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**TECHNICAL COOPERATION PLANNING,
PROGRAMMING AND EVALUATION SYSTEM
AMPES**



Office of Analysis and Strategic Planning
Pan American Health Organization
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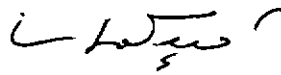
MISSION OF THE PAN AMERICAN SANITARY BUREAU

The Pan American Sanitary Bureau is the Secretariat of the Pan American Health Organization (PAHO), an international agency specializing in health. Its mission is to cooperate technically with the Member Countries and to stimulate cooperation among them in order that, while maintaining a healthy environment and charting a course to sustainable human development, the peoples of the Americas may achieve Health for All and by All.

This Manual for the Technical Cooperation Planning, Programming, and Evaluation System (AMPES), has been prepared taking into account the transformations introduced to AMPES during 1997. These were the result of wide consultations with users and managers of the Pan American Health Organization (PAHO). The practical implications of this Manual reflect the desire to advance in the application of a planning, programming and evaluation process centered in the Logical Approach to Project Management. This is instrumental in effectively articulating the policies of the Organization in developing a technical cooperation that is focused on specific results and purposes for which the necessary resources are identified.

PAHO has advanced considerably in the application and transformation of AMPES since its creation, 20 years ago; however, it is necessary to continue improving it and adjusting it to the needs of ever changing modalities of technical cooperation.

The Office of Analysis and Strategic Planning trusts that the utilization of this publication will contribute to improve the knowledge and application of this System.



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I. What is AMPES?

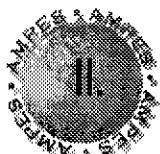
AMPES is the system through which the Pan American Health Organization (PAHO) establishes managerial procedures for planning, programming, monitoring, and evaluating its main product: technical cooperation in health. Its name comes from the abbreviation of American Region Planning and Evaluation System.

AMPES creates a close link between the policies and strategies established by PAHO Governing Bodies and the Secretariat work plan, and identifies the necessary resources for budgeting.

AMPES structure is based on the logical approach (logical framework) which facilitates the definition of objectives resulting from problem analysis and establishes the basis for programming to achieve those objectives. The incorporation of the logical approach into project management has given AMPES the following advantages: it has enabled it to lay the foundations for monitoring and evaluation; to establish a common language for interaction with national counterparts and other agencies; and to define the levels of responsibility assumed by the Secretariat in technical cooperation. One of the most important advantages AMPES has is its flexibility in the managerial processes in a way that managers are delegated authority to proceed with needed changes in the management instruments in order to achieve the established objectives. The AMPES cycle balances out the different stages of the managerial cycle; planning, programming, monitoring and evaluation, hence one provides input to the other.

In 1996 the Office of Analysis and Strategic Planning (DAP) conducted a survey of all the units in the Organization in order to uncover deficiencies in AMPES and gather suggestions for improvement of the system. The survey results served as a basis for streamlining management processes and making them more flexible so as to better respond to the needs of the countries while at the same time maintaining a transparent, effective, and efficient management system.

The present document provides a summary of AMPES components, the processes involved in the preparation, approval, and execution of the Organization's policies and work plans as well as the processes involved in their execution, monitoring, and evaluation, and the preparation of internal and external reports.



II. Management of Technical Cooperation

The processes for planning, programming, executing, and evaluating technical cooperation (TC) in AMPES are based on the principles set forth by the World Health Organization (WHO). These define technical cooperation as the process through which the Member States cooperate with the Organization as equal members in defining and achieving their health goals through programs determined by their needs and priorities that promote their self-sufficiency in the development of health. (1)

In addition, management of TC is based on a permanent process of Rethinking International Technical Cooperation in Health (RITCH), which has emphasized the changing modalities of TC as they reflect the environment in which it is carried out and the numerous actors who share in it. RITCH has defined TC as "a process in which two or more parts work jointly to attain specific objectives" (2).

AMPES has been evolving to incorporate the countries' needs for national health development and the mandates of the Governing Bodies to meet regional objectives that will lead to the attainment of Health for All. Thus, the technical cooperation program is structured into projects that clearly define the objectives pursued and all those involved in TC participate in their programming and execution.

In 1992, as a result of an analysis on extrabudgetary projects performed at Headquarters, the need to strengthen the Organization's management capability was identified. At this time a methodology for project management in PAHO was designed, called the Logical Approach to Project Management in PAHO (3). This method is based on the Logframe originally developed by the U. S. Agency for International Development (USAID), whose elements have been incorporated into AMPES.

1 Logical Approach to Project Management in PAHO

The Logical Approach to Project Management in PAHO provides a clear and complete method for designing complex projects and assisting in their execution and evaluation. It makes analysis and planning in project design easier to bring about; it facilitates direction, monitoring, and communication during project implementation; and it provides an adequate basis for comparison to evaluate the project. In the initial stages of project planning, the logical approach provides elements for problem analysis and identification of the principal stakeholders involved, which constitutes the basis for deciding whether to carry out the project.

This approach uses a matrix with vertical components that explain the reasons for project implementation and horizontal components that explain what is going to be produced, how to measure progress and success, and the underlying assumptions of the project.

The matrix identifies the main objectives of a project, structured in a hierarchy of objectives. These objectives are classified as the goal, the purpose, and the expected results; achieving these objectives requires that the activities and the corresponding resources be specified, in addition to the indicators, the means of verification, and the assumptions.

The hierarchy of objectives constitutes the vertical logic of the project and should meet the requirements for internal consistency. The vertical logic is verified through the determination of a cause-and-effect relationship between one hierarchy level and the next level. The horizontal logic of the project incorporates indicators for the objectives, their means of verification, and the corresponding assumptions. By uniting all these elements, the project team can state that: a) if the activities are carried out *and* the assumptions are valid, the project's expected results will be achieved; b) several other factors must interplay in addition to these expected results for the project to achieve its purpose—among them, assumptions that are beyond the direct control of the project team; and c) if the purpose is accomplished and the associated assumptions are valid, the project will make a valuable contribution towards achieving the goal.

