



Manual for the Monitoring and Evaluation of Cooperation Agreements



Pan American
Health
Organization



World Health
Organization
REGIONAL OFFICE FOR THE
Americas



Brazil Country Office



Manual for the Monitoring and Evaluation of Cooperation Agreements

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1. Introduction

In Brazil the Pan American Health Organization/World Health Organization (PAHO/WHO) has been refining the process of planning, programming, execution, monitoring and evaluation of the projects that form part of the Country Office's Biennial Work Plan by producing manuals describing concepts, stages and instruments used for this purpose.

Monitoring and Evaluation (M&E) is an essential part of any project, since it can inform whether a project is producing results and benefits; it can identify project areas that are doing well, or aspects of a project that need to be adjusted or replaced. Information obtained through M&E can assist with decision-making about objectives and investments in the project in question or in other projects. Moreover, it can show funders to extent to which their investments are producing results.

The aim of the **PAHO/WHO Brazil Monitoring and Evaluation Manual** is to orient and standardize the project monitoring and evaluation process, offering guidance and tools so as to complement the "Manual for planning, executing and evaluation of PAHO/WHO Brazil Country Office projects". It focuses on the Cooperation Agreements (CA), which consist of projects intended to carry out actions in order to achieve health results nationally and internationally.

Developing M&E components is a way of ensuring that CAs achieve their purpose and that they are regularly evaluated and realigned to ensure the efficient use of resources.

This Manual has been prepared based on international reference documents used by United Nations Agencies and adapted to the PAHO/WHO strategy.

This Manual is intended for PAHO/WHO Brazil's technical areas to enhance CA management, demonstrate health results achieved, enable adjustments during

their execution and permit the sharing of experiences with counterparts and other stakeholders.

The Monitoring and Evaluation Manual is organized as follows:

- **Logical Framework Approach Methodology:** Describes the logical framework approach methodology and the logframe matrix and their different elements.
- **Monitoring and Evaluation Operationalization:** Describes the main principles of monitoring and evaluation and its management process during the different phases of the technical cooperation project cycle.
- **Monitoring and Evaluation Instruments:** Describes the monitoring and evaluation instruments applied during the project's different phases.
- **Annexes:** Describes the glossary of terms used in technical cooperation projects and the main references used in the document.

This Manual is a dynamic document that will be refined as it is implemented, based on the sharing of experiences gained and incorporated by those involved.



2. Logical Framework Approach Methodology



The PAHO/WHO Country Office in Brazil works with results-based management and uses the logical framework approach methodology when preparing its projects.

The **logical framework approach methodology** is characterized by the definition of a hierarchy of indicator-associated goals to be achieved, which confers transparency on resource management and use. This enables team participation and team work, becoming a continuous process of evaluation and learning which takes political, social and organizational realities into account when it is being prepared. The logframe matrix is the main instrument used to apply the logical framework approach methodology.

Summary and concepts of the focus of the logical framework approach methodology:

- Identify and analyze problems.
- Establish appropriate goals.
- Identify and describe the baseline.
- Establish activities, products and services to achieve the expected results.
- Define indicators and targets to measure achievement of results.
- Describe the means of verifying progress.
- Identify external factors critical to the project.
- Define the resources needed to execute the project.
- Define the responsibilities of the stakeholders involved.
- Perform project monitoring and evaluation.

The application of the logical framework approach methodology¹ for project elaboration provides the basis for developing M&E actions, based on the

¹ Project elaboration instruments are contextualized and available in the “*Manual de planejamento, execução e avaliação de projetos da Representação da PAHO/WHO no Brasil*” (PAHO/WHO Brazil Country Office project planning, execution and evaluation manual).

collection of quality data to be used in decision-making, thus contributing to the achievement of the project's purpose.

It is fundamental for the logframe matrix to describe the baseline, the indicators and the targets in a SMART² manner, in order to enable their measurement in relation to the achievement of the results. Indicators must be measurable in order for them to be evaluated, as well as showing quantity, quality and a timeframe in relation to the proposed goal. It is through these indicators that the baseline of the project is recorded (initial references) in order to be able to measure progress in achieving the results at the end of the project, by comparing the initial and final situation, verifying changes that have taken place, the efficiency of the activities implemented and possible impacts obtained.

² SMART: this acronym means that indicators should be specific, measurable, achievable, realistic and time-bound.



3. Monitoring and Evaluation Operationalization



3.1 Monitoring and Evaluation Concepts

Monitoring is a continuous action, used to accompany, take corrective measures in project management and inform stakeholders about progress made in achieving the planned results. It uses data collection and analysis and the process and result indicators determined beforehand. In the case of Cooperation Agreements (TC), monitoring is a process that should take place periodically to point out project deviations and the need to update and adjust it, identifying successful experiences and lessons learned that enable the process to be refined. Continuous monitoring also enables verification of whether commodities and resources are being used efficiently.

