Annual Work Plan (AWP) is formulated following approval of the Project Document, in the beginning of the Implementation Phase. Subsequent AWPs are formulated and approved before beginning of each year. This is because detailed and updated logistical and operational information only becomes available close to the dates when activities will actually take place. **For Preparatory Actions and Projects lasting up to 18 months**, a single Work Plan is required, to be attached to the Project Document or Preparatory Action Document at the time of signature.

Templates of Project and Preparatory Action Work Plans are provided in Annex A6 and A7 of this Manual, respectively.

Step-by-step Preparation of the Work Plan:

Work plan formulation relies on experience, technical knowledge and common sense, in addition to consultation to sources of historical data (previous and similar projects).

Step 1: Copy Output and Activity statements and deadlines from the Implementation Schedule into different tables, one table for each Activity. Each table represents a set of Sub-activities. It is extremely important to keep the same numbering as in the Logical Structure in order to ensure the logical correlation between Outputs and Activities (cause-and-effect relationships).

Step 2: Breakdown each Activity into Sub-Activities. Sub-activities are simple, purely practical tasks required for the implementation of each activity, usually related to project financial and administrative execution. The breakdown of Activities into Sub-activities should be done in such a way that each Sub-activity can be delegated to a department of a partner organization directly involved in the project. The breakdown should only go as far as to allow identification and planning of the most relevant Sub-activities.

Example:

Output 1.1:	*Teacher instructor course in specialized educational services delivered.*
Activity 1.1.1:	*Develop teaching materials.*
Activity 1.1.2:	*Plan and carry out the training course.*
Sub-activities:	*Procurement of services for the training course; renting facilities; preparatory meetings; making reservations, buying tickets and paying Per-Diems.*

Step 3: Establish deadlines for initiating and completing each Activity and Sub-activity, while respecting the deadlines of related Outputs previously set out in the Implementation Schedule. When establishing deadlines for Activities and Sub-activities, one should take into account the availability of financial, human and material resources, the time required for the planning and execution of procurement, deadlines for customs clearance, weather conditions at certain times of the year, holidays and other calendar events in the country, region or place where the Sub-activities will be performed, as well as any other factor that may affect the quality or timeliness of activities.

Step 4: Use a calculation log to identify the costs of each Sub-activity, in accordance with the model below:

Activity x.x.x: (*statement*)

Budget Line Item	Input	Funding Source	Calculation (in USD)	Subtotal (in USD)
Code and title of the budget line item	*Type of input (e.g. per-diems, tickets, experts´ man-hours)*	*Name/Acronym of the funding source*	*Unit of measurement of the input x required quantity x unit value in USD*	*Value of calculation in USD*
Code and title of the budget line item	*Type of input (e.g. per-diems, tickets, experts´ man-hours)*	*Name/Acronym of the funding source*	*Unit of measurement of the input x required quantity x unit value in USD*	*Value of calculation in USD*
			Activity Total x.x.x:	***USD x,xx***

9.3 Guidelines for Formulation of South-South Technical Cooperation Projects

Once the initial problem has been clearly identified and the desired final situation has been agreed upon, it is time to design and plan the means by which the obstacles faced by direct and indirect beneficiaries can be overcome. The **Project Document** is the main frame of reference for the project because it is built upon those essential elements and establishes the parameters for project success: the **strategy** leading to expected objectives and outcomes and the **indicators and targets** for measuring its effectiveness. In addition, it sets the ground for decision-making regarding technical implementation and management, and provides a justification as to why the South-South Cooperation initiative is relevant in improving capacities to engender the envisaged development solution. The Project Document also outlines the financial and in-kind resources required for delivering key outputs and presents a preliminary work plan for implementation of activities.

The contents of each item in the Project Document are described below. The **Standard South-South Technical Cooperation Project Document** is presented in **Annex A4**.

COVER:

A template for the cover of Project Documents is provided in Annex 4 of this Manual. The cover should contain the project title; name of partner countries; estimated initiation and end date; estimated duration; name of partner organizations; title of legal framework agreements supporting the initiative; signatures and dates; an executive summary, and a table summarizing the budget.

The Project Document should be signed by representatives of Brazilian and partner country partner organizations with legal capacity to do so. All partner organizations mentioned in **Section VII** of the Project Document, **Roles and Responsibilities of the Parties**, should sign this document. The date of each signature should be included.

Project duration is timed from the date of the latest signature.

LIST OF ACRONYMS:

Provide a list of acronyms contained in the project document.

INDEX:

Provide a list of contents, according to the standard project template (**Annex A4** of this Manual).

SECTION I. BASIC INFORMATION

1.1 Project Title

Indicate the project title.

1.2 Partner Organizations

Indicate the name, acronym, full address, telephone, and e-mail address of Brazilian and partner country partners according to their respective roles (partners responsible for coordination, for technical implementation or for administrative & financial execution), together with the name, position and contact details of project focal points.

SECTION II. BACKGROUND AND JUSTIFICATION

2.1 Situation analysis of the sector, subsector or thematic area

The information in this item should be supported by bibliographical references and/or quantitative data from reliable technical and academic sources (*e.g.* statistics, studies, research). This item should contain:

a) A description of the situation prior to project approval/signature, beginning with the presentation of the request for Brazilian South-South Technical Cooperation by the partner country.

b) A brief analysis of the sector, subsector or thematic area circumscribing the problem that gave rise to the technical cooperation request by the partner country.

c) A summary of priorities or national development strategies in the partner country for the sector, subsector or thematic area to which the project is expected to contribute, with examples of governmental actions or third sector initiatives.

d) An outline of related development cooperation projects or initiatives with Brazil **and/or** with other international partners in the same sector, subsector or thematic area of the project. Where applicable, it should contain a brief description of how the project is aligned to technical cooperation programmatic frameworks between Brazil and the partner country.

2.2 Problems and issues to be addressed

a) Analyze the specific problem targeted by the project in light of its relevance to the development of the partner country, as it relates to the sector/sub-sector or thematic area described in the previous item, together with a clear definition of the scope, causes and consequences of the problem using statistical data and/or references from reliable sources.

b) Describe how the main individuals, groups and/or organizations are directly or indirectly affected by the problem or initial undesired situation, according to the results of the **Mapping of Stakeholders and Capacities** (see Section 9.1.1 of this Manual).

c) Briefly present a profile of the direct and indirect beneficiaries, and other stakeholders, according to the results of the **Mapping of Stakeholders and Capacities**.

2.3 The Brazilian experience

a) Indicate how the Brazilian experience in the sector/subsector or thematic area of the project (lessons learned and positive results) will contribute, by means of South-South Technical Cooperation, to developing the capacities of the beneficiaries.

b) Include reference to the responsibilities and expertise of Brazilian partner organizations as related to the project´s main issue.

2.4 Justification

a) Describe the expected scenario or situation at the end of the project.

b) Describe how the project will contribute to meeting the needs of direct and indirect beneficiaries with respect to the initial problem/undesired situation.

2.5 Beneficiaries

a) List the entities and/or population groups that will directly or indirectly benefit from the project. The nature (e.g. public entity; non-governmental organization) and any political-administrative liaisons of beneficiary organizations should be signalized.

b) Indicate the geographical range of the desired positive effects (*e.g.* community, region).

SECTION III. LOGICAL STRUCTURE

The components of the Logical Structure should be listed as follows:

Development Objective: (*Statement*)

Specific Objective: (*Statement*)

Outcome 1: (*Statement*)

Output 1.1: (*Statement*)

Activity 1.1.1: (*Statement*)

Activity 1.1.2: (*Statement*)

Activity 1.1.3: (*Statement*)

Activity 'n': (*Statement*)

Output 1.2. (*Statement*)

Activity 1.2.1: (*Statement*)

Activity 1.2.2: (*Statement*)

Activity 'n': (*Statement*)

Outcome 2: (*Statement*)

Output 2.1: (*Statement*)

Activity 2.1.1: (*Statement*)

Activity 2.1.2: (*Statement*)

Activity 'n': (*Statement*)

Output 2.2: (*Statement*)

Activity 2.2.1: (*Statement*)

Activity 2.2.2: (*Statement*)

Activity 2.2.3: (*Statement*)

Outcome 'n': (*Statement*)

Output 'n': (*Statement*)

Activity 'n': (*Statement*)

SECTION IV. IMPLEMENTATION STRATEGY AND SUSTAINABILITY

4.1 Implementation Strategy

a) Clearly describe the steps that should be followed so that the Outcomes are achieved and, consequently, so that the project contributes to solving the problem or changing the initial targeted situation. In other words, it is necessary to develop a logical step-by-step description of the project strategy.

b) In the light of item 'a' above, describe the methodologies that will be applied in order to mobilize and transform the technical, human and financial inputs (technical contributions and operational mechanisms of South-South Technical Cooperation, e.g. trainings, courses, technical visits, studies, assessments, improvement/renovation of small-scale infrastructure) into activities and outcomes.

c) Clearly indicate the roles and expected contributions of project partners (organizations responsible for administrative and financial execution, technical implementation and coordination) as well as direct and indirect beneficiaries. In this sense:

- Indicate the roles and duties of the partners responsible for project coordination, technical implemention and execution, as well as the role of direct beneficiaries and, when applicable, indirect beneficiaries.
- Describe the technical and operational arrangements that will enable successful interaction between partner organizations, beneficiaries and other stakeholders.

4.2 Sustainability

This section of the Project Document should focus on internal sustainability factors of the project (*see* ***Section 11.5.4*** *of this Manual*). As such, describe the measures to be implemented by the project with the purpose of:

a) Ensuring **active and effective participation** in all phases of the project cycle by partner country partners and other direct beneficiaries.

b) Achieving **ownership** of the initiative and its positive effects.

c) Guaranteeing that the knowledge and experiences shared through South-South Cooperation are **presented with the appropriate quality** required, are **accessible** to and can be **learned** by the individuals participating in capacity development activities. This item is particularly related to the quality of Outputs. Examples: delivery of Outputs in the local language (as in training sessions); assimilation of local cultural traits to project Outputs.

d) Supporting partner country partners and other direct beneficiaries as they adapt the knowledge and experiences gained through technical cooperation to their own context, as well as prepare them for **continuously and autonomously applying and disseminating their newly developed capacities** after project completion. These measures are known as a project´s 'exit strategy', to be implemented at the final stage of the Implementation Phase.

4.3 Risks and mitigation measures

This section must briefly and objectively present:

a) The internal and external risks to the project which are very likely to occur, potentially compromising the achievement and sustainability of desired Outputs and Outcomes, the timely implementation of activities or the availability of necessary resources.

b) The measures to be taken by partner organizations to avert and mitigate those risks.

SECTION V. MANAGEMENT, MONITORING AND EVALUATION MECHANISMS

This section describes the instruments and mechanisms for project monitoring and evaluation as well as their application: the Logical Framework (with indicators, targets and means of verification for Specific Objective and Outcomes); the Implementation Schedule (with targets related to the implementation of activities and financial execution); the Project Steering Committee (PSC); project reviews and a variety of monitoring and evaluation reports.

5.1 Logical Framework

This section presents the project Logical Framework.

5.2 Implementation Schedule

This section presents the diagram with the schedule of implementation of project activities (see **Section 9.2.3**: **Preparing the Implementation Schedule**).

5.3 Project Steering Committee (PSC)

This section presents the structure, members, and the roles and responsibilities of the Project Steering Committee, indicating the frequency of meetings and support documents.

5.4 Project Reviews, Progress Reports and Management Reports

The section should briefly indicate the types, frequency and those responsible for preparation, presentation and approval of Project Review Documents and monitoring reports.

5.5 Evaluation and Lessons Learned

a) Indicate ***which aspects*** of the project will be evaluated (*e.g*. Outputs, Outcomes), ***when*** (mid-term and/or final evaluation) and ***how*** (type of evaluation: internal or external); who is responsible for preparing and approving the terms of reference for project evaluations, as well as project evaluation outputs (*e.g*. evaluation reports) and any other relevant evaluation guideline or standard.

b) Describe the methodology to be adopted for identification, systematization and dissemination of project lessons learned.

5.6 Schedule of Project Steering Committee (PSC) Meetings and Monitoring and Evaluation Instruments

This section should present a schedule of Project Steering Committee (PSC) meetings as well as deadlines for submission of Annual Work Plans (AWP) and monitoring and evaluation reports.

Example:

Year/ Month	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
2015							PSC/ AWP					
2016						PSC/ APR/ AWP						
2017						PSC/ APR/ AWP						
2018				FPR	FE							

Key:

PSC: Meeting of the Project Steering Committee

AWP: Annual Work Plan

APR: Annual Progress Report

FPR: Final Project Report

FE: Final Evaluation

SECTION VI. INPUTS AND BUDGET

6.1 Budget

This section should present the tables of the General Budget and detailed Operational Budget, in accordance with the provisions of **Section 9.2.4: Preparing the Budget** and **Annex A4: Standard South-South Technical Cooperation Project Document** of this Manual.

6.2 Description of Inputs

This section should provide **qualitative descriptions** of: (i) the inputs to be acquired with financial resources from the Operational Budget, and (ii) in-kind resources to be provided by project partners as non-financial contributions.

6.2.1 Description of Inputs to be acquired with financial resources from the Operational Budget

Briefly describe the **type, purpose** and **main characteristics** of inputs to be acquired with financial resources from the Operational Budget, such as:

- **Training**: *List training goals and activities, number of participants, profile of instructors/facilitators, location and estimated number of training sessions.*
- **Travel**: *Describe the goals of national and international missions, departure and destination locations, type of participants, and other types of expenses related to travelling (e.g. Per Diems, travel insurance).*
- **Procurement of services:** *Explain the nature, duration, purpose and required profile of service providers.*
- **Procurement of goods**: *Explain the nature, purpose and main features (e.g. technical characteristics) of required equipment, materials or other goods.*
- **Recruitment (***Independent Consultants***)**: *Describe the required profile and skills, type of consultancy activity or output, workplace/duty station, and expected duration of assignments (in days or months).*

Note on Recruitment of Independent Consultants: Recruitment of independent consultants is only acceptable on a complementary basis, that is, as additional to the contributions of project partner experts, and when deemed indispensable for achieving the project´s specific objective and outcomes.

6.2.2 Description of Non-Financial Contributions from Project Partners

Describe the type and main characteristics of in-kind resources to be mobilized by partners (non-financial contributions), together with an explanation as to how they relate to the Implementation Strategy and to the production of project Outputs. This section is descriptive in nature and should include qualitative information on quantifiable and non-quantifiable in-kind contributions.

SECTION VII. ROLES AND RESPONSIBILITIES OF THE PARTIES

This section describes the responsibilities of each partner directly involved in project implementation according to their roles in project coordination, technical implementation or administrative & financial execution.

The **Brazilian and partner country partners responsible for project coordination** are responsible for:

- Identifying, consulting with and coordinating with the partners responsible for project technical implementation within their respective governments.
- Participating with the other project partners in missions for project implementation, monitoring and evaluation, according to their availability.

- Designating a representative to act as project institutional focal point and a representative to act as project technical focal point throughout the duration of the initiative.
- Promptly designating substitutes to the institutional and technical focal points, as needed.
- Participating in the PSC, with other partner organizations, as well as jointly supervising, coordinating, monitoring and evaluating the work performed during the cooperation initiative.

The **Brazilian partner responsible for project administrative and financial execution** is responsible for:

- Managing project funds according to its accounting and financial procedures.
- Carrying out project procurement and recruitment.
- Monitoring the project by means of appropriate tools, including monitoring the implementation of project activities and budget.
- Making its information management system available for the project, as well as preparing project management and accountability reports (e.g. progress reports).
- Providing information on project administrative and financial implementation to Brazilian audit and control authorities.
- Jointly preparing, together with partners responsible for technical implementation: Work Plans, Progress Reports, Terms of reference for implementation and monitoring missions, Terms of reference for evaluations and evaluation missions, Terms of reference for procurement and recruitment, Project Review Documents.
- Project procurement and recruitment.
- Transferring the movable property acquired with project funds to partner country partners following project completion.
- Designating a representative to act as project institutional focal point and a representative to act as project technical focal point throughout the duration of the initiative.
- Promptly designating substitutes to the institutional and technical focal points whenever necessary.
- Participating in the Project Steering Committee (PSC), as well as jointly supervising, coordinating, monitoring and evaluating project performance.
- Acting as secretariat of the PSC when designated to do so.

The **Brazilian partners responsible for technical implementation** are responsible for:

- Providing experts from their regular staff for implementation of project activities.
- Maintaining a close relationship with the Brazilian partner responsible for project coordination.
- Jointly preparing, with the partner responsible for project execution, proposals for project review.
- Jointly preparing, with the partner responsible for project execution, terms of reference for implementation and monitoring missions, terms of reference for the evaluations and for evaluation missions.
- Supporting the project partner responsible for project execution in the preparation of terms of reference for procurement and recruitment.
- Preparing implementation missions reports and activity reports as deemed necessary.

- Designating a representative to act as project institutional focal point and a representative to act as project technical focal point throughout the duration of the initiative.
- Promptly designating, whenever necessary, substitutes to the institutional and technical focal points.
- Participating in the Project Steering Committee (PSC), as well as jointly supervising, coordinating, monitoring and evaluating the work performed throughout the cooperation initiative.

Partner country partners responsible for technical implementation are responsible for:

- Designating a representative to act as institutional focal point, and a representative to act as technical focal point for the project throughout the duration of the initiative.
- Promptly designating, whenever necessary, substitutes to the institutional and technical focal points.
- Participating in the Project Steering Committee (PSC), as well as jointly supervising, coordinating, monitoring and evaluating the work performed throughout the cooperation initiative.
- Abiding by payment obligations for staff involved in the project.
- Jointly preparing, analyzing and approving work plans (annual or not), and terms of reference for missions and other activities.
- Preparing mission reports and activity reports.
- Jointly preparing, analyzing and approving agendas and minutes of PSC meetings, project Review Documents, terms of reference for monitoring and evaluation missions and reports.
- Providing local logistical support to activities implemented in the country (e.g. transportation, facilities, training materials).
- Arranging for customs clearance of materials and equipment provided by the Brazilian Government within the scope of the project.

SECTION VIII. LEGAL, FINANCIAL AND OPERATIONAL PROVISIONS

This section should contain provisions related to applicable norms and procedures, with respect to the transfer of equipment and other movable property; intellectual property of project outputs, goods and/or technical documents; administrative, financial and other legal provisions, as needed.

ANNEX 1. Work Plan

- **For projects lasting up to 18 months:** This section should indicate the periodicity and those responsible for the preparation, presentation and approval of Annual Work Plans. Inclusion of the work plan for the first year of implementation of the Project is optional.
- **For projects lasting longer than 18 months and Preparatory Actions:** The Work Plan is a mandatory item of the Project and Preparatory Action Document.

ANNEX 2. Project team (optional)

Indicate the name, position and contact information of institutional and technical focal points of each partner organization.

10. FORMULATION OF SOUTH-SOUTH TECHNICAL COOPERATION PREPARATORY ACTIONS

The formulation of Preparatory Actions follows the standard format presented in **Annex A5 - Standard South-South Technical Cooperation Preparatory Action Document** of this Manual.

Part III

MANAGING SOUTH-SOUTH TECHNICAL COOOPERATION INITIATIVES

Part III

MANAGING SOUTH-SOUTH TECHNICAL COOOPERATION INITIATIVES

11. THE MANAGEMENT CYCLE OF SOUTH-SOUTH TECHNICAL COOPERATION INITIATIVES

The management of South-South Technical Cooperation initiatives is conceived as a cyclical process, composed of five interrelated phases:

I. Identification Phase:

Given that South-South Cooperation is demand-driven, the first step in any Project, Preparatory Action or Simplified Action consists of reception and analysis of a request for Brazilian technical cooperation presented by the partner country. At this stage, the project (or other type of initiative) is still an idea that will be assessed in light of the following: (i) availability of relevant knowledge and experience from Brazilian organizations in the same area of interest as the technical cooperation request, and (ii) availability of financial and in-kind resources *(e.g.* human resources) from Brazilian partners to attend to the technical cooperation request. Once these pre-requisites are confirmed, the initial idea can move on to the next phase.

II. Scoping Phase:

The main goal of this phase is to expand on the initial project idea and to collect relevant data to inform a definitive decision about the possibility of fulfilling the partner country´s cooperation request. On the basis of in-depth dialogue between Brazilian and partner country partners and stakeholders, the basic elements of the future project are jointly identified and assessed, including objectives and expected results, beneficiaries and other stakeholders needs, coordination mechanisms and required resources.

III. Formulation & Appraisal Phase:

Based on the results of the Scoping Phase, a preliminary draft of the Project Document is formulated and appraised by Brazilian and partner country partners. Following formal approval by the parties, the Project Document is signed.

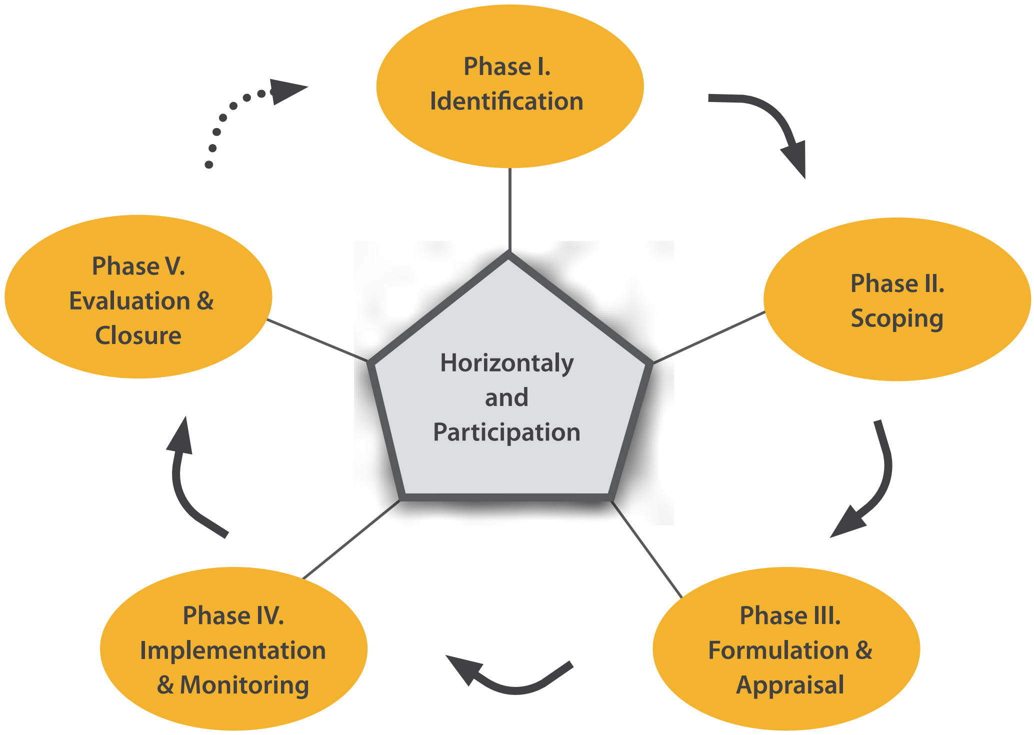
IV. Implementation & Monitoring Phase:

This phase encompasses two interconnected and interdependent management processes. The first refers to technical implementation and financial/administrative execution through mobilization of partners and resources. The second refers to monitoring, by which project performance is followed-up and assessed in a participatory manner. Corrective action is taken jointly, as necessary, and the Project Document is reviewed as required.

V. Evaluation & Closure Phase:

Following implementation of the last activity, the project is jointly evaluated with regard to its effectiveness, efficiency, sustainability and other key aspects. This phase provides valuable feedback to partners and guides decisions related to the establishment of other similar partnerships. If provided for in the Project Document, an external evaluation might also take place.

Figure 13 - The Management Cycle of South-South Technical Cooperation Initiatives

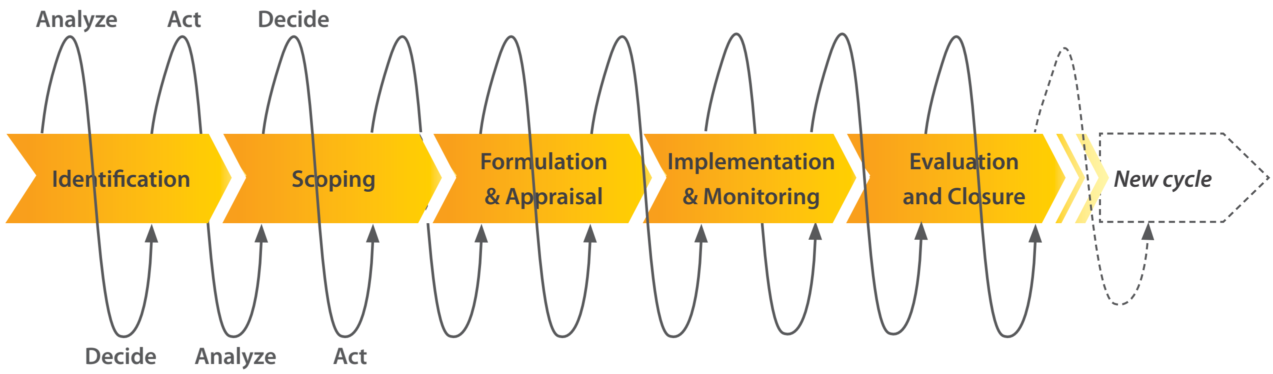


The phases of the management cycle interact with each other in a complementary way. Each phase provides the foundation for the next one, thus forming a dynamic and open system that transforms inputs into outcomes.

Horizontality and **participation** are key principles in Brazilian South-South technical cooperation. As such, they are conceived as crosscutting components of project management. Horizontality and participation are indispensable for ownership and sustainability. In addition, they form the basis for knowledge sharing and mutual learning between partners, which are also crucial for capacity development and the achievement of results.

On the basis of continuous dialogue and joint decision making between project partners, the management cycle produces a learning cycle, characterized by successive waves of analysis, decision making and action taking.

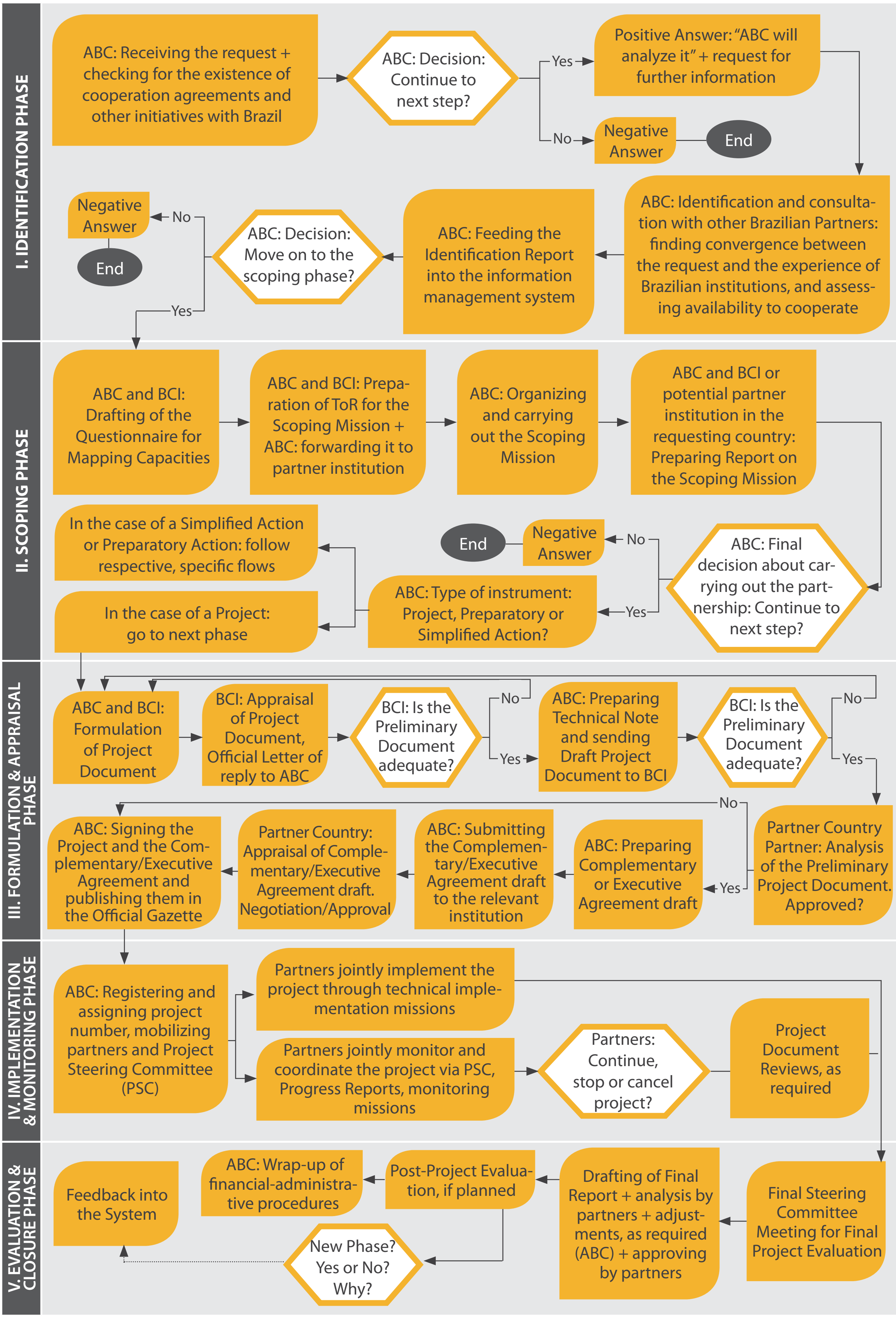
Figure 14 - The Participatory Management Flow



The participatory management cycle is a continuous and interactive process in which options are weighed and the best course of action is chosen. The necessary measures for the achievement of objectives are then carried out in the most efficient and effective way possible. Finally, lessons learned are identified and fed back into the management flow:

- **Joint analysis** provides the means for the technical cooperation initiative to include the different viewpoints and expectations of partners.
- **Decisions** are taken in a participatory manner so as to direct partners' efforts towards expected results.
- **Actions** are taken to carry out specific tasks, so as to complete each phase of the management cycle, *i.e.*, from identification of the opportunity to cooperate to the evaluation of cooperation results.
- **Feedback**: At the end of each partnership, the lessons generated and learned during a continuous process of joint analysis will be fed back into the system, ultimately contributing to improvement of South-South Technical Cooperation as a whole.