The project establishes thus, the responsibility of the project manager. The manager is responsible for achieving the expected results. The project purpose depends on factors that are beyond his/her control; hence, the project manager cannot assume responsibility for achieving that purpose. However, he/she has a commitment to monitor the project environment and inform the corresponding authorities of any change in the assumptions that could have a bearing on the fruitful implementation of the project. The project manager is committed to the purpose and the goal of the project.

The incorporation of these elements into AMPES has led to the identification of a hierarchy of objectives, where achievement of one level of objectives contributes to fulfillment of the objectives of the next level. Expected results and the purpose of the project outlined in the Biennial Program Budgets (BPB) should therefore aid in achieving the objectives of the Strategic and Programmatic Orientations (SPO). Achievement of the SPO objectives should help to meet the goals established in the General Programs of Work of WHO and, accordingly, achieve the goal of Health for All.

The planning process in AMPES includes three stages linked by hierarchy: policy planning, strategic planning and operational programming, which provide a structured framework for the management of the Organization's technical cooperation program.

Policy planning provides the main political and programming orientation through the General Programs of Work (GPW) of the World Health Organization and the Strategic and Programmatic Orientations (SPO) for the Pan American Health Organization.

Strategic planning establishes the technical cooperation projects in the Biennial Program Budget (BPB) derived from the SPO and allocates the resources necessary for the biennium.

Operational programming establishes the plan for the execution of the biennial projects in accordance with the tasks in the Semiannual Program of Work (PTS). The PTS details the tasks corresponding to the activities of the biennial projects programmed for that semiannual period.

Execution of biennial technical cooperation projects is decentralized to the managers at the country level (the PAHO/WHO Representative - PWR), the PAHO centers, and the regional units. Decentralized execution of the BPB provides AMPES with the flexibility needed to respond efficiently and effectively to the changing needs for technical cooperation in the various countries in the Region. At the same time, the rules established for decentralized execution assure that within the transparency of the process, the directionality of the activities is maintained to achieve the objectives.

Monitoring and evaluation in AMPES are also carried out in a hierarchical manner and structured in time in such a way that the semiannual monitoring functions as an input for the annual evaluation. The later, in turn, functions as input for the biennial evaluation, and both together are inputs for the quadrennial evaluation. Monitoring and evaluation is an area within the Organization that needs strengthening. This will be accomplished by strengthening the planning and programming processes to facilitate monitoring and evaluation in all phases of the management cycle.

Figure 1 illustrates AMPES hierarchy of objectives within the structure of the three planning stages and the feedback from monitoring and evaluation.

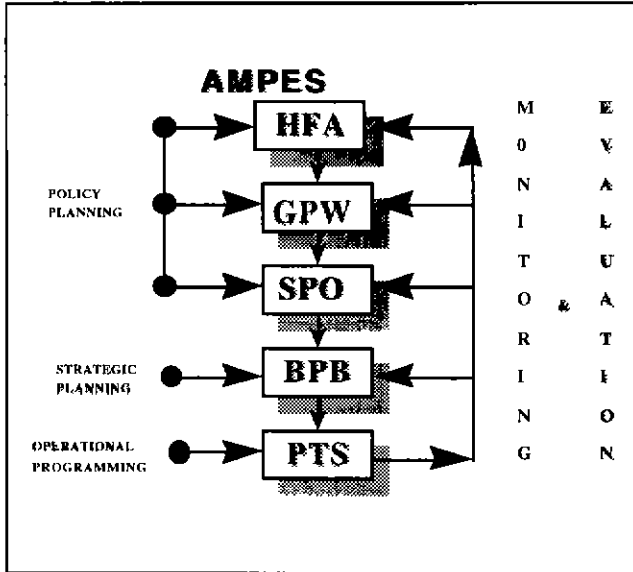


Figure 1

2 Products of the Management Process

The products of the management of technical cooperation process in PAHO are:

Policies

WHO/PAHO policies establish its overall objectives and the strategies and priorities for attaining them, including the goals and targets that are to be achieved by the Member States.

These policies cover periods of four, six, and more years. They are included in the global policy of Health for All in the 21st Century, in the General Programs of Work of WHO, in the PAHO Strategic and Programmatic Orientations for the Quadrennium, and in specific Plans of Action approved by the Governing Bodies.

Technical Cooperation Projects

Technical cooperation projects translate the policies and strategies approved by the Governing Bodies into plans of action for the Secretariat.

These projects specify what the Secretariat commits itself to contribute as expected results of technical cooperation, while establishing the impact these expected results will have on the national health processes and their contribution toward achievement of established policies.

Technical cooperation projects are included in the Biennial Program Budgets (BPB) approved by the Governing Bodies.

Operational Plans

Operational plans stem from strategic plans, which result in adjustments to the biennial projects in the BPB.

Thus, the work and resources required to carry out the activities are specified semiannually to achieve the expected results in the biennial projects.

The operational plans are included in the Semi-annual Programs of Work (PTS).

Reports

AMPES reports include the semiannual progress reports (IPS) that are used to describe the achievements in the light of biennial expected results and to determine future reprogramming needs; annual evaluation reports, which are the basis for the approval of resources for the following year, as well as for determining the needs for redirecting the work plan; the biennial evaluation reports, which serve as a basis for preparation of the BPB; and the quadrennial evaluation reports, which analyze achievement of SPO objectives and establish the bases for the preparation of future SPO. Other reports that are produced using information from AMPES are the Annual and Quadrennial Reports of the Director of the Organization.



III. Planning and Programming

1 Policy Planning

The GPWs of WHO describe the policy orientations guiding the activities of the Organization, thus providing a framework for determining the Secretariat work priorities and the kinds of products they are expected to generate during the period (4).

