

Approach Paper

Evaluation synthesis

Non-lending activities in the context of South-South
cooperation

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Acronyms and abbreviations

BAPA	Buenos Aires Plan of Action
CLP	Core learning partnership
COSOP	Country strategic opportunity programme
CPE	Country programme evaluation
GPEDC	Global Partnership for Effective Development Cooperation
IFAD	International Fund for Agricultural Development
IFI	International financial institution
IMI	Innovative Mainstreaming Initiative
IOE	Independent Office of Evaluation of IFAD
MIC	Middle income country
PMD	Programme Management Department
PPA	Project performance assessment
SKD	Strategy and Knowledge Department
SSC	South-South cooperation
SSTC	South-South and triangular cooperation
TCDC	Technical Cooperation among Developing Countries
UN	United Nations
UNDP	United Nations Development Programme
UNO-SSC	United Nations Office for South-South Cooperation

I. Introduction

1. South-South and triangular cooperation (SSTC)¹ is considered to be an increasingly important element in development cooperation. The concept itself is not new. The first relevant international-level debate and resulting consensus is represented in the Buenos Aires Plan of Action (BAPA) for Promoting and Implementing Technical Cooperation among Developing Countries adopted by the United Nations (UN) General Assembly in 1978 (resolution 33/134). In recent years, there has been an increasing and more explicit focus on and interest in SSTC – in particular from middle-income countries (MICs) but also from low-income countries which are keen on strengthening collaboration with other developing countries. This reflects a desire to jointly find solutions to common development problems and challenges. IFAD has also been paying an explicit and increasing attention to the SSTC agenda from around 2008, although it was already de facto supporting some SSTC initiatives even before (without calling them SSTC).
2. Based on a request by IFAD member states during replenishment consultations and in line with the Independent Office of Evaluation (IOE) 2015 work plan and budget approved by the Executive Board, IOE will prepare an evaluation synthesis report on non-lending activities in the context of South-South cooperation (SSC) (hereinafter also referred to as ESR or ESR-SSC).
3. As reflected in the IFAD's Evaluation Policy², ESRs are prepared primarily to promote learning and therefore they need to be distinguished from full-fledged evaluations such as corporate-level evaluations, for which the accountability dimension is equally emphasized. ESRs are knowledge products that aim to enhance general understanding of a particular topic and to highlight strategic issues for consideration by IFAD Management and its governing bodies.
4. This approach paper presents a conceptual framework for the exercise, including a general background on the topic (section II), overview of IFAD's support to SSTC (section III), objectives, scope and methodology and limitation of the exercise (section IV), and finally the evaluation synthesis team composition and a tentative timeline (section V).

II. Background and context

5. Overview of historical context.³ The roots of South-South development cooperation go back to the Bandung Conference of 1955, followed by the formation of the Non-Aligned Movement in 1961 in a Cold War context and then the Group of 77 in 1964 in a North-South context, later joined by China when it took up its seat in the UN in 1971 (G77+China). The Bandung Conference of 29 Asian and African countries sought to promote economic and cultural cooperation "on the basis of mutual interest and respect for national sovereignty" as one of its principal outcomes. South-South development cooperation has remained largely outside of the agendas of the Non-Aligned Movement, the G77 and G77+China, or the purview of the G24, which focuses on influencing Bretton Woods agendas.

¹ In various literatures and documents of the United Nations and development agencies, the following terms and acronyms are used somewhat interchangeably: "South-South cooperation (SSC)", "triangular cooperation" (TrC) and "South-South and triangular cooperation (SSTC)". In earlier documents, IFAD mostly used the term "SSC", while noting that "its engagement is, strictly speaking, triangular cooperation...because IFAD supports SSC as a facilitator or broker". Recent IFAD documents and publications tend to use the term "SSTC" and this approach paper follows this practice when referring to IFAD's support in this area, except for cases where quotes with different terminology are used.

² "IOE shall also prepare evaluation synthesis, which will identify and capture evaluative knowledge and lessons learned on a certain topic from a variety of evaluations produced by IFAD and the evaluation units of other organisations" (IFAD Evaluation Policy 2011).

³ Largely drawn from the following source: Institute of Development Studies. 2014. The BRICS and the International Development System: Challenge and Convergence? Evidence report No. 58: Rising Powers in International Development.