Figure 15 - Flowchart of the Management Cycle of South-South Technical Cooperation Projects



11.1 Phase I. Identification

11.1.1 Purposes of the Identification Phase

The goals of the Identification Phase are:

- To carry out a preliminary viability analysis of the project idea, in light of the principles and standards adopted by the Brazilian government for South-South Technical Cooperation. This initial assessment serves the purpose of verifying:
  - Availability of relevant knowledge and experience from Brazilian partner organizations in the sector/subsector/thematic area of the technical cooperation request;
  - Availability of financial and in-kind resources (e.g. technical and human resources).
- To identify the legal and programmatic frameworks to support the partnership, and to determine if there is complementarity or duplicity between the technical cooperation request and other initiatives between Brazil and the partner country.

11.1.2 Tasks and Procedures of the Identification Phase

a) The identification of an opportunity for a South-South Technical Cooperation Initiative starts with the presentation of an official request letter from the partner country expressing interest in carrying out technical cooperation with Brazil. This letter should be sent to the Brazilian Cooperation Agency (ABC/MRE) or to the Brazilian Embassy in the partner country.

b) The ABC unit in charge of the related geographic area will file and process the request in its internal information management system.

c) ABC will send an official correspondence to the requesting country partner organization informing the receipt of the cooperation request. Whenever necessary, this reply letter will ask for further information on the request.

d) ABC will assess and decide on the possibility of attending to the request by verifying:

- Whether or not the proper technical cooperation agreements between Brazil and the partner country are in place;
- Whether or not there are ongoing cooperation initiatives being carried out by Brazil and the partner country in the same sector/subsector or thematic area of the request, in order to avoid duplication of efforts and wasteful dispersion of resources.

e) Following a favorable assessment, ABC will consult potential Brazilian technical partners with relevant expertise and experience in the subsector or thematic area of the cooperation in order to:

- Confirm convergence between the Brazilian experience and the area of interest of the partner country;
- Confirm their interest and availability in initiating the partnership, especially in terms of human and technical resources. This confirmation will be requested again before a technical cooperation instrument is signed;
- Request designation of institutional and technical focal point for the initiative.

f) ABC will update its information management system.

g) ABC will make a decision regarding the possibility of moving the initiative to the Scoping Phase, and then inform the other partner organizations.

11.2 Phase II: Scoping

11.2.1 Purposes of the Scoping Phase

The purposes of the Scoping Phase are:

- To provide Brazilian and partner country partners with the opportunity to jointly identify the key elements of the future cooperation initiative so as to assess its financial, operational and technical scope and determine what resources are required.
- To collect and analyze relevant data and formulate the preliminary Project Document or Preparatory Action Document.
- To establish a conducive environment for joint implementation of the future cooperation initiative by establishing relationships and aligning interests between partners and other stakeholders.

11.2.2 Tasks and Procedures of the Scoping Phase

a) With support from ABC, the Brazilian technical partners draft a **Questionnaire for Mapping Stakeholders and Capacities** (see Section 9.1.1 of this Manual).

Note: This procedure is mandatory South-South Technical Cooperation Projects and Preparatory Actions.

b) ABC sends the Questionnaire to the partner country partners with a copy to the cooperation agency or ministry of foreign affairs of partner country.

c) ABC and Brazilian technical partners receive back and analyze the Questionnaire filled out by partner country partners.

d) ABC and the Brazilian partner organizations take action to organize the **Scoping Mission.** Scoping Missions have three main goals:

- Jointly collecting and analyzing relevant information on the technical cooperation request, preferably by consulting directly with potential beneficiaries;
- Providing the necessary means for formulation of the preliminary Project or Preparatory Action Document;
- Providing the opportunity for preliminary knowledge sharing between Brazil and the partner country.

Note on Scoping Missions: Scoping Missions may be carried out by means of:

- **A visit of from the partner country to Brazil**, to get acquainted onsite with Brazilian experiences that could be shared through South-South Technical Cooperation. The mission may be comprised of technical professionals and official representatives from partner country partners and other potential beneficiaries. ABC will be in charge of organizing and implementing such missions with support from Brazilian technical partners.
- **A visit from Brazil to the partner country**, comprised of experts from Brazilian technical partners and representatives from ABC. ABC will be in charge of organizing and implementing such missions, counting on the support from the Brazilian technical partners.

e) ABC and the Brazilian technical partners jointly prepare the **Terms of Reference (ToR)** for the scoping mission, in accordance with the template in **Annex A8: Template of Terms of Reference for Missions**. The ToR are then submitted to the partner country partners for analysis, adjustments and approval.

f) ABC will prepare the proper internal instruments to support financial and administrative execution of the scoping mission. ABC will be in charge of the travelling arrangements. The Brazilian Embassy or diplomatic post in the partner country may be contacted by ABC to provide support to the implementation of the mission in regard to political liaison and logistic support.

g) ABC will conduct a preparatory meeting for the Scoping Mission with Brazilian and partner country partners.

h) The Scoping Mission is carried out.

i) When a Scoping Mission takes place in the partner country, the representatives from the Brazilian partners (ABC and other potential Brazilian partners) will be responsible for preparing and presenting the **Scoping Mission Report** (**Annex A9: Templates for Mission Reports**). When the Scoping Mission takes place in Brazil, the representatives from partner country partners and potential beneficiaries are also expected to prepare a Scoping Mission Report.

j) ABC makes its final decision regarding the South-South Technical Cooperation request, based on consultations with the Brazilian technical partners and other assessments, in addition to a final decision on the type of cooperation instrument (Program, Project, Preparatory Action or Simplified Action).

k) ABC will officially communicate its final decision regarding the South-South Technical Cooperation request to partners and to the cooperation agency or ministry of foreign affairs of the partner country. In the case of a favorable decision, this official correspondence will include:

- The Scoping Mission Report, with accounts of the assessments conducted during the mission (e.g. problem and solution tree, preliminary logical structure and framework, identification of stakeholders;
- The decision concerning the type of cooperation instrument;
- Information on follow-up procedures and complementary activities, including another scoping mission, when necessary;
- Procedures related to the next steps in the lifecycle of the future cooperation initiative.

l) ABC will send an official correspondence to the Brazilian technical partners with the same information mentioned in item 'k' above.

Note: The procedures above also apply to the Scoping Phase of Preparatory Actions.

11.2.3 Technical Support Tools:

- ***Section 9.1: The Analytical Stage***, particularly ***Annex A1: Guidelines for Formulation of Questionnaires for Mapping Stakeholders and Capacities.***
- ***Section 9.2: The Planning Stage***, particularly ***Section 9.2.1: Formulating the Logical Structure and Section 9.2.2: Formulating the Logical Framework.***

11.3 Phase III. Formulation and Appraisal

11.3.1 Purposes of the Formulation and Appraisal Phase:

- Joint formulation of a proposal for the South-South Technical Cooperation initiative (the Preliminary Project Document or the Preliminary Preparatory Action Document).
- Appraisal of the Preliminary Project Document or Preliminary Preparatory Action Document by Brazilian and partner country partners, including an eligibility assessment.
- Approval of the South-South Technical Cooperation initiative.

As mentioned previously, the Brazilian and partner country partners should have an active role in the formulation of the future South-South Technical Cooperation initiative. This measure aims to promote ownership and sustainability of the results achieved through technical cooperation.

11.3.2 Tasks and Procedures of the Formulation and Appraisal Phase

The following tasks and procedures are applied to the formulation and appraisal of South-South Technical Cooperation Projects and Preparatory Actions.

a) ABC will formulate the **Preliminary Project Document**, or Preliminary Preparatory Action Document, on the basis of results achieved in the Scoping Mission and negotiations with partner organizations. They are expected to actively participate in the formulation of this proposal, particularly in regard to its technical aspects.

b) ABC will carry out its own appraisal of the **Preliminary Project Document**, or **Preliminary Preparatory Action Document**, according to the guidelines provided in this section (see **Section 11.3.3** below), which includes preparation of a **Technical Note on Compliance**, which will advise one of the following:

i. Recommend that the Preliminary Project Document or Preparatory Action Document is <u>approved</u>;
ii. <u>Request adjustments</u>, if inconsistencies and inadequacies are found;
iii. Recommend that the Preliminary Project Document or Preparatory Action Document is <u>refused</u>, with appropriate justification;
iv. <u>Request adjustments</u> **and** <u>recommend provisional approval</u>, concomitantly.

Note: In the cases of recommendations 'ii', 'iii' or 'iv' above, the Technical Note should clearly indicate the items or elements of the proposal that do not observe compliance standards, in addition to proposing possible measures to correct or adjust such inconsistencies or inadequacies.

c) ABC´s internal procedures related to approving, refusing or submitting Preliminary Project/ Preparatory Action Documents are as follows:

- Upon internal approval of the preliminary proposal, ABC will submit it for analysis and formal approval by the other Brazilian partners. ABC will make any required adjustments and re-submit the proposal. Once the Preliminary Document is finalized, ABC will prepare an **Amendment to the Technical Note**. This protocol should be repeated as many times as necessary until final approval is achieved;
- If the proposal is refused, ABC will take the necessary measures to communicate this decision to the Brazilian and partner country partners;

d) As soon as ABC receives the formal approval from the Brazilian partners, it will submit the Preliminary Document for appraisal and formal approval by the partner country partners. If needed, adjustments will be agreed upon via official correspondence.

e) Following their approval of the Preliminary Project/Preparatory Action Document, the partner country partners inform ABC via official correspondence.

f) If changes were made after negotiations were held with partner country partners, ABC will re-submit the Preliminary Project/Preparatory Action Document to the Brazilian partners for reappraisal and approval. If approved, they will inform ABC via official correspondence.

g) Following receipt of the official correspondence mentioned in items 'e' and 'f' above, ABC will prepare an **Amendment to the Technical Note on Compliance** for a new round of appraisal and recommendations (approval, refusal, request for adjustments, or approval and request for adjustment) (see item ´b´ above).

h) ABC will arrange the follow-up to the recommendation resulting from the '**Amendment to the Technical Note on Compliance** in accordance to item 'c' above.

i) ABC will send an official correspondence to the signatory Parties with the intention of:

- Indicating approval of the Project Document or the Preparatory Action Document by all parties;
- Outlining signature procedures;
- Describing the steps leading to preparation, negotiation and approval of a **Complementary Agreement** or an **Executive Agreement**, as applicable (see Part I).

j) ABC will draft a preliminary Complementary Agreement or Executive Agreement document. Upon approval by the Ministry of Foreign Affairs of Brazil, this document will be submitted for appraisal, adjustments and/or approval by relevant partner country authorities via official correspondence. Because the Complementary Agreement and the Project Document are closely related, changes to the content of one might require changes to the content of the other.

k) Finally, the Project or Preparatory Action Document and the Complementary Agreement or Executive Agreement are both signed by their respective parties, no longer than three months after approval of the Preliminary Project or Preparatory Action Document. If this deadline expires, these documents should be reviewed and, whenever necessary, adjusted in light of any new circumstance, particularly when affecting the work plan and/or implementation schedule. In no circumstances should the Complementary/Executive Agreement be signed after the Project or Preparatory Action Document.

11.3.3 Appraisal of South-South Technical Cooperation Projects and Preparatory Actions

General Guidelines

Appraisal of Preliminary Project and Preparatory Action Documents is carried out to ensure the quality of South-South Technical Cooperation initiatives. Through this analysis, the content and the format of Preliminary Project and Preparatory Action Documents should be assessed with regard to the following standards:

a) South-South Technical Cooperation principles and guidelines adopted by the Brazilian Government.

b) Technical cooperation programmatic frameworks and agreements existing between the Brazil and the partner country.

c) The official Standard Project Document or the Standard Preparatory Action Document (**Annex A4** and **Annex A5**).

d) The appraisal guidelines shown below.

Guidelines for Appraisal of Project Proposals

1. Eligibility criteria for South-South Technical Cooperation Initiatives	
1.1 Concerning the purpose of the proposal and modalities of technical exchange:	Preliminary Project Documents, hereinafter referred to as ´proposals´, are appraised according to the following criteria: **I. The following are eligible for South-South Technical Cooperation Projects:** 1.1 Concerning the **purpose** of the initiative: • Social and economic development initiatives (which differ from humanitarian aid and other similar initiatives) based on the sharing of knowledge, practices and experiences between Brazilian agencies/ organizations and their homologues in developing countries. 1.2 Concerning the **modalities** of technical exchange: • Human resources capacity development activities (seminars, courses, trainings and technical workshops); • Design and implementation of methodologies, techniques, strategies and approaches; • Development of management models, administrative tools and/or production and operational processes for organizations; • Preparation of studies, analyses, surveys and assessments of technical nature; maps; manuals; booklets and related publications; • Provision, purchase or transfer of material resources (goods, equipment), providing it falls under an eligible category for technical support. **II. The following are ineligible for South-South Technical Cooperation Projects:** • Budget support or cash transfers in any form; • Subsidized lending, lines of credit, revolving funds, or any other type of financial instruments; • Scholarships or any action in the academic field; • Acquisition of property (lands, buildings); • Construction and/or renovation of physical infrastructure on a large scale; • Payment of recurring expenses or funding of regular activities of partner country partners or other beneficiaries (e.g. payment of staff salaries, recovery of public service tax; • Direct provision of public goods and services (*e.g.* operation of schools, hospitals and police stations, police patrol, building sanitation infrastructure or transport infrastructure, garbage collection); • Provision of occasional or continuous professional services to support regular activities of the partner organizations (*e.g.* legal advice, medical professionals, IT support).

1. Eligibility criteria for South-South Technical Cooperation Initiatives *(Continuation)*	
1.2 Concerning the principles and guidelines adopted by the Brazilian Government in regard to South-South Technical Cooperation:	**Concerning the South-South Technical Cooperation principles and guidelines adopted by the Brazilian government:** **I. The following are eligible for South-South Technical Cooperation Projects:** • Initiatives focused on sharing experiences (e.g. knowledge, methodologies, and experiences) **available in Brazil**. These can be reformulated and adapted to the context of partner country, supporting the development of new practices, methods, techniques or policies by the beneficiaries; • Initiatives with direct and effective participation of Brazilian partners sharing knowledge and experience in the project sector/sub-sector or thematic area); • Initiatives aligned with technical cooperation programmatic frameworks and agreements between Brazil and the partner country. In light of this, project proposals should clearly and satisfactorily present **the project´s rationale for knowledge sharing and capacity development**. This should include and adequate explanation of how access to, and adaptation of, the knowledge and experiences exchanged by means of South-South technical cooperation, are expected to successfully contribute to the development of capacities of partner country partners. Two items of the Project Document are especially dedicated to this: **Item 2.3 Brazilian Experience** and **Item 2.4: Justification** in **Annex A4: Standard South-South Technical Cooperation Project Document**). **II. The following are ineligible for South-South Technical Cooperation Projects:** • South-South Technical Cooperation initiatives that duplicate other projects and activities between Brazil and the partner country, regardless of their stage of implementation (under identification, scoping, formulation, execution or completed). Overlapping (duplicity) may occur: i. With regard to the problem targeted by the initiative, and/or; ii. With regard to the capacities that will be developed, complemented and disseminated.
2. On Content	
2.1 Sectorial context:	**The Project Document should:** a) Provide a brief account of the state of affairs of the sector, subsector and/or thematic area that encompass the problem or initial situation targeted by the initiative (Item 2.1 of the Project Document). b) Briefly describe the institutional arrangements existing for the sector or subsector or cross-sectors encompassing the problem or initial situation targeted by the initiative. c) Explain how the project relates to governmental policies or initiatives, or yet private or third sectors initiatives of the partner country in regard to the same sector/subsector/thematic area. d) Explain how the Project is aligned with existing programmatic frameworks (*e.g.* technical cooperation agreements) between Brazil and the partner country. e) Mention occasional complementary initiatives between Brazil and the partner country in the same sector, subsector or thematic area targeted by the project under appraisal.

2.2 Problem or situation:	**The Project Document should provide:** a) An assessment of the problem or initial situation the project is set out to transform, together with a clear and brief description of the causes and negative effects this problem or situation generates, bearing in mind how relevant it is for the partner country to address and overcome such issues. b) A description of the profile and needs of the population affected by the targeted problem/initial situation (project direct and indirect beneficiaries).
2.3 Justification:	**The following should be verified:** a) That the proposal clearly presents and explains the situation expected after project completion. b) That the project justification is adequately stated (i.e. if its rationale is clearly based on attending to the needs of direct and indirect beneficiaries). Thus, it is important to verify if there is a clear and direct relation between the results and benefits that the project is supposed to produce, and the effects of the problem/initial undesirable situation on beneficiaries. The project Implementation Strategy and Logical Framework should further develop this point by providing a convincing rationale for how the project is prepared and expected to effectively solve that problem or transform said situation (see below).
2.4 Logical Structure Components:	**The following should be verified:** a) With regard to the **Development Objective:** i. Does this statement coincide with the long-term positive effects of any ongoing public policy or program the partner country has in place? ii. Does this statement clearly aim to contribute to the achievement of any international development goal? b) With regard to the **Specific Objective:** i. Is there a clear cause-and-effect relationship between the Specific Objective and the problem/initial situation? ii. Is the Specific Objective statement clearly written, as a single sentence? Compound sentences are not acceptable. *Example of an INCORRECT statement: 'Implement 'x' in order to develop the capacity of 'y' and, therefore, provide the means for achieving 'z'.'* c) With regard to **Outcomes:** i. They should be straightforward and measurable; ii. They should be written in just one simple sentence referring to the capacity to be developed, complemented or disseminated by means direct project intervention. d) With regard to **Outputs**: i. Output statements should be formulated using verbs in the past tense (e.g. 'studies carried out', 'classes taught'). e) **Activity statements** should be written with verbs in the infinitive.

2.5 Coherence in the Logical Structure:	First, it is necessary to check if the Logical Structure is complete. Then, a ´**logical consistency test**´ should be applied by asking the following question: '*Do all components connect to each other in a logical way?*' This is done by verifying the vertical cause-and-effect relationships existing between the various Logical Structure components, beginning from the bottom (Activities) up to the top (Development Objective). If the project is properly designed, the following will be true: i. The Activities envisaged for each Output are necessary and sufficient to produce it; ii. The Outputs are adequate and sufficient to achieve their respective Outcome; iii. Each Outcome represents a necessary, though not sufficient, condition to solve the main problem. This is equivalent to achieving the Specific Objective; iv. If the Specific Objective is achieved, then the project will have contributed to achieving the Development Objective; v. The Development Objective consists of a viable solution to the problem/ initial situation targeted by the project. In addition, The Development Objective, the Specific Objective, the Outcomes, the Outputs and the Activities should be clearly stated.
2.6 Implementation Strategy:	The Implementation Strategy (Item 4.1 of the Project Document) should: a) Clearly describe all the steps required to produce the Outputs and achieve the expected Outcomes in an interconnected and logical way. b) Describe the methods to be used in order to transform the technical, human, physical and financial resources into outputs and outcomes. c) Assign roles and describe the respective contributions of the various actors involved (partners responsible for project coordination, technical implementation and financial & administrative execution, as well as beneficiaries and other stakeholders), in addition to presenting the institutional arrangements that will provide the means for a successful interaction between them.
2.7 Logical Framework:	a) The Logical Framework should be an integral part of **all** proposals for South-South Technical Cooperation. b) The Logical Framework is formulated on the basis of the Specific Objective and the Outcomes, but it may also include the Outputs. The following should be verified: i. If qualitative and quantitative indicators and respective targets have been assigned to the Specific Objective and the Outcomes, in addition to qualitative output indicators; ii. If the Means of Verification represent verifiable sources of evidence for their respective indicators.
2.8 Implementation Schedule:	The following should be verified: a) That measurable targets were assigned for the Activity implementation (deadlines) and Output delivery. b) That these targets are reasonable and coherent with the complexity and number of planned activities. c) That there is a logical sequencing/order between Outputs and their respective Activities, between the Activities themselves, and between the Outputs themselves.

2.9 Sustainability:	Elements of sustainability should be present in three specific items of the Project Document: a) Item 4.2: Sustainability should explain the measures to be adopted by partners in order to promote effective application and dissemination of the capacities to be developed or complemented by the project (multiplier effect). b) Section III: Logical Structure should explain the necessary conditions for achieving an effective change in the status quo regarding the initial problem/situation targeted by the project (and reflected in its the logical components). c) Item 4.1: Implementation Strategy should describe both internal (*e.g.* political, governance, financial and administrative) and external measures (*e.g.* partnership building with relevant organizations) to ensure effective participation in the project by all parties and access to the technical, institutional and financial resources required for the continuity of the results achieved.
2.10 Risks and Mitigation Measures	Proper mitigation measures should have been planned.
2.11 Management, Monitoring and Evaluation Mechanisms:	The Project Document should describe the joint decision-making mechanisms for the initiative (*e.g.* Project Steering Committee), in addition to arrangements related to preparing, negotiating and approving Monitoring Reports and Project Review Documents. The necessary guidelines, methods, outputs and resources related to project evaluation should also be provided for (What, how and when to evaluate? What resources are required?).
2.12 Inputs and Budget:	Verify: a) First, that the planned resources are adequate and sufficient for successful and timely project implementation. This is done by assessing the quality and quantity of inputs against their related activities. b) Next, that budget formats are appropriate. c) Then: • That the budget table is referenced by calendar year (2013, 2014, 2015, …) and not by "Year 1", "Year 2", etc.; • That there is a column of totals; • That the figures are shown per component/budget line item; • That planned resources have been assigned to specific and appropriate budget line items or sub items. Resources cannot be considered other than in relation to the estimations entered in the budget tables; • That in-kind contributions have been assigned. d) Finally, that planned resources have not been under- or overestimated in each budget line item (*e.g.* man-hours, travels, equipment).

3. On Format

The proposal should have been formulated in accordance to the standard template and should contain all items and required information (**Annex A4: Standard South-South Technical Cooperation Project Document**).

Guidelines for Appraisal of Preparatory Actions

1. Eligibility criteria	
1.1 On the purpose of the Preparatory Action:	The proposal should conform to the goals of South-South Technical Cooperation Preparatory Actions, that is, to set the grounds and conditions for partners to jointly formulate a successful Project or Program Document proposal, as described in Part I. Under no circumstances may a Preparatory Action anticipate the activity or budgetary implementation of this future Project or Program.
1.2 On the modality of technical exchange:	Proposals should be appraised against the following criteria: **I. The following are <u>eligible</u> for Preparatory Actions:** • Activities related to the Analytical and Planning Stages of the Scoping Phase, such as collection of baseline data and mapping stakeholders and capacities, preparatory workshops/seminars for data collection, problem/solution and action strategy analyses (see Section 9 of this Manual); • Ad-hoc training sessions (e.g. workshops, presentations) exclusively aimed to providing partners with the necessary skills and opportunity for jointly formulating a project or program proposal. **II. The following are <u>ineligible</u> for Preparatory Actions:** • Medium and large scale training programs; • Procurement of equipment, immovable assets or property assets; • Construction and/or renovation of infrastructure of any scale; • Budget support or cash transfers in any form; • Subsidized lending, lines of credit, revolving funds, or any other type of financial instruments; • Scholarships or any action in the academic field; • Acquisition of property (lands, buildings); • Construction and/or renovation of physical infrastructure on any scale; • Payment of recurring expenses or funding of regular activities of partner country partners or beneficiaries (*e.g.* payment of staff salaries, recovery of public service tax; • Direct provision of public goods and services (e.g. operation of schools, hospitals and police stations, police patrol, building sanitation infrastructure or transport infrastructure, garbage collection); • Provision of occasional or continuous professional services to support regular activities of the partner organizations (*e.g.* legal advice, medical professionals, IT support).
1.3 On the principles and guidelines adopted by the Brazilian Government regarding South-South Technical Cooperation:	Verify: a) That the initiative is based on knowledge sharing and interchange of experiences available in Brazil. b) That activities have been planned so as to allow direct and effective participation of the Brazilian partners that will share their experiences and knowledge. c) That the proposal does not overlap or duplicate other South-South Technical Cooperation initiatives between Brazil and the partner country.
1.4 Duration:	The maximum duration of a Preparatory Action is 18 (eighteen) months.

1.5 Format:	The proposal should have been formulated in accordance to the Standard Preparatory Action Document (Annex A5) and should contain all items and required information therein.
2. On content	
2.1 Situation Analysis:	This section of the proposal should: a) Clearly state the purpose of the initiative. b) Provide a brief account of the state of affairs of the sector, subsector and/or thematic area that encompasses the problem/initial situation to be targeted by the future project resulting from the Preparatory Action. c) Indicate possible interfaces between the Preparatory Action and: • Government actions carried out by the partner country in the same sector or thematic area; • Other cooperation initiatives between Brazil and the partner country.
2.2 Outline of the future project:	This section should provide a brief description of the future project, its overall expected results and beneficiaries, as well as a clear explanation of the main problem that gave rise to the technical cooperation request by the partner country.
2.3 Justification:	The following question should have been answered objectively: '*Why have partners decided to cooperate in order to design and implement the future project/program?*' or '*Why is the Preparatory Action necessary?*'. The answer to these questions requires proper contextualization.
2.4 Logical Structure Components:	a) The <u>Objective</u> of a Preparatory Action should always be to provide the means for joint formulation of a future South-South Technical Cooperation Project or Program. The Objective statement should be written with verbs in the infinitive. b) The <u>Outcome</u> should be <u>strictly related</u> to knowledge generation and data collection and analysis so as to provide the means for joint formulation of the future project or program. Vague outcome statements are to be avoided. Outcome statements should be formulated with verbs in the past tense. c) <u>Outputs</u> should coincide with goods and services that the Preparatory Action is capable of producing and delivering by its own means, without resorting to complementary or other external resources, and in accordance to its eligible purpose. Outputs may include: collection of baseline data, viability studies, situation assessments, appraisals, sets of indicators for the future project, design of inter-institutional arrangements, preparatory workshops/seminars, mappings of stakeholders and capacities, application of project formulation tools such as problem and solution analysis and action strategy analysis (see Part II), as well as joint preparatory missions. Training should be ad-hoc and their content strictly related to achieving the Preparatory Action objective. Output statements should be written with verbs in the simple past. d) Coherence between the logical structure components should be verified.
2.5 Implementation Strategy:	The Implementation Strategy should: a) Clearly describe all the steps required to produce the Outputs and achieve the expected Outcomes in an interconnected and logical way. b) Inform the roles and describe the respective contributions of Brazilian and partner country partners, in addition to presenting the technical and institutional arrangements that will provide the means for a successful interaction between them.

2.6 Joint Management and Coordination:	It should be verified that adequate joint management and coordination mechanisms have been proposed.
2.7 Inputs and Budget:	Verify: a) First, that the planned resources are adequate and sufficient for successful and timely project implementation. This is done by assessing the quality and quantity of inputs against their related activities. b) Next, that budget formats are appropriate. c) Then: • That the budget table is referenced by calendar year (2013, 2014, 2015, …) and not by "Year 1", "Year 2", etc.; • That there is a column of totals; • That the figures are shown per component/budget line item; • That planned resources have been assigned to specific and appropriate budget line items or sub items. Resources cannot be considered other than in relation to the estimations entered in the budget tables; • That in-kind contributions have been assigned. d) Finally, that planned resources have not been under- or overestimated in each budget line item (*e.g.* partner expert man-hours, travel, equipment). ***Note***: *The following are ineligible for Preparatory Actions: Procurement of equipment and immovable or property assets, and renovation of infrastructure/facilities on any scale.*
2.8 Work Plan:	Measurable targets should have been assigned for activity implementation and output delivery. Measurable targets should be compatible and correlated with the implementation schedule.