Evaluation consists of an objective and systematic analysis of the development of a program or project. It assesses the project's relevance, effectiveness, efficiency, impact and sustainability. In the case of TCs, it is an important source of evidence of results and institutional performance being achieved, organizational learning and knowledge being built, as well as contributing to accountability.

Evaluation criteria:

- **Relevance:** verifies the extent to which the purpose of the project remains consistent with the needs of the beneficiaries and the counterparts in view of potential changes in the national scenario.
- **Effectiveness:** verifies the extent to which progress has been made with the expected results or whether they have been achieved and have contributed to the purpose of the project.
- **Efficiency:** measures the use of resources in implementing activities or actions.
- **Impact:** measures the effects achieved regarding the project's end goal in the long term. It is the end goal to which the project contributes.

- **Sustainability:** refers to the continuation of the benefits after a project has finished. It is related to the development of capacities, resources and the ownership of project activities by its beneficiaries and counterparts.

Considerations regarding monitoring and evaluation:

PARAMETERS	MONITORING	EVALUATION
Frequency	Continuous, throughout the project.	At a given moment (ex post, medium term or during changes in project phases).
Basic end goal	Guide the project and provide timely information about progress achieved.	Evaluate project performance and learn from the past in order to improve future programming.
Focus of analysis	Collect and analyze pertinent information about activities, processes and products (always having the final result in mind).	Evaluate project relevance, effectiveness, efficiency, impact and sustainability.
Responsibility for project execution	Project team and counterparts.	Project team, counterparts and other stakeholders (internal and external).
Report's target audience	Project managers, project team, counterparts, funders.	Project managers, project team, counterparts, funders and other stakeholders (internal and external).

Monitoring and evaluation activities are complementary:

MONITORING	EVALUATION
<ul style="list-style-type: none"> • Makes project results clearer. • Links activities and their resources to the goals. • Translates goals into performance indicators and defines targets. • Collects these indicators routinely, compares current results with targets. • Informs managers, counterparts and funders about progress, and warns about potential problems. 	<ul style="list-style-type: none"> • Analyzes why expected results have or have not been achieved. • Identifies potential deviations from results achievement. • Measures impact and sustainability of project results. • Explores new unexpected results. • Provides lessons learned, offers recommendations for improvement. • Enables conclusions to be made about the project and action plans to be prepared.

The following are characteristics of project Monitoring and Evaluation phases:

- Monitor planning-related deviations.
- Adopt corrective measures to harmonize what has been executed with what was planned.
- Evaluate requests to alter projects involving scope, timeframe and cost.

- Adjust project results, if necessary.
- Adjust resource levels, if necessary.
- Make necessary adjustments and obtain approval from project funders.

Project M&E should take place owing to the need to render accounts, improve performance, learn, establish communication and strengthen stakeholders.

Considering that communicating conclusions and recommendations arising from M&E plays a fundamental role in solidifying the principles of transparency and learning, its results should be publicized through effective communication and in a clear and transparent manner. This will enable a supportive environment for the various stakeholders to make decisions.

3.2 Monitoring and Evaluation Management Process

The M&E management process is applied during the project management cycle phases:

1. **Design:** this phase consists of identifying the health needs that the project should address, in the planning, conception and elaboration of the project documents, using the logical framework approach methodology. M&E should commence once the results to be achieved have been defined, and once the indicators, targets and baseline to measure them with have been defined. The Logframe Matrix is developed in this phase, the elements of which (especially the baseline and the result indicators and their targets) are fundamental for realistic and efficient project execution and for the development of M&E activities.
2. **Execution:** in this phase project results are delivered, resources are managed and progress is monitored in order to keep managers informed and enable decision making. At this stage the M&E process takes place based on what was planned, including data collection on progress, performance analysis, elaboration of project reports and dissemination of information.
3. **Evaluation:** this phase corresponds to the end of the project management cycle, when information from the previous stage is used to carry out evaluation and analysis of the project's end performance and its impact, its sustainability, documentation of conclusions and dissemination of lessons

learned. The conclusions will be used for the continuous improvement of technical cooperation programmes and may also serve as inputs for independent or external evaluations.

M&E in the technical cooperation project management cycle:

DESIGN	EXECUTION	EVALUATION
<ul style="list-style-type: none"> Develop the logframe matrix considering the M&E activities to be included in the other phases of the project. Ensure that TC M&E criteria are incorporated in the project. 	<ul style="list-style-type: none"> Undertake M&E activities, applying the following instruments: <ol style="list-style-type: none"> Technical Report. Performance Report. Ensure that the M&E criteria are applied during project execution. 	<ul style="list-style-type: none"> Carry out M&E activities at the end of the project, applying the following instrument: <ol style="list-style-type: none"> Final Evaluation Report. Document and disseminate lessons identified to promote continuing improvement.

With regard to the project execution and evaluation phases, M&E considers *what* to do, *how* to do it, *when* to do it and *who* does it.