For the Region of the Americas the GPWs are adapted to the regional situation in the SPO, which are approved by the Governing Bodies. Formulation of the SPO encompasses the participation of the national counterparts and Secretariat personnel at the country and regional levels, in addition to review and discussion by the Governing Bodies (the Subcommittee on Planning and Programming, the Executive Committee, and the Pan American Sanitary Conference) (5). Initial proposals of the SPO are discussed by Secretariat personnel in internal technical discussions and by the Director's Cabinet.

The SPO identify the policy orientations to be followed in PAHO's efforts toward achieving "Health for All", with equity, and the promotion of a Pan American approach. The SPO provide the policy framework for technical cooperation developed jointly by the Secretariat and Member Governments.

AMPES establishes the linkage between the instruments for policy planning, strategic planning and operational programming. Thus, the SPO constitute the basis for all planning, programming, monitoring, and evaluation during the quadrennium and are the source of the BPB, evaluation, and information to the Governing Bodies (Figure 2).

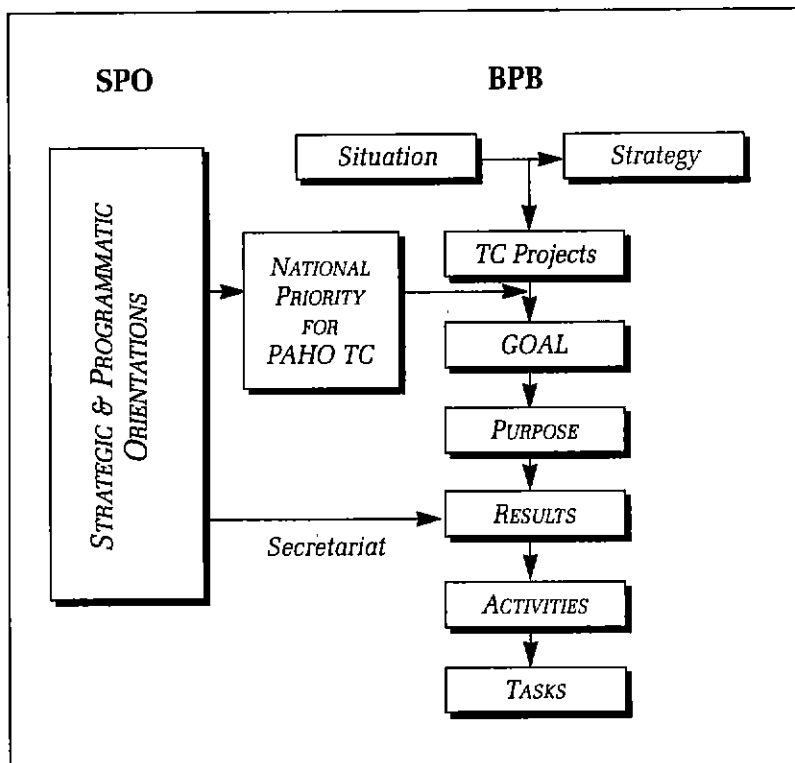


Figure 2

2 Strategic Planning

The Biennial Program Budget (BPB) is the mechanism employed for translating the SPO, the GPW, and other policy statements into the technical cooperation program that allocates the resources for a period of two years.

The BPB is the product of a participatory exercise between the Country Representatives (PWR), their teams, their highest-level national counterparts, and the Regional Units of Headquarters, and PAHO's Pan American centers. This process should consider the results of previous evaluations of the Secretariat performance in order to point out the successes and detect the main difficulties that should be addressed, and in addition analyze the situation in order to identify the need for cooperation.

The content and structure of the BPB varies in accordance with the nature of the various units of the Secretariat. The guidelines established for the preparation and content of the BPB are summarized below for the four types of Secretariat units:

- Technical cooperation units in the countries (PAHO/WHO Country Offices - PWR)
- Regional technical cooperation units (divisions, Pan American centers, and special programs)
- Units subordinate to the Office of the Director/Deputy Director and the Office of the Assistant Director (D/DD and AD)
- Units subordinate to the Office of Administration (AM)

Situation Analysis

The proposed BPB should be based on a situation analysis that should describe the main problems and the manner in which they are being addressed. This analysis should be the result of a joint exercise with national counterpart personnel (in the case of country BPBs) and with other units within PAHO in the case of regional technical units' BPB, in order to determine the prevalent problems and the areas in which PAHO will assist in their resolution.

In developing the situation analysis, it is advisable to use the "problem tree" and "stakeholder analysis" methods, as described in the Logical Approach to Project Management in PAHO. See figures 3 and 4.

In the case of country BPBs, the situation analysis should also describe: national health priorities; national priorities for technical cooperation in health; and the areas requiring PAHO technical cooperation.

The units subordinate to the Office of the Director, the Office of the Assistant Director, and the Office of Administration should prepare a situation analysis of the subject area for which they are responsible. This analysis is the basis for the proposed BPB.

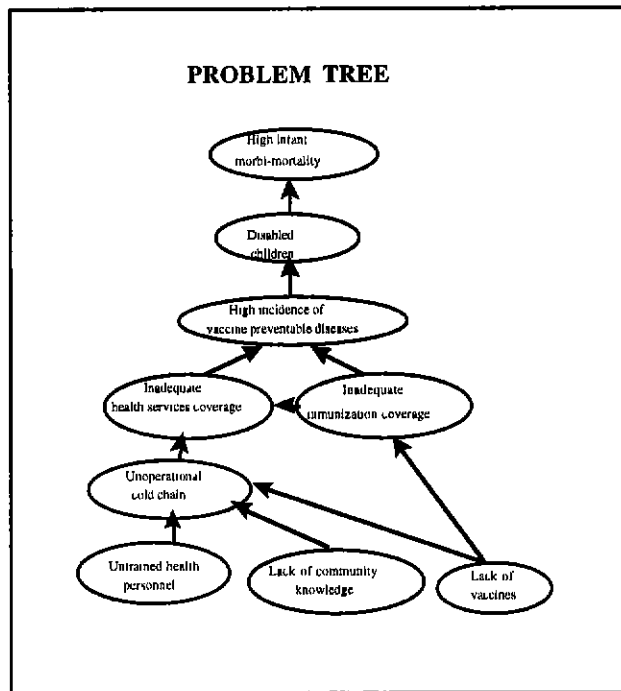


Figure 3

STAKEHOLDER ANALYSIS

Stakeholders	Brief Description	Project Expectations	Power (P) (0 to 5)	Value (V) (-3 to +3)	Effect (PxV) (-15 to +15)
A					
B					
C					
D					
E					
					Total