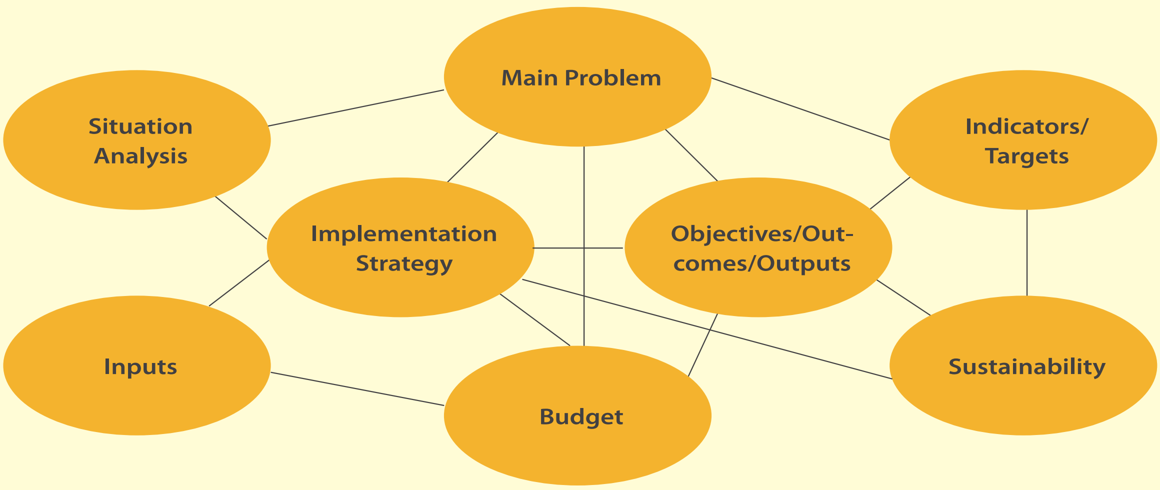
Box 8 - Method for Assessment of Proposals of South-South Cooperation Initiatives

The contents of a Project or Preparatory Action proposal should not be read as a linear sequence, from one end to another, in a one-dimensional way (Figure 16 below).

Figure 16 - Ineffective way of reading a project proposal (linear sequence)

Instead, a project document should be understood on the basis of the structural interactions existing between its various components. Each one plays a specific, although interdependent, role. Thus, proposals should be approached as a web of multiple, complex and interconnected relationships, as shown in Figure 17 below.

Figure 17 - Correct way of reading project and preparatory action proposals (in a multidimensional way)



Consequently, proposals are better analyzed through a multidimensional perspective: first, each component in the Project/Preparatory Action document should be assessed in terms of its intrinsic quality; then, by taking into consideration vertical, horizontal and cross-cutting coherence with the other components.

Figure 18 - Vertical and Horizontal Coherence between Project Components

Vertical relation	↕ Development Objective Specific Objective Outcomes Outputs Activities Inputs Budget
Horizontal relation	Schedule + Indicators ⟷ Objectives + Outcomes ⟷ Inputs + Budget

Adapted from ABC/MRE (2008)

Figure 19 - Crosscutting Coherence between Project Components

Logical Structure	Schedule/ Deadlines	Inputs	Budget
Specific Objective			
Outcome 1			
Output 1.1			
Activity 1.1.1	Month y		
Activity 1.1.2	Month x to y	1 airline ticket x USD 5,000.00 x 2 experts	USD 10,000.00
Output 1.1	Month y	1 pc. of equipment x USD 2,000,00	USD 2,000.00
Activity 1.1.1	Month z to w		
Activity 1.1.2	Month w		
...			
Outcome 2			
Output 2.1		2 course sessions x USD 10,000.00	USD 20,000.00
Activity 2.1.1		20 course books x USD 10.00	USD 200.00
Activity 2.1.2			
		Total	USD xx,xxxx.xx

Horizontal coherence

Vertical coherence

Cross-cuttong coherence

Adapted from ABC/MRE (2008)

11.4 Phase IV. Implementation and Monitoring

11.4.1 Purposes of the Implementation and Monitoring Phase

This phase encompasses two interconnected and interdependent dimensions of the management cycle for South-South Technical Cooperation initiatives. The first refers to technical implementation and financial & administrative execution, and the second to the continuous monitoring process, which relies on a participatory approach to follow up on the progress towards the achievement of results.

The goals of this phase are:

- To produce the outputs, generate the expected outcomes and, thus, contribute to the achievement of specific and development objectives.
- To mobilize and manage available resources in the most efficient way possible.
- To monitor and report on performance so as to make necessary adjustments in the course of action in a timely manner.

11.4.2 Implementation of South-South Technical Cooperation Initiatives

The implementation of South-South Technical Cooperation Projects and Preparatory Actions is divided into three stages:

- **Inception**: Project operations are set in motion; detailed work plans are prepared, and partners and resources are mobilized.
- **Development**: Activities are carried out in accordance to the implementation strategy; goods and services are produced and delivered.
- **Completion**: The exit strategy is put into practice and the responsibility for the South-South Technical Cooperation initiative and its outcomes is progressively transferred to the beneficiaries.

11.4.3 Tasks and Procedures of the Implementation Phase

For the Inception Stage:

a) As the Brazilian partner responsible for administrative & financial execution, ABC will:

- Register the Project or Preparatory Action in its project management system and completing it with information from the respective Document, particularly in relation to budget values and targets of the Implementation Schedule;
- Forward the Project Document or the Preparatory Action Document to its administrative department for adequate financial-administrative procedures;
- Request that Brazilian and partner country partners designate the members of the Project Steering Committee (PSC);
- Mobilize Brazilian and partner country partners and stakeholders, as well as hold meetings and establish other forms of contacts for project initiation;
- Prepare and review a draft work plan and submit it for analysis by the other partners in Brazil and the partner country.

b) The Brazilian and partner country partners responsible for technical implementation (´technical partners´) will:

- Designate their respective representatives to the Project Steering Committee (PSC);
- Mobilize resources for allocation into the Project or Preparatory Action activities;
- Participate in meetings and make arrangements for initiating activities;
- Recommend adjustments to the draft Work Plan, when necessary.

For the Development Stage:

a) As the Brazilian partner responsible for administrative & financial execution, ABC will:

- Monitor performance of the Project or Preparatory Action using tools and instruments for internal follow-up of administrative, financial and budget execution;
- Take operational measures related to the organization and production of outputs, counting on occasional support from the Brazilian Embassies or diplomatic posts in the partner country;
- Prepare the agenda and the minutes of PSC meetings, whenever necessary;
- Prepare, jointly with the Brazilian technical partners:
    - o Terms of reference of implementation and monitoring missions according to the standard template (**Annex A8: Template of Terms of Reference for Missions**) and submitting them to analysis and approval by the other partners;
    - o Terms of reference for procurement of goods, equipment and services, as provided for in the Project Document;
    - o Occasional proposals for project/preparatory technical reviews;
    - o Occasional financial and administrative reviews;
    - o Project/Preparatory Action Progress Reports to be submitted to analysis, occasional adjustments and approval by partner organizations before PSC meetings;
    - o Terms of reference of mid-term evaluation and mid-term evaluation missions, whenever necessary, in addition to output evaluation instruments.

b) The Brazilian technical partners will:

- Ensure that implementation mission reports and activity reports are dully prepared and delivered;
- Designate officers and experts to participate in technical and coordination activities, as well as representatives in the Project Steering Committee, where applicable;
- Prepare, with ABC, the terms of reference for implementation and monitoring missions, and for provision of in-kind resources and procurement, as provided for in the Project Document; agendas and minutes of Project Steering Committee meetings; regular Progress Reports; project reviews proposals; terms of reference for mid-term evaluation and evaluation missions, where applicable, as well as output evaluation instruments.

c) The partner country technical partners will:

- Ensure that implementation mission reports and activity reports are dully prepared and delivered by the relevant staff taking part in the initiative;

- Analyze, recommend adjustments and approve: terms of reference for implementation and monitoring missions; terms of reference for procurement of goods and services; agendas and minutes of Project Steering Committee meetings; Progress Reports; project reviews; terms of Reference for mid-term evaluation and evaluation missions;

- Provide local support and logistics to activities implemented in the partner country (e.g. transport, facilities, training materials);

- Designate one institutional focal point and one technical focal point for the Project or Preparatory Action;

- Take part in the Project Steering Committee (PSC) as well as in project coordination, monitoring and evaluation alongside their Brazilian partners.

For the Completion Stage

The Brazilian and partner country partners are responsible for jointly formulating and putting in motion the exit strategy for the initiative, establishing a set of parameters for its successful completion and sustainability of results. Such conditions relate to:

- **Technical aspects**: Partners are expected to take joint action to ensure that the necessary conditions are in place for continuous application and dissemination of the capacities that have been developed after the initiative is completed.

- **Administrative aspects** related to the transfer of responsibilities and project assets to the partner county partners at the end project.

- **Financial aspects** related to financial closure of the project, such as the use of remaining resources (financial balance) as well as payment of remaining financial obligations.

11.4.4 Guidelines for Monitoring

Monitoring is the continuous and systematic process of data collection and analysis in support of project implementation and management. Through monitoring, it is possible to assess whether or not Outputs and Outcomes are being produced according to plan, if resources are being efficiently and effectively mobilized and applied, and if risks are being effectively averted or mitigated. Thus, monitoring aims to provide the means for identification of obstacles and challenges found along the way, as well as for timely adoption of corrective measures. Moreover, it is through monitoring that project strengths and achievements are revealed during project implementation.

Monitoring encompasses continuous collection and analysis of information related to:

- Progress towards the achievement of outcomes and objectives by way of comparing targets planned with targets achieved.
- Effectiveness in joint coordination and management, including risk management.
- Continuity of project relevance in regard to the needs of beneficiaries and sustainability of the results which are being generated by the partnership.

Monitoring is carried out concomitantly with technical implementation and administrative & financial execution so as to allow identification and corrective measures for problems, nonconformities and risks as they arise.

There are two dimensions in monitoring: **Process Monitoring** (operational aspects) and **Monitoring of Effects** (technical aspects).

- **Process Monitoring** refers to the follow-up on project execution as envisaged in the Work Plan. Its purpose is to continuously assess, review and report on project performance as related to the use of financial resources, execution of activities and delivery of outputs by comparing what was planned to what is actually being achieved. Indicators used in process monitoring correspond primarily to the operational targets established in the implementation schedule (deadlines for execution of activities) and financial plans (work plan budgets).

Process monitoring can be accomplished by asking questions such as:

- *Are financial, technical, human and material resources adequate in terms of quantity and quality?*
- *Have activities and outputs been implemented and delivered within deadlines?*
- *Are financial resources being used in conformity with the budget? Is it necessary to reallocate resources?*
- *Have expected and unexpected risks arisen? How should they be dealt with?*
- *Do partners continue to share the same understanding of project rationale and strategy?*

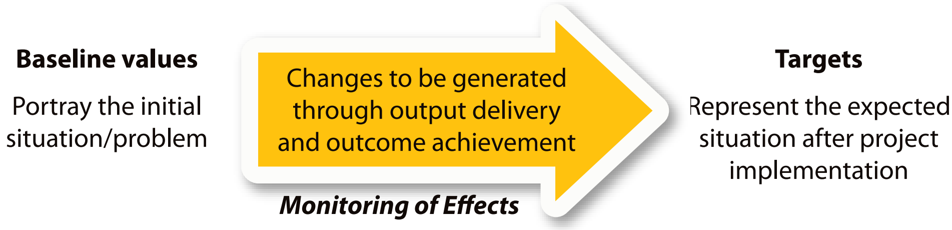
- **Monitoring of Effects** refers to systematic and continuous collection, analysis and documentation of qualitative and quantitative data on the achievement of objectives and outcomes. As such, it focuses on changes in outcome and specific objective indicators as well as in qualitative output indicators. Additionally, it allows assessment of the potential for sustainability of partial positive effects as they are being produced.

Examples of questions for monitoring project effects:

- *When compared to the baseline, are outcome and specific objective targets being achieved?*
- *'Does the situation/problem targeted by the project continue to be same as before? What changes could be observed? How can that be explained?'*
- *Have individual capacity improvements been generating organizational capacity gains?*
- *Which actions could stimulate the use of improved individual capacity in the organizational context?*
- *Which actions could stimulate the transform organizational capacity achievements into inter-institutional capacities?*
- *Do expected positive effects continue to be relevant to the needs of beneficiaries? And in regard to changing project environment? Are adjustments required?*

Monitoring of effects and process monitoring are both required for all South-South Technical Cooperation initiatives, regardless of their duration, budget, technical and operational complexity, sector or geographic location.

Figure 20 - Monitoring of Effects (Outputs, Outcomes and Specific Objective)



The primary frames of reference in monitoring are the Logical Framework, the work plan/implementation schedule and the budget. They should not be regarded as fixed, unalterable structures. On the contrary, they may be subjected to suitable adjustments as the initiative progresses. This provides partners with the opportunity to improve the initiative´s design in order to address bottlenecks and shortfalls identified through monitoring.

With a view to ensuring that Projects and Preparatory Actions are coordinated and monitored in a participatory and inclusive way, Brazilian and partner country partners should appoint an institutional and a technical focal point to act as their representatives throughout the initiative. Should appointees need to step down from these responsibilities, substitutes should be promptly designated.

11.4.5 Monitoring Mechanisms and Tools

During the Implementation Phase, decision-making regarding technical and operational aspects of project execution is based on information from progress reports and other monitoring tools. Decisions may refer to recommendations for project review, suspension or cancellation.

a) Monitoring Reports:

Monitoring reports document the progress achieved during the reference period, and provide the grounds for project reviews and future evaluations. They also register changes to what had previously been planned. As such, brief reports, with quality data and data analysis, are indispensable tools for accountability within technical cooperation initiatives.

The main types of monitoring reports are the following:

- **Progress Reports** assess and record performance towards achievement of qualitative and quantitative targets during project implementation. It is used for both process monitoring (operational targets) and monitoring of effects (positive changes benefitting direct and indirect beneficiaries), with emphasis on the latter.
- **Administrative Reports:** These correspond to financial, budgetary and other operational reports used to support planning, decision making, accountability and compliance. Administrative reports are produced by appropriate automated project management information systems.

b) Monitoring Missions

Monitoring missions are crucial for efficient and effective implementation of Projects and Preparatory Actions because they allow partners from different and often distant countries to meet and interact in person. They are often carried out together with implementation missions to the partner country and comprised of staff from Brazilian partners responsible for technical implementation and coordination. Monitoring missions should be planned along with other monitoring and evaluation mechanisms included in the Project Document and budget.

c) Project/Preparatory Action Steering Committees (PSC)

The **Project/Preparatory Action Steering Committee (PSC)** is one of the main mechanisms for management and coordination of South-South Cooperation partnerships. During PSC meetings, partners discuss performance, deliberate on other management issues and make joint strategic decisions such as adjusting project scope and design.

The PSC is composed by representatives from Brazilian and partner country partners responsible for project coordination, technical implemention and financial & administrative execution. Head officers of each partner organization hold a seat in the Committee, or appoint a representative to take part, on their behalf, in the Committee´s regular activities. When partner roles in coordination, implementation and execution overlap, the number of respective representatives holding a seat in the PSC should be the same for all partner organizations.

Every South-South Technical Cooperation Project or Preparatory Action should have its own committee. Some initiatives may have two committees: one to address technical issues and the other to deliberate on strategic and operational matters.

A standard structure of Project and Preparatory Action Steering Committees is shown below.

Figure 21 - Standard Structure of Project and Preparatory Action Steering Committees

Project Steering Committees should meet on a regular basis (biannually or annually, depending on total project duration), in person or remotely (*e.g.* via videoconference), so as to fulfill the following functions:

- Provide strategic, technical and operational guidance.
- Monitor and follow up on project performance towards the achievement of outcomes and objectives, as well as oversee quality of activities/outputs and sustainability of results.
- Analyze and approve Progress Reports, Annual Work Plans, Terms of Reference for Evaluations, Project Evaluation Reports, and the Final Report.
- Deliberate on project extension, modifications to the project´s technical scope and budget revisions, as well as approving Project Review Documents.

The Logical Framework should serve Steering Committees as the main instrument in support of results based management during the implementation phase, as well as the main frame of reference to guide preparation and analysis of progress reports and evaluation activities.

In addition to regular meetings, Committee members (institutional and technical focal points from partner organizations) should gather in person or remotely whenever possible, and keep in contact through appropriate communication channels. The last Project Steering Committee meeting is customarily the occasion to carry out an internal project final evaluation. When it comes to **Preparatory Actions**, Steering Committees have the same composition and functions as Project Steering Committees. The former may also meet remotely, at least twice: once for inception and once for closure.

Box 9 - Basic Roadmap for Project Steering Committee Meetings

- Opening and initial remarks by representatives from partner country and Brazilian partners, including remarks by ABC/MRE representatives.
- Presentation of outputs delivered and outcomes achieved since the previous meeting, together with presentation and deliberation on information concerning project implementation during the period of reference (past year or semester). Deliberations should also focus on problems and respective adjustments as recommended during the previous meeting.
- Comments on project progress by each partner.
- Discussion and joint analysis of the Work Plan proposal for the following period (year or semester).
- Discussion about needs related to technical, operational, budget or administrative adjustments.
- Preparation of draft meeting minutes, briefly stating the issues that have been discussed, conclusions, recommendations and actions required. After the meeting, the minutes should be made available to all committee members for perusal and adjustments, as required, and signed. The minutes should include the date and a list of participants with their respective names, positions, organizations, e-mail addresses and telephone numbers.

11.4.6 Main Decisions of the Implementation and Monitoring Phase

a) Reviews:

Reviews aim to change the content of a Project Document or Preparatory Action Document in view of adjustments identified and agreed upon by partners. Such changes may relate to technical or operational issues, budget and other resources, and/or to the duration of the initiative.

Types of Review, according to purpose:

- **Reallocation of funds:** Allows reallocation of funds between budget lines, or between Activities, Outputs and/or Outcomes, provided that it does not result in increases or reductions in the total budget value.
- **Budget reductions or supplementation:** This type of review aims to reduce or supplement the project´s **total budget value**. The need for reviewing and updating the Project Document in such cases is preferably identified during PSC meetings, but it may also be identified any time during the implementation phase. Such reviews usually result in changes that should be reflected in the Logical Structure, in the required financial and in-kind resources or in other important project elements.
- **Changes in duration:** This type of review aims to either extend, or anticipate, the project´s expected end date. Whenever this type of review requires changes to Logical Framework components, the latter should be documented in the Work Plan for the following period.
- **Changes to the Logical Structure, Logical Framework and Implementation Strategy:** These changes serve the purposes of (i) substituting, cancelling or including Activities, Outputs and/or Outcomes, and/or (ii) substituting or including indicators and targets in the Logical Framework. In such cases, the Specific Objective should not be altered or substituted, since it represents the very reason for the project being in place. If partners should ever come to agree on the need to change the Specific Objective, the ongoing initiative should be cancelled and a new project cycle should be started.

Work Plan Reviews, by their turn, do not require changes to the Project or Preparatory Action Document. They serve the goals of (i) substituting, removing or including Subactivities, and/or (ii) adapting Activities and/or Output deadlines, as long as it does not result in extension or anticipation of the initiative´s expected end date.

b) Suspension:

A Project or Preparatory Action may be suspended due to the following reasons:

- Non-compliance with the clauses of the Complementary/Executive Agreement that support implementation of the initiative.
- Use of resources other than for the purpose of achieving the initiative´s Specific Objective.
- Poor operational and/or technical performance for a period longer than twelve months, or a period to be determined by partners.
- Interruption of activities in view of extreme events beyond Project/Preparatory Action control, such as natural disasters, civil unrest or international conflicts affecting one of the partner countries.
- Interruption of activities due to unavailability of Project/Preparatory Action budgetary or in-kind resources.
- Interruption of activities without proper justification.

Following suspension, if partners decide to re-establish the partnership, a Steering Committee meeting should be held before activities are resumed, with the view to (i) re-assess the capacity for Project/Preparatory Action execution and technical implementation, (ii) re-assessing feasibility and relevance of the initiative, especially with regard to the needs of beneficiaries, and (iii) selecting the type of review most suitable for the Project/Preparatory Action´s new status and context.

c) Cancellation:

Cancellation of an ongoing technical cooperation initiative is an extreme measure. It should be considered only as a last resort in face of extraordinary circumstances.

11.4.7 Tasks and Procedures of the Monitoring Phase

The primary responsibility for initiation and execution of monitoring tasks related to South-South Cooperation initiatives customarily lies with the partner responsible for administrative/financial execution (ABC/MRE, for instance), with support from the other partners in Brazil and in the partner country. As such, the partner responsible for administrative/financial execution should implement the required procedures and controls and keep appropriate records.

a) Progress Report:

Project Progress Reports should be prepared and presented to partners at least once a year, regardless of PSC meeting schedules. For Preparatory Actions and for projects with maximum duration of two years, it is recommended that Progress Reports are prepared biannually. ABC/MRE, supported by technical implementation partners, will be responsible for preparing draft Reports, as well as for their submission to analysis of other Steering Committee members. Draft Reports should be submitted to partners at least four weeks prior to the next Steering Committee meeting.

Note on Progress Report Appraisal:[7]
A Progress Report should clearly state its period of reference. The following are other essential elements of a Progress Report: records on execution of activities, Work Plan and budget for the reference period; assessments of Project coordination and management, problems, obstacles, materialized risks and unexpected events and respective mitigation measures; follow-up measures for implementing recommendations and addressing pending issues presented in the previous Report. The minimum standard content of a Progress Report is provided in **Annex A10: Project Progress Report**.
Progress Reports should provide performance analyses directly related to Logical Framework components. Good Progress Reports strike a balance between descriptive information on operational and budgetary execution and qualitative assessments of output and outcome achievement during the reference period. Both analytical and the descriptive components of Progress Reports should be prepared with reference to the Logical Framework. Poor or unacceptable Progress Reports are those that merely present a list of administrative/financial tasks performed during the reference period, sometimes mistakenly highlighting operational strengths in order to mask poor performance achieving technical results.

[7] *Adapted from ABC/MRE, 2008.*

b) Administrative Reports:

As the Brazilian partner responsible for administrative & financial execution of initiatives, ABC/MRE will be responsible for regularly updating its project management information system with current data on Project/Preparatory Action operational execution, in addition to producing the various standard administrative reports related to it.

c) Monitoring Missions:

Regardless of the partner organization they represent, all participants in Monitoring Missions are expected to prepare and present a Mission Report in accordance with the standard template provided in **Annex A9**: Template for Mission Reports.

d) Reviews:

The partner responsible for administrative & financial execution of Projects and Preparatory Actions will be in charge of preparing drafts of Review Documents as soon as the need for such reviews has been jointly identified and agreed upon by Steering Committee members. Drafts of Review Documents will then be submitted for analysis by the other partners. Upon endorsement, all partners sign the Review Document.

e) Project/Preparatory Action Steering Committee Meetings:

Project Steering Committee meetings should be preceded by preparation of a draft Progress Report for the previous reference period, a draft Annual Work Plan (when applicable) and a proposed meeting agenda. The partner responsible for administrative & financial execution (most commonly ABC/MRE) will be in charge of presenting these documents to the other partners at least five days prior to the Steering Committee meeting. The agenda should include a list of meeting objectives, relevant issues to be addressed and deliberations to be made, together with a list of expected participants.

At the end of each Steering Committee meeting, draft minutes should be prepared and signed by Committee members. The Progress Report and the Annual Work Plan approved during the meeting should be attached. Recommendations in regard to project operational and technical performance should be recorded in the next Progress Report. Later, a final version of the minutes, containing a detailed account of talking points, deliberations, recommendations and follow-up measures, should be prepared and shared with members.

11.5 Phase V. Evaluation and Closure

11.5.1 Guidelines for Evaluation

Evaluation is a crucial aspect in the lifecycle of South-South Technical Cooperation initiatives, serving three important purposes:

- Performance measurement and assessment of efficiency, effectiveness and the potential for sustainability of the initiative.
- Quality assessment of initiative design, planning, management, coordination and implementation.
- Provide lessons learned and recommendations to improve Brazilian South-South Technical Cooperation.

Box 10 - Comparing Monitoring, Evaluation and Auditing

Monitoring and evaluation are managerial functions that allow assessment of project results. Despite differences, they are complementary processes of equal importance, given that monitoring provides information to be used in evaluation, and the latter, in turn, produces valuable lessons learned that can be used to improve monitoring methods in future initiatives.

Monitoring is a ***continuous*** process, carried out during project implementation, to oversee operational and budgetary performance, as well as to assess progress towards the achievement of partial results, so as to support decision making in management and coordination.

Evaluation: In contrast to monitoring, evaluation takes place **at a fixed point in tim**e, to determine how successful an initiative was. This is done by comparing planned outcomes with those that have actually been achieved. Aspects related to the context, the rationale and processes of the initiative are taken into consideration and determine what has worked and what has not, and why, with a view to generating learning opportunities for South-South technical cooperation.

Auditing refers to a meticulous and systematic examination of records and accounts of the activities undertaken within the scope of a technical cooperation initiative. Its goal it to ascertain reliability of financial and non-financial information and management controls, to ensure efficiency in resource allocation, and to verify compliance to relevant plans and applicable standards and regulations. Auditing is thus concerned with allocation, control and management of financial and non-financial inputs of technical cooperation initiatives and other operational issues.

11.5.2 Types of Evaluation

a) As to evaluation agents:

- **Internal evaluation** is steered and carried out by the partners directly involved in formulating, implementing and/or managing a project.
- **External evaluation** is carried out by consultants who were not involved in project formulation, implementation and/or management, based on terms of reference previously agreed upon and approved by project partners.

b) As to the timing of the evaluation:

- **Final Evaluation**: South-South Technical Cooperation Projects are mandatorily evaluated at the end of their implementation phase, following completion of the last activity. This type of evaluation is conducted and carried out by the partners directly involved in the project, and is considered, therefore, an internal evaluation. The Final Evaluation process culminates in the last Project Steering Committee (PSC) meeting, which will have been specially planned for this purpose.
- **Post-Project Evaluation** (or ***Ex-Post Evaluation***): Without prejudice to the Final Evaluation, when the Project Document so determines, or upon agreement by partners, projects may be subjected to a Post-Project Evaluation. This type of evaluation should be performed several months after project closure (in general after 6 to 24 months). Ex-post evaluation has the advantage of offering the opportunity and the conducive conditions for inferring project success, since it allows comparison between the initial values of the indicators (baseline) against data collected on the indicators sometime after the cooperation initiative has come to term. In addition to determining whether expected effects were generated or not (outcomes and their contribution to the accomplishment of the Specific Objective), the Post-Project Evaluation complements the evaluative exercise as a whole by adding an interpretive dimension in regard to explanations of ´how´ and ´why´ positive effects have or have not been achieved. For a successful Post-Project Evaluation, two key factors are to be taken into account: availability of detailed information about the initial situation before project implementation (to be compared against the changes/outcomes effectively produced), as well as previous definition (during project formulation phase) of quantitative and qualitative indicators in the logical framework. Evaluations of this kind are external, thus conducted by independent consultants. When evaluation is being carried out for the purpose of deciding whether a Project should be continued as an extended initiative (`Project Stage II´ for example), initiation of the new Project (Stage II) will depend on a positive evaluation of the preceding Project (Stage I).
- **Mid-Term Evaluation** is carried out half way through project implementation with a view to complementing monitoring data using an analytical approach to explain ´how´ and ´why´ the planned effects (Outcomes and Outputs, in this case) are being generated. The Mid-Term Evaluation is also focused on determining whether or not the proposed solution to the initial situation, or problem, is still relevant according to the views and needs of beneficiaries. It also recommends technical and operational adjustments, as required.

c) As to the object of evaluation

The types of evaluation described above generally relate to an initiative as a whole. Nevertheless, evaluation exercises may also focus on individual components, or sets of components, of a Project or Preparatory Action. In this regard, all outputs should be subjected to assessments, regardless of whether they are training sessions, surveys, studies or any other type of deliverable.

As such, **Output Evaluations** aim to infer the contribution of outputs to the achievement of their related outcomes, always according to the perspective of partner country partners and other direct beneficiaries. For this reason, the most common instrument for output evaluation is the questionnaire.

Regardless of type, all evaluations carried out within the scope of South-South Technical Cooperation initiatives are **participatory** in nature. Consequently, all partners, especially direct beneficiaries, should effectively participate in every evaluation exercise, particularly in the definition of evaluation questions and choice of interviewees. Dissemination of evaluation results should reach direct and indirect beneficiaries.