M&E Management Process:

PHASE	EXECUTION		EVALUATION
Management instruments	Technical Report	Performance Report	Final Evaluation Report
Activity	Project monitoring	Partial project evaluation	Final project evaluation
Frequency	Six-monthly	Biennial	Every five years
Executor¹	PAHO Technical Officer Counterpart	PAHO Technical Officer	PAHO Technical Officer Counterpart Unit Coordinator
Approval	Unit Coordinator	Unit Coordinator	PAHO/WHO Representative
Communication	Intranet/Internet	Intranet	Intranet/Internet Printed document

¹ In the case of independent evaluations, resources need to be allocated in order to hire external consultancy services.

The TC M&E **management process instruments** are:

- 1. Technical Report:** instrument for monitoring TC execution, used to capture and consolidate management information and progress achieved with the project. This report enables possible adjustment needs to be monitored so that the project can be kept on course.

2. **Performance Report:** instrument for evaluating TC performance, critically reviewing how much progress has been made in achieving the results established in the logframe matrix, in terms of relevance, effectiveness, efficiency, impact and sustainability. Based on this analysis, progress, results achieved or areas needing intervention in order to improve performance can be identified.

3. **Final Evaluation Report:** instrument which synthesizes project conclusions and lessons learned. The aim of this document is to provide an overview of the project and how its activities have contributed to achieving its purpose. It should serve as a reference for preparing an action plan containing strategic guidelines for future projects to be elaborated with counterparts.

Project teams need to know what did or did not work, where, with whom, under what circumstances, why, and thus reach conclusions and identify lessons learned. This requires the ability to analyze the context in which the project was executed.

M&E results should be publicized on the political and institutional level, as well as among the general public, with the aim of making the most of the evaluations in decision making and project management processes and to increase knowledge by registering conclusions and evidence regarding the themes evaluated.





4. Monitoring and Evaluation Instruments



4.1 Technical Report

The Technical Report is a monitoring instrument that describes TC progress based on the expected results, indicators and targets. It verifies possible changes during its execution (project/logframe matrix), presents percentage progress towards expected results and details inferences regarding target achievement. It also describes contributions to government priorities and to the PAHO Strategic Plan and enables the description of lessons learned/recommendations. In addition, it presents six-monthly project expenditure.

The Technical Report is produced every six months by PAHO/WHO Technical Unit (TU) technical and administrative staff together with the counterpart.

The objective of the Technical Report is to:

- Monitor progress with expected results based on established indicators and targets.
- Identify possible changes during execution (project/logframe matrix).
- Indicate the need for corrective actions/interventions to be made to achieve project objectives.
- Serve as a record of project execution with regard to the political and technical scenarios.
- Identify the main contributions to the government's priorities and to PAHO's strategic plan.
- Record main lessons learned/recommendations.
- Accompany financial implementation.

This instrument is comprised of the following sections:

1. **TC Identification:** data that enable the identification of the Term of Cooperation signed between the Ministry of Health and PAHO/WHO. This is a section that provides information about the technical area responsible for the TC, the TC title/number, the object of the TC, process number, duration, Federal Government Integrated Financial Administration System number (*Sistema Integrado de Administração Financeira do Governo Federal – SIAFI*), Term of Adjustment (TA) number, total amount of the TAs, and the total amount of the TC.
2. **Logframe Matrix:** describes the current logframe matrix and allows you to insert an updated version, in case there is revision in the previous semester.
3. **1st and 2nd semesters:** part of the analysis itself
 - a) **Introduction:** offers a brief description of the Term of Cooperation, containing the following information:
 - Possible changes in the political/strategic scenario needing attention.
 - Stakeholder situation analysis.
 - Possible occurrence of inter-agency activities (United Nations Organization agencies).
 - Description of situations not initially foreseen in the work plans but which have been supported through the project (e.g.: occurrence of emergencies or outbreaks).
 - Possible revision of the project/logframe matrix.
 - b) **Progress with achieving results:** the description of this item requires the use of the TC logframe matrix and of the semester work plans (SWP) containing the programming of each TA. Comments are made here on progress made with achieving the end goal, purpose and expected results defined in the TC logframe matrix, making a link between progress achieved and the targets and respective indicators. The definition of the extent of progress made with indicators and targets in meeting the expected results can be based on the implementation of the actions programmed in the SWP. The main activities carried out during the period that have contributed to meeting each result can be included.

Analysis of project progress:

Technical Report x Semester			
Project progress based on expected results			
Assessment of expected results (based on the implementation of the semester work plan)			
Expected results (ER) (defined in the logframe matrix)			
ER number/ER description:	–	–	
Indicator(s)			
Description of the indicator(s)	–		
Goal(s)			
Goals number/Goals description	–		
Action(s) programmed and finalized for the period in the semester work plan			
Total actions programmed for the period based on the semester work plan:		Total actions finalized for the period based on the semester work plan:	

c) **Contribution to government priorities and to PAHO's Strategic Plan:**

- In relation to the objectives of the Ministry of Health's Pluri-Annual Plan or health policies or programs.
- In relation to the immediate results of the PAHO Strategic Plan 14-19.