Figure 4

Technical Cooperation Strategy

Based on the situation analysis, the country office and the regional technical units should determine the technical cooperation strategy for the biennium. The strategy should describe how the corresponding unit will execute the BPB and specifically indicate the functional approaches to be adopted and how they will be applied. Annex 1 contains a description of the six functional approaches: resource mobilization; information dissemination; training; development of norms, plans and policies; research promotion; and direct technical consultancy.

The units under the Office of the Director, the Office of the Assistant Director, and the Office of Administration should describe the work strategy they will choose on the basis of the situation analysis for the area they are in charge.

National Priorities for PAHO Technical Cooperation

The country BPB should also include a list of the national priorities for PAHO technical cooperation, which will serve as a basis for programming technical cooperation projects. The national priorities for PAHO technical cooperation should lie within the scope of the SPO.

Work Plan Structure

The BPB may be organized into two components: technical cooperation projects and management activities. The country offices and the regional technical units (divisions, centers and special programs) that are directly involved in technical cooperation should structure their BPB in both components. The units subordinate to the Office of the Director, the Office of the Assistant Director, and the Office of Administration not directly involved in technical cooperation may structure their BPB by merely listing the managerial activities and other activities they carry out on a routine basis. In the event they are responsible for special projects, these should also be developed by using the Logical Approach to Project Management.

Technical Cooperation Projects

The basis for defining projects should be the problem tree developed in the situation analysis, transformed into an objectives tree in which the four levels of the project (hierarchy of objectives) may be initially identified from the level at which the unit assumes responsibility (expected results). In no case should the definition of projects depend on the internal structure of the unit or the source of funds. Biennial technical cooperation projects should be programmed by applying the Logical Approach to Project Management in PAHO and organizing the components described below in a matrix, as shown in Figure 5.

MATRIX FOR PROJECT DESIGN

	OBJECTIVES	INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
Goal				
Purpose				
Expected Results				
Activities		Resources		

Figure 5

Objectives: The project objectives are derived, in a hierarchy of objectives, from the problem and objectives trees. The four objectives that should be included in the matrix are the following:

- **Goal:** The project goal should describe the highest objective to which the project will make a contribution. This is determined by the problems/objectives trees, and is the first level of the four identified in the objectives tree. The goal should be described in a brief and concise sentence, since the indicators will provide information with regard to quantity, quality, and time.
- **Purpose:** The purpose should describe the main problem to be resolved or the situation to be modified. This is determined by the problem/objec-

tives trees and is the level immediately below the goal. A cause-and-effect relationship should exist between the purpose and the goal. The purpose is not the responsibility of PAHO/WHO managers. Nevertheless, it is their duty to help in its achievement. The purpose should be described in a brief and concise sentence, since the indicators will provide information with regard to quantity, quality, and time. **It is at the purpose level that the impact of the project is established.**

- **Expected results:** The results should describe **matters that are the direct responsibility** of the unit (its manageable interests), which constitute what the Country Office or the regional technical unit is committed to achieve or provide by the end of the project, at the latest. The expected results are determined from the problem/objectives trees, and a cause-and-effect relationship should exist between the expected results and the purpose. The resources assigned to the unit that will execute the project are approved on the basis of the commitment to produce these results. The expected results should also be established within the framework of the SPO and the GPW objectives. In addition, the name of the staff member chiefly responsible for the expected result should be identified, in order to establish a level of responsibility and provide the basis for the individual performance evaluation system. The expected results should be described in a brief and concise sentence, since the indicators will provide information with regard to quantity, quality, and time. Once approved, the expected results may be modified only by following the procedures described in section IV.2.
- **Activities:** Biennial projects should include the general activities to be carried out in order to achieve the expected results. Each activity should have both a starting and a completion date, which must not extend beyond the duration of the project. The name of the staff member chiefly responsible for the activity should be indicated in order to establish responsibility and provide the basis for the individual performance evaluation system. The activities are also classified according to one of the six functional approaches used to classify technical cooperation activities. (See Annex 1.) A cause-effect relationship should exist between the activities and the expected results. Resources are programmed at the activity level, and the activities are specified subsequently at the level of the tasks in the semiannual program of work (PTS).
- **Tasks** (not included in the project matrix). When the PTS is prepared, the activities are broken down into tasks. Resources and deadlines are also assigned to the tasks.

Indicators: The indicators for the expected results, the purpose, and the goal should provide specificity to the brief description, especially as regards the elements of quantity, quality, and time (QQT), and occasionally place. Project managers are responsible for achieving the results, which will be evaluated when they are delivered, as measured by the indicators. For biennial projects funded with regular funds, the cut-off date for the indicator should be no later than 31 December of the second year. The expected results should also include indicators to measure the degree of progress at the midway point in the biennium. These indicators (milestones) will be used to evaluate the degree to which the expected results have been achieved at the end of the first year and will serve as a basis for disbursing the second portion of the regular funds programmed for the project. Once approved, the indicators (for the expected results) may be modified only by applying the procedures stipulated in section IV.2.