11.5.3 Scope of Evaluation

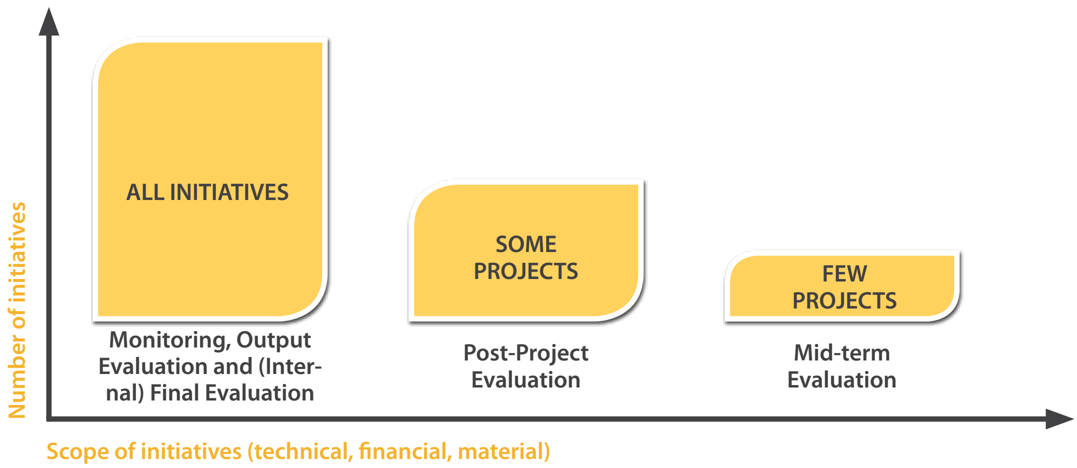
a) Projects:

- All South-South Technical Cooperation Projects should be subjected to a Final Internal Evaluation. All of their Outputs should undergo output evaluation.
- The Mid-Term Evaluation and the Post-Project Evaluation are carried out whenever partners so agree. An external Post-Project Evaluation is particularly recommended to all projects regarded as innovative and/or strategic to Brazilian South-South cooperation, due to the great value of the lessons learned they can generate.

b) Preparatory Actions:

- **Output Evaluation**: All Outputs of Preparatory Actions should be evaluated by means of instruments to be especially generated for this purpose (e.g. questionnaires, interviews).
- **Final Report**: The Final Report of this type of initiative should include, in addition to measurements of quantitative targets, a qualitative assessment of the accomplishment of Outputs, the Outcome and the Specific Objective.

Figure 22 - Monitoring and Evaluation of South-South Technical Cooperation Projects



Adapted from the Ministry of Health, Department of STD/AIDS.

11.5.4 Evaluation Analytical Framework (EAF) for South-South Technical Cooperation Initiatives

The **Evaluation Analytical Framework (EAF)** encompasses questions that provide directions for collection, analysis and presentation of the quantitative and qualitative data that the evaluation exercise is expected to produce. In what regards project evaluation, such 'evaluative questions' are to be prepared with reference to a minimum set of principles as well as to the elements to be evaluated, those being: planning and design of the initiative; performance related to the achievement of planned targets; efficiency and effectiveness in technical implementation and in financial and administrative execution; sustainability of outcomes, and project management and coordination. Questions related to these factors should be coupled with others allowing generation of the lessons learned from the partnership. Additional evaluation principles and elements may be included in the analytical framework.

The EAF should be previously approved by project partners and included in the Terms of Reference for each evaluation exercise (see **Annex A13: Guidelines for Preparing Evaluation Terms of Reference**).

Evaluation principles and aspects to be evaluated:

a) Design and planning:

Refers to how logical and coherent the project design is. Questions about project design and planning are related to:

- Identification and clear characterization of the problem targeted by the Project under evaluation (a clear and well-defined project objective will not produce conflicting interpretations and will be consistent with the initial situation/problem).
- Clear characterization of the Project´s purpose and scope (technical, strategic, time, material and financial aspects), including coherence and relevance of the logical structure and adequacy of logic framework components and estimated resources.
- Identification of direct and indirect beneficiaries and their needs and viewpoints in relation to the initial situation/problem or improvement opportunities as identified.
- Development of the idea behind the Project into a well-structured plan.

Examples of evaluative questions on project design and planning:

- *Did beneficiaries participate in project design and planning? If yes, how and to what extent did they take part in such a task?*
- *Did project design account for the individual and organizational learning needs, development of relevant networks and relationships, and relevant inter-institutional capacities?*
- *Was the Project based on a previous study or assessment that provided the means for identifying and contextualizing the initial situation/problem and pre-existing capacities of beneficiaries? Have baselines been determined?*
- *Have direct and indirect beneficiaries and their respective needs, in relation to the situation/problem, been sufficiently characterized?*
- *Is the Specific Objective sufficiently related to the initial situation/problem?*
- *Is, or was, the Project in line with development priorities (public policies and programs) of the partner country? Does the Development Objective embody one of such priorities?*
- *Is, or was, there duplicity with other South-South Technical Cooperation Initiatives carried out jointly by Brazil and the partner country?*
- *Were relevant indicators and targets, both quantitative and qualitative, established for the Specific Objective, the Outcomes and the Outputs? Are those indicators capable of measuring the expected positive effects at the various dimensions of capacity (individual, organizational, inter-institutional and contextual levels)?*
- *Were risks identified and categorized during project planning? Were risk mitigation measures planned (as in a contingency plan)?*

b) Performance:

Refers to the achievement of project´s targets. Assessing performance means comparing what the project was expected to achieve (the planned targets) with what the project has achieved, or has been achieving, by means of implementation of its planned activities. Performance indicators are measured in relation to the baseline and targets informed in the logical framework. The availability of indicators, baselines and targets previous to project implementation is the main requisite to assess performance, since it allows 'before' and 'after' comparisons between the initial situation before project implementation and the final situation after project implementation.

Examples of evaluative questions on performance:

During project implementation:

- *Has the project been satisfactorily progressing towards achieving Logical Framework targets?*

After project implementation:

- *Has the project satisfactorily achieved its targets?*
- *Is there any significant difference between planned targets and the targets actually achieved as related to Specific Objective, Outcomes and Outputs?*
- *How do initially planned Objective and Outcomes compare to the Objective and Outcomes actually achieved? What changes can be observed in this regard?*
- *What did the project achieve as a consequence of implementation of Activities and Outputs? Were they implemented and delivered according to plan?*
- *Has the project had a satisfactory trajectory in progressively achieving the targets laid out in the Logical Framework?*
- *What internal and external factors contributed to success or failure in achieving the Outcomes? In what way?*

c) Effectiveness:

Effectiveness refers to the extent to which the project effects have attended to the needs of beneficiaries in relation to the initial situation/problem, according to their own perspectives. Thus, evaluation of effectiveness implies assessing if what was planned, implemented and achieved corresponded to what should have been done, as reported by beneficiaries. In other words, it ascertains if the solution and changes proposed and implemented (Specific Objective, Outcomes and Outputs) were the right ones, in the view of those directly benefiting from a cooperation initiative. Hence, evaluating effectiveness should be an inclusive and participatory process. Moreover, effectiveness indicators will often refer to variables expressing the degree of satisfaction with, and perceived quality of, a project or of one of its components by its direct beneficiaries and stakeholders.

Examples of evaluative questions on effectiveness:

- *According to the partners, beneficiaries and other stakeholders, does/did the situation/ problem targeted by the project continue to be as initially identified? What has changed? In what way? Why?*

- *From the perspective of partners and other beneficiaries and stakeholders, was the project able to solve or reduce the negative effects of the situation/problem it has targeted? Did it meet the needs of beneficiaries?*
- *Did the project meet the needs of beneficiaries in relation to the development of individual, organizational and/or inter-institutional capacities, as planned?*
- *What were the project´s contributions to resolving the needs that originated it? What were the capacities developed, complemented and/or disseminated by the project at individual, organizational and inter-institutional levels?*
- *Was the project (or does the project continue to be) the best one among possible alternatives to attend to the needs of beneficiaries and to solve the problem it targets/targeted?*
- *How have the Brazilian knowledge and experiences exchanged by means of the project contribute to the achievement of Outcomes and the Specific Objective?*

d) Efficiency

Efficiency reflects performance in regard to the use of the project´s financial, material, and human resources. In essence, efficiency relates to project execution without waste or losses, in the shortest time and at the lowest possible cost, by meeting the highest quality standards. In other words, it resonates 'the right way of doing things'. Consequently, efficiency indicators describe quantitative variables that express the correlation between the quantity and cost of the inputs deployed and the Activities and Outputs delivered by a project or initiative.

Examples of evaluative questions on efficiency:

- *Were inputs deployed in a timely manner? Have they been made available as planned, with appropriate quality and quantity?*
- *How does the project financial execution compare to the initial budgetary estimate? What are the reasons behind nonconformities if there are any?*
- *Has the project met operational and financial targets?*
- *Were activities carried out according to plan?*
- *What were the factors that had a negative impact on timely activity implementation and output delivery?*
- *Number of activities planned vs. number of activities implemented.*
- *Number of courses delivered vs. number of people trained.*

Box 11 - Difference between Performance, Effectiveness and Efficiency

Having a **good performance** means achieving predetermined targets.

Being **effective** is doing the thing necessary to change, and actually changing, a preexisting situation, according to the perspective of beneficiaries.

Being **efficient** is to do things the right way, without waste or loss, in the shortest time and at the lowest cost possible.

e) Sustainability

Evaluating sustainability consists of determining the extent to which the benefits generated by a technical cooperation initiative have the potential to continuously promote subsequent development processes after its completion. In other words, it refers to determining the extent to which the positive changes to the initial situation, achieved through technical cooperation, will endure after closure. Hence, assessing internal sustainability factors requires a judgment as to whether or not successful measures have been properly planned and carried out to ensure that project effects were effectively internalized, adapted and employed by beneficiaries at both individual and collective capacity levels (individual, organizational and interinstitutional capacity dimensions). The sustainability of technical cooperation is contingent upon external and internal factors:

- **Internal sustainability factors** refer to measures adopted by the project to:
  - Ensure **active and effective participation** in all phases of the project cycle by partner country partners and other direct beneficiaries;
  - Achieve **ownership** of the initiative and its positive effects;
  - Guarantee that the knowledge and experiences shared through South-South Cooperation are **presented with the appropriate quality required**, are **accessible to** and can be **internalized by** the individuals participating in capacity development activities. This aspect is most relevant with regard to the quality of Outputs;
  - Support partner country partners and other direct beneficiaries as they **adapt** the knowledge and experiences gained through technical cooperation to their own context, as well as prepare them for **continuously and autonomously applying and disseminating their newly developed capacities** after project completion. These measures are known as a project´s '**exit strategy**'.

- **External sustainability factors** correspond to the local and national conditions that allow continuous development and application of capacities by partner country partners and other direct beneficiaries after project completion. These conditions may be factors of **institutional nature** (*e.g.* political will to continue implementation of policies and programs; degrees of mobilization, engagement and commitment of beneficiaries and stakeholders; existence of institutional, sectorial or inter-sectorial arrangements that directly or indirectly sustain and will keep on sustaining project outcomes); **legal nature** (*e.g.* existence of legal framework at inter-institutional level to support the development of capacities in other levels); **economic nature** (*e.g.* continuous availability of resources to cover payroll and other regular costs of organizations whose capacities were developed; access to markets or to public or international funding); **social nature** (*e.g.* level of social mobilization and awareness), and/or **environmental nature** (*e.g.* absence of droughts and floods, rational use of soil and water resources).

In light of this, the assessment of external sustainability factors requires identification and analysis of the project´s and the partner country environments.

Examples of evaluative questions on sustainability:

- *Has the project taken into account the interdependence of individual, organizational and inter-institutional capacities?*

- *In what way and to what extent have trained individuals have been able to transfer to or apply the learning acquired during individual capacity development activities (e.g. training courses) in the organization they are part of?*
- *Have mechanisms been adopted/implemented to ensure sustainability of the positive effects produced?*
- *Have partners and beneficiaries been committed to the project?*
- *Were project activities and outcomes appropriate from the viewpoint of partner country partner country partners and other beneficiaries?*
- *Is there evidence of commitment to ensure continuity to the outcomes and benefits that have been generated? Are organizational and inter-institutional capacities adequate for such task? Is the environment/context conducive to it?*
- *Have beneficiaries and stakeholders effectively participated in project activities, management and coordination?*
- *Have the effects/benefits generated by the project endured after project closure?*

f) Operational and managerial aspects

Operational and managerial aspects refer to project management and coordination.

Examples of evaluative questions on operational and managerial aspects:

- *Was the project properly managed?*
- *Were activities carried out according to plan and delivered the expected outputs?*
- *Has the project adopted mechanisms and tools for process monitoring and monitoring of effects (such as steering committee meetings and progress reports)?*
- *Was the information collected by monitoring used to correct inconsistencies and redirect the course of action, as required, and to support managerial and technical decision making? Was it properly documented and shared?*
- *Were internal and external recommendations adopted accordingly (especially those found in Progress Reports)?*
- *Were measures taken for effective risk monitoring? Have risk mitigation measures taken in a timely and effective manner?*
- *Have changes in the course of action been frequent? How frequent?*
- *Has the project properly applied tools to identify, document and control changes made throughout its implementation, such as project reviews?*
- *What were the most serious managerial and administrative problems that arose during project implementation? Which ones caused delays? Which ones resulted in cost increase?*
- *Have the arrangements for communication, interaction and coordination between the various actors involved been adequate and effective?*
- *Has project data been properly collected and documented?*

g) Lessons Learned

One of the main purposes of evaluation is to generate lessons learned to improve South-South Technical Cooperation initiatives as a whole. Lessons learned result from assessments of what works and what does not work in a project and, hence, have useful application in similar projects and situations. Therefore, the analytical framework of any evaluative exercise should include questions aimed at identifying what has been learned from project experience. The questions may cover any project element or characteristic, but with special emphasis on the principles and project aspects described above (design and planning, operations and management, performance, effectiveness, efficiency and sustainability).

Examples of evaluation analytical framework questions

- *Could things have been done differently? Is there a better way of doing things?*
- *Were there flaws in project design, implementation and monitoring? If so, what were they?*
- *What should be avoided in future similar initiatives?*
- *What aspects should be preserved and what aspects should be adapted in future similar initiatives?*

In sum, in addition to the internal and external factors mentioned above, evaluative questions of any type of evaluation should always take into consideration the expected and unexpected effects produced generated by the technical cooperation initiative, both positive and negative, especially in relation to the capacities that have been developed, complemented and/or disseminated. Additionally, beyond measurement of quantitative outcome indicators, evaluations of capacity development within the scope of such initiatives should always include an assessment of partner´s satisfaction with both process and effects.

Table 7 - Relationship between Logical Structure Components and Evaluation Principles

Logical Structure Components	Evaluation Principles	Data Sources for Evaluation Purposes
Development Objective	Sustainability, Impact*	National statistics and surveys.
Specific Objective	Performance, Effectiveness, Sustainability	Mapping of Stakeholders and Capacities, Scoping Mission Report, Project Document (especially the logical framework), Progress Reports and evaluation questionnaires.
Outcomes	Performance, Effectiveness, Sustainability	Mapping of Stakeholders and Capacities, Scoping Mission Reports, Project Document (especially the logical framework), Progress Reports, Mid-Term Evaluation Report and evaluation questionnaires.
Outputs	Performance, Efficiency, Sustainability	Project Document (especially the logical framework), Work Plans, Progress Reports, Output Evaluation Reports and Implementation & Monitoring Mission Reports.
Activities and Inputs	Efficiency, Sustainability	Project Document (especially the logical framework, the budget and the item on in-kind resources), Work Plans and financial and operational targets in the Work Plan, Progress Reports, Implementation & Monitoring Mission Reports, evaluation questionnaires.

*** Note on Impact**

The impact refers to the medium- and long-term, positive and negative, intended and unintended effects generated by a technical cooperation initiative, when coupled to efforts made by the partner country towards a common development goal. As such, the impact of an initiative is closely related to its Development Objective, because the latter is associated to the overall socioeconomic condition of a given sector or intersectorial thematic area in the partner country. Impact evaluation is not compulsory, given its high costs, as well as the difficulties in measuring and attributing impacts as a result of international technical cooperation initiatives.

11.5.5 Decisions of the Evaluation & Closure Phase:

a) For Projects

- **After Mid-Term Evaluation**: These are decisions on whether to continue with project implementation according to plan or to adjust it as a result of the Mid-Term Evaluation. In extreme situations, partners may decide to suspend or cancel the project.
- **After Final Evaluation**: As seen above, the Final Evaluation is compulsory and carried out to support and justify project closure. On a few occasions, however, the final evaluation may be also used by partners to support a decision in favor of continuation of the technical cooperation partnership as a new, subsequent project (often called a new ´project phase´). This decision may be made during the Project Steering Committee´s final meeting or any time afterwards. Regardless of its timing, however, this decision is contingent upon a positive final evaluation of the original project by partners and direct beneficiaries. If possible, it is recommended that a Post-Project Evaluation is also implemented to support this decision. In any event, the new initiative should always be meant to capitalize on the achievements of its predecessor by taking it to a higher level in terms of capacity development. It must therefore expand the technical scope of the previous initiative by means of new outcomes that built upon those of the preceding project. This it to say that outputs and outcomes should not be reproduced as such and neither should activities of the new phase be used as an opportunity to complete or improve on those of the previous initiative. In addition, the new project phase requires that a new project cycle initiated from the Identification Phase and that all other project cycle phases are fulfilled accordingly.
- **Post-Project Evaluation**: These decisions are related to methodological changes regarding South-South Technical Cooperation as a whole, based on learning generated by Post-Project Evaluations. Lessons learned are used to improve design, management, coordination, monitoring and evaluation of South-South Technical Cooperation initiatives.

b) For Preparatory Actions

- The first decision in the relates to moving the partnership to the next level, that is, to implement the Project Document resulting from the Preparatory Action. This decision is made by the Brazilian and partner country partners together on the basis of the Preparatory Action Final Report.

- The second decision regards administrative & financial closure, after satisfactory completion of Preparatory Action activities. This decision is made irrespective of the one mentioned above.

11.5.6 Quality standards applied to external evaluations:

- **Transparency and participation** of beneficiaries and main stakeholders are essential requirements in all stages of evaluation exercises. Partners should ensure that beneficiaries effectively contribute to evaluation activities on the basis of their own experience.
- **Methodological rigor**: An evaluation should provide valid and reliable information based on factual evidence from reliable sources, in addition to verifiable and logically justifiable conclusions.
- **Impartiality**: Impartiality implies that the evaluation process is carried out without evaluator bias and that the perspectives of partners and beneficiaries are taken into consideration at all evaluation stages, that is, from preparation of the Evaluation Analytical Framework and selection of evaluators, to formulation and reporting on evaluation findings and recommendations. Whenever partners and beneficiaries present different viewpoints, these should be brought forward for discussion after analysis of the preliminary version of the Evaluation Report. If they still remain unsettled, they should be registered in the final version of the Evaluation Report.
- **Independence**: Refers to the evaluator´s independence from any ties to project partners or stakeholders, in addition to the conditions that allow the evaluator to carry out the evaluation exercise in an autonomous and impartial way, with access to all information they may require and the liberty to bring forward conclusions free of political influence or pressure.
- **Ethics**: Evaluators should act on the basis of personal and professional integrity, respect confidentiality of the information they handle, as well as carry out the evaluation in an ethical matter, with sensitivity in regard to cultural factors.

11.5.7 Tasks and Procedures of the Evaluation Phase

General Procedures

The Brazilian Cooperation Agency (ABC/MRE) will be responsible for:

a) Initiating dialogue with partners in Brazil and in the partner country with regard to evaluation exercises, in conformity with the monitoring and evaluation plan provided for in the Project Document.

b) Proposing that an **Evaluation Reference Group (EVG)** be formed, to support external evaluations (Mid-Term, Final or Ex-Post), comprising equal numbers of representatives from each partner organization. The members of the ERG will represent and act as focal points for their respective organizations regarding all issues related to the evaluation exercise.

c) Convening an opening meeting of members of the EVG, in person or online, to agree on the initial terms for the evaluation (main aspects of the Evaluation Analytical Framework, evaluation methodology, coordination and operational issues, evaluation outputs, roles and responsibilities of EVG members and evaluators, communication and dissemination of findings).

d) Checking availability of budget resources for carrying out the evaluation exercise (*e.g.* for independent consultants responsible for external evaluation, costs related to evaluation missions or final PSC meetings, publication of reports, etc.). The necessary resources should have been previously included in the project budget. Under exceptional circumstances, ABC may approve extra-budgetary resources for external evaluations.

e) With support from other Brazilian partners and based on the opening meeting discussions, prepare a preliminary version of the Terms of Reference for the Evaluation (**Annex A13: Guidelines for Preparing Evaluation Terms of Reference**). Subsequently, presenting the preliminary version to the partner country partners for appraisal and adjustment, especially in regard to the Evaluation Analytical Framework (EAF). It is crucial that Brazilian and partner country partners agree on the contents of the evaluation Terms of Reference before the evaluation process proceeds to the next level.

Specific procedures for Final Evaluation (Internal):

The Brazilian Cooperation Agency (ABC/MRE) will be responsible for:

a) Taking the necessary measures for convening the Final Meeting of the Project Steering Committee (PSC), to be held in the partner country in accordance to specific terms of reference. Preparation of the final meeting should follow the same procedures applied to scoping and implementation missions.

b) Ensuring that minutes are drafted and approved at the end of the final PSC meeting.

c) Formulation of a preliminary version of the Final Project Report up to three weeks following the final PSC meeting and in accordance to the Final Project Report template provided in **Annex A11**. This preliminary version should then be submitted to appraisal and adjustments by the other Brazilian and partner country partners.

d) Receiving and re-distributing by email the adjustments made to the preliminary version of the Final Project Report.

e) Preparing the final version of the Final Project Report.

f) Sharing the Final Project Report with Brazilian and partner country partners by means of official correspondence.

Specific Procedures for Post-Project and External Mid-Term Evaluations:

The Brazilian Cooperation Agency (ABC/MRE) will be responsible for:

a) Preparing the Terms of Reference (ToR) for recruitment of an independent consultant or group of consultants responsible for the technical implementation of the evaluation exercise. The external evaluators are expected to provide a professional, straightforward and impartial evaluation, and be free of bias and conflicts of interest in regard to previous or future work opportunities. Additionally, the evaluators should possess relevant technical qualifications and experience in evaluation of international cooperation initiatives, preferably of South-South Technical Cooperation. They should also be familiar with Brazilian South-South Technical Cooperation practices and mechanisms. The terms of reference should include information regarding the required profile and competencies of external evaluators.

b) Submitting the terms of reference for recruitment of the external evaluator(s) to appraisal and adjustments by the Brazilian and partner country partners.

c) Preparing the final version of the terms of reference for recruiting the external evaluator(s) and conducting procedures regarding their publication.

d) Monitoring the selection process and taking part in the selection committee and interviews.

e) Preparing and presenting evaluators with a dossier containing relevant project documents and records such as: the Project Document and subsequent reviews, the Complementary Agreement and related political frameworks (*e.g.* memoranda of understanding, letters of intentions), the report resulting from the Mapping of Stakeholders and Capacities, Scoping Mission Report, Progress Reports, Implementation & Monitoring Mission Reports, minutes of Project Steering Committee meetings, data regarding logical framework indicators, reports of previous evaluations (if applicable).

f) Executing administrative procedures regarding organization of the evaluation mission (*e.g.* scheduling meetings and interviews between the evaluator and partners and beneficiaries, travel arrangements) in accordance with the same basic procedures applied to project implementation missions.

g) Organizing a preparatory meeting (in person or online) with the evaluator and the Evaluation Reference Group (ERG) for discussing and agreeing upon the final version of the Evaluation terms of reference (especially in regard to evaluation questions).

h) Providing evaluators with administrative and travel support in accordance to contract arrangements.

i) Organizing a meeting (in person or online) with all partner organizations for presentation of the conclusions of the work carried out by the evaluator and the preliminary version of the Evaluation Report, if available. The Evaluation Report should be brief, straightforward, and prepared according to the standards and contents described in the Evaluation terms of reference. After the meeting, the evaluator will analyze the recommendations and suggested adjustments made by partner organizations. Any differences of opinions should be emphasized and recorded in the final version of the Evaluation Report.

j) Ensuring dissemination of the results of the evaluation exercise within ABC, as well as to the relevant Brazilian diplomatic posts abroad, and Brazilian and partner country partners and stakeholders.

k) Ensuring that lessons learned from the evaluation are taken into consideration in the design and planning of new South-South Technical Cooperation initiatives.

11.5.8 Tasks and Procedures of the Closure Phase

On the basis of clear, straightforward and predetermined criteria for closure, the partner responsible for project administrative & financial execution (most commonly ABC/MRE) may initiate procedures to close projects and other cooperation initiatives as soon as one of these conditions is met:

- Under normal circumstances: After completion of all project activities and outputs and fulfilment of all contractual obligations and pending issues related to the project´s technical, operational, financial or administrative aspects.
- Under exceptional circumstances: When the Brazilian and partner country partners jointly agree on project cancellation.

When project administrative & financial execution is under ABC/MRE´s responsibility, the Agency will:

a) Send official correspondence to the other partners informing interest in initiating evaluation of the initiative.

b) Organize the Final Meeting of the Project Steering Committee, including preparations for a final internal evaluation mission, when applicable (e.g. terms of reference for the mission, administrative and travel arrangements).

c) Prepare a preliminary version of the terms of reference for the Final Report (internal evaluation procedures) in conformity with the standards adopted by ABC (Annex A13: Guidelines for Preparing Terms of Reference for Evaluation). All South-South Technical Cooperation projects should be object of a Final Report. The Final Report is the main accountability mechanism for reporting to Brazilian audit and control agencies, as well as to Brazilian and partner country partners and stakeholders.

d) Organize the final Project Steering Committee meeting.

e) Upon endorsement by Project Steering Committee members, forward the Final Report to ABC´s administrative and technical departments.

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ANNEXES

ANNEXES

ANNEX A1 Guidelines for Formulation of Questionnaires for Mapping Stakeholders and Capacities

1. Situation analysis:

- What is the undesirable problem or situation to be addressed by means of a South-South Technical Cooperation initiative with the Brazilian Government?
- To what priority policy area of the partner country is the problem or initial undesired situation related? Does it coincide with policy areas in which Brazilian government organizations have knowledge and experiences that can be made available by means of South-South Technical Cooperation (SSTC)?

2. Sectorial analysis:

- Describe the sector, subsector or inter-sectorial area affected by the undesired problem or situation. (*This question may be narrowed down into several questions forming the second section of the questionnaire. The second section would be entirely dedicated to the specific sector/sub-sector/inter-sectorial context that encompass the undesired problem or situation. For example, a request for cooperation in the cotton sector would become object of specific questions regarding agricultural technology, soil, hydrography, climatology, in addition to productive and commercial aspects of the cotton production chain in the partner country.*)

3. Contextual analysis:

- What are the social, economic, political, legal or physical (*e.g.* climate, geography) factors that influence the existing capacities of the proponent partner country partner in regard to the initial situation/problem? Do these factors have a positive or negative effect in such capacities?

4. Identification of potential direct and indirect beneficiaries:

- Who are the local, regional or national stakeholders directly or indirectly affected by the initial situation in the partner country, including the proponent partner country partner? What are their characteristics? (*For population groups, indicate relevant data such as age range, gender, income, education, etc. For organizations, please indicate the type of organization, sector and organizational mandate and objectives within the public administration structure.*)

5. Identification of other stakeholders:

- Are there other local, regional or national stakeholders with vested interests, or power to influence, directly or indirectly, positively or negatively, the initial situation/problem? (These may be organizations of the executive, legislative or judicial branches of local, regional or national governments whose mandate is directly or indirectly related to the sector or policy associated to the cooperation request; civil society and private sector organizations; academia.)
- Who are these stakeholders and what are their respective interests and abilities to influence the initial situation/problem? What are their respective roles and responsibilities over these issues?

- How do they interact from the political, administrative and legal perspectives? What are the coordination and decision-making mechanisms in place?

6. Capacity needs assessment:

- **Existing capacities:**
  - o How are the capacities of direct and indirect beneficiaries (at individual, organizational and inter-institutional levels) influenced or affected by the initial situation/problem? What resources and capacities (human, technical, administrative, managerial, financial, political and material) do partner country partners and other direct beneficiaries already possess, in order to promote and sustain the desired change (solution of the problem or transformation of the undesired initial situation)?
  - o What is the nature of those capacities (individual, organizational or inter-institutional)?

- **Required capacities:**
  - o What are the needs and expectations of direct and indirect beneficiaries in regard to the capacities that are influenced or affected by the initial situation/problem? What capacities should be developed, complemented and/or disseminated in order to generate the desired change (skills, knowledge, resources, policies, technology, partnerships)?
  - o What are the technical, organizational, managerial, policy or institutional limitations that hinder the capacity of beneficiaries to produce the desired changes themselves?
  - o How could existing resources and capacities contribute to the generation of the desired changes within the scope of a future technical cooperation initiative?
  - o Which roles would the direct and indirect beneficiaries and other stakeholders play in a future technical cooperation initiative aiming to solve the initial problem/situation? Would they support it or oppose it? Why? How strongly would their support or opposition be (strong, moderate, weak)?

7. Preliminary eligibility and effective analysis:

- Is it feasible to produce the expected development contribution and necessary changes to the initial problem or situation by deploying the types of technical support and mechanisms eligible to South-South Technical Cooperation with Brazil? (See Table 3: Guidelines for Eligibility Assessments of Action Strategies.)
- How could knowledge and experience sharing with Brazil contribute to solving the problem or changing the undesired initial situation?
- Are the causes of the problem or undesired situation that gave rise to the request for South-South Technical Cooperation directly related to a lack of, or deficiency in, technical capacities at individual, organizational and/or inter-institutional levels?