- d) **Lessons learned/recommendations:** identify opportunities, weaknesses, lessons learned and recommendations for TC execution in the following semester, highlighting successful practices that can be reproduced or shared, making recommendations on initiatives to be implemented on the operational and strategic levels and identifying areas for improvement (areas that have had implementation problems, recommendations, suggested adjustments to the work plans or matrix to be considered by the counterparts).
- e) **Financial implementation** (according to the PAHO/WHO official financial report)
- Resources transferred: US\$
 - Resources disbursed: US\$
 - Payment pending: US\$
 - Balance US\$:
 - Date:
- f) **Certification**
- PAHO/WHO

Planning, Programs and Projects Unit Report	
Main considerations	
Signature	
Date	
Technical Unit Coordinator	
Technical Unit	
Coordinator's name	
Signature	
Date	

- Ministry of Health

Responsible Technical Area Report	
Main considerations	
Name of the area	
Name of the person in charge	
Signature	
Date	

The elaboration of the technical report results in a graph showing project/TC progress, percentage execution by expected result based on the indicators and targets; and lists the main progress, challenges, interventions required based on the expected results. As such, the technical report is a relevant instrument for the TC manager.

4. **Consolidated half-yearly:** the preparation of the technical report results in a graph showing the project situation / logframe matrix and a summary table with the total number of actions scheduled in the period, total number of finalized actions, relationship between completed and scheduled actions, degree of progress of the expected result in the period and the financial implementation.
5. **Consolidated annual:** presents the consolidated information of the two semesters. It allows to verify the degree of progress of the expected results based on the execution of the actions planned for decision-making about the project.

Technical Report elaboration process:

Document needed: Technical Report template.

Updating stages: The Technical Report should be prepared at the end of each semester, whereby the 2nd semester report compiles information for the whole year.

Responsibility: PAHO/WHO technical officer together with the counterpart.

Approval: PAHO/WHO Technical Unit Coordinator.

Report elaboration consists of the following stages:

- Stage 1 – Elaboration by PAHO/WHO technical officer together with the counterpart.
- Stage 2 – The electronic version is sent to the National Technical Officer for revision, to the Technical Unit Administrator for financial information complementation and to the Technical Unit Coordinator for approval.
- Stage 3 – The National Technical Officer supports internal exchanges in the Technical Unit and sends the final version to the Planning, Programs and Projects Unit (PPP) for analysis and submission to the Health Ministry's Executive Secretariat.
- Stage 4 – All technical reports are compiled by PPP in the form of an electronic publication and made available on PAHO/WHO Brazil's website (www.paho.org/bra).

4.2 Performance Report

The Performance Report is an instrument intended to evaluate the project with regard to the criteria of **relevance, effectiveness, efficiency, impact and sustainability**, as well as **describing the main conclusions** and, if necessary, inform the elaboration of a corrective action plan. It enables a review of the execution of the TC and its components, extracting conclusions and identifying lessons learned from this experience.

Objectives of the project Performance Report:

- Analyze progress with project goals on their different levels (relevance, effectiveness, efficiency, impact and sustainability, as well as describing the main conclusions), according to the logframe matrix description.
- Identify progress with achieving results and analyze approaches used in executing the project.
- Provide input for the elaboration of the Final Project Evaluation Report.

The Performance Report is prepared biennially by PAHO/WHO technical staff involved in the project. The result, the main conclusions and the action plan should be shared with the counterpart.

This instrument is comprised of the following sections:

1. **TC identification:** comprises the description of the Ministry of Health Technical Unit, the PAHO/WHO technical unit, TC number and title, current phase (execution or finished) and year evaluated.
2. **Analysis according to the evaluation criteria:** this section presents the five TC performance evaluation criteria and the questions relating to each of them.

Relevance (relates to the TC purpose): Verifies to what extent the project's purpose continues to be consistent with the needs of the beneficiaries and the counterparts in view of potential changes in the country's scenario.

The evaluation questions are classified from 1 to 5.
(1 – Low, 2 – Insufficient, 3 – Moderate, 4 – Sufficient and 5 – High).

How would you classify progress with TC purpose?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
How would you classify the project's response to the needs of the beneficiaries?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
To what extent do you consider that TC actions and contributions are aligned with the government's needs and priorities?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
How would you classify PAHO/WHO's contribution to meeting the goals identified at the beginning of the TC?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
How would you rate the Logframe Matrix level of planning?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
How would you rate the quality of the baseline data?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
Main conclusions of this analysis:	

Effectiveness (relates to the expected results): Verifies to what extent the expected results have progressed or have been achieved, thus contributing to the project's purpose.

The evaluation questions are classified from 1 to 5.
(1 – Low, 2 – Insufficient, 3 – Moderate, 4 – Sufficient and 5 – High).

To what extent do you consider that the results contribute to the project's purpose?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
How would you rate the quality of the results delivered so far?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
To what extent do you consider that the lessons learned in meeting the expected results are being documented and used in TC development?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
Main conclusions of this analysis:	

Efficiency (relates to activities/actions): Measures the use of resources in the implementation of activities or actions.