Means of verification: For each set of indicators, the means of verification should be included, indicating the sources where the information can be found in order to monitor and evaluate the project. These may be in the form of documents prepared by the unit that executes the project or external sources of data or publications that can provide adequate information. An attempt should be made to identify means of verification that do not involve additional costs for the project.

Assumptions: External assumptions which are crucial to the success of the project should be included for each level of the hierarchy of objectives. During implementation, the project manager should monitor the external assumptions to ensure that the project can be executed successfully.

Management Activities

Activities that involve the management function should be programmed in the BPB independently and not as a part of a project. These include the maintenance and development of PAHO/WHO Country offices, activities for the management and administration of the units, and for personnel development.

Units under the Office of the Director, the Office of the Assistant Director, and the Office of Administration should list the activities they will undertake during the biennium in order to respond to the situation described in the areas for which they are responsible. In some cases these units may execute projects, for which they should also use the Logical Approach for Project Management in PAHO.

Resources

Each activity should include the resources required for its implementation. The resources may be financial or human and may derive from regular or extra-budgetary funds administered by the unit (allottee), requested from other units, or obtained through requests for funding over the assigned ceiling. A description of the types of resources is included in Annex 2.

Approval Process

The BPBs are analyzed by several units and serve as the basis for the preparation of the organization's biennial budget. The analytical process involves an exchange of observations among the various units when reviewing the BPB and presentation of a final proposal to the Director's Cabinet.

The BPB, as approved by the Director, is presented to the Governing Bodies for final approval. All the units subsequently receive notification of revisions and/or adjustments, which are to be made subsequent to review by the various organs of the Governing Bodies, that is, the Subcommittee on Planning and Programming, the Executive Committee, and the Directing Council.

Execution of the first year of the approved BPB does not require the presentation of an annual proposal to the Cabinet unless the expected results are to be modified, for which purpose the procedures described in section IV.2, should be followed. Before the start of the year, unit managers are notified about the amount of regular funds approved for execution of the work plan during the first year. Similarly, they are notified about the amount of the regular funds approved for the second year, based on the results of the annual evaluation performed at the end of the first year.

Although the BPB should include extrabudgetary resources as part of the overall technical cooperation program, additional procedures are followed for their review and approval when the projects are negotiated with other agencies at different times through the biennium. The project review process (PRP) establishes guidelines for the review and approval of extrabudgetary resources.

The units, however, should incorporate extrabudgetary resources into the BPB as they are approved, in order to reflect the totality of technical cooperation.

Successful project implementation requires that managers assume the following responsibilities:

- produce the expected results;
- ensure that the results contribute to the project's purpose;
- monitor external assumptions that affect the project;
- monitor progress through the IPS and conduct periodic evaluations;
- inform upper management levels about the progress of the project.



IV. Execution

Implementation of the BPB is decentralized to the unit managers once the BPB has been approved. Modifications and reprogramming are possible during implementation following the established guidelines, which are described in the present chapter.

Each unit must prepare a Semiannual Program of Work (PTS) in which tasks should be detailed for each of the activities that will be carried out as planned for the biennium. The PTS is a local managerial tool which does not require the approval of higher management levels in the Organization.

1 *Operational Programming*

Operational programming in AMPES is used to program tasks and resources within a given period in order to carry out the activities programmed for the biennium. The tasks and resources are included in the Semiannual Programs of Work (PTS). The PTS is a local management tool to be used for execution by unit managers. Since the tasks and resources are derived from the activities and the expected results approved in the BPB, no further approvals are needed over the allottee level. The PTS should facilitate project management by establishing schedules for travel, meetings, etc.

The Country offices should include national counterparts at the operational level in semiannual programming.

Inasmuch as the PTS breaks down the original BPB activities into tasks, it is possible that during their preparation, changes in the BPB will be required; such changes should follow the guidelines indicated in section IV.2.

2 *Modifications and Reprogramming*

Authority has been delegated to unit managers to carry out the BPB approved by the Director and the Governing Bodies. As allottees, they will be authorized to disburse funds approved for the first and second years. Managers may make changes in the activities (and tasks), as well as in the resources, and reprogram or transfer them, as required.

However, to make changes in the **expected results and their indicators, for which funds were approved**; to increase budget elements 450, 550, and 490; and

to reduce the funds allocated to TCC, approval must be obtained from the following offices by justifying the proposed changes and explaining the way in which they will affect the project:

- **Country BPB:** to the Office of the Assistant Director (AD).
- **BPB of the Technical Divisions, Centers, and Special Programs:** to the Office of the Director, through DAP.
- **BPB of the units under the Office of the Director:** to the Office of the Deputy Director (DD).
- **BPB of the units under the Office of the Assistant Director:** to the Office of the Assistant Director (AD).
- **BPB of the units under the Office of Administration:** to the Office of Administration (AM).



Monitoring

Successful execution of the BPB requires that all units periodically monitor their work plans. Monitoring should be done for the work plan as a whole, which is the responsibility of office managers and for the individual projects, which is the responsibility of project managers. The purpose of monitoring is to keep top management informed of the progress and/or difficulties encountered in executing the work plan as well as to serve as the basis for reaching decisions pertaining to the need for reprogramming and/or reassigning human and financial resources. The emphasis of monitoring should focus on achievement of the expected results.

In AMPES, this monitoring exercise should produce the Semiannual Progress Reports (IPS).

1 Semiannual Progress Report (IPS)

Preparation of the IPS is closely related to formulation of the PTS. In preparing the IPS, the units should refer back to the BPB, especially to the expected results to be achieved with the implementation of technical cooperation projects.

The IPS offers an opportunity to review internally, together with national counterparts at the operational level and other entities involved in implementation of the BPB, the direction and/or deviation of the projects with respect to the original plans. The IPS is sent to DAP, which then distributes it for analysis and observations.