8. Sustainability factors:

- What conditions will ensure ownership and effective application of the capacities to be developed?
- What measures should be taken by the direct beneficiaries to promote effective internalization and dissemination of capacities, developed by the future technical coopera-

tion initiative, after its completion? What measures should they take in order to ensure sustainability of the desired changes?

- How does the proponent partner country partner intend to incorporate the outcomes of technical cooperation to its development strategy?
- What are the external conditions that will ensure autonomy for the direct beneficiaries to further improve their capacities after completion of the technical cooperation initiative?

Notes for formulation of the Questionnaire for Mapping Stakeholders and Capacities:

- **Note 1:** Whenever possible, the information collected should be corroborated by recent statistical data from reliable sources. Such data will be useful later when formulating baseline indicators for the future project´s logical framework.
- **Note 2:** For initiatives aiming to develop organizational capacities:
    - o The main purposes of stakeholder and capacity mapping in such cases are, on the one hand, to identify and describe the main challenges faced by the organization in regard to the problem or undesired situation giving rise to the technical cooperation request; and on the other hand, to identify the resources and capacity the organization already possess in order to address such obstacles;
    - o The pre-existing organizational capacities correspond to the set of technical, operational, managerial and structural capacities the organization already has in place that can be mobilized by, and channeled into, the future technical cooperation initiative. For example: human resources (numbers, skills, quality and experience) and outcomes of present and past human resources development efforts; organizational structure and processes; physical and material resources and assets; technological and intellectual resources; an organization´s learning ability; managerial capabilities; capacity for generating and maintaining effective partnerships, and organizational culture. The *SWOT Analysis (Strengths, Weaknesses, Opportunities and Threats Analysis)* is a useful tool for organizational capacity assessment;
    - o Assessing the external environment in which an organization operates is equally important. As such, capacity mappings should also seek to identify the economic, social, cultural, technical, institutional and policy factors impinging on the organization at local, regional or national levels. Running a ***PESTLE Analysis*** with stakeholders, during a project´s identification phase, can be quite helpful since it allows identification of the ***P****olitical/Policy,* ***E****conomic,* ***S****ocial,* ***T****echnical,* ***L****egal (or Institutional)* and ***E****nvironmental* factors that influence organizational performance in positive and negative ways;
    - o Finally, it is also useful to identify and describe the profile of the beneficiaries of organizational outputs (the goods and services provided by the organization in question).

ANNEX A2 Examples of Outcome Indicators

Note: The following are examples of crosscutting functional capacity indicators. As such, they are applicable to organizations and institutional arrangements of any given policy sector and can be useful in the formulation of technical cooperation projects in all thematic areas.

1. **Individual capacity indicators:** Individual capacities (knowledge, skills and abilities) are developed according to the needs of the organizations to which the individuals pertain. Consequently, outcomes related to individual performance will be measured at the organizational level at which their capacity improvements are expected to be applied and disseminated.

   Examples:

   - *Percentage of staff trained by the project able to successfully apply their newly acquired or developed skills, knowledge or abilities when performing their organizational duties (self-declared).*
   - *Changes in individual behaviors, attitudes or perceptions as a result of participation in capacity development activities (self-declared).*
   - *Level of satisfaction of participants in regard to the individual capacity development activity (e.g. a training session, workshop or course).*

2. **Organizational or community capacity indicators:** When formulating outcome indicators at this level, it is useful to breakdown organizational capacities into categories (e.g. managerial capabilities, technical capacities, human resources capacities, organizational structure and services provided to beneficiaries).

   Examples:

   2.1 Capacities related to organizational structure:

   - *The organization structure is coherent with the organization´s mission and objectives and is therefore conducive to organizational performance.*
   - *Relevant units and departments cooperate as required (measured according to the perception of organization members).*
   - *Adequate communication channels and information flows between units/departments (conducive to organization performance).*
   - *Type, quantity and quality and of communication channels.*
   - *Percentage of staff satisfied with communication channels or organization structure (self-declared).*
   - *The human resources structure is adequate in regard to performance requirements and organizational needs.*
   - *Percentage of employees and managers who perceive that their respective formal roles and responsibilities correspond to their actual roles and responsibilities.*

- *Percentage of employees able to adequately describe their roles and responsibilities.*
- *Percentage of employees and managers who perceive that their adequately fulfil their formal roles and responsibilities.*

2.2 Human resources capacities:

- *Improved models of human resource management are effectively adopted/implemented.*
- *Improved performance of staff/collaborators; improved team performance.*
- *Percentage of participants who report improvements in individual performance as a result of training activities, or who report to have acquired the required skills, knowledge or ability to successfully perform their tasks (self-declared).*
- *Percentage of participants whose supervisors report performance improvements as a result of training activities, or who report that their employees have acquired the required skill, knowledge or ability to successfully perform their tasks.*
- *Number of individuals trained by multipliers who previously received training by the project (training of multipliers).*
- *Percentage of individuals trained by multipliers who report performance improvements as a result of said training (self-declared).*
- *The organization has employees who possess the required skills and competences in all key positions.*
- *Turnover rate.*
- *Employees are sufficiently motivated to carry out tasks in accordance to the standards and procedures developed as a result of project implementation.*
- *Percentage of staff who follow relevant technical and operational standards and procedures (quality standards, safety measures, technical protocols, etc.).*
- *Human resources capacities are updated periodically (maintenance training).*

2.3 Managerial capacities:

- *The management practices developed within project scope is effectively adopted.*
- *The organization´s strategic plan is aligned to the needs and priorities of the organization.*
- *The managerial model promotes participation and empowerment.*
- *The organization´s strategic plan is formulated and implemented in a participatory manner.*
- *Number of organization´s members involved in formulation of the strategic plan.*
- *Percentage of staff who are familiar with the strategic plan.*
- *The organization has an operational plan with measurable outcomes, indicators, activities, work plan and assigned responsibilities.*
- *The operational and strategic plans are updated periodically/as required.*
- *Percentage of organizational outcomes in the operational plan achieved during a given period.*
- *The organization has a monitoring and evaluation system in place.*
- *Number of monitoring and evaluation reports produced, validated and disseminated internally.*
- *Lessons learned are identified and feedback into relevant decision-making processes.*

- *Example of progressive outcome indicators related information management capacity:*
    - *Stage 1: The information management system developed by means of technical cooperation is brought into operation.*
    - *Stage 2: Relevant data begins to be recorded and managed through the system, but not yet in a comprehensive or systematic way.*
    - *Stage 3: All relevant data is recorded and managed in a systematic way, but significant gaps still exist.*
    - *Stage 4: All relevant data is recorded and managed in a systematic way. Information is accessible.*
- *Example of progressive outcome indicators related to the development and implementation of standard administrative procedures:*
    - *Stage 1: Few administrative procedures are formalized.*
    - *Stage 2: Procedures become increasingly formalized, but there is not yet a comprehensive manual in place.*
    - *Stage 3: A manual of administrative procedures is prepared, but it has yet to be applied in a standardized way.*
    - *Stage 4: The manual of standard administrative procedures is applied in a standardized way and is updated periodically as required.*

2.4 Technical capacities and capacities related to the provision of services to end-users:

- *Satisfaction of end-users with the services delivered by the public agency in question.*
- *The public agency in question has adequate technical capacities to deliver effective public services to end-users.*
- *The needs and perspectives of end-users and stakeholders are effectively incorporated into program design.*
- *The technical standards and procedures prepared or improved as a result of project implementation are effectively implemented by the partner county partner.*
- *Quality technical standards and procedures are in place and are conducive to high technical and operational performance.*
- *Technical and professional staff are qualified to apply technical and professional standards and procedures and perform relevant tasks.*
- *Percentage of key technical staff involved in preparation or improvement of technical standards and procedures by means of technical cooperation.*

2.5 Operational capacities:

- *Cost-effectiveness.*

2.6 Capacity to establish and maintain relevant partnerships:

- *Number and quality of partnerships established with other organizations (NGOs, private sector, international partners).*
- *The needs and perspectives of stakeholders, beneficiaries and/or end-users of services provided by the organization or public agency are successfully incorporated into program and policy design.*
- *Number and periodicity of consultations or meetings with the organization´s or public agency´s stakeholders and beneficiaries.*

- *A plan for involvement of stakeholders and beneficiaries in program and policy design and implementation is developed and successfully implemented by the organization or public agency in question.*
- *Quality of an organization´s relationships with its beneficiaries, partners and other stakeholders.*
- *Transparency of information provided to beneficiaries, partners and other stakeholders (especially relevant for public agencies).*
- *Quality of communication flows with external partners and beneficiaries.*
- *Capacity to coordinate with others and perform effectively within policy networks.*
- *Number of partnership agreements with external partners.*

3. Inter-institutional capacity indicators:

Examples:

- *Number of mutually agreed and jointly achieved targets.*
- *Degree and quality of partners´ engagement.*
- *Quality of dialogue processes.*
- *Procedures for dialogue and coordination among partners are formalized and effectively implemented.*
- *Jointly implemented activities are monitored and evaluated.*
- *Respective roles and responsibilities are performed in a coordinated manner.*
- *Quality of communication between partners.*
- *Quality of communication flows with stakeholders (external beneficiaries).*
- *Roles and responsibilities of partners are adequately assigned and coordinated within the institutional arrangement.*
- *Consensus is reached in regard to relevant internal and external issues.*
- *Decisions are taken and implemented in a participatory manner.*
- *Effective legal and regulatory instruments and mechanisms are developed and/or in place.*
- *Successful public policies are formulated, implemented, monitored and evaluated in a participatory manner.*
- *The institutional arrangement in place provides mechanisms to ensure participation of local stakeholders, minority groups, local community organizations, civil society organizations and relevant private sector and public agencies in formulation, implementation and evaluation of relevant policies and programs.*
- *Norms and procedures are in place for negotiation and allocation of resources.*
- *Stakeholders participate effectively in decision-making regarding priorities and objectives.*
- *Mechanisms and arrangements for policy formulation and coordination are successfully developed and adopted by the relevant actors as a result of project implementation.*

4. Indicators of sustainability of project outcomes:

Examples:

- *Each partner country partner has identified and designated respective focal points (individuals and/or units) to coordinate and implement post-project follow-up activities (such as ex-post evaluations).*
- *Each partner country partner has identified and designated respective focal points (individuals and/or units) to ensure sustainability and multiplication of project outcomes after project completion.*
- *A follow-up plan on project outcomes is designed and effectively implemented up to ´x´ months after project completion.*
- *Number of post-project follow-up actions based on the recommendations from internal and external monitoring and evaluation reports.*
- *Demonstration of political will from beneficiaries to follow up on outcomes after project completion in the form of declarations.*
- *Outcomes (capacities developed, complemented and/or disseminated as result of the project) are aligned to beneficiaries´ needs.*
- *A functioning task force of partner country partners is in place to coordinate project activities.*

ANNEX A3 Standard South-South Technical Cooperation Program Document

Cover Page:

(Flags from Brazil & Partner Country)

SOUTH-SOUTH TECHNICAL COOPERATION PROGRAM

BRAZIL - (NAME OF PARTNER COUNTRY)

Program Title:

Estimated Initiation Date:
(dd/mm/year)

Estimated End Date:
dd/mm/year

Duration:
(in months)

Partner Organizations:

Brazil
(Name/Acronym of Partner Organization)
(...)

Partner Country
(Name/Acronym of Partner Organization)
(...)

Legal Framework: *(Title of Basic Technical Cooperation Agreement and related Complementary Agreement)*

Budget:

A. Financial Contributions[8]	
For Brazil	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
For (Name of Partner Country)	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
Total (A)	**USD ...**
B. Non-Financial Contributions[9] (Quantifiable in Monetary Values)	
For Brazil	**USD ...**
For *(Name of Partner Country)*	**USD ...**
Total (B)	**USD ...**
C. General Budget (A+B)	**USD ...**

Approved:	
For the Brazilian Cooperation Agency/Ministry of Foreign Affairs Signature/Name/Title Date: *(dd/mm/yy)*	For (Name of Partner Country Partner) Signature/Name/Title Date: *(dd/mm/yy)*
For (Name of Brazilian Partner) Signature/Name/Title Date: *(dd/mm/yy)*	For (Name of Brazilian Partner) Signature/Name/Title Date: *(dd/mm/yy)*

[8] *Information on financial contributions from Brazilian partners is mandatory. Partner country financial contributions are optional.*

[9] *Information on monetary value of non-financial contributions by Brazilian partners is mandatory. This information is optional for partner countries.*

Executive Summary: (up to five lines)

List of Abbreviations and Acronyms

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SECTION I. BASIC INFORMATION

1.1 Program Title

(…)

1.2. Cooperation Partners

1.2.1 (*Name of Partner Country*) Partners

Partner Responsible for Coordination: *(Name of Partner Organization)*

Partner Responsible for Administrative & Financial Execution: *(Name of Partner Organization, if any)*

Partners Responsible for Technical Implementation: *(Name of Partner Organizations)*

1.2.2 Brazilian Partners:

Partner Responsible for Coordination: (*Name of Partner Organization)*

Partner Responsible for Administrative & Financial Execution: *(Name of Partner Organization, if any)*

Partners Responsible for Technical Implementation: *(Name of Partner Organizations)*

SECTION II. CONTEXT AND JUSTIFICATION

2.1 Background

a) Designate the legal framework supporting the program under bilateral, regional or multilateral agreements between the Brazilian and partner country governments.

b) Provide a brief account of Brazilian experience and knowledge in the sector, subsector, thematic or inter-sectorial area targeted by the program.

(Up to 2 pages)

2.2 Problems and issues to be addressed

a) Provide a brief analysis in the sector, subsector and/or thematic area targeted by the program in the partner country.

b) Describe the priorities or development strategies of the partner country in the sector, subsector or thematic area (e.g. public programs, development policies).

(Up to 2 pages)

2.3 Justification

a) Describe how the Program will benefit the partner country in the sector, subsector, thematic or inter-sectorial area targeted by the initiative, especially with regard to the benefits to be brought about by knowledge and experience sharing as related to the needs of direct or indirect beneficiaries.

b) Designate other cooperation initiatives carried out with Brazil and with other international partners in the same sector, subsector or thematic area.

(Up to 1 page)

2.4 Beneficiaries

Describe the Program´s direct and indirect beneficiaries, even if they have already been mentioned in previous sections.

SECTION III. LOGICAL STRUCTURE

Present the Program´s Logical Structure.

Note: It is not necessary to include Outputs and Activities in the umbrella Program Document as long as they are included in the logical structure of ensuing project documents.

Development Objective: (*Statement*)

Specific Objective 1: (*Statement*)

Outcome 1.1: (*Statement*)

Output 1.1.1

Activity 1.1.1.1: (*Statement*)

Activity 'n': (*Statement*)

Outcome 'n': (*Statement*)

Output 'n': (*Statement*)

Activity 'n': (*Statement*)

Specific Objective 2:(*Statement*)

Outcome 2.1: (*Statement*)

Output 2.1.1

Activity 2.1.1.1: (*Statement*)

Activity 'n': (*Statement*)

Outcome 'n': (*Statement*)

Output 'n': (*Statement*)

Activity 'n': (*Statement*)

SECTION IV. IMPLEMENTATION STRATEGY

a) Briefly describe the Program´s technical implementation methodology by detailing the stages and steps required to achieve Program outcomes and objectives.

b) Describe the technical implementation mechanisms to be deployed for program operationalization (e.g. South-South Technical Cooperation projects, preparatory actions and other initiatives within which the Program´s implementation methodology will be applied; scoping missions).

c) Assign strategic roles and responsibilities for Brazilian and partner country partners and beneficiaries.

SECTION V. MANAGEMENT, MONITORING AND EVALUATION MECHANISMS

5.1 Joint Coordination

Describe the structure, members, functions and responsibilities of the Program´s joint coordination committee.

5.2 Monitoring and Evaluation Mechanisms

Explain the nature of monitoring and evaluation instruments (e.g. monitoring reports, review mechanisms, types of evaluation), their periodicity and those responsible for their elaboration, presentation and approval). (Up to ½ page.)

5.3 Lessons learned

Describe the methodology to be adopted for identification, systematization and dissemination of lessons learned by means of Program implementation as well as its future application in similar initiatives. (Up to ½ page)

5.4 Schedule of program coordinating committee meetings, monitoring and evaluations reports

Provide a schedule of meetings of the Program´s joint coordination committee, together with deadlines for submission of monitoring and evaluation instruments.

SECTION VI. INPUTS AND BUDGET

6.1 General Budget

Repeat the General Budget as per the cover page.

Note: For information on General Budget formulation, see Section 9.2.4 of this Manual. When available, include the Operational Budget tables, as described in Section 9.2.4.

A. Financial Contributions	
For Brazil	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
For (Name of Partner Country)	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
Total (A)	**USD ...**
B. Non-Financial Contributions (Quantifiable in Monetary Values)	
For Brazil	**USD ...**
For *(Name of Partner Country)*	**USD ...**
Total (B)	**USD ...**
C. General Budget (A+B)	**USD ...**

6.2 Description of Inputs

6.2.1 Description of Inputs to be acquired with financial contributions from Partners

Provide brief, qualitative descriptions of the type, purpose and main characteristics of inputs to be acquired with financial contributions from Program partners, such as:

- ***Training**: Types of training, goals and activities.*
- ***Travel**: Goals of national and international missions, as well as the types of expenses related to travelling (e.g. Per Diems, travel insurance).*
- ***Procurement of services**: Nature and purpose of services.*
- ***Procurement of goods**: Nature and purpose of equipment, materials or other goods.*
- ***Recruitment (Independent Consultants)**: **Nature of services**, activities and outputs of consultancies.*

Note on Recruitment of Independent Consultants: Recruitment of independent consultants is only eligible on a complementary basis, that is, as additional to the contributions of project partner experts, and when deemed indispensable for achieving the project´s specific objective and outcomes.

6.2.2 Description of Non-Financial Contributions from Project Partners

Describe the type and main characteristics of in-kind resources to be mobilized by partners (non-financial contributions), together with an explanation as to how they relate to the Implementation Strategy of the Program, its activities, and ensuing projects (when applicable). This section is descriptive in nature and should include qualitative information on quantifiable and non-quantifiable in-kind contributions.

SECTION VII. ROLES AND RESPONSIBILITIES OF THE PARTIES

This section should describe the responsibilities of each partner directly involved in program implementation according to their roles in program coordination, technical implementation or administrative & financial execution. A list of the main responsibilities of parties in Projects in provided in Section 3 of this Manual (see Section VII of the Project Document). This list should be adapted to the scope and characteristics of the Program.

SECTION VIII. LEGAL, FINANCIAL AND OPERATIONAL PROVISIONS

This section should contain provisions related to applicable norms and procedures, with respect to the transfer of equipment and other movable property; intellectual property of project outputs, goods and/or technical documents; administrative, financial and other legal provisions, as required.

SIGNATURES AND DATE

ANNEX I. Logical Framework (optional)

Attach the Program´s Logical Framework with indicators for Specific Objectives and Outcomes.

ANNEX II. Standard South-South Technical Cooperation Document Template

Attach the ***Standard South-South Technical Cooperation Project Document*** *template (Annex A4 of this Manual) for the projects that will be used for operationalization of Program activities, when applicable.*

ANNEX A4 Standard South-South Technical Cooperation Project Document

Cover Page:

(Flags from Brazil & Partner Country)

SOUTH-SOUTH TECHNICAL COOPERATION PROJECT DOCUMENT[10]

BRAZIL - (NAME OF PARTNER COUNTRY)

Project Title:

Estimated Initiation Date: *(dd/mm/year)*

Estimated End Date: dd/mm/year

Duration: *(in months)*

Partner Organizations:

Brazil
(Name/Acronym of Partner Organization)
(...)

Partner Country
(Name/Acronym of Partner Organization)
(...)

Legal Framework: *(Title of Basic Technical Cooperation Agreement and related Complementary Agreement)*

Budget:[11]

A. Financial Contributions (Operational Budget)	
For Brazil	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
For (Name of Partner Country)[12]	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
Total (A)	**USD ...**
B. Non-Financial Contributions[13] (Quantifiable in Monetary Values)	
For Brazil	**USD ...**
For *(Name of Partner Country)*	**USD ...**
Total (B)	**USD ...**
C. General Budget (A+B)	**USD ...**

Approved:	
For the Brazilian Cooperation Agency/Ministry of Foreign Affairs Signature/Name/Title Date: *(dd/mm/yy)*	For (Name of Partner Country Partner) Signature/Name/Title Date: *(dd/mm/yy)*
For (Name of Brazilian Partner) Signature/Name/Title Date: *(dd/mm/yy)*	For (Name of Brazilian Partner) Signature/Name/Title Date: *(dd/mm/yy)*

[10] *Project Documents should be formulated according to the provisions of **Section 9.3 Guidelines for Formulation of South-South Technical Cooperation Projects** of this Manual.*

[11] *For orientation on budget types and preparation, see **Section 9.2.4** of this Manual.*

[12] *Partner country financial contributions are optional.*

[13] *Information on monetary value of non-financial contributions by Brazilian partners is mandatory. This Information is optional for partner countries.*

Executive Summary: *(up to five lines)*

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2.2 Problems and issues to be addressed
2.3 Brazilian Experience
2.4 Justification
2.5 Beneficiaries

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4.1 Implementation strategy
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4.3 Risks and Mitigating Measures

SECTION V. MANAGEMENT, MONITORING AND EVALUATION MECHANISMS

5.1 Logical Framework
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6.1 Budget
6.1.1 General Budget
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6.2.2 Description of Non-Financial Contributions from Project Partners

SECTION VII. ROLES AND RESPONSIBILITIES OF THE PARTIES

SECTION VIII. LEGAL, FINANCIAL AND OPERATIONAL PROVISIONS

ANNEX 1. Work Plan *(optional at the time of signature)*

ANNEX 2. Project Team *(optional)*

SECTION I. BASIC INFORMATION

1.1 Project Title

(…)

1.2 Cooperation Partners

1.2.1 (Name of Partner Country) Partners

Partner Responsible for Coordination: *(Name of Partner Organization)*

Partner Responsible for Administrative & Financial Execution: *(Name of Partner Organization, if any)*

Partners Responsible for Technical Implementation: *(Name of Partner Organizations)*

1.2.2 Brazilian Partners:

Partner Responsible for Coordination: *(Name of Partner Organization)*

Partner Responsible for Administrative & Financial Execution: *(Name of Partner Organization, if any)*

Partners Responsible for Technical Implementation: *(Name of Partner Organizations)*

SECTION II. BACKGROUND AND JUSTIFICATION

2.1 Analysis of the Sector, Subsector or Thematic Area

(Up to x pages)

2.2 Problems and issues to be addressed

(Up to x pages)

2.3 The Brazilian experience

(Up to 1/2 pages)

2.4 Justification

(Up to 1 page)

2.5 Beneficiaries

(Up to 1/3 page)

SECTION III. LOGICAL STRUCTURE

Development Objective: (*Statement*)

Specific Objective 1: (*Statement*)

Outcome 1: (*Statement*)

Output 1.1

Activity 1.1.1: (*Statement*)

Activity 1.1.2: (*Statement*)

Activity 1.1.3: (*Statement*)

Activity 'n': (*Statement*)

Output 1.2

Activity 1.2.1: (*Statement*)

Activity 1.2.2: (*Statement*)

Activity 'n': (*Statement*)

Outcome 'n': (*Statement*)

Output 'n': (*Statement*)

Activity 'n': (*Statement*)

Outcome 2: (*Statement*)

Output 2.1

Activity 2.1.1: (*Statement*)

Activity 2.1.2: (*Statement*)

Activity 'n': (*Statement*)

Output 2.2

Activity 2.2.1: (*Statement*)

Activity 2.2.2: (*Statement*)

Activity 2.2.3: (*Statement*)

Activity 'n': (*Statement*)

Outcome 'n': (*Statement*)

Output 'n': (*Statement*)

Activity 'n': (*Statement*)

SECTION IV. IMPLEMENTATION STRATEGY AND SUSTAINABILITY

4.1 Implementation Strategy

(Up to x pages)

4.2 Sustainability

(Up to 1/2 page)

4.3 Risks and Mitigating Measures

(Up to 1 page)

SECTION V. MANAGEMENT, MONITORING AND EVALUATION MECHANISMS

5.1 Logical Framework

Specific Objective /Outcome	Indicator	Baseline	Targets	Means of verification
Specific Objective: (*statement*)				
Outcome 1: (*statement*)				
Outcome 2: (*statement*)				

or

Specific Objective /Outcome	Indicator (with baseline and targets)	Means of verification
Specific Objective: (*statement*)		
Outcome 1: (*statement*)		
Outcome 2: (*statement*)		

5.2 Implementation Schedule

Outputs/ Activities	20xx				20xx				20xx			
	1st quarter	2nd quarter	3rd quarter	4th quarter	1st quarter	2nd quarter	3rd quarter	4th quarter	1st quarter	2nd quarter	3rd quarter	4th quarter
Output 1.1. (*statement*)												
Activity 1.1.1 (*statement*)												
(...)												
Output 1.2 (*statement*)												
Activity 1.2.1 (*statement*)												
(...)												
Output 2.1 (*statement*)												
Activity 2.1.1 (*statement*)												
(...)												

**The Project Implementation Schedule may include bimonthly or quarterly targets. These targets may be broken into monthly targets in the Work Plan.*

5.3 Project Steering Committee

(Up to 1/2 page)

5.4 Review, Progress Reports and Management Reports

(Up to 1 page)

5.5 Evaluations and Lessons learned

(Up to 1/2 page)

5.6 Schedule of Project Steering Committee Meetings, monitoring and evaluation instruments

Year/ Month	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
20xx		PSC										
20xx												
20xx												

Key:
Example: PSC: Project Steering Committee Meeting
(...): ....

SECTION VI. INPUTS AND BUDGET

6.1 Budget

6.1.1 General Budget:

(Repeated as per the cover page)

A. Financial Contributions (Operational Budget)	
For Brazil	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
For (Name of Partner Country)[14]	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
Total (A)	**USD ...**
B. Non-Financial Contributions[15](Quantifiable in Monetary Values)	
For Brazil	**USD ...**
For *(Name of Partner Country)*	**USD ...**
Total (B)	**USD ...**
C. General Budget (A+B)	**USD ...**

6.1.2 Detailed Operational Budget - Financial Contributions (A)

A.1 Operational Budget per Budget Line Item (in USD)

Budget Line Item	Year			Total
	20 xx	20 xx	20 xx	
Code and title of the Budget Line Item	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
Total per year	USD 0.00	USD 0.00	USD 0.00	USD 0.00

[14] *Partner country financial contributions are optional.*
[15] *Information on monetary value of non-financial contributions by Brazilian partners is mandatory. This Information is optional for partner countries.*

A.2 Operational Budget per Funding Source: Brazil and (Name of the Partner Country) (in USD)

Budget Line	Source: ABC	Source: *Other*	Source: *Other*	Total
Code and title of the Budget Line Item	0.00	0.00	0.00	0,00
(…)	0.00	0.00	0.00	0,00
(…)	0.00	0.00	0.00	0.00
Total	USD 0.00	USD 0.00	USD 0.00	USD 0.00

A.3 Operational Budget: Annual Contributions from Brazil and (Name of the Partner Country) (in USD)

For Brazil:

Budget Line Item	Year			Total
	20 xx	20 xx	20 xx	
Code and title of the Budget Line Item	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
Total per year	USD 0.00	USD 0.00	USD 0.00	USD 0.00

For the Partner Country:

Budget Line Item	Year			Total
	20 xx	20 xx	20 xx	
Code and title of the Budget Line Item	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
Total per year	USD 0.00	USD 0.00	USD 0.00	USD 0.00

A.4 Operational Budget per Outcomes and Outputs (in USD): Contributions from Brazil and (Name of the Partner Country)

Budget Line Item	Operational Budget		
	For Brazil	For *(Name of Partner Country)*	Total
Outcome 1 *(statement)*	USD 0.00	USD 0.00	USD 0.00
Output 1.1. (*statement*)	0.00	0.00	0.00
Output 1.2 (*statement*)	0.00	0.00	0.00
Outcome 2	USD 0.00	USD 0.00	USD 0.00
Output 2.1 (*statement*)	0.00	0.00	0.00
Output 2.2 (*statement*)	0.00	0.00	0.00
Output 2.3 (*statement*)	0.00	0.00	0.00
Outcome 3	USD 0.00	USD 0.00	USD 0.00
Output 3.1 (*statement*)	0.00	0.00	0.00
Output 3.2 (*statement*)	0.00	0.00	0.00
Output 3.3 (*statement*)	0.00	0.00	0.00
Total per Year	USD 0.00	USD 0.00	USD 0.00

6.1.3 Non-Financial Contributions Quantifiable in Monetary Values (B) (in USD)

For Brazil	Total (USD)
Category: Capacity Development	
Hours per Person (technical instructors)	0.00
Hours per Person (undergraduated)	0.00
Hours per Person (graduated)	0.00
Technical studies	0.00
Training	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Public sources	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Private sources	0.00
Category: Capacity Development Associated Costs	
Tickets, daily allowances and insurance for foreigners	0.00
Tickets, daily allowances and insurance for nationals (Brazilian)	0.00
Administration and management	0.00
Services (associated with capacity development)	0.00
Operational costs in the country (Brazil)	0.00
Operational costs abroad	0.00
Total Brazil	***USD 0.00***

For (*Name of Partner Country*)	Total (USD)
Category: Capacity Development	
Hours per Person (technical instructors)	0.00
Hours per Person (undergraduated)	0.00
Hours per Person (graduated)	0.00
Technical studies	0.00
Training	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Public sources	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Private sources	0.00
Category: Capacity Development Associated Costs	
Tickets, daily allowances and insurance for foreigners	0.00
Tickets, daily allowances and insurance for nationals (Partner Country)	0.00
Administration and management	0.00
Services (associated with capacity development)	0.00
Operational costs in the Partner Country	0.00
Operational costs abroad	0.00
Total (Name of Partner Country)	***USD 0.00***

6.2 Description of Inputs

6.2.1 Description of Inputs to be acquired with financial resources from the Operational Budget

Note: For orientation on the formulation of this Item, see **Section 9.3: Guidelines for Formulation of South-South Technical Cooperation Projects** of this Manual.