The evaluation questions are classified from 1 to 5.
(1 – Low, 2 – Insufficient, 3 – Moderate, 4 – Sufficient and 5 – High).

To what extent do you consider that project resources have been used with adequate cost-benefit in achieving the results?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
To what extent do you consider that the work plans have been used to monitor the execution of the programmed actions?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
To what extent have the activities addressed the Organization's cross-cutting themes (gender, ethnicity, human rights and equity)?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
To what extent do you consider that the necessary amount of resources have been defined to support project management (direct costs)?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
Main conclusions of this analysis:	

Impact (relates to project end goal): Measures the effects of the project goal achieved in the long term. It is the end goal to which the project contributes.

The evaluation questions are classified from 1 to 5.

(1 – Low, 2 – Insufficient, 3 – Moderate, 4 – Sufficient and 5 – High).

To what extent do you consider that TC implementation has contributed or is contributing to existing government targets?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
How would you rate the relationship between the TC and other national or international initiatives?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
How would you classify the perception of Brazilian society regarding the results of the TC?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
Main conclusions of this analysis:	

Sustainability: Refers to the continuation of the benefits after a project has ended. It relates to the development of capacities, resources and the ownership of project activities by beneficiaries and counterparts.

The evaluation questions are classified from 1 to 5.

(1 – Low, 2 – Insufficient, 3 – Moderate, 4 – Sufficient and 5 – High).

What is the level of counterpart ownership of the project?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
What is the likelihood of the results being maintained even if there is a change in the context (e.g., a change of government)?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
How would you classify partner institution capacity to maintain the technology introduced?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
To what extent do you consider that human resource training can ensure continuity of service provision?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
How would you classify the involvement of the different stakeholders (funders, universities, others) in the implementation of the project?	<input type="checkbox"/> 1 – Low <input type="checkbox"/> 2 – Insufficient <input type="checkbox"/> 3 – Moderate <input type="checkbox"/> 4 – Sufficient <input type="checkbox"/> 5 – High
Main conclusions of this analysis:	

3. **Main conclusions:** each performance evaluation criterion enables analysis and definition of the main conclusions. In this section the following should be highlighted:
 - Suggestions for alterations or new goals to be included in the logframe matrix or work plans.
 - Areas of improvement that may require additional focus, funding and/or technical assistance.
 - Lessons learned and recommendations regarding implemented actions.

4. **Proposed action plan:** if necessary, an action plan should be prepared indicating who will implement it, identifying and defining TC needs in relation to:
 - Compliance with the planned timetable for carrying out project activities.
 - Quality of the management of the project's financial resources.
 - What can be done for the intervention to be more effective.
 - Quality of the products and services delivered by the product.
 - Fulfilment of the targets set in the Logframe Matrix and achievement of expected impacts.
 - Changes that can be seen in relation to the goals of the intervention.
 - The project's ability to continue generating the results obtained without additional external aid.
 - Factors that determine the sustainability of the results and impacts observed.

5. Certification

5.1 PAHO/WHO

Planning, Programs and Projects Unit Report	
Main considerations	
Signature	
Date	
Technical Unit Coordinator	
Technical Unit	
Coordinator's name	
Signature	
Date	

5.2 Ministry of Health

Responsible Technical Area Report	
Main considerations	
Name of the area	
Name of the person in charge	
Signature	
Date	

Performance Report elaboration process:

Updating stages:

- Biennial evaluation: the project performance analysis instrument should be applied every two years. Information contained in the annual Technical Report should be used to inform its elaboration.
- Partial project evaluation: to be carried out at every five year cycle of the TC.

Responsibility: PAHO/WHO technical officer.

Approval: PAHO/WHO Technical Unit Coordinator.

Report elaboration consists of the following stages:

- Stage 1 – Performance report prepared by PAHO/WHO technical officer.
- Stage 2 – The electronic version is sent to the National Technical Officer for technical revision and to the Technical Unit Coordinator for approval.
- Stage 3 – The National Technical Officer supports internal exchanges in the Technical Unit and sends the final version to the Planning, Programs and Projects Unit (PPP) for presentation to the counterparts.
- Stage 4 – All technical reports are compiled in the form of an electronic publication and made available on PAHO/WHO Brazil's website (www.paho.org/bra).

4.3 Final Evaluation Report

The **Final Evaluation Report** is the instrument that structures the information obtained from the data collected during the project's life cycle. The main purpose of this report is to consolidate information about the results achieved and project execution.

The information contained in the project's Technical Report and Performance Report is the main source of data for analyzing and undertaking the final evaluation. This report should contain conclusions, lessons learned and the definition of an action plan with strategic lines for future projects. It will present evidence, results, conclusions and recommendations in a concise, precise and easy to understand manner.

This document will contain information about the evolution of the project; the monitoring of its logframe matrix indicators; results and impacts achieved; the future sustainability of these results; problems that arose during implantation; as well as knowledge produced and lessons learned.