The IPS consists of three analysis components of the technical cooperation program:

- A general evaluation of the current situation in the country or the Region to determine whether there have been any changes in the situation that have affected the technical cooperation program and that warrant a change in the **technical cooperation strategy**;
- An analysis of the degree to which expected results of each project have been achieved, as measured by its indicators.
- A summary of resource management (financial). There should be an indication of what resources have been utilized, both those administered by the unit and those received from other units, to determine whether the degree of execution

is in keeping with the needs identified to achieve the project results in the designated period of time.

The purpose of the IPS is not simply to submit a progress report; rather, it should be used by unit managers as a process that enables them to make relevant decisions to ensure that projects achieve their objectives in the time specified and/or to redirect actions or change strategies.

The IPS is used to submit reports on the execution of extrabudgetary projects to external financial agencies. It also serves as the basis for the Director's Annual Report and as an input for the annual evaluation.

During a given biennium (BPB), the units should prepare two progress reports in July of each of the two years.



VI Evaluation

The nature of technical cooperation is such that there is an intrinsic difficulty in establishing a cause-and-effect relationship in terms of the impact of the cooperation on government policies and programs and on traditional health indicators. This is a well-known difficulty in all social sectors, and health is no exception. Even so, evaluation of technical cooperation must be conducted for the organization to be able to learn from experience and provide information for the decision making process.

Evaluation in PAHO has the following objectives:

- to provide information for policy and strategic planning, and for operational programming.
- to ensure the effective and efficient use of resources.
- to improve project formulation and management.
- to foster accountability and transparency of the managerial process.
- to ensure that technical cooperation is pertinent, effective, and efficient.

The emphasis of the technical cooperation program evaluation lies in determining achievement of the expected results and the impact of the technical cooperation projects through the results and purpose indicators.

The logical approach to project management applied in technical cooperation projects in AMPES provides the basic elements needed for evaluation. Projects designed with the logical approach must include clear objectives and indicators to serve as the basis for monitoring and evaluation. These projects should further establish the level of responsibility of the Secretariat, (expected results) as well as the expected impact of technical cooperation at the level of the project purpose.

Evaluation should not be viewed as an after-thought in the managerial process and managers should plan for the evaluation at the time proposed program budgets are elaborated at all levels in the Organization.

Three specific levels of evaluation are included in AMPES: annual, biennial, and quadrennial. Annual evaluation is used to determine whether biennial projects are meeting their established objectives, i.e. the expected results and whether they are contributing to have an impact at the project purpose level. The biennial evaluation serves to lay the foundations for the programming of future biennia and focuses on the impact of the technical cooperation program for the previous two

biennia. Quadrennial evaluation refers specifically to evaluation of the Strategic and Programmatic Orientations and it includes evaluation of the adoption of the SPO by countries in the formulation of national programs and the achievement of the established SPO objectives for the Secretariat. Annual, biennial and quadrennial evaluations contribute to produce the Annual Report of the Director and other institutional reports.

1 Annual Evaluation

Annual evaluation of the technical cooperation program should focus on achievement of the expected results, as measured by the indicators. This is essentially an internal exercise; however, the PAHO/WHO Country Offices are encouraged to include the national counterparts at the operational level who participated in the implementation of technical cooperation projects.

In the **first year** of the biennium the units should use the intermediate indicators (milestones) for the expected results and determine whether the project is achieving its purpose. In the **second year** of the biennium the units should utilize the established indicators to determine whether the project has produced the expected results and has contributed towards achievement of the project purpose. That is, **whether the expected results produced an impact as measured by the purpose indicators.**

The annual evaluation process should also include an analysis of the unit's management in terms of: human resources, staff training and development activities, the financial resources utilized, the employment of other unit resources; implementation of administrative reviews recommendations, and identification of innovative managerial strategies to improve the unit's efficiency and effectiveness.

For the unit as a whole, a summary of the most important achievements and difficulties encountered should also be included, by functional approach, as well as an indication of what the unit proposes to do to avoid difficulties in the future.

Based on the experience in technical cooperation, the projections for the coming year should be discussed, together with the recommendations on whether to continue with the same strategy or to make changes.

The annual evaluation report should be submitted to the Director's Cabinet (through DAP) for analysis and resolution in regard to the allocation of resources for the following year.

2 Biennial Evaluation

The main purpose of biennial evaluation is to determine whether the PAHO technical cooperation program has had an impact in the corresponding country and the Region and whether it has been and continues to be pertinent, efficient, and effective in the context of national health priorities and the SPO.

Biennial evaluation also serves as the basis for the preparation of the proposed program budget for subsequent biennia. The process of preparation and approval requires that the proposed BPBs be prepared fifteen to twenty months before their execution. At the time of execution, the BPB can be reoriented according to the changing situation within the country and the region.

Biennial evaluation should be carried out by all technical cooperation units in the Organization (Country Offices, Technical Divisions including the Centers, and Special Programs).

In the countries, the evaluation exercise should be undertaken with the broad participation of senior national counterparts and a working group should be established, headed by a national health authority.

In the regional units the evaluation exercise should be conducted with the participation of the technical staff including, when possible, those assigned to countries and the corresponding centers.

The norms governing the biennial evaluation in the countries are similar to those previously applied to joint evaluation meetings (JEM). Beginning in 1998 the JEMs have been incorporated into the AMPES.

The biennial evaluation process includes: a) a review of the country and regional situation to serve as the basis for an analysis of technical cooperation; b) an analysis of the impact of the technical cooperation program based on the projects' purpose and expected results, as measured by the respective indicators for those projects executed in the previous two biennia; and c) recommendations on future cooperation.

The recommendations of the working groups conducting the evaluation at the country and regional levels should be incorporated in a Biennial Evaluation Report. For country offices this report should be prepared jointly by national authorities and PAHO, and once approved by the PWR and the Minister of Health, it should serve as the basis for preparing the next BPB and for making whatever

modifications may be required to the current BPB. Similarly, the report of the regional evaluation should serve as the basis for preparing the next BPB and for making modifications to the current BPB as needed.