6.2.2 Description of Non-Financial Contributions from Project Partners

Note: For orientation on the formulation of this Item, see **Section 9.3: Guidelines for Formulation of South-South Technical Cooperation Projects** of this Manual.

SECTION VII. ROLES AND RESPONSABILITIES OF THE PARTIES

Note: For orientation on the formulation of this Item, see **Section 9.3: Guidelines for Formulation of South-South Technical Cooperation Projects** of this Manual.

SECTION VIII. LEGAL, FINANCIAL AND OPERATIONAL PROVISIONS

Note: For orientation on the formulation of this Item, see **Section 9.3: Guidelines for Formulation of South-South Technical Cooperation Projects** of this Manual.

ANNEX 1. Work Plan

(Optional at the time of signature)

ANNEX 2. Project Team

(Optional)

ANNEX A5 Standard South-South Cooperation Preparatory Action Document

Cover Page:

(Flags from Brazil & Partner Country)

SOUTH-SOUTH TECHNICAL COOPERATION PREPARATORY ACTION DOCUMENT

BRAZIL - *(NAME OF PARTNER COUNTRY)*

Title of Preparatory Action:

Estimated Initiation Date: *(dd/mm/year)*

Estimated End Date: dd/mm/year

Duration: *(in months)*

Partner Organizations:

Brazil
(*Name/Acronym of Partner Organization*)
(...)

Partner Country
(*Name/Acronym of Partner Organization*)
(...)

Legal Framework: *(Title of Basic Technical Cooperation Agreement and related Complementary Agreement)*

Budget:[16]

A. Financial Contributions (Operational Budget)	
For Brazil	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
For (Name of Partner Country)[17]	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
Total (A)	**USD ...**
B. Non-Financial Contributions[18] (Quantifiable in Monetary Values)	
For Brazil	**USD ...**
For *(Name of Partner Country)*	**USD ...**
Total (B)	**USD ...**
C. General Budget (A+B)	**USD ...**

Approved:	
For the Brazilian Cooperation Agency/Ministry of Foreign Affairs Signature/Name/Title Date: *(dd/mm/yy)*	For (Name of Partner Country Partner) Signature/Name/Title Date: *(dd/mm/yy)*
For (Name of Brazilian Partner) Signature/Name/Title Date: *(dd/mm/yy)*	For (Name of Brazilian Partner) Signature/Name/Title Date: *(dd/mm/yy)*

[16] *For guidelines on budget types and preparation, see **Section 9.2.4** of this Manual.*
[17] *Partner country financial contributions are optional.*
[18] *Information on monetary value of non-financial contributions by Brazilian partners is mandatory. This Information is optional for partner countries.*

Executive Summary: (up to five lines)

LIST OF ACRONYMS

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SECTION I. BASIC INFORMATION

1.1 Title of the Preparatory Action

(…)

1.2 Cooperation Partners

1.2.1 (Name of Partner Country) Partners

Partner Responsible for Coordination: (*Name of Partner Organization*)

Partner Responsible for Administrative & Financial Execution: (*Name of Partner Organization, if any*)

Partners Responsible for Technical Implementation: (*Name of Partner Organizations*)

1.2.2 Brazilian Partners:

Partner Responsible for Coordination: (*Name of Partner Organization*)

Partner Responsible for Administrative & Financial Execution: (*Name of Partner Organization, if any*)

Partners Responsible for Technical Implementation: (*Name of Partner Organizations*)

SECTION II. BACKGROUND AND JUSTIFICATION

2.1 Situation analysis

a) Make a short chronological narrative of facts leading up to the signature of the Preparatory Action, initiating with the presentation of the cooperation request (expression of interest).

b) Provide a brief analysis of the sector, subsector and/or thematic area that the future technical cooperation project (that is the one to be prepared as a result of the Preparatory Action) intends to influence. Clearly define the scope, causes and consequences of the initial problem, or undesirable situation, giving rise to the cooperation request, using statistical data and/or bibliographical references as support.

c) Indicate the partner country´s national priorities or development strategies for the aforementioned sector, subsector or thematic area, with examples of related governmental actions or third sector initiatives.

d) List other international cooperation initiatives with Brazil and/or other international partners in the same sector, subsector or thematic area, if any. In addition, explain how the Preparatory Action will be aligned to the technical cooperation operational framework between Brazil and the partner country, when applicable.

2.2 Outline of the Future Technical Cooperation Project

Provide a brief (up to 1 page), preliminary description of the main elements of the technical cooperation project to be prepared as a result of the Preparatory Action, including a short profile of beneficiaries and a short, introductory description of how this project should attend to the needs of beneficiaries as related to the initial problem or situation, in addition to budgetary estimates.

2.3 Justification

a) Explain the connection between the future Project and relevant partner country´s development priorities, strategies, policies and/or programs.

b) Describe how the Brazilian experience in the sector/subsector or thematic area may contribute to capacity development of the beneficiaries by means of knowledge sharing with Brazil. Indicate roles and responsibilities of Brazilian partners.

SECTION III. LOGICAL STRUCTURE

3.1 Objective

Present the Objective of the Preparatory Action in accordance with provisions of ***Section 6.2.3: Preparatory Action*** *of this Manual.*

3.2 Outcome, Outputs and Activities

List the outcomes to be generated by the Preparatory Action in order to achieve its objective (i.e. knowledge and information required to prepare the future Project Document), in addition to the outputs and activities to be implemented under the Preparatory Action´ framework, listed according to the logical relationships existing between them.

Outcome: (*Statement*)

Output 1

Activity 1.1: (*Statement*)

Activity 1.2: (*Statement*)

Activity 'n': (*Statement*)

Output 2

Activity 2.1: (*Statement*)

Activity 2.2: (*Statement*)

Activity 'n': (*Statement*)

SECTION IV. IMPLEMENTATION STRATEGY

a) Clearly describe the technical implementation methodology that will be applied. This is done by providing a logical, step-by-step description of methods and mechanisms that will be used to mobilize and transform inputs into activities, outputs and expected outcomes.

b) Describe the roles in, and contributions of, Brazilian and partner country partners, and other direct beneficiaries to the implementation of activities and outputs, and to the achievement of the outcome and objective. Additionally, present the institutional arrangements that will enable successful interaction between the various stakeholders.

SECTION V. MANAGEMENT, MONITORING AND EVALUATION MECHANISMS

5.1 Implementation Schedule

Present the Preparatory Action implementation schedule (monthly or bimonthly).

Example:

Outputs and Activities	2013			2014		
	Oct.	Nov.	Dez.	Jan.	Feb.	Mar.
Output 1.1 *(statement)*						
Activity 1.1.1 (*statement*)						
Activity 1.1.2 (*statement*)						
Activity 1.1.3 (*statement*)						
Output 1.2 *(statement)*						
Activity 1.2.1 (*statement*)						
Activity 1.2.2 (*statement*)						
Output 2.1 *(statement)*						
Activity 2.1.1 (*statement*)						
Activity 2.1.2 (*statement*)						

5.2 Joint Management and Coordination

Present the structure, members and responsibilities of the joint coordination committee.

5.3 Monitoring and Evaluation

Describe monitoring and evaluation mechanisms and instruments (e.g. monitoring and management reports, final assessment), including indication of their periodicity and those responsible for their preparation and approval.

SECTION VI. INPUTS AND BUDGET[19]

6.1 Budget

6.1.1 General Budget:

(Repeated as per the cover page)

A. Financial Contributions (Operational Budget)	
For Brazil	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
For (Name of Partner Country)	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
Total (A)	**USD ...**
B. Non-Financial Contributions (Quantifiable in Monetary Values)	
For Brazil	**USD ...**
For *(Name of Partner Country)*	**USD ...**
Total (B)	**USD ...**
C. General Budget (A+B)	**USD ...**

6.1.2 Detailed Operational Budget - Financial Contributions (A)

A.1 Operational Budget per Budget Line Item (in USD)

Budget Line Item	**Year**			**Total**
	20 xx	**20 xx**	**20 xx**	
Code and title of the Budget Line Item	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
Total per year	USD 0.00	USD 0.00	USD 0.00	USD 0.00

A.2 Operational Budget per Funding Source: Brazil and (Name of the Partner Country) (in USD)

Budget Line	**Source: ABC**	**Source: *Other***	**Source: *Other***	**Total**
Code and title of the Budget Line Item	0.00	0.00	0.00	0,00
(…)	0.00	0.00	0.00	0,00
(…)	0.00	0.00	0.00	0.00
Total	USD 0.00	USD 0.00	USD 0.00	USD 0.00

[19] *The information contained in this item of Preparatory Action Documents should be prepared in accordance with the provisions of Section 6.2.3 and Section 11.3.3 of this Manual.*

A.3 Operational Budget: Annual Contributions from Brazil and Partner Country (in USD)

For Brazil:

Budget Line Item	Year			Total
	20 xx	20 xx	20 xx	
Code and title of the Budget Line Item	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
Total per year	USD 0.00	USD 0.00	USD 0.00	USD 0.00

For the Partner Country:

Budget Line Item	Year			Total
	20 xx	20 xx	20 xx	
Code and title of the Budget Line Item	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
(…)	0.00	0.00	0.00	0.00
Total per year	USD 0.00	USD 0.00	USD 0.00	USD 0.00

A.4 Operational Budget per Outcomes and Outputs (in USD): Contributions from Brazil and (*Name of the Partner Country*)

Outcomes/Outputs	Operational Budget		
	For Brazil	For (*Name of Partner Country*)	Total
Outcome 1 *(statement)*	USD 0.00	USD 0.00	USD 0.00
Output 1.1. (*statement*)	0.00	0.00	0.00
Output 1.2 (*statement*)	0.00	0.00	0.00
Total	USD 0.00	USD 0.00	USD 0.00

6.1.3 Non-Financial Contributions Quantifiable in Monetary Values (B) (in USD)

For Brazil	Total (USD)
Category: Capacity Development	
Hours per Person (technical instructors)	0.00
Hours per Person (undergraduated)	0.00
Hours per Person (graduated)	0.00
Technical studies	0.00
Training	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Public sources	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Private sources	0.00
Category: Capacity Development Associated Costs	
Tickets, daily allowances and insurance for foreigners	0.00
Tickets, daily allowances and insurance for nationals (Brazilian)	0.00
Administration and management	0.00
Services (associated with capacity development)	0.00
Operational costs in the country (Brazil)	0.00
Operational costs abroad	0.00
Total Brazil	***USD 0.00***

For (*Name of Partner Country*)	Total (USD)
Category: Capacity Development	
Hours per Person (technical instructors)	0.00
Hours per Person (undergraduated)	0.00
Hours per Person (graduated)	0.00
Technical studies	0.00
Training	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Public sources	0.00
Donation of goods, materials and equipment (associated with capacity development activities) - Private sources	0.00
Category: Capacity Development Associated Costs	
Tickets, daily allowances and insurance for foreigners	0.00
Tickets, daily allowances and insurance for nationals (Partner Country)	0.00
Administration and management	0.00
Services (associated with capacity development)	0.00
Operational costs in the Partner Country	0.00
Operational costs abroad	0.00
Total (Name of Partner Country)	***USD 0.00***

6.2 Description of Inputs

This section should provide qualitative descriptions of: (i) the inputs to be acquired with financial resources from the Operational Budget, and (ii) in-kind resources to be provided by partners as non-financial contributions.

6.2.1 Description of Inputs to be acquired with financial resources from the Operational Budget

Briefly describe the type, purpose and main characteristics of inputs to be acquired with financial resources from the Operational Budget, such as:

- *Training: List training goals and activities, number of participants, profile of instructors/ facilitators, location and estimated number of training sessions.*
- *Travel: Describe the goals of national and international missions, departure and destination locations, type of participants, and other types of expenses related to travelling (e.g. Per Diems, travel insurance).*
- *Procurement of services: Explain the nature, duration, purpose and required profile of service providers.*
- *Procurement of goods: Explain the nature, purpose and main features (e.g. technical characteristics) of materials.*
- *Recruitment (Independent Consultants): Describe the required profile and skills, type of consultancy activity or output, workplace/duty station, and expected duration of assignments (in days or months).*

Note:

- The information contained in this item of Preparatory Action Documents should be prepared in accordance with the provisions of Section 6.2.3 and Section 11.3.3 of this Manual.

- Recruitment of independent consultants is only acceptable on a complementary basis, that is, as additional to the contributions of project partner experts, and when deemed indispensable for achieving the project´s specific objective and outcomes.

6.2.2 Description of Non-Financial Contributions from Project Partners

Describe the type and main characteristics of in-kind resources to be mobilized by partners (non-financial contributions), together with an explanation as to how they relate to the Implementation Strategy and to the production of Preparatory Action outputs. This section is descriptive in nature and should include qualitative information on quantifiable and non-quantifiable in-kind contributions.

SECTION VII. ROLES AND RESPONSABILITIES OF THE PARTIES

This section describes the responsibilities of each partner directly involved in project implementation according to their roles in the coordination, technical implementation or administrative & financial execution of the Preparatory Action. A list of the main responsibilities of parties in Projects in provided in Section 3 of this Manual (see Section VII of the Project Document). This list should be adapted to the scope and characteristics of the Preparatory Action.

SECTION VIII. LEGAL, FINANCIAL AND OPERATIONAL PROVISIONS

This section contains: provisions related to applicable norms and procedures with respect to intellectual property of Preparatory Action outputs, goods and/or technical documents, as well as administrative, financial and other legal provisions, as required.

ANNEX 1. Work Plan (Mandatory)

The Work Plan should be attached to the Preparatory Action Document at the time of its signature.

ANNEX A6 Project Work Plan

PROJECT CODE AND TITLE: ___________________

Work Plan (*or*) **Annual Work Plan** (*reference year*)

I. Identification

1.1 Reference period: *month / year to month / year*

1.2 Prepared by: *(Name, position, organization, contacts)*

2. Detailing of the Work Plan

Specific Objective of the Project:

Present the specific objective statement as per the Project Document

Expected Outcomes:

Present the project outcome statements as per the Project Document

Planned Outputs and Activities:

Output 1.1: (*Statement as per the Project Document*)

Activity 1.1.1: (*Statement as per the Project Document*)

Estimated Initiation Date: *Indicate the estimated month and year for the beginning of activity implementation, as per the Project Document implementation schedule. Example: September 2013*

Estimated End Date: *Indicate the estimated month and year for the completion of the activity, as per the Project Document implementation schedule. Example: October 2013*

Responsible: *Indicate the name of the Project partner responsible for providing technical inputs for implementation of the activity.*

Sub-activity 'a': *Statement of the sub-activity (resulting from an activity breakdown)*

Initiation Date: *Indicate the estimated month and year for the beginning of the sub-activity (as per the Activity initiation date). Example: September 2013*

End Date: *Indicate the estimated month and year for completion of the sub-activity (as per the Activity end date). Example: October 2013*

Responsible: *Indicate the name of the Project partner, unit and person responsible for implementation of the sub-activity.*

Note: Provide relevant logistical, operational and/or technical information as needed (e.g. sources of financial and non-financial contributions, materials, logistical support; technical observations).

Sub-activity 'b': *Statement of the sub-activity (resulting from an activity breakdown)*

Initiation Date:
End Date:
Responsible:
Notes:

Sub-activity 'n':

Initiation Date:
End Date:
Responsible:
Notes:

Activity 1.1.1: Financial Contribution:

Budget Line Item	Input	Funding Source	Calculation Log (in USD)	Subtotal (in USD)
			Activity 1.1.1 Total:	***USD x,xx***

Additional non-financial contributions: (*In monetary values, whenever possible*)

Budget Line Item	Funding Source	Description: Type / Quantity / Volume	Estimated Value (in USD)
		Activity 1.2.1 Total:	***USD x,xx***

Activity 1.1.2: (*Statement as per the Project Document*)

Estimated Initiation Date:
Estimated End Date:
Responsible:

Sub-activity 'a': *Statement of the sub-activity (resulting from an activity breakdown)*

Initiation Date:
End Date:
Responsible:
Notes:

Sub-activity 'n':

Initiation Date:
End Date:
Responsible:
Notes:

Activity 1.1.2: *Financial contribution:*

Budget Line Item	Input	Funding Source	Calculation Log (in USD)	Subtotal (in USD)
			Activity 1.1.2 Total:	***USD x,xx***

Additional non-financial contributions: (*Informed as monetary values, whenever possible*)

Budget Line Item	Funding Source	Description: Type / Quantity / Volume	Estimated Value (in USD)
		Activity 1.1.2 Total:	***USD x,xx***

Output 1.2: *(Statement as per the Project Document)*

Activity 1.2.'n': *(Statement as per the Project Document)*

Estimated Initiation Date:
Estimated End Date:
Responsible:

Sub-activity 'n':

Initiation Date:
End Date:
Responsible:
Notes:

Activity 1.2.1: *Financial contributions:*

Budget Line Item	Input	Funding Source	Calculation Log (in USD)	Subtotal (in USD)
			Activity 1.2.1 Total:	***USD x,xx***

Additional non-financial contributions: (*In monetary values, whenever possible*)

Budget Line Item	Funding Source	Description: Type / Quantity / Volume	Subtotal (in USD)
		Activity 1.2.1 Total:	***USD x,xx***

Output 2.1: *(Statement as per the Project Document)*

Activity 2.1.'n': *(Statement as per the Project Document)*

Estimated Initiation Date:
Estimated End Date:
Responsible:

Sub-activity 'n':

Initiation Date:
End Date:
Responsible:
Notes:

Activity 2.1.'n': *Financial contributions:*

Budget Line Item	Input	Funding Source	Calculation Log (in USD)	Subtotal (in USD)
			Activity 2.1.1 Total:	***USD x,xx***

ANNEX A7 Preparatory Action Work Plan

TITLE OF THE PREPARATORY ACTION: ____________________

WORK PLAN

I. Identification

1.1 Reference period: *month / year to month / year (same duration of the Preparatory Action)*

1.2 Prepared by: *(Name, position, organization, contacts)*

2. Detailing of the Work Plan

Specific Objective of the Preparatory Action:

Present the specific objective statement as per the Preparatory Action Document

Expected Outcomes:

Present the project outcome statements as per the Preparatory Action Document

Planned Outputs and Activities:

Output 1.1: (*Statement as per the Preparatory Action Document*)

Activity 1.1.1: (*Statement as per the Preparatory Action Document*)

Estimated Initiation Date: *Indicate the estimated month and year for the beginning of activity implementation, as per the Preparatory Action Document implementation schedule. Example: September 2013*

Estimated End Date: *Indicate the estimated month and year for the completion of the activity, as per the Preparatory Action Document implementation schedule. Example: October 2013*

Responsible: *Indicate the name of the Preparatory Action partner responsible for providing technical inputs for implementation of the activity.*

Sub-activity 'a': *Statement of the sub-activity (resulting from an activity breakdown)*

Initiation Date: *Indicate the estimated month and year for the beginning of the sub-activity (as per the Activity initiation date). Example: September 2013*

End Date: *Indicate the estimated month and year for completion of the sub-activity (as per the Activity end date). Example: October 2013*

Responsible: *Indicate the name of the Preparatory Action partner, unit and person responsible for implementation of the sub-activity.*

Note: Provide relevant logistical, operational and/or technical information as needed (e.g. sources of financial and non-financial contributions, materials, logistical support; technical observations).

Sub-activity 'b': *Statement of the sub-activity (resulting from an activity breakdown)*

Initiation Date:
End Date:
Responsible:
Notes:

Sub-activity 'n':

Initiation Date:
End Date:
Responsible:
Notes:

Activity 1.1.1: Financial Contribution:

Budget Line Item	Input	Funding Source	Calculation Log (in USD)	Subtotal (in USD)
			Activity 1.1.1 Total:	***USD x,xx***

Additional non-financial contributions: (*In monetary values, whenever possible*)

Budget Line Item	Funding Source	Description: Type / Quantity / Volume	Estimated Value (in USD)
		Activity 1.1.1 Total:	***USD x,xx***

Activity 1.1.2: (*Statement as per the Preparatory Action Document*)

Estimated Initiation Date:
Estimated End Date:
Responsible:

Sub-activity 'a': *Statement of the sub-activity (resulting from an activity breakdown)*

Initiation Date:
End Date:
Responsible:
Notes:

Sub-activity 'n':

Initiation Date:
End Date:
Responsible:
Notes:

Activity 1.1.2: *Financial contribution:*

Budget Line Item	Input	Funding Source	Calculation Log (in USD)	Subtotal (in USD)
			Activity 1.1.2 Total:	***USD x,xx***

Additional non-financial contributions: (*Informed as monetary values, whenever possible*)

Budget Line Item	Funding Source	Description: Type / Quantity / Volume	Estimated Value (in USD)
		Activity 1.1.1 Total:	***USD x,xx***

Output 1.2: *(Statement as per the Preparatory Action Document)*

Activity 1.2.'n': *(Statement as per the Preparatory Action Document)*

Estimated Initiation Date:
Estimated End Date:
Responsible:

Sub-activity 'n':

Initiation Date:
End Date:
Responsible:
Notes:

Activity 1.2.1: *Financial contributions:*

Budget Line Item	Input	Funding Source	Calculation Log (in USD)	Subtotal (in USD)
			Activity 1.2.1 Total:	***USD x,xx***

Additional non-financial contributions: (*In monetary values, whenever possible*)

Input	Funding Source	Description: Type / Quantity / Volume	Estimated Value (in USD)	Subtotal (in USD)
			Activity 1.2.1 Total:	***USD x,xx***

Output 2.1: *(Statement as per the Preparatory Action Document)*

Activity 2.1.'n': *(Statement as per the Preparatory Action Document)*

Estimated Initiation Date:
Estimated End Date:
Responsible:

Sub-activity 'n':

Initiation Date:
End Date:
Responsible:
Notes:

Activity 2.1.'n': *Financial contributions:*

Budget Line Item	Input	Funding Source	Calculation Log (in USD)	Subtotal (in USD)
			Activity 2.1.1 Total:	***USD x,xx***

ANNEX A8 Template of Terms of Reference for Missions

Process No. ___ (*For Scoping Missions)*

or

Code and Title of Project/ Preparatory Action: (*For other missions*)

TERMS OF REFERENCE FOR (*Specify the type of mission*)

1. Project/Preparatory Action Information

1.1 Partner Country Information:

a) Name of the Partner Country:

b) Partner Country Partners: (Names of Partner organizations and related division/unit)

1.2 Sector/Subsector or thematic area:

1.3 Problem or undesired situation to be addressed: (For Scoping Missions only)

Provide a brief narrative of the problem or initial situation in up to five lines. This information will be detailed as a result of dialogue between partner organizations during the scoping mission.

ABC/MRE´s Unit: *(name of ABC/MRE´s Unit responsible for the mission)*

Responsible: *(name of person responsible for the mission)*

2. Mission Information

2.1 Location: *(City/locality and country)*

2.2 Period and Duration:

Initiation Date: (*dd/mm/yyyy*)
End Date: (*dd /mm/yyyy*)
Duration: *(in days*)

2.3 Objective:

Present the objective or purpose of the mission. Examples:

For scoping missions: Jointly identify the basic elements and determine the scope of the future South-South Technical Cooperation project between the Government of (partner country) and the Government of Brazil, in order to support decision making regarding the request for cooperation in the field of (...)

For implementation missions: Implement Project Activity 'x' (statement) and Activity 'y' (statement).

For Monitoring and Midterm Evaluation Missions: Provide Brazilian and partner country partners with sufficient information for assessing project performance and sustainability as well as supporting decision making regarding necessary adjustments.

Final and Post-Project Evaluation Missions: Provide Brazilian and partner country partners with sufficient information for project evaluation, identification and systematization of lessons learned, and recommendations on post-project follow-up.

2.4 Methodology and Mission Activities:

Describe mission activities, outputs and methods, mechanisms and instruments for their implementation, in addition to roles and responsibilities of each participant. Examples:

For Scoping Missions:

- *Questionnaires and workshop for Mapping Stakeholders and Capacities.*
- *Workshops related to the analytical and planning stages.*

For Implementation Missions: Conduct sessions of the course on …. with presentations, discussions and workshops to be conducted by experts from partner organizations. Apply the questionnaire for output assessment.

For Monitoring Missions: Conduct a PSC meeting for joint assessment of the preliminary version of the Progress Report (attach the meeting agenda and the related Progress Report).

For Midterm, Final and Post-Project Evaluation Missions: Evaluation instruments such as questionnaires, interviews, and workshops, participants, and persons responsible for their application.

2.5 Mission Outputs:

Describe the expected mission outputs. Examples:

For Scoping Missions:

- *Stakeholders and capacities identified and validated.*
- *Project concept note formulated.*
- *Workshop reports related to the Analytical and Planning Stages, including problem and solution analyses, action strategy and risk analysis, Logical Structure and other components of a preliminary Logical Framework and, whenever possible, the project implementation schedule and budget.*

Note: The information to be collected during a scoping mission should be sufficient to support quality decision making regarding the possibility of moving forward with the cooperation request, as well as for post-mission preparation of a project proposal (in case of a favorable decision).

For Implementation Missions: Activity reports, mission report, output assessment reports

For Monitoring Missions: Drafts of project progress report, mission report

For Midterm, Final and Post-Project Evaluation Missions: Drafts of evaluation report; mission report

2.6 Partner organizations and persons to be contacted:

Name of the Partner organization:
Name and Position of Focal Point:
Phone number of Focal Point:
E-mail of Focal Point:

Postal Address of Partner Organization:
Name of the Partner organization:
Name and Position of Focal Point:

Phone number of Focal Point:
E-mail of Focal Point:
Postal Address of Partner Organization:

2.7 Mission Participants:

For each Participant:

Name of Partner Organization:
Name of Participant:
Position:
Phone number:
E-mail:

3. Mission Schedule

(The mission agenda should be updated and distributed to participants on the eve of the mission by the respective ABC/MRE focal point)

Day I: (*day, month, year, weekday*)

- Departure from (location) to (location)
  (Add airline, flight number and time of arrival, itinerary/connections)

Day II: (*day, month, year, weekday*)

- Arrival at (Indicate destination and airport) and hotel transfer (Indicate the name, address and telephone number of the hotel)

Day III: (*day, month, year, weekday*)

Activities (*e.g. meetings, visits*)	Purpose of the Activity	Agenda of Activity
Activity*: (e.g. ´Preparatory Meeting with ...´)* Time: Location:		
Activity: Time: Location:		

Day IV: (*day, month, year, weekday*)

Activities (*e.g. meetings, visits*)	Purpose of the Activity	Agenda of Activity
Activity*: (e.g. ´Preparatory Meeting with ...´)* Time: Location:		
Activity: Time: Location:		

Day V: (day, month, year, weekday)

- Airport transfer for return flight (*Add location of transfer departure, name of destination airport, airline, flight number and time of departure and arrival at final destination*)

4. Estimated Costs

Provide the detailed calculation of estimated mission costs by budget line item and total value.