The existence of credible, pertinent and objective information about cooperation interventions is fundamental for performing final TC evaluation. The result of the evaluation will be useful when the conclusions and recommendations add value to technical cooperation.

The final evaluation instrument is fundamental for closing the project cycle and verifying its scope, purpose and expected results, indicators and targets. TC evaluation is performed when the TC ends, usually every five years, when it may be extended for a further period of equal duration. If a TC has a ten-year life cycle, a final evaluation will be performed after five years and another after ten years of project execution.

In order to perform final evaluations (5/10 years) with quality, transparency and in line with United Nations Evaluation Group (UNEG) Norms and Standards, sufficient financial resources need to be ensured and these should be provided for in the project budget and work plan programming. This is a responsibility of the Technical Unit Coordinator. The areas involved in project final evaluation may decide that an independent evaluation should also be undertaken using other methods.

Objectives of final project evaluation:

- **To learn lessons** – To understand the reasons underlying varying levels of success of the interventions, so as to improve the performance of future interventions.
- **To render accounts** – To provide an objective basis for rendering accounts to stakeholders. Rendering accounts is related to transparency and accountability in resource use.
- **To show results** – A means of publicizing intervention results easily and quickly.
- **To evaluate performance criteria** – To evaluate the relevance, efficiency, effectiveness, impact and sustainability of project products.
- **To offer conclusions and recommendations** – to provide the information necessary for decision-making, describe the conclusions and recommendations for assisting decision-making processes in future TCs and other strategies of PAHO and the Brazilian Government.

This instrument is comprised of the following sections:

1. **TC Identification:** data that enable the identification of the Term of Cooperation made between the Ministry of Health and PAHO/WHO.
2. **Executive Summary:** provides a synopsis containing the key elements of the document, covering the following in no more than three pages:
 - The results produced, their effects and impacts, considering the project's relevance, efficiency, effectiveness and sustainability.
 - Lessons learned to guide the design and implementation of future projects.
 - Main recommendations to guide the definition of strategic lines related to the theme addressed by the TC.

3. **TC Contextualization and Justification:**

- Present the initial political, strategic and technical contexts in which the TC was prepared.
- Mention the institutional and administrative aspects existing at the time the TC was prepared.
- Describe the justification of the need to prepare the TC based on the context presented.

4. **Evaluation scope and objectives:**

- The main objective of the final evaluation of a TC is to verify whether its purpose was achieved and whether it remained aligned with the project's end goal in accordance with the country's needs.
- This section should clearly describe the issue that is being evaluated, ensuring that pertinent information is provided in an executive manner. The logframe matrix may be attached if additional detail is necessary. The development of the final evaluation process occurs based on these objectives.
- The scope of the final evaluation determines the limits of the evaluation, its adaptation (modelling) and the evaluation objectives and criteria for the situation in question. It also specifies the coverage of the evaluation (period of time, implementation phase, geographical area and dimensions of the activities, stakeholder participation). Evaluation limitations should also be stated.

5. **TC final evaluation methodology and criteria**

The methodology used for TC final evaluation is based on the carrying out of a joint exercise with the counterpart to verify whether the goals defined in the logframe matrix have been achieved. It is, therefore, a document review of information obtained from TC technical and performance reports prepared during its execution with their respective frequency.

The compilation of this information is guided by the five TC evaluation criteria:

- A **relevância** verifica em que medida o **propósito** do projeto permanece consistente com as necessidades dos beneficiários e das contrapartes tendo em vista potenciais mudanças do cenário do país.

- **Relevance** verifies the extent to which the **purpose** of the project remains consistent with the needs of the beneficiaries and the counterparts in view of potential changes in the country's scenario.
- **Effectiveness** verifies the extent to which progress has been made with the **expected results** or whether they have been achieved and have contributed to the purpose of the project.
- **Efficiency** measures the use of resources in implementing **activities** or actions.
- **Impact** measures the effects achieved regarding the project's end goal in the long term. It is the **end goal** to which the project contributes.
- **Sustainability** refers to the **continuation** of the benefits after a project has finished. It is related to the development of capacities, resources and the ownership of project activities by its beneficiaries and counterparts.

If the technical areas opt to do so, they can use additional tools to provide evidence on the information to be recorded and to make it more explicit:

- Bibliographic review
- Direct observation
- Study (qualitative and quantitative)
- Interviews (semi-structured or informal)
- Group discussions
- Critical reflection
- SWOT analysis

The evaluation exercise should take into consideration opportunities for learning and participation (workshops, learning groups, debriefings, participation in field visits) to ensure that the main stakeholders are integrated with the evaluation and learning process.

In addition to the pre-defined evaluation criteria, TC evaluators can use ad hoc measurement criteria that validate the expected impact and the targets established in the project's logframe matrix.

6. **Analysis of evaluation results**

The application of the TC final evaluation methodology and criteria will enable the description, for each goal defined in the TC's logframe matrix, of the main activities carried out, progress and results achieved, impacts

and sustainability. Information to be added to these evaluation results includes unexpected effects, improved management, stakeholder changes of behaviour and new partnerships and sources of resources.