The biennial evaluation report should include the following:

- Analysis of the impact of technical cooperation projects (purpose and expected results).
- Recommendations for future technical cooperation.

All units should submit the Biennial Evaluation Report to DAP together with the proposed BPB for the following biennium.

3 *Quadrennial Evaluation*

Quadrennial evaluation refers specifically to the evaluation of the quadrennial Strategic and Programmatic Orientations. The main emphasis of the evaluation of the SPO is the attainment of the established objectives (targets) for the period for the Region and the comparison of each country's progress with the regional objective. The purpose of this evaluation is also to determine the contribution made by the PAHO Secretariat toward meeting these objectives (biennial expected results).

The quadrennial evaluation process involves all the PAHO/WHO Representative Offices with national counterparts and the regional technical units (Divisions, Centers, and Special Programs).

Evaluation of the fulfillment of objectives by the countries should include documentation on the national health situation and the Secretariat's annual and biennial evaluation documents for the quadrennium. The Secretariat's contribution will be judged on the basis of the expected results of the technical cooperation projects, which are directly related to the SPO in effect at the time. In addition, the most recent information from *Health in the Americas* and the evaluations of the goal of Health for All will be used.

It is the Secretariat's responsibility, through its country offices, to collaborate with and to stimulate the countries to evaluate their own plans and policies to advance in the achievement of regional objectives based on the achievement of national ones. The documentation of these national evaluations is crucial to SPO evaluation at the end of each quadrennium.

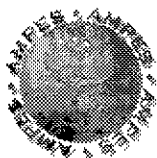


Reports

By constitutional mandate the Director must submit an Annual Report to the Directing Council and a Quadrennial Report to the Pan American Sanitary Conference on the work of the Secretariat.

The annual and biennial evaluation reports from AMPES are the principal input for the preparation of the annual and quadrennial reports of the Director. Since these reports have recently been reoriented to focus on specific topics, the various units of the Secretariat extract the information contained in their contributions from their annual and biennial evaluation reports.

These reports form an important part of the Organization's documentary archive, because they contain information on the progress and the most significant limitations of the work of PAHO in each country and the Region, thus constituting part of the Organization's institutional memory.



Conclusion

The management of technical cooperation, as described in AMPES, seeks to ensure that the work plans of PAHO clearly reflect its objectives and that the evaluation serves as the basis for decision-making for the present and the future.

The *Logical Approach for Project Management in PAHO* adopted for AMPES helps to identify technical cooperation objectives and to establish a cause-and-effect relationship among them. It further facilitates monitoring and evaluation activities, and promotes a participatory process in the preparation, execution, and evaluation of PAHO work plans with national counterparts and other internal and external actors involved in technical cooperation.

It is important for all staff members to familiarize themselves with AMPES and with the Logical Approach in order to strengthen their capacity for project management.

The Organization will continue its efforts to train its staff in the utilization of the Logical Approach in AMPES for the planning, programming, execution, monitoring, and evaluation of PAHO technical cooperation.

Annex I

Functional Approaches

Following is a description of the six functional approaches that should serve as the basis to describe the technical cooperation strategy and to classify the type of activities programmed in technical cooperation projects:

1. Mobilization of Resources

This represents the most important component of PAHO technical cooperation since the Organization must assist Member Countries in mobilizing a wide range of resources if the health objectives are to be met. The resources to be mobilized include the following:

Financial resources: This is the traditional approach of resource mobilization and it includes those funds being administered by the Organization as well as those that the countries may receive from other sources. One important function of PAHO's technical cooperation is to direct these resources to respond to national priorities. PAHO's collaboration also includes the support to national institutions in the mobilization of financial resources within the health sector.

Physical resources: These are equipment and material resources that might be used in the health sector. PAHO's cooperation should ensure the quality and applicability of the equipment donated from other countries.

Human resources: PAHO should collaborate with the country authority in the identification of personnel, their skills and areas of assignment.

Informational resources: This refers to the growing utilization of the media to promote health issues and as change agents for health.

Political resources: Collaboration in intersectorial actions at the national level for mobilizing political resources outside the health sector. Incorporating health in the political agendas.

Institutional resources: Identification and establishment of collaborating centers and cooperation agreements with universities, schools, etc.

2. Dissemination of Information

PAHO technical cooperation encompasses the collection of information from Member Countries, its processing, and the development of analyses of regional situations and trends. PAHO should also collaborate in strengthening the national capacity for collecting and analyzing data. This area also includes the capacity of PAHO to identify key sources of information and to facilitate its dissemination among countries.

3. Training

Strengthening of national institutions in developing the plans and curricula for training personnel in response to the needs identified at the local level. Preparation of training material, conducting seminars, courses, workshops and providing fellowships.

4. Development of Norms, Plans and Policies

Cooperation in the implementation of policies collectively adopted by the Governing Bodies. Support in the development of plans and norms to achieve the objectives of national health programs.

5. Research Promotion

Financial support for research projects in technical areas within the priorities established by PAHO Advisory Committee.

6. Direct Technical Consultancy

Support from PAHO staff in their areas of expertise, particularly staff from the regional level, to work with national counterparts in addressing specific problems.