Example:

Budget Line Item	Input	Funding Source	Calculation Log (in USD)	Subtotal (in USD)
Code and title of the budget line item	*Tickets and travel insurance (Brasília – Praia - Brasília)*	*ABC*	*3 experts x 1 ticket x USD 2,000.00*	*USD 6,000.00*
Code and title of the budget line item	*Per-Diems*	*ABC*	*3 experts x 6 Per-Diems in Praia x USD 264.00*	*USD 4,752.00*
Code and title of the budget line item	*Vehicle rental for transfers of the delegation in Praia*	*ABC*	*1 vehicle x 5 days x USD 300.00*	*USD 1,500.00*
			Total:	***USD 12,252.00***

5. Annexes to the Terms of Reference

For all types of mission:

- *Travel Report Template, including preparation and presentation procedures.*
- *Administrative and logistical information related to travelling: Per-Diems (value, form of payment); tickets (information on reservations, airline, itinerary and schedules, whenever available); travel insurance; accommodation (with hotel address and phone number); transfers; visas and vaccines, etc.*
- *Information on local weather, geography, language, customs, available communications (internet, telephone), currency exchange, safety, address and phone number of the Brazilian Embassy, among others.*

For Scoping Missions: (*Add the following mandatory items*)

- *Consolidated report of the Mapping of Stakeholders and Capacities (whenever available) or a version of the questionnaire to be applied during the mission.*
- *Copy of the following sessions of this Manual: Part II: Formulating South-South Technical Cooperation Initiatives and Annex A4: Standard South-South Technical Cooperation Project Document.*

For Implementation Missions: (*Add the following mandatory items*)

- *Copy of the current Work Plan.*

For Monitoring Missions: *(Add the following mandatory items)*

- *Copy of the Project Document and the last approved review.*
- *Progress Report Template.*
- *Copy of previous Progress Reports (whenever available).*
- *Copy of minutes of previous Project Steering Committee (PSC) meetings.*
- *Copy of the current Work Plan.*

For evaluation missions: (*Add the following mandatory items*)

- *Terms of Reference for Evaluation.*
- *Copy of evaluation instruments to be applied during mission (e.g. questionnaires, interview templates).*
- *Evaluation Report template.*
- *Copies of relevant project documentation (previously assessed during desk reviews).*

ANNEX A9 Template of Mission Reports

Process No. ___ *(For Scoping Missions)*
or
Code and Title of Project/ Preparatory Action: (*For other missions*)
REPORT OF (*Specify the type of mission*)

ABC/MRE Unit:

1. Mission Information

1.1 Location: *(City/locality and country)*

1.2 Period and Duration:

Initiation Date: (*dd/mm/yyyy*)
End Date: (*dd /mm/yyyy*)
Duration: *(in days*)

1.3 Objective:

Briefly indicate mission objectives as per the Terms of Reference for the mission.

1.4 Participants:

Name / Position:
Partner Organization:
Phone number: E-mail:

Name / Position:
Partner Organization:
Phone number: E-mail:

1.5 Contacted organizations and individuals

List actors and stakeholders who participated in mission activities.

Partner Organization:
Names / positions of participants:
Phone number: E-mail:
Address:

Partner Organization:
Names / positions of participants:
Phone number: E-mail:
Address:

1.6 Agenda:

Describe the activities that were carried out during the mission (workshops, meetings, courses, etc.) according to the template below:

Activity 1: *Present the title and purpose of the mission activity (Examples: Meeting with the Embassy of Brazil for presenting mission objectives; workshop for mapping stakeholders and capacities; workshop for joint problem and solution analysis, action strategies and risk analysis; implementation of Project Activity x.x.x)*

Responsible: *Provide the names of the persons responsible for conducting the activity.*
Initiation date and time: *(dd/mm/yyyy, at __ hours)*
End date and time: *(dd/mm/yyyy, at __ hours)*
Duration: *(in hours or days)*
Location:
Number of participants:
List of participants:
Related mission outputs: *(e.g. meeting minutes, report drafts, notes, workshop reports, activity report; output assessment report, minutes of PSC meetings, draft progress report, evaluation interview report)*

Activity 2: (*Title and purpose of the activity*)

Responsible:
Initiation date and time: *(dd/mm/yyyy, at __ hours)*
End date and time: *(dd/mm/yyyy, at __ hours)*
Duration: *(in hours or days)*
Location:
Number of participants:
List of participants:
Related mission outputs: :

1.7 Mission Outputs:

List all mission outputs, including those indicated above and any output delivered during the mission.

2. Conclusions and recommendations

- Assess mission activities and outputs in regard to mission objectives (as per the Terms of reference for the mission). Report positive aspects and main challenges faced during the mission (technical, operational, logistical and administrative). Suggest measures for improving these aspects.
- Make relevant recommendations to support managerial decision-making regarding achievement of project results (Examples: 'The mission has not achieved its objective, that is, not all required information for preparation of the project proposal was collected´. Or, alternatively ´It is recommended to review the project for adjustments in the following components ...').

3. Administrative and logistic issues

3.1 Boarding passes

Attach all original boarding passes. Provide justification in case of itinerary changes, together with the name of the person responsible for costs related to such modifications. Missing original receipts must be replaced by a statement from the airline.

4. Date and Signature

Name:
Position:
Partner Organization:
Signature: ________________
Location and date:

For ABC use only:

Approved by:
Name:
Position:
Unit:
Signature:
Location and date:

5. Annexes

For all types of mission:

- *Agenda of mission activities accomplished.*
- *Agenda of courses, workshops and trainings sessions.*
- *Attendance lists of meetings, courses, workshops and trainings.*
- *Minutes of meetings.*
- *Mission´s activity and output assessments.*

For Fact Finding Missions (mandatory items):

- *Consolidated report of the Mapping of Stakeholders and Capacities (see **Section 9.1.1** of this Manual).*
- *Summary reports of workshops related to the Analytical and Planning Stages Capacities (see **Part II: Formulating South-South Technical Cooperation Projects of this Manual**) including copy of problem and solution trees; summary/follow-up notes of discussions and brainstorming sessions, attendance lists.*

ANNEX A10 Project Progress Report

South-South Technical Cooperation Project
(Project Code and Title)

PROJECT PROGRESS REPORT No.___
Reference period: *From (month/year) to (month/year)*

1. PROJECT IDENTIFICATION

Brazilian and Partner Country Partners:

For Brazil:

- Partner Responsible for Administrative & Financial Execution: *(name of organization)*
- Partner Responsible for Technical Implementation: (*name of organization*)
- Partner Responsible for Coordination: (*name of organization*)

For *(name of Partner Country):*

- Partner Responsible for Administrative & Financial Execution: (*name of organization*)
- Partner Responsible for Technical Implementation: (*name of organization*)
- Partner Responsible for Coordination: (*name of organization*)

Geographic area covered: (*Country and provinces or geographic regions*)

Expected Initiation Date: *dd/mm/yyyy*

Effective Initiation Date: *dd/mm/yyyy*

Duration: (*in months/years*)

Expected End date: *dd/mm/yyyy*

General Budget *(as per the Project Document or last approved Review, including review number)*

A. Financial Contributions (Operational Budget)	
For Brazil	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
For (Name of Partner Country)	
(Name/acronym of funding source):	USD …
(…)	USD …
Subtotal:	**USD ...**
Total (A)	**USD ...**
B. Non-Financial Contributions (Quantifiable in Monetary Values)	
For Brazil	**USD ...**
For *(Name of Partner Country)*	**USD ...**
Total (B)	**USD ...**
C. General Budget (A+B)	**USD ...**

Prepared by: *(names, positions, contacts)*

2. ACHIEVEMENT OF OBJECTIVE AND OUTCOMES *(Fill out one form for the Specific Objective and one form for each Outcome)*

Specific Objective: *(statement)*						
Indicator 1	**Baseline:**	**Targets* and Performance**				
(Statement of the indicator as per the Project Document or last approved review)	*(Baseline value)*	Value/Period:	20xx Semester x	20xx Semester x	20xx Semester x	20xx Semester x
		Target*:	*(...)*	*(...)*	*(...)*	*(...)*
		Current Value*:	*(...)*	*(...)*	*(...)*	*(...)*
Progress analysis and recommendations regarding this Indicator						
Brief description of progress in achieving qualitative and quantitative targets of this indicator, with reference to factors that reveal partial, progressive effectiveness in achieving the Specific Objective (that is, meeting the needs of beneficiaries in regard to the initial situation, according to their own perspectives).						
Indicator 2	**Baseline:**	**Targets * and Performance**				
(...)	*(...)*	Value/Period:	20xx Semester x	20xx Semester x	20xx Semester x	20xx Semester x
		Target*:	*(...)*	*(...)*	*(...)*	*(...)*
		Current Value*:	*(...)*	*(...)*	*(...)*	*(...)*
Progress analysis and recommendations regarding this Indicator						
(...)						

** Use the field indicated with (*) for partial, intermediate targets of quantitative and qualitative indicators.*

Outcome 1: *(statement)*						
Indicator 1	**Baseline:**	**Targets* and Performance**				
(Statement of the indicator as per the Project Document or last approved review)	*(Baseline value)*	Value/Period:	20xx Semester x	20xx Semester x	20xx Semester x	20xx Semester x
		Target*:	*(...)*	*(...)*	*(...)*	*(...)*
		Current Value*:	*(...)*	*(...)*	*(...)*	*(...)*
Progress analysis and recommendations regarding this Indicator						
Short description of progress in achieving qualitative and quantitative targets of this indicator, with reference to (i) factors that may corroborate the development or dissemination of capacities at individual/organizational and/or inter-institutional levels, and (ii) elements revealing partial, progressive effectiveness in outcome achievement (that is, meeting the needs of beneficiaries in regard to capacity development or dissemination, according to their own perspectives).						
Indicator 2	**Baseline:**	**Targets * and Performance**				
(...)	*(...)*	Value/Period:	20xx Semester x	20xx Semester x	20xx Semester x	20xx Semester x
		Target*:	*(...)*	*(...)*	*(...)*	*(...)*
		Current Value*:	*(...)*	*(...)*	*(...)*	*(...)*
Progress analysis and recommendations regarding this Indicator						
(...)						

** Use the field indicated with (*) for partial, intermediate targets of quantitative and qualitative indicators.*

Outcome 'n: *(statement)*						
Indicator 1	**Baseline:**	**Targets* and Performance**				
(Statement of the indicator as per the Project Document or last approved review)	*(Baseline value)*	Value/Period:	20xx Semester x	20xx Semester x	20xx Semester x	20xx Semester x
		Target*:	*(...)*	*(...)*	*(...)*	*(...)*
		Current Value*:	*(...)*	*(...)*	*(...)*	*(...)*
Progress analysis and recommendations regarding this Indicator						
Short description of progress in achieving qualitative and quantitative targets of this indicator, with reference to (i) factors that may corroborate the development or dissemination of capacities at individual/organizational and/or inter-institutional levels, and (ii) elements revealing partial, progressive effectiveness in outcome achievement (that is, meeting the needs of beneficiaries in regard to capacity development or dissemination, according to their own perspectives).						
Indicator 2	**Baseline:**	**Targets * and Performance**				
(...)	*(...)*	Value/Period:	20xx Semester x	20xx Semester x	20xx Semester x	20xx Semester x
		Target*:	*(...)*	*(...)*	*(...)*	*(...)*
		Current Value*:	*(...)*	*(...)*	*(...)*	*(...)*
Progress analysis and recommendations regarding this Indicator						
(...)						

** Use the field indicated with (*) for partial, intermediate targets of quantitative and qualitative indicators.*

2.1 Consolidation of project effects (as indicated in the previous table)

Note: This section focuses on the development of capacities in the individual, organizational, inter-institutional and societal/contextual dimensions). As such, it should describe the achievement of project outcomes and its specific objective as a processes that relates capacity development and dissemination capacities at individual, organizational and inter-institutional levels in a progressive manner.

Examples:

- *For an outcome with outputs mainly related to training (relationship between individual and organizational development outcomes):*
  - o *Has learning been effectively achieved by the individuals who took part in training? Are they becoming better equipped to perform their tasks?*
  - o *Are their improved skills, knowledge and abilities being successfully applied in performing their tasks?*
  - o *Has improved staff competency had a positive effect on the organization´s adoption of improved technical, managerial and other organizational practices and processes?*
- *For an outcome with outputs mainly related to organizational capacity development (relationship between organizational and inter-institutional development outcomes):*
  - o *Has the partner country partner been able to successfully adopt and sustain new, improved practices resulting from project implementation?*

- o *Have the new, improved organizational capacities helped the organization in delivering effective goods and services to its beneficiaries?*
- o *Have the new, improved organizational capacities helped the organization in coordinating with other organizations in their respective policy or sector?*
- o *Have such project outcomes had a positive effect in related sectorial programs and policies?*

(Minimum of half a page and up to one-and-a-half pages)

2.2 Were there unexpected effects, positive or negative, during the reference period? What were the causes? (up to half a page)

2.3 Is project design (logical structure, logical framework, implementation strategy) still valid? Are changes required to the plan? (up to half a page)

2.4 Indicate any comment or recommendation made by the partner country partners in regard to project implementation during the course of technical or monitoring missions. (up to half a page)

3. SUSTAINABILITY

3.1 What specific measures have been taken to ensure learning and adoption of outcomes by direct and indirect beneficiaries? (up to half a page)

Note: Project outcomes are the capacities expected to be developed, complemented or disseminated as a result of South-South technical cooperation.

4. PROGRESS IN WORK PLAN IMPLEMENTATION *(according to the last approved work plan)*

4.1 Operational Targets Related to Activity Implemention and Output Delivery
(One form for each activity and output – up to half a page for each form)

<table>
<tr><td colspan="6">Output ‘n’: (statement)</td></tr>
<tr><td>Estimated End Date:</td><td>(dd/mm/yyyy)</td><td>Effective End Date:</td><td>(dd/mm/yyyy)</td><td>Current Status:</td><td>Indicate the current status of implementation according to one of the following options:
1. Expected delivery: Within deadline
2. Expected delivery: Overdue
3. Delivered (Within deadline)
4. Delivered (Overdue)
5. Cancelled
6. Suspended or Revised</td></tr>
<tr><td colspan="6">Achievement analysis of Output target (s) and Recommendations (for on-going implementation only)</td></tr>
<tr><td colspan="6">a) Short description of achievements in regard output implementation or delivery, with reference to expected or unexpected difficulties, as applicable.
Note: Justification should be provided for options 2, 4, 5 and 6 above.</td></tr>
<tr><td colspan="6">b) Recommendation of counter measures to overcome difficulties and obstacles, as applicable.</td></tr>
</table>

5. MANAGEMENT AND IMPLEMENTATION ANALYSIS

5.1 Are the financial, technical, human and material resources allocated to the project by Brazilian and partner country partners adequate in terms of quality and quantity (size/volume or amounts)? Have they been mobilized/allocated in a timely manner? (up to half a page)

5.2 Have Activities and Outputs been initiated and delivered within the deadlines set in the work plans/implementation schedules? If not, what measures could be taken to minimize gaps between what was planned and what is actually being delivered? (up to one page)

5.3 Did any of the risks foreseen in the risk log materialize? If so, which ones? In such cases, were appropriate measures taken to mitigate them? Were they timely, appropriate and effective? Should other mitigating measures have been taken? (up to half a page)

5.4 Have unexpected risks and events occurred causing negative effects on project implementation? If so, which ones? What measures have been, or should have been, taken to minimize or eliminate such negative consequences? (up to 5 pages)

5.5 Has the interaction, coordination and communication between partner organizations been appropriate and effective? If not, what measures should be taken to correct the situation? (up to half a page)

5.6 Are there adjustments to be made in the budget or in the next implementation schedule/work plan?

6. MONITORING OF PREVIOUS RECOMMENDATIONS

6.1. Describe the measures which have been taken following the recommendations of the previous progress report, the last meeting of the Project Steering Committee, and/or midterm evaluation, when applicable. *(up to one page)*

7. CONCLUSIONS AND RECOMMENDATIONS

7.1 So far, what positive or negative lessons can be learned from Project experience?

7.2 Conclusions and recommendations for subsequent Project implementation (*Include adjustments to the course of action and project strategy and redefinition of project scope, whenever applicable.)*

ANNEX 1: BUDGET EXECUTION (OPERATIONAL BUDGET)

1. Financial Contributions from Brazil: Budget Execution per Budget Line (in USD)

BUDGET EXECUTION REPORT

Reported Period: As on *(Day/Month/Year)*

Financial Contributions from Brazil: Budget Execution per Budget Line (in USD)

Last Approved Operational Budget (Date): *(Indicate date of Project signature, or title/code/date of the last approved Review)*

Operational Budget for Brazil (in USD): USD … *(Indicate total value as in the Project Document or last approved Review)*

Budget Lines	Estimated Operational Budget - Brazil (A) *(as per the Project Document or last approved Review)*	Expenditures per Year			Total Expenditures (B) (As on the date of the budget report)	Current Balance** (A-B)	% Executed	Committed
		For the Year Ended 31 December 20xx	For the Year Ended 31 December 20xx	For the Year Ended 31 December 20xx				
Code and title of the Budget Line	0.00	0.00	0.00	0.00	0.00	0.00	0	0.00
(…)	0.00	0.00	0.00	0.00	0.00	0.00	0	0.00
(…)	0.00	0.00	0.00	0.00	0.00	0.00	0	0.00
Total	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**0**	**USD 0.00**

** According to the date of the report. For mid-year (biannual) reports, indicate expenditures ´**For the Semester Ended 30 June 20xx**´ (current year). For annual reports, indicate expenditures ´**For the Year Ended 31 December 20xx**´ (last reported year), as in the table above.*

*** According to the date of the report. For mid-year (biannual) reports, indicate current balance ´**As on 30 June 20xx**´ (current year). For annual reports, indicate current balance ´**As on 31 December 20xx**´ (last reported year).*

2. Financial Contributions from (Name of Partner Country): Budget Execution per Budget Line

BUDGET EXECUTION REPORT

Reported Period: As on *(Day/Month/Year)*

Financial Contributions from Brazil: Budget Execution per Budget Line (in USD)

Last Approved Operational Budget (Date): *(Indicate date of Project signature, or title/code/date of the last approved Review)*

Operational Budget for Brazil (in USD): USD … *(Indicate total value as in the Project Document or last approved Review)*

Budget Lines	Estimated Operational Budget - Brazil (A) *(as per the Project Document or last approved Review)*	Expenditures per Year			Total Expenditures (B) (As on the date of the budget report)	Current Balance** (A-B)	% Executed	Committed
		For the Year Ended 31 December 20xx	For the Year Ended 31 December 20xx	For the Year Ended 31 December 20xx				
Code and title of the Budget Line	0.00	0.00	0.00	0.00	0.00	0.00	0	0.00
(…)	0.00	0.00	0.00	0.00	0.00	0.00	0	0.00
(…)	0.00	0.00	0.00	0.00	0.00	0.00	0	0.00
Total	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**0**	**USD 0.00**

** According to the date of the report. For mid-year (biannual) reports, indicate expenditures ´**For the Semester Ended 30 June 20xx**´ (current year). For annual reports, indicate expenditures ´**For the Year Ended 31 December 20xx**´ (last reported year), as in the table above.*

*** According to the date of the report. For mid-year (biannual) reports, indicate current balance ´**As on 30 June 20xx**´ (current year). For annual reports, indicate current balance ´***As on 31 December 20xx***´ (last reported year).*

ANNEX 2: INPUTS MOBILIZED AND OUTPUTS DELIVERED BY THE PROJECT DURING THE PORTED PERIOD

Man-hours of Brazilian Partners *(List man-hours per Project Output and Partner Organization)*	
Related Project Output and Activity:	
Name of experts:	
Name of Partner Organization:	
Experts roles in technical implementation:	
Number of Man-hours (per Partner organization):	
Estimated Value of Man-hours (in USD):	USD …

Man-hours of Partner Country Partners *(List man-hours per Project Output and Partner Organization)*	
Related Project Output and Activity:	
Name of experts:	
Name of Partner Organization:	
Experts roles in technical implementation:	
Number of Man-hours (per Partner organization):	
Estimated Value of Man-hours (in USD):	USD …

Training sessions, courses, seminars, workshops delivered			
Month/year of implementation	Month/year	Duration (in days):	
Number of participants:	- Total		
	- For Partner Country Partners:		
	- For Brazilian Partners:		
Total cost (in USD) / Funding Source:	USD …		
Related Project Output and Activity:			

Publications	
Title / Object:	
References:	
Total cost (in USD)/Funding Source:	USD …
Related Project Output and Activity:	

Equipment and other transferred/or purchased movable assets *(One for each item)*	
Purchased or transferred item:	
Source:	
Purpose:	(Description up to 2 lines)
Quantity:	
Total cost (in USD):	USD …
Procurement modality:	
Related Project Output and Activity:	

Procurement Goods and Services *(One for each contract)*	
Name of entity, company:	
Purpose:	(Description up to 2 lines)
Procurement modality:	
Contract period:	
Total cost of contract (in USD) / Funding Source:	USD
Related Project Output and Activity:	
Related Project Output and Activity:	

Recruitment *(One for each consultant)*	
Name of consultant:	
Purpose of contract:	(Description up to 2 lines)
Type of purchase/procurement:	
Contract period:	
Total cost of contract (in USD) / Funding Source:	USD …
Related Project Output and Activity:	
Related Project Output and Activity:	

Other mobilized inputs or delivered outputs *(One for each input or output)*
(List and describe any other input mobilized or output delivered by Brazilian partners during the reference period.)

ANNEX 3: LAST APPROVED WORK PLAN OR IMPLEMENTATON SCHEDULE

Attach the last approved work plan or implementation schedule.

ANNEX A11 Project Final Report

South-South Technical Cooperation Project
(Project Code and Title)

FINAL PROJECT REPORT
Report date: ***(month/year)***

1. PROJECT IDENTIFICATION

Brazilian and Partner Country Partners:

For Brazil:

- Partner Responsible for Administrative & Financial Execution: (*name of organization*)
- Partner Responsible for Technical Implementation: (*name of organization*)
- Partner Responsible for Coordination: (*name of organization*)

For *(name of Partner Country):*

- Partner Responsible for Administrative & Financial Execution: (*name of organization*)
- Partner Responsible for Technical Implementation: (*name of organization*)
- Partner Responsible for Coordination: (*name of organization*)

Geographic area covered: (*Country and provinces or geographic regions*)

Expected Initiation Date: *dd/mm/yyyy*

Effective Initiation Date: *dd/mm/yyyy*

Duration: (*in months/years*)

Expected End date: *dd/mm/yyyy*

General Budget *(as per the Project Document or last approved Review, including review number)*

	Last Approved Review (No)	Project Document	Variation
A. Financial Contributions (Operational Budget)			
For Brazil *			
(Name/acronym of funding source):	USD	USD	USD
(…)	USD	USD	USD
Subtotal:	**USD**	**USD**	**USD**
For (Name of Partner Country)**			
(Name/acronym of funding source):	USD	USD	USD
(…)	USD	USD	USD
Subtotal:	**USD**	**USD**	**USD**
Total (A)	**USD**	**USD**	**USD**
B. Non-Financial Contributions (Quantifiable in Monetary Values)			
For Brazil *	**USD ...**		
For *(Name of Partner Country)* **	**USD ...**		
Total (B)	**USD ...**		
C. General Budget (A+B)	**USD ...**		

* *Mandatory / ** As applicable.*

Prepared by: *(names, positions, contacts)*

2. BACKGROUND *(Brief description of the project as originally planned)*

2.1 Brief description of the problem or situation targeted by the project prior to its implementation (up to half a page)

2.2 Brief description of the expected situation after project implementation (desired final situation)

2.3 Description of direct and indirect beneficiaries (as indicated in the Project Document)

3. ACHIEVEMENT OF OBJECTIVE AND OUTCOMES *(Fill out one form for the Specific Objective and one form for each Outcome)*

Specific Objective: *(statement)*			
Indicator 1	**Baseline:**	**Target*:**	**Current Value:**
(Statement of the indicator as per the Project Document or last approved review)	*(Baseline value)*	(Consolidated target value as per the Project Document or last approved Review)	(Consolidated target value, as actually achieved)
Progress analysis and recommendations regarding this Indicator			
Brief description of progress in achieving qualitative and quantitative targets of this indicator, with reference to factors that reveal partial, progressive effectiveness in achieving the Specific Objective (that is, meeting the needs of beneficiaries in regard to the initial situation, according to their own perspectives).			
Indicator 2	**Baseline:**	**Target*:**	**Current value:**
(...)	*(...)*	(...)	(...)
Progress analysis and recommendations regarding this Indicator			
(...)			

Outcome 1: *(statement)*			
Indicator 1	**Baseline:**	**Target*:**	**Current Value:**
(Statement of the indicator as per the Project Document or last approved review)	*(Baseline value)*	(Consolidated target value as per the Project Document or last approved Review)	(Consolidated target value, as actually achieved)
Progress analysis and recommendations regarding this Indicator			
Short description of the consolidated progress in achieving qualitative and quantitative targets of this indicator, with reference to (i) factors that may corroborate the development or dissemination of capacities at individual/ organizational and/or inter-institutional levels, and (ii) elements revealing effectiveness in outcome achievement (that is, meeting the needs of beneficiaries in regard to capacity development or dissemination, according to their own perspectives).			
Indicator* 2	**Baseline:**	**Target*:**	**Current value:**
(...)	*(...)*	(...)	(...)
Progress analysis and recommendations regarding this Indicator			
(...)			

Outcome 'n': *(statement)*			
Indicator 1	**Baseline:**	**Target*:**	**Current Value:**
(Statement of the indicator as per the Project Document or last approved review)	*(Baseline value)*	(Consolidated target value as per the Project Document or last approved Review)	(Consolidated target value, as actually achieved)
Progress analysis and recommendations regarding this Indicator			
Short description of the consolidated progress in achieving qualitative and quantitative targets of this indicator, with reference to (i) factors that may corroborate the development or dissemination of capacities at individual/ organizational and/or inter-institutional levels, and (ii) elements revealing effectiveness in outcome achievement (that is, meeting the needs of beneficiaries in regard to capacity development or dissemination, according to their own perspectives).			
Indicator *2	**Baseline:**	**Target*:**	**Current value:**
(...)	*(...)*	*(...)*	*(...)*
Progress analysis and recommendations regarding this Indicator			
(...)			

4. CONTRIBUTION OF PROJECT OUTCOMES TO BENEFICIARIES

4.1 Analysis of consolidated project effects (achievement of specific objective and outcomes) with reference to the previous table. (minimum half a page and up to three pages)

Note: This section focuses on the development of capacities in the individual, organizational, inter-institutional and societal/contextual dimensions). As such, it should describe the achievement of project outcomes and its specific objective as a processes that relates, in a progressive manner, to the development and dissemination capacities at individual, organizational, inter-institutional and societal/contextual levels.

Examples:

- *For an outcome with outputs mainly related to training (relationship between individual and organizational development outcomes):*
    - *Was learning effectively achieved by the individuals who took part in training? Are they now better equipped to perform their tasks?*
    - *Have their improved skills, knowledge and abilities been successfully applied in performing their tasks?*
    - *Has improved staff competency had a positive effect on the organization´s adoption of improved technical, managerial and other organizational practices and processes?*
- *For an outcome with outputs mainly related to organizational capacity development (relationship between organizational and inter-institutional development outcomes):*
    - *Has the partner organization been able to successfully adopt and sustain new, improved practices resulting from project implementation?*

- o *Have the new, improved organizational capacities helped the organization in delivering effective goods and services to its beneficiaries?*
- o *Have the new, improved organizational capacities helped the organization in coordinating with other organizations in their respective policy or sector?*
- o *Have such project outcomes had a positive impact in related sectorial programs and policies?*

4.2 Has the Project produced unexpected effects, positive or negative? Why? *(up to one-and-half pages)*

4.3 Description of the post-project situation as compared to:

a) the initial situation or problem (previous to project implementation) <u>and;</u>

b) the changes that the project should have produced (intended positive effects). *(up to 1 ½ pages)*

4.4 Has the project provided to the needs of its direct and indirect beneficiaries as expected? Why? *(up to one page)*

5. SUSTAINABILITY

5.1 Have direct and indirect beneficiaries effectively participated in project design, planning, implementation, monitoring and evaluation? Why? *(up to half a page)*

5.2 What specific measures have been taken to ensure effective learning and application of outcomes by direct and indirect beneficiaries? *(up to half a page)*

Note: Project outcomes are equivalent to the capacities that were effectively developed, complemented or disseminated by means of South-South Technical Cooperation.

5.3 What factors can affect the sustainability of the outcomes achieved by the project? *(up to half a page)*

6. MANAGEMENT AND IMPLEMENTATION ANALYSIS

6.1 Have the financial, technical, human and material resources allocated to the project been appropriate in terms of quality? Why? *(up to 15 lines)*

6.2 Have Activities and Outputs been delivered according to plan? Why? *(up to half a page)*

6.3 What measures could have been taken to minimize or avoid any gap existing between what was planned and what is being effectively implemented in regard to the implementation of activities, output delivery and financial execution? *(up to half a page)*

6.4 Were the budget and disbursements under or overestimated (yes or no)? Why?

6.5 Did any of the risks foreseen in the risk log materialize? If so, which ones? In such cases, were appropriate measures taken to mitigate them? Were they timely, appropriate and effective? If the answer is no, why have they not been adopted? Should other mitigating measures have been taken? Why? *(up to half a page)*

6.6 Have there been unexpected events and unanticipated risks? If so, describe them. How did they affect project implementation? What countering measures have been taken? Were they effective? Should other mitigating measures have been taken? Why?

6.7 Has the interaction, coordination and communication between by partner organizations been appropriate and effective? If not, what measures should be taken to correct the situation? *(up to half a page)*

6.8 What measures were taken to carry out recommendations issued during project implementation (in progress reports, Project Steering Committee meetings, and midterm evaluation, when applicable)? Were they effective and timely?

7. CONCLUSIONS AND RECOMMENDATIONS

7.1. What positive or negative lessons can be learned from the Project experience, in any aspect (e.g. technical implementation, administrative and financial execution, achievement of outcomes, coordination)?