The challenges and strengths found during the final evaluation process should be highlighted in this section.

7. **Conclusions**

The conclusions should show progress achieved through implementation and adequate measurement and analysis of the results chain.

Whenever possible when evaluating a topic, the reasons for success and difficulties, especially limitations and contributing factors, should be identified. It is relevant to comment on the implications of external factors for progress or difficulty in meeting results, contextualizing the social, political and environmental aspects of the analysis.

8. **Lessons learned**

The final evaluation report should identify lessons learned from the results achieved, presenting an analysis of how they can be applied in different contexts and/or sectors. They should be described based on problems that happened and results achieved, considering all the stages of TC development.

This section should provide information on the occurrence of external influences that have contributed favourably or otherwise to obtaining the results and the causes of difficulties in implanting the project, describing the managerial measures adopted to overcome obstacles.

Not all evaluations produce lessons. Lessons should therefore only be mentioned if they contribute to overall knowledge. They should be based on the results and the conclusions of the evaluation.

9. **Recommendations**

Recommendations are to be based on evidence and on analysis. They should be relevant and realistic and give priority to ensuring that the action is clear. They should be relevant for the issue that is being evaluated.

Whenever possible, recommendations should indicate those responsible and the timeframe for their execution, indicating:

- Critical issues, challenges and priorities.
- Need for more in-depth analysis, impact study or external evaluation, if appropriate.
- Need for greater technical cooperation assistance, if appropriate.
- Positive aspects that may be replicable / negative aspects that can be avoided in the future / other overall lessons.
- Actions in connection with TC project implementation.
- Actions in connection with fulfilment of obligations and rules stipulated in the TC Agreement.
- Problems experienced.
- Good practices relating to the issue and the benefits they have brought.

10. **Financial implementation** (according to the PAHO/WHO official financial report)

- Resources transferred: US\$
- Resources disbursed: US\$
- Payment pending: US\$
- Balance on 30/xx/20xx: US\$

11. Certification

11.1 PAHO/WHO

Planning, Programs and Projects Unit Report	
Main considerations	
Signature	
Date	
Technical Unit Coordinator	
Technical Unit	
Coordinator's name	
Signature	
Date	

11.2 Ministry of Health

Responsible Technical Area Report	
Main considerations	
Name of the area	
Name of the person in charge	
Signature	
Date	

12. Annexes

Annexes should be relevant and complete. Information that is complementary and additional to the evaluation can include:

- Project document, logframe matrix and legal agreement.
- List of the most relevant reference documents.
- List of people interviewed (depending on confidentiality restrictions) and places visited.
- Data collection instruments (copies of questionnaires, surveys etc.).
- List of abbreviations.
- Other relevant information.

Final Evaluation Report elaboration process:

- **Document needed:** Final Evaluation Report template.
- **Responsibility:** PAHO technical Office together with the counterpart.
- **Approval:** PAHO/WHO Technical Unit Coordinator.

Report elaboration consists of the following stages:

- Stage 1 – Elaboration of the TC final evaluation report by PAHO/WHO technical officer together with the counterpart.
- Stage 2 – The electronic version is sent to the National Technical Officer for technical revision and to the Technical Unit Coordinator for approval.
- Stage 3 – The National Technical Office supports internal exchanges in the Technical Unit and sends the final version to the Planning, Programs and Projects Unit (PPP) for presentation to the counterparts.
- Stage 4 – All performance reports are compiled in the form of an electronic publication and made available on PAHO/WHO Brazil's website (www.paho.org/bra).





5. Annexes

5.1 Glossary of terms used in technical cooperation projects

Baseline: identifies the project's initial situation by defining relevant indicators. It enables comparison with the situation at the end of the project and analysis of the extent to which it has progressed in achieving its goals.

Beneficiary: an institution or an individual that is benefitted by the project.

- Direct project beneficiaries (a country's populations).
- Indirect project beneficiaries (public health workers, to the extent that they will facilitate exchange of knowledge within and between projects of a national or international scope).

Counterpart: national or international institution that manages the project jointly with PAHO/WHO, playing a relevant role in its planning and implementation.

Effectiveness: verifies the extent to which the expected results have made progress or have been achieved, thus contributing to the project's purpose.

Efficiency: measures the use of resources in the implementation of activities or actions.

End goal: result intended for the long term which contributes with health, physical, social and other benefits for a project's beneficiaries.

Evaluation: consists of an objective and systematic analysis of the development of a program or project. It assesses a project's efficiency, effectiveness, relevance, impact and sustainability.

Expected result: the product and/or service resulting from the conclusion of project activities. The expected result is the short-term result that occurs during project implementation.

Feedback: information provided about project development throughout its implementation cycle to the stakeholders for whom it can be relevant and useful, thus facilitating learning. It involves recording and communicating conclusions, recommendations and lessons learned.