Annex 2

Resources

The types of resources to be used in planning and evaluating the technical cooperation program are as follows:

- 1. Human resources:** All staff, as well as other persons working in the unit, and those who will be participating in the execution of an activity should be programmed. This is also applicable to any staff requested as support from other units. The BPB should include, as well, a list of all persons assigned to a unit regardless of their type of contract.
- 2. Regular resources:** ABU will provide each unit with a ceiling assigned for programming purposes. The ceiling is a “bottom-line” amount that the Unit may distribute in allotments in accordance with the classified list of programs. It is recommended to open the minimum number of allotments in order to facilitate the management of the resources. This ceiling will be the tentative amount for budgeting and the final amount will be defined after the Governing Bodies have approved the Program Budget for the biennium. Units will be informed of any changes that will need to be made in their program of work accordingly.
- 3. Extra-budgetary resources:** It is well known that the timing for preparation of the BPB makes it sometimes difficult to program extrabudgetary resources, however, when the unit becomes aware of a flow of funds in the biennium, these should be included. During the biennium it will be possible to make changes, additions and deletions in order, to accommodate the flow of extrabudgetary funds.
- 4. Resources Over-the-ceiling:** OTC funds may be programmed and a memorandum of justification should be attached to the BPB for consideration by the Director.
- 5. Resources requested from other units:** Support from other units may be requested at the time of preparing the BPB. These requests should be negotiated beforehand with the responsible unit utilizing the e-mail, fax, etc. to ascertain concurrence for that support. These requests should indicate the amount and the unit name. No allotment should be quoted.
- 6. Resources for Technical Cooperation Among Countries (TCC):** These funds are assigned to each Country office as an over-the-ceiling amount. TCC funds

should be identified with their corresponding TCC allotment and they may be programmed in specific activities within the technical cooperation projects or in specific TCC projects).

Glossary of Terms

Activities. Substantive actions to be carried out within the project to produce the expected results.

Assumptions. Assumptions address those conditions outside the immediate control of the project which can significantly influence the project results. A project is always a limited contribution to a higher level objective and depends on “outside” factors or assumptions for its success. These assumptions will have to be shown in order to assess the risks which may interfere with the achievement of the planned results. An assessment of assumptions and the associated risks is crucial at all levels of the hierarchy of objectives, i.e. the goal, purpose, result and activity.

Effectiveness. Effectiveness measures the degree of attainment for the expected results; i.e., it is the expression of the extent to which the activities resulted in resolving the problems defined in the problem analysis. The results and indicators must have been clearly stated at the beginning so that it is possible to compare actual performance with planned performance.

Efficiency. Efficiency expresses the relationship between results and resources. The assessment of efficiency focuses on the process of delivery and the resources used to achieve the results.

Evaluation. A systematic and independent examination of a project and/or a work plan to determine its efficiency, effectiveness, impact, sustainability and the relevance of its objectives.

Expected Results. The results are the tangible products that the project itself should produce which in turn lead to the achievement of the project purpose and help produce the desired impact. Results are to be described as concretely as possible and in verifiable terms.

Functional Approaches. The functional approaches classify the technical cooperation activities carried out in the Member Countries. The following functional approaches are used: mobilization of resource; dissemination of information; training; development of norms, plans and policies; research promotion and direct technical consultancy.

Goal. The goal represents the objective at the next higher level above the purpose to which the project is intended to contribute. The goal is derived from the national priorities for PAHO technical cooperation and the SPO objectives, and normally focuses on the long-term. By definition, the project alone cannot achieve the goal. Achieving the goal will require additional, related projects or other efforts

and may depend on external conditions such as government policies or other cooperation projects. There should be only one goal toward which a project contributes.

Hierarchy of Objectives. Once an alternative has been selected, the objectives tree for the selected alternative provides the basis for establishing a “hierarchy of objectives” for the project. For technical cooperation projects the hierarchy of objectives includes a project goal, a project purpose, expected results and project activities.

Impact. The changes produced by the execution of the project. The changes may be positive or negative, direct or indirect, or intended or unintended. The impact of the project is identified at the project purpose level.

Indicators. Indicators give more precision to the objectives identified in the hierarchy of objectives. They must contain quantity, quality and/or time (QQT). When selecting indicators the most important characteristics are; validity, reliability, sensitivity and specificity. Validity means that the indicator actually measures what it is purported to measure. Reliability is the extent to which repeated trials or applications yield the same results. Sensitivity means that the indicator will be responsive to changes. Specificity means that the indicator measures only those changes dealing with the situation or phenomenon concerned.

Means of Verification. The value of an indicator is limited by the means available to verify the indicator. The means of verification are the data sources where one can find the evidence to verify the status of the indicators at the various levels of the objectives hierarchy.

Objectives Tree. The problem tree is transformed into a hierarchy of objectives to facilitate the develop of projects which in turn are directed toward the solution of the problems identified in the problem analysis.

Problem Tree. Identifying the central problem and establishing its causes (roots) and effects (branches).

Project. A purposeful undertaking which is organized to achieve specific objectives which have been established in order to solve a problem or satisfy a need. A project is goal directed, time limited and produces specific results through the use of defined organizational resources.

Purpose. The purpose states what the project itself is expected to achieve. It must in turn contribute to the achievement of the goal. The purpose states the situation that is expected to prevail at the end of the project. The definition of the other elements of the objectives hierarchy (results, activities, resources) flow from the purpose. The project should include only one purpose. Experience has shown that more than one purpose tends to make the project unmanageable.

Resources. Resources are the raw material of the project and include funding, equipment, supplies, personnel, fellowships. They flow from the higher levels of the project hierarchy in that they are determined from an analysis of the activities to be carried out by the project.

Tasks. Specific actions, included in the PTS, which are performed for each of the programmed activities within the project to transform resources into results.

Abbreviations

AD	Office of the Assistant Director
AD/CPA	Country Program Analyst in the Office of the Assistant Director
BPB	Biennial Program Budget
D/DD	Office of the Director and of the Deputy Director
DAP	Office of Analysis and Strategic Planning
DEC	Office of External Coordination
GPW	General Program of Work of WHO
HFA	Health For All
IPS	Semiannual Progress Report
PRP	Extrabudgetary Project Review Process
PTS	Semiannual Program of Work
PWR	PAHO/WHO Country Representative
JEM	Joint Evaluation Meeting of PAHO and the Country
SPO	Strategic & Programmatic Orientations for the Pan American Health Organization for the Quadrennium

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