7.2. What actions are recommended in regard to the sustainability of the positive effects that have been produced?

7.3. Other conclusions and recommendations

8. SIGNATURES AND DATE

(Name/Title/Organization)	(*Signature*)	__ /__ / __ *Date*
(Name/Title/Organization)	(*Signature*)	__ /__ / __ Date
(Name/Title/Organization)	(*Signature*)	__ /__ / __ Date

ANNEX 1: BUDGET EXECUTION (OPERATIONAL BUDGET)

1. Financial Contributions from Brazil: Budget Execution per Budget Line (in USD)

FINAL PROJECT BUDGET EXECUTION REPORT

Date: As on *(Day/Month/Year of the budget report)*

Financial Contributions from *(Name of Partner Country)*: *Budget Execution per Budget Line (in USD)*

Approved Operational Budget (Date): (*Indicate date of Project signature, or title/code/date of the final approved Review***)**

Operational Budget for *(Name of Partner Country)* (in USD): USD … (*Indicate total value as per the Project Document or final approved Review***)**

Budget Lines	Estimated Operational Budget - Brazil (A) *(As per the Project Document or final approved Review)*	Expenditures per Year			Total Expenditures (B) (As on the date of the budget report)	Balance (A-B)	% Executed
		20xx	20xx	20xx			
Code and title of the Budget Line	0.00	0.00	0.00	0.00	0.00	0.00	0
(…)	0.00	0.00	0.00	0.00	0.00	0.00	0
(…)	0.00	0.00	0.00	0.00	0.00	0.00	0
Total	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**0**

2. Financial Contributions from (Name of Partner Country): Budget Execution per Budget Line

FINAL PROJECT BUDGET EXECUTION REPORT

Date: As on *(Day/Month/Year of the budget report)*

Financial Contributions from *(Name of Partner Country)*: *Budget Execution per Budget Line (in USD)*

Approved Operational Budget (Date): (*Indicate date of Project signature, or title/code/date of the final approved Review***)**

Operational Budget for *(Name of Partner Country)* (in USD): USD … (*Indicate total value as per the Project Document or final approved Review***)**

Budget Lines	Estimated Operational Budget - Brazil (A)* *(As per the Project Document or final approved Review)*	Expenditures per Year			Total Expenditures (B) (As on the date of the budget report)	Balance (A-B)	% Executed
		20xx	20xx	20xx			
Code and title of the Budget Line	0.00	0.00	0.00	0.00	0.00	0.00	0
(…)	0.00	0.00	0.00	0.00	0.00	0.00	0
(…)	0.00	0.00	0.00	0.00	0.00	0.00	0
Total	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**USD 0.00**	**0**

* As applicable.

3. Operational Budget: Execution per Outcome and Output (in USD)

FINAL PROJECT BUDGET EXECUTION REPORT: Budget Execution per Outcome and Output (in USD

Date: As on *(Day/Month/Year of the budget report)*

Approved Operational Budget (Date): (*Indicate date of Project signature, or title/code/date of the final approved Review***)**

Operational Budget for *(Name of Partner Country)* (in USD): USD … (*Indicate total value as per the Project Document or final approved Review***)**

Outcomes/ Outputs	Project Expenditures (in USD) *(As on the date of the final Budget Report)*		
	For Brazil	For (*Name of Partner Country*)*	Total
Outcome 1 *(statement)*	USD 0.00	USD 0.00	USD 0.00
Output 1.1. (*statement*)	0.00	0.00	0.00
Output 1.'n' (*statement*)	0.00	0.00	0.00
Outcome 'n'	USD 0.00	USD 0.00	USD 0.00
Output 'n'.1 (*statement*)	0.00	0.00	0.00
Output 'n'. 'n' (*statement*)	0.00	0.00	0.00
Total	USD 0.00	USD 0.00	USD 0.00

* As applicable.

ANNEX 2: INPUTS MOBILIZED AND OUTPUTS DELIVERED BY THE PROJECT DURING THE REPORTED PERIOD

Man-hours of Brazilian Partners *(List man-hours per Project Output and Partner Organization)*	
Related Project Output and Activity:	
Name of experts:	
Name of Partner Organization:	
Experts roles in technical implementation:	
Number of Man-hours (per Partner organization):	
Estimated Value of Man-hours (in USD):	USD …

Man-hours of Partner Country Partners *(List man-hours per Project Output and Partner Organization)*	
Related Project Output and Activity:	
Name of experts:	
Name of Partner Organization:	
Experts roles in technical implementation:	
Number of Man-hours (per Partner organization):	
Estimated Value of Man-hours (in USD):	USD …

Training sessions, courses, seminars, workshops delivered			
Title:			
Month/year of implementation	Month/year	Duration (in days):	
Number of participants:	- Total		
	- For Partner Country Partners:		
	- For Brazilian Partners:		
Total cost (in USD) / Funding Source:	USD …		
Related Project Output and Activity:			

Studies, Analysis, Mappings, Technical and Working Documents, Publications	
Title / Object:	
References:	
Total cost (in USD) /F unding Source:	USD …
Related Project Output and Activity:	

Equipment and other transferred/or purchased movable assets *(One for each item)*	
Purchased or transferred item:	
Source:	
Purpose:	(Description up to 2 lines)
Quantity:	
Total cost (in USD):	USD …
Procurement modality:	
Related Project Output and Activity:	

Procurement Goods and Services *(One for each contract)*	
Name of entity, company:	
Purpose:	(Description up to 2 lines)
Procurement modality:	
Contract period:	
Total cost of contract (in USD) / Funding Source:	USD
Related Project Output and Activity:	

Recruitment *(One for each consultant)*	
Name of consultant:	
Purpose of contract:	(Description up to 2 lines)
Type of purchase/procurement:	
Contract period:	
Total cost of contract (in USD) / Funding Source:	USD …
Related Project Output and Activity:	

Other mobilized inputs or delivered outputs *(One for each input or output)*
(List and describe any other input mobilized or output delivered by Brazilian partners during the reference period.)

ANNEX 3: PROJECT WORK PLANS

Attach project work plans.

ANNEX A12 Preparatory Action Final Report

South-South Technical Cooperation Preparatory Action
(Code and Title of Preparatory Action)

PREPARATORY ACTION FINAL REPORT
Report date: ***(month/year)***

1. IDENTIFICATION OF THE PREPARATORY ACTION

Brazilian and Partner Country Partners:

For Brazil:

- Partner Responsible for Administrative & Financial Execution: (*name of organization*)
- Partner Responsible for Technical Implementation: (*name of organization*)
- Partner Responsible for Coordination: (*name of organization*)

For *(name of Partner Country):*

- Partner Responsible for Administrative & Financial Execution: (*name of organization*)
- Partner Responsible for Technical Implementation: (*name of organization*)
- Partner Responsible for Coordination: (*name of organization*)

Geographic area covered: (*Country and provinces or geographic regions*)

Expected Initiation Date: *dd/mm/yyyy*
Effective Initiation Date: *dd/mm/yyyy*
Duration: (*in months/years*)

Expected End date: *dd/mm/yyyy*

General Budget *(as per the Preparatory Action Document or last approved Review, including review number)*

	Last Approved Review (No)	Preparatory Action Document	Variation
A. Financial Contributions (Operational Budget)			
For Brazil *			
(Name/acronym of funding source):	USD	USD	USD
(…)	USD	USD	USD
Subtotal:	**USD**	**USD**	**USD**
For (Name of Partner Country)**			
(Name/acronym of funding source):	USD	USD	USD
(…)	USD	USD	USD
Subtotal:	**USD**	**USD**	**USD**
Total (A)	**USD**	**USD**	**USD**
B. Non-Financial Contributions (Quantifiable in Monetary Values)			
For Brazil *	**USD ...**		
For *(Name of Partner Country)* **	**USD ...**		
Total (B)	**USD ...**		
C. General Budget (A+B)	**USD ...**		

** Mandatory / ** As applicable.*

Prepared by: *(names, positions, contacts)*

2. BACKGROUND *(Brief description of the Preparatory Action as originally planned)*

2.1 Brief description of the steps taken from presentation of the cooperation request up to implementation of the Preparatory Action, including identification and formulation phases

2.2 Brief description of the purpose of the Preparatory Action:

a) What was the initial problem or situation that gave rise to the technical cooperation request?

> **Note**: The Project Document resulting from this Preparatory should target the same initial problem or situation as the Preparatory Action.

b) Who will be the beneficiaries of the project resulting from this Preparatory Action?

c) Which respect to the initial problem, how and why should the technical exchange with Brazil produce positive effects and provide for the needs of beneficiaries (within the scope of the project resulting from this Preparatory Action)?

d) Why have partner organizations chosen to implement this Preparatory Action before moving on to a fully-fledged project?

3. ANALYSIS OF PREPARATORY ACTION PERFORMANCE

3.1 Consolidated analysis of Preparatory Action Performance *(up to 1 page)*

a) Has the Objective of the Preparatory Action been achieved? Yes/No? Why?

b) Have the Outcome of the Preparatory Action been achieved? Yes/No? Why?

c) Have outputs and activity targets been achieved (both quantitative and qualitative targets)? Yes/No? Why?

3.2 Performance analysis in regard to qualitative indicators:

Objective: (*statement*)
Qualitative Indicator: *(Statement according to the Preparatory Action Document)*
Performance Analysis and Recommendations: *(Description of performance with respect to the achievement of targets for this indicator)*
Outcome: (*statement*)
Qualitative Indicator: *(Statement according to the Preparatory Action Document)*
Performance Analysis and Recommendations: *(Description of performance with respect to the achievement of targets for this indicator)*
Output 'n': (*statement*)
Qualitative Indicator: *(Statement according to the Preparatory Action Document)*
Performance Analysis and Recommendations: *(Description of performance with respect to the achievement of targets for this indicator)*

3.3 Operational Performance:

Output (Nº)*: *(statement)*	
Estimated Delivery Date: *(dd/mm/yyyy)*	**Effective Delivery Date:** *(dd/mm/yyyy)*
Current implementation status: *Indicate the current status of this output (according to one of the following options):* *1. Delivered (within deadline)* *2. Delivered (overdue)* *3. Cancelled or Revised*	
Performance Analysis: *Brief description of performance in activity implementation with reference to actual or expected difficulties and barriers.* ***Note**: Justification should be provided for options 2 and 3 above.*	

* Use one for each output.

Activity (N)*: *(statement)*	
Estimated Initiation Date: *(dd/mm/yyyy)*	**Effective Initiation Date:** *(dd/mm/yyyy)*
Estimated End Date: *(dd/mm/yyyy)*	**Effective End Date:** *(dd/mm/yyyy)*
Current implementation status: *(as related to one of the options bellow)* *1. Activity completed (within deadline)* *2. Activity completed (overdue)* *3. Cancelled* *4. Suspended (Activity initiated but not completed)*	
Performance Analysis: *Brief description of the current implementation status, with reference to current (expected or unexpected difficulties), as applicable.* ***Note**: Justification should be provided for options 2, 3 and 4 above.*	

* Use one for each output.

4. MANAGEMENT ANALYSIS

4.1 Have the financial, technical, human and material resources allocated to the preparatory action been appropriate in terms of quantity and quality? Why?
(up to 15 lines)

4.2 Have Activities and Outputs been delivered according to plan? Why?
(up to half a page)

4.3 What measures could have been taken to minimize or avoid any gap existing between what was planned and what is being effectively implemented in regard to the implementation of activities, output delivery and financial execution?
(up to half a page)

4.4 Were the budget and disbursements under or overestimated (yes or no)? Why?

4.5 Have there been unexpected events and unanticipated risks? If so, describe them? How did they affect implementation of the Preparatory Action? What countering measures have been taken? Were they effective?

5. SUSTAINABILITY

5.1 Have direct and indirect beneficiaries effectively participated in preparatory action design, planning, implementation and evaluation? Why? *(up to half a page)*

5.2 What factors may affect the approval and the successful implementation of the project resulting from this Preparatory Action?

6. CONCLUSIONS AND RECOMMENDATIONS

6.1 What positive or negative lessons could be learned from the Preparatory Action, in any aspects (technical implementation, administrative and financial execution, outcome achievement)?

6.2 Other conclusions and recommendations

7. SIGNATURES AND DATE

(Name/Title/Organization)	(*Signature*)	__ /__ / __ *Date*
(Name/Title/Organization)	(*Signature*)	__ /__ / __ Date
(Name/Title/Organization)	(*Signature*)	__ /__ / __ Date

ANNEX 1: BUDGET EXECUTION (OPERATIONAL BUDGET)

1. Financial Contributions from Brazil: Budget Execution per Budget Line (in USD)

FINAL PREPARATORY ACTION BUDGET EXECUTION REPORT

Financial Contributions from Brazil: Budget Execution per Budget Line (in USD)

Date: As on *(Day/Month/Year of the budget report)*

Approved Operational Budget (Date): (*Indicate date of Preparatory Action signature, or title/code/date of the final approved Review***)**

Operational Budget for *(Name of Partner Country)* (in USD): USD … (*Indicate total value as per the Preparatory Action Document or final approved Review***)**

Budget Lines	Estimated Operational Budget - Brazil (A) *(As per the Preparatory Action Document or final approved Review)*	Total Expenditures (B) *(As on the date of the budget report)*	Balance (A-B)	% Executed
Code and title of the Budget Line	0.00	0.00	0.00	0
(…)	0.00	0.00	0.00	0
(…)	0.00	0.00	0.00	0
Total	**USD 0.00**	**USD 0.00**	**USD 0.00**	**0**

2. Financial Contributions from (Name of Partner Country): Budget Execution per Budget Line

FINAL PREPARATORY ACTION BUDGET EXECUTION REPORT

Financial Contributions from Brazil: Budget Execution per Budget Line (in USD)

Date: As on *(Day/Month/Year of the budget report)*

Approved Operational Budget (Date): (*Indicate date of Preparatory Action signature, or title/code/date of the final approved Review***)**

Operational Budget for *(Name of Partner Country)* (in USD): USD … (*Indicate total value as per the Preparatory Action Document or final approved Review***)**

Budget Lines	Estimated Operational Budget – Partner Country (A) *(As per the Preparatory Action Document or final Budgetary Review)*	Total Expenditures (B) *(As on the date of the Final Budget Report)*	Balance (A-B)	% Executed
Code and title of the Budget Line	0.00	0.00	0.00	0
(…)	0.00	0.00	0.00	0
(…)	0.00	0.00	0.00	0
Total	**USD 0.00**	**USD 0.00**	**USD 0.00**	**0**

3. Operational Budget: Execution per Outcome and Output (in USD)

FINAL PREPARATORY ACTION EXECUTION REPORT: Budget Execution per Outcome and Output (in USD

Date: As on *(Day/Month/Year of the budget report)*

Approved Operational Budget (Date): (*Indicate date of Preparatory Action signature, or title/code/date of the final approved Review***)**

Operational Budget for *(Name of Partner Country)* (in USD): USD … (*Indicate total value as per the Preparatory Action Document or final Budgetary Review***)**

Outcomes/ Outputs	Preparatory Action Expenditures (in USD) *(As on the date of the final Budget Report)*		
	For Brazil	**For (***Name of Partner Country***)***	**Total**
Outcome 1 *(statement)*	USD 0.00	USD 0.00	USD 0.00
Output 1.1. (*statement*)	0.00	0.00	0.00
Output 1.'n' (*statement*)	0.00	0.00	0.00
Total	USD 0.00	USD 0.00	USD 0.00

* As applicable.

ANNEX 2: INPUTS MOBILIZED AND OUTPUTS DELIVERED BY THE PREPARATORY ACTION

Man-hours of Brazilian Partners *(List man-hours per Preparatory Action output and per Partner organization)*	
Related Project Output and Activity:	
Name of experts:	
Name of Partner Organization:	
Experts roles in technical implementation:	
Number of Man-hours (per Partner organization):	
Estimated Value of Man-hours (in USD):	USD …

Man-hours of Partner Country Partners *(List man-hours per Preparatory Action output and per Partner organization)*	
Related Project Output and Activity:	
Name of experts:	
Name of Partner Organization:	
Experts roles in technical implementation:	
Number of Man-hours (per Partner organization):	
Estimated Value of Man-hours (in USD):	USD …

Written Documents *(e.g. situation and eligibility analysis, mapping of stakeholders and capacities, studies, project proposal)*	
Title / Object:	
References:	
Delivery date:	
Related Output and Activity:	

Training sessions, workshops delivered*			
Title:			
Month/year of implementation	Month/year	Duration (in days):	
Number of participants:	- Total		
	- For Partner Country Partners:		
	- For Brazilian Partners:		
Total cost (in USD) / Funding Source:	USD …		
Related Project Output and Activity:			

* In conformity with the nature and Purpose of Preparatory Actions (see Section 6.2.3 and Section 11.3.3 of this Manual).

Service Procurement *(One for each contract)*	
Name of entity, company:	
Purpose:	
Procurement modality:	(Description up to 2 lines)
Contract period:	
Total cost of contract (in USD) / Funding Source:	USD …
Related output and activity:	

Recruitment *(One for each consultant)*	
Name of consultant:	
Purpose of contract:	
Type of purchase/procurement:	(Description up to 2 lines)
Contract period:	
Total cost of contract (in USD) / Funding Source:	USD …
Related output and activity:	

Other mobilized inputs or delivered outputs *(One for each input or output)*
(List and describe any other input mobilized or output delivered as a result of implementation of the Preparatory Action)

ANNEX 3: PREPARATORY ACTION WORK PLANS

Attach Preparatory Action Work Plans.

ANNEX A13 Guidelines for preparing Evaluation Terms of Reference (ToR)

The following are guidelines for preparation of terms of reference for evaluation of South-South Technical Cooperation projects and other initiatives. They are applicable to all types of evaluation (mid-term, final, post-project, internal and external).

The terms of reference for any Evaluation should, as a minimum, contain the sections and items below.

1. Project Identification: This section of the terms of reference should present the following:

- Project code and title.
- Project duration (Estimated and Effective Initiation Dates, together with End Dates, where applicable).
- Name of Project focal points and Evaluation focal points comprising the Evaluation Reference Group:
  - Institutional focal points for the partner organizations responsible for project coordination, technical implementation and administrative and financial execution;
  - Technical focal points for partner organizations responsible for project coordination, technical implementation and administrative and financial execution;
  - Focal points for the evaluation exercise at the partner organizations responsible for coordination, technical implementation and administrative and financial execution (the Evaluation Reference Group).
- Date of the Terms of Reference.
- Name of the person responsible for preparation of the Terms of Reference.

2. Scope and purpose of the evaluation: This section should clearly identify, in up to 2 paragraphs:

- Type of evaluation according to agent (*e.g.* independent or internal evaluation).
- Type of evaluation according to timing (*e.g.* ex-ante evaluation, mid-term evaluation, final evaluation or post-project evaluation).
- Type of evaluation according to scope/object (project, program, or a project phase or program phase).
- The purpose and goals of the evaluation exercise, in addition to the use that will be given to evaluation results.
- The end-users of Evaluation results.

3. Project background: This section of the terms of reference is dedicated to brief descriptions of the main items of the Project under evaluation, in up to one page:

- Brazilian and partner country partners, direct or indirect beneficiaries.
- Duration in months and Estimated and Effective Initiation Dates, together with End Dates, where applicable.

- Initiation and end dates, both estimated and effective.
- Specific Objective, Outcomes and main Outputs (up to 1 paragraph).
- Summary of the initial situation/problem (up to 1 paragraph).
- Key elements of the implementation strategy, with reference to the roles and responsibilities of partner organizations (up to 3 paragraphs).

4. **Suggested Evaluation Analytical Framework (EAF):** This item of the terms of reference should present the **Evaluation Analytical Framework (EAF)** (see **Section 11.5.4** of this Manual). As such, it should contain a proposal regarding the main aspects to be addressed by the evaluation exercise, in addition to laying down specific evaluation questions. The EAF is designed as a result of consultations and agreements between partner organizations and main project stakeholders prior to preparation of these terms of reference. The basic aspects to be addressed by evaluation questions concern project design and planning, management and implementation, performance in regard to achievement of targets, effectiveness in attending to the needs of beneficiaries, efficiency and sustainability, among others.

Note for external evaluations: When external consultants wish to subsequently modify the EAF presented in the evaluation terms of reference, they should first negotiate and obtain approval of Project partners.

5. **Evaluation outputs:** This item should provide a list of expected evaluation outputs to be delivered by evaluators, with a brief description of their format and content. Evaluation outputs generally include:
   - A methodological proposal with a detailed **Evaluation Analytical Framework (EAF)**.
   - A work plan and schedule of evaluation activities.
   - Methodological instruments for the Evaluation exercise, such as questionnaires and interview guidelines and questions.
   - A review or reconstruction of the Project Logical Structure and Framework, including targets and indicators, when applicable.
   - Identification of direct and indirect beneficiaries of the Project under evaluation, when applicable.
   - Workshops and meetings with Project partners and stakeholders to present evaluation partial and/or final results.
   - Preliminary and final versions of the Evaluation Report.

6. **Methodology:** The evaluation methodology refers to the strategy to be applied by evaluators with a view to achieving the goals of the Evaluation exercise as well as collecting, analyzing and presenting data regarding the **Evaluation Analytical Framework (EAF)** (that is, the Evaluation questions). This item of the evaluation terms of reference should also present a suggested toolkit for data collection and analysis (see the box below). Additionally, it is important to identify the existence and availability of relevant information sources for each evaluation question as well as the conditions and skills required for data collection and analysis.

7. **Implementation arrangements and work plan for the Evaluation exercise:** This item should lay down management, coordination and implementation arrangements for the Evaluation exercise, including evaluation tasks and those responsible for their performance:

   - Roles and responsibilities of focal points within the Evaluation Reference Group, especially in relation to the roles and responsibilities of evaluators.
   - Decision-making arrangements regarding the evaluation exercise.
   - Procedures for presentation, analysis, adjustments and approval of the preliminary evaluation report.
   - Work plan and schedule for the Evaluation exercise, with deadlines for delivery of outputs, duration and implementation of tasks and activities and persons responsible for them (*ww* meetings, documentation analysis, desk reviews, evaluation mission).
   - Relevant administrative and operational information.

Box 12 - Examples of Instruments for Evaluation Data Collection and Analysis

- **Self-evaluation workshops/meetings:** They are a source of data and joint analyses of Project outcomes and performance. They also serve the purpose of raising awareness and engaging Project partners and other relevant stakeholders in regard to the Evaluation exercise. They are useful in both internal and external evaluations.
- **Desk reviews**: These should include complementary agreements, the Project Document and subsequent Project Review Documents, progress reports, mission reports, minutes of Project Steering Committee (PSC) meetings and other relevant documentation and records.
- **Individual or group interviews** with direct and indirect beneficiaries, other stakeholders (e.g. other partner country authorities; Brazilian authorities in the partner country; ABC´s managers and staff; authorities and experts from Brazilian partners). Interviews allow the individuals involved in the Project to express their views and perspectives on its various aspects, in addition to providing evidence for evaluation questions and valuable information that put this evidence into context. Interviews may be structured, semi-structured or unstructured.
- **Case-studies:** A case study is a structured and detailed examination of a given aspect of the Project under evaluation, such as project positive effects (Outputs, Outcomes and Specific Objective), as well as of the context, processes and activities for capacity development implemented under the Project scope.
- **Questionnaires:** As interviews, questionnaires are valuable tools for primary data collection, although they may be a little more complex and time consuming to apply. It is worth bearing in mind that not all interviewees might have the necessary availability or conditions to fill them out. In any case, questionnaires should always be presented in the language of the interviewee, particularly when they are partner country partners and beneficiaries.
- **Direct observation.**

8. **Cost and budget:** The Evaluation terms of reference should present the estimated costs and a budget for the Evaluation exercise, including expenses with the evaluation mission (when applicable) and identification of funding sources.

9. **Evaluation team:** This item should make reference to the number and minimum required and desirable qualifications of evaluators, in addition to their respective roles and responsibilities in the evaluation exercise.

ANNEX A14 Guidelines for preparing Evaluation Reports

The following are guidelines for preparation of Evaluation Reports of South-South Technical Cooperation projects and other initiatives. They are applicable to all types of evaluation (mid-term, final, post-project, internal and external).

An Evaluation Report, regardless of the type of evaluation, should always reflect the terms of reference previously agreed upon for the Evaluation exercise.

The structure and minimum content applicable to all Evaluation Reports are presented below.

1. **Evaluation Report Information:** This item of evaluation reports should present the following:
    - Name of the ABC Unit responsible for the Project under evaluation.
    - Date of submission of the report.
    - Persons responsible for preparation of the report.
    - Names of evaluators (in case of external evaluations).
    - Date and signatures of representatives of Project partners, as per the Project Document (internal evaluations).

2. **Scope and purpose of the Evaluation exercise: This item is focused on identification of the items bellow. It is prepared with reference to the Evaluation terms of reference.**
    - Type of evaluation according to agent (*e.g.* independent or internal evaluation), timing (ex-ante evaluation, mid-term evaluation, final evaluation or post-project evaluation) and object (project, program, or a project phase or program phase).
    - Context and goals of the evaluation exercise, in addition to reference to the use that will be given to the Evaluation results and its end-users.

3. **Analytical framework:** This item is dedicated to presenting the results of the questions laid down in the Evaluation Analytical Framework (EAF) (see **Section 11.5.4** of this Manual), as previously agreed upon by Project partners and other evaluation stakeholders. It is important to keep in mind that the basic aspects addressed by evaluation questions concern project design and planning, management and implementation, performance in regard to achievement of targets, effectiveness in attending to the needs of beneficiaries, efficiency and sustainability, among others.

4. **Methodology:** This item should provide a short description of the methodology applied in the Evaluation exercise, including:
    - The Evaluation Analytical Framework (EAF).
    - Description of methods and instruments used for data collection and analysis.
    - List of information sources.

5. **Project background:** This item should provide:
    - A brief description of the Project under evaluation as well as of its context.
    - Estimated and effective Project duration, with estimated and effective initiation and end dates.

- A brief description of the initial situation/problem targeted by the Project.
- A list of partner country and Brazilian partners as well as direct or indirect beneficiaries and other stakeholders.
- Identification of the Project´s geographical scope.
- Identification of the Project´s specific objective and expected outcomes and outputs before implementation (as lay down in the Project Document or last approved Project Review, as applicable).
- A brief narrative of the Project implementation strategy.
- Reference to key events in Project history and main decisions.
- A brief account of the main activities, outputs and outcomes resulting from project implementation.
- Reference to results of the Project mid-term evaluation, when applicable, including recommendations and follow up measures taken by Project partners.

6. **Findings:** Evaluation findings are observations made about the Project under evaluation, based on empirical evidence. They focus on the Evaluation Analytical Framework (EAF) and should, thus, take into account the Project´s basic aspects (planning, design, performance, effectiveness, efficiency, sustainability, management and operations) and more, with emphasis and greater detailing of key project issues. This will generally be the longest item of the Evaluation Report. The evidence presented under this item should be accompanied by the relevant references.

7. **Conclusions:** The conclusions resulting from the Evaluation findings are presented in this item of the Evaluation Report, with emphasis on the achievement of Project outcomes and their contribution to the attainment of the Project´s specific objective. This is done by comparing the initial problem/situation to the situation at the end of the Project, and to the results expected at the Project outset.

8. **Recommendations:** The recommendations stem directly from the Evaluation conclusions. Based on the evidence collected, they should propose practical and concrete measures for project improvement (for mid-term evaluations) or improvement of future South-South Cooperation initiatives (for final and post-project evaluations). The recommendations should be insightful, informative and practical, as they will be used for project improvement (in the case of mid-term evaluation) and learning (in the case of final and post-project evaluations), and presented as clearly and concisely as possible. Authorities and organizations responsible for implementing each recommendation should be referenced.

9. **Lessons learned:** The process of identification, systematization and feedback of lessons learned is a valuable tool to improve design and management of South-South Technical Cooperation projects. Lessons learned are relevant observations, perceptions and practices generated from project experience, with potential for application in similar initiatives and contexts. As such, lessons learned should be relevant and based on evidence gathered during the Evaluation exercise. Additionally, they should necessarily comprise both positive and negative aspects of the initiative under evaluation.

Note: The presentation of Evaluation findings, conclusions, recommendations and lessons learned may be organized around the basic aspects to be evaluated (project efficiency, performance, efficacy, sustainability).

10. Annexes: Annexes illustrate or expand on information presented the main text of the Evaluation Report, but they should not be indispensable full comprehension of its contents. Generally, they include:

- The Evaluation terms of reference.
- List of documents included in the desk review.
- List of persons and organizations consulted or interviewed.
- The Evaluation mission agenda.
- Copy of evaluation questionnaires and interview guidelines.

Box 13 - Characteristics of a good evaluation report

A good evaluation report …

… is well-structured and thorough.

… uses a simple and direct language.

… describes what has been evaluated and why.

… identifies the main issues of concern for project partners.

… explains, in a clear and straightforward manner, the methodology and the steps taken to carry out the evaluation exercise.

… presents findings based on empirical evidence in response to the evaluation questions.

… draws evidence-based conclusions from findings.

… suggests concrete and useful recommendations based on evaluation conclusions.

… is focused on the future use of evaluation results.

Adapted from UNDP/CGU (unpublished).

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