Financial report: an official PAHO/WHO instrument describing, every six months, the amount of resource allocation, spending and remaining balance regarding the following administrative instruments: 1) travel; 2) per diem; 3) services provided by individuals; 4) services provided by companies.

Goal (generic term): an end goal achievable through a planned timeframe and availability of resources. In the Logframe Matrix, goals have different meanings, ranging from strategic goals to operational goals.

Impact: measures the effects achieved by the project's end goal in the long term. It is the end goal to which the project contributes. Impact is the difference between the situation prior to the intervention and the changes attributable to the project which have been achieved during its implementation.

Indicator³: enables the achievement of the proposed goals and project success to be accompanied and evaluated. It must have a measurable basis for its evaluation and show quantity, quality and time in relation to the proposed goal.

An indicator must be SMART: specific, measurable, achievable, reliable and timely/trackable, so as to be able to describe the result planned or achieved in terms of quality, quantity and time.

Lessons learned: identification of project strengths or critical points that can be recorded and used in similar actions or projects.

Logframe Matrix: instrument used to apply the Logical Framework Approach methodology when elaborating projects. It offers a summary of a project's goals and its main elements positioned based on a causal and hierarchical relationship.

³ Indicators are indices that enable progress with targets to be evaluated.

Logframe Matrix components are: impact/end (or end goal), purpose, baseline, expected result, indicator, targets, activities.

Logical Framework Approach methodology: this is characterized by the definition of a hierarchy of indicator-associated goals to be achieved. It affords transparency to resource management and use. The methodology enables team participation and team work, thus becoming a continuous process of evaluation and learning, which takes political, social and organizational realities into consideration in its development. The logframe matrix is the main instrument used when applying the logical framework approach methodology.

Monitoring: is a continuous action used to accompany a project, make corrective decisions regarding its management and inform stakeholders about the evolution of the planned results. It uses data collection and analysis and pre-defined process and result indicators. Monitoring aims to analyze progress made with project logframe matrix expected results through its indicators, activities, products and services.

Project: an undertaking or an intervention with a specific goal (purpose) to deal with a problem or shortcoming that has been defined in a given area. It identifies activities which, when they are executed, will produce planned results that lead to a purpose being achieved and thus contribute to a strategic goal. A project has a start date and an end date, resource allocation and responsibilities defined for its team and for other stakeholders.

Project activities: identify what has to be done to produce the defined results.

Project analysis: an action which enables it to be determined whether the results have been achieved and which enables challenges and opportunities to be identified. Analysis is more complete than monitoring and less rigorous than evaluation. Analysis can be performed on one or more projects to verify their contribution to the goals of regional/national programs and/or thematic programs. Analysis can be undertaken periodically or just when necessary.

Purpose: the result of a project in the medium term. It is achieved through the joint efforts of stakeholders and partners. A purpose represents changes in conditions that occur after achieving expected results and as a consequence thereof. It is achieved after the project has ended.

Relevance: verifies the extent to which the purpose of the project remains consistent with the needs of the beneficiaries and the counterparts in view of potential changes in the national scenario.

Result: in the logframe matrix, the result can be strategic or operational (end goal, purpose or expected result). It comprises visible and measurable changes in a given beneficiary condition or behaviour. Results can be positive or negative, expected or unexpected, direct or indirect.

Results-Based Management (RBM): a management approach which ensures that processes, products and services contribute to achieving goals (expected results, purposes and impacts). RBM requires the monitoring and evaluation of results, the recording of and feedback on performance in order to achieve continuous progress.

Risk: is the likelihood of an event or condition negatively affecting a project's success. Risks are composed of factors that are internal and external to the project, although emphasis is usually placed on factors beyond the direct control of the management team.

Semester Work Plan (SWP) Action: financial, human, material, technological and information resources to be used in project execution. In the case of TC, actions are the detailing of the activities defined in the logframe matrix.

Stakeholder: an agency, organization, group or individual having a direct or indirect interest in the project.

Sustainability: refers to the continuation of the benefits after a project has finished. It is related to the development of capacities, resources and the ownership of project activities by its beneficiaries and counterparts.

Term of Adjustment (TA): is an instrument that enables alterations to be made to the Term of Cooperation (except its object): extension of its duration for a given period, allocation of financial resources, addition of results or activities to the initial project. It is accompanied by the work plan which details the logframe matrix activities in the form of actions provided with corresponding financial resources. Its duration is the same as that of its corresponding TC.

Term of Cooperation (TC): is an instrument signed between PAHO/WHO and Brazilian government bodies, mediated by the Ministry of Health (MoH), which enables the development and execution of technical cooperation in the country through the definition of criteria and procedures for the carrying out of actions of a technical, scientific, operational and administrative nature in specific areas of health. Its average duration is 5 years and it may be extended for a further period of equal duration.

Work Plan: this is part of the Term of Adjustment, prepared jointly by PAHO/WHO and partner institution technical officers. It enables the programming of the actions to be executed in the proposed timeframe to be estimated.



6. References

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