6. The two key concepts from Bandung of mutual benefits and respect for national sovereignty have remained central in further iterations of South-South principles. A first set of guiding principles for South-South cooperation (SSC) was embodied in BAPA in 1978, under the Technical Cooperation among Developing Countries (TCDC) activity of the United Nations Development Programme (UNDP). BAPA has remained an important reference point for SSTC.
7. Over the decades, SSC or SSTC – even if it was termed differently earlier (e.g. TCDC) – has stayed in the development agenda, but has been strongly reinvigorated by the historic economic and social progress of developing countries⁴ who have more financial resources and institutional capacity to become proactive players in international cooperation. In particular some of the ever growing group of MICs can also draw on innovations in successful public policies and programmes relevant to fighting poverty and achieving sustainable development. These factors explain the increasing attention of global development policies to SSTC in a rapid succession of high-level policy statements, such as:
 - (i) At the level of the UN: Nairobi outcome document of the High-level United Nations Conference on South-South Cooperation in 2009;
 - (ii) In the Global Partnership for Effective Development Cooperation (GPEDC), previously the OECD-DAC Working Party on Aid Effectiveness: Accra Agenda for Action (2008), Bogotá Statement on South-South Cooperation and Capacity Development (2010), Busan Partnership for Effective Development Cooperation (2011), and the Communiqué of the Mexico High-Level Meeting of the GPEDC (2014); and
 - (iii) In the G20: Seoul Development Consensus (2010).
8. Building up on UN's historic commitment, for example through the Perez-Guerrero Trust Fund, the 2009 High-Level Conference on South-South Cooperation held in Nairobi, became an essential milestone in guiding UN support and involvement at multiple levels, requesting the UN funds, programmes and specialized agencies "to take concrete measures to mainstream support for SSTC to help developing countries, at their request and with their ownership and leadership".⁵ This has been further operationalized in the "Framework of operational guidelines on United Nations support to South-South and triangular cooperation"⁶ (hereinafter referred to as "UN Framework") endorsed in 2012.
9. What is South-South cooperation and triangular cooperation?⁷ The UN Framework (2012) indicated that "UN organizations may wish to define South-South cooperation for development as follows:

a process whereby two or more developing countries pursue their individual and/or shared national capacity development objectives through exchanges of knowledge, skills, resources and technical know-how, and through regional and interregional collective actions, including partnerships involving Governments, regional organizations, civil society, academia and the private sector, for their individual and/or mutual benefit within and across regions. South-South cooperation is not a substitute for, but rather a complement to, North-South cooperation."

⁴ By 2010, Southern countries accounted for 37 per cent of global trade, with South-South flows making up about half of this total (United Nations High-level Committee on South-South Cooperation, 2012). In 2012, developing countries accounted for nearly half of world gross domestic product. Investment flows to developing economics, much of it originating from the South, reached USD 759 billion in 2013, accounting for 52 per cent of global foreign direct investment inflows. (United Nations General Assembly 2014. State of South-South Cooperation: Report of the Secretary General).

⁵ United Nations General Assembly. 2010. Nairobi outcome document of the High-level United Nations Conference on South-South Cooperation (64/222)

⁶ United Nations High-level Committee on South-South Cooperation, seventeenth session, 2012. SSC/17/3

⁷ See also annex I.

10. According to the Framework, this definition is an attempt to present a cohesive meaning of South-South cooperation within the UN system, drawing on the Nairobi outcome document and earlier efforts. In practice, other players' (including countries') definitions are fully coherent with this conceptual approach.
11. The same document describes triangular cooperation as "Southern-driven partnerships between two or more developing countries supported by a developed country(ies) or multilateral organization(s) to implement development cooperation programmes and projects".
12. Priority objectives of UN support. The UN Framework (2012) identifies the following five priority objectives for the UN support to SSTC: (i) support national and regional development efforts; (ii) strengthen institutional and technical capacities; (iii) improve the exchange of experience and know-how among developing countries; (iv) respond to the specific development challenges of developing countries; and (v) increase the impact of international cooperation.
13. Guiding principles. The Nairobi outcome document spelled out the guiding principles of SSTC, that are in line with BAPA and subsequent deliberations, as follows:

Table 1

Policy and operational principles of South-South and triangular cooperation outlined in the Nairobi outcome document

Normative principles	Operational principles
<ul style="list-style-type: none"> • Respect for national sovereignty and ownership • Partnership among equals • Non-conditionality • Non-interference in domestic affairs • Mutual benefit 	<ul style="list-style-type: none"> • Mutual accountability and transparency • Development effectiveness • Coordination of evidence- and results-based initiatives • Multi-stakeholder approach

14. UN institutional frameworks. The main policymaking body in the UN system is the High-level Committee (HLC) on South-South Cooperation, a subsidiary body of the UN General Assembly.⁸ The United Nations Office for South-South Cooperation (UNO-SCC) is mandated to promote, coordinate and support South-South and triangular cooperation globally and within the UN system.⁹ The UNO-SCC serves as a secretariat for the High-level Committee and heads, among other initiatives, the organization of the annual Global South-South Development Expos.
15. Support to SSTC by other agencies. Building up on the 2009 Nairobi momentum, a number of specialized UN agencies and programmes have designed and/or updated corporate SSC strategies, such as UNFPA (originally in 1997, updated in 2010), UNICEF (2011), ILO (2012) and FAO (2014). In addition, SSC components are vividly reflected in most United Nations Development Assistance Frameworks (UNDAFs) with emerging economies and other MICs (such as Brazil, Indonesia, Mexico and South Africa), and particularly UNDP is actively engaged in supporting emerging economies' capacities to provide SSC through

⁸ Its origin was as a high-level meeting of "all States participating in the UNDP" convened in 1980 to review technical cooperation among developing countries within the UN system in accordance with BAPA. The high-level meeting was renamed as "High-level Committee on the Review of Technical Cooperation among Developing Countries (TCDC)" after the 1980 meeting. Since 1981, the Committee has met every two years. The UN General Assembly, in its resolution 58/220 in February 2003, decided to change the name of committee to "High-level Committee on South-South Cooperation", which retained its original mandate and the scope of activities.

⁹ The origin of UNO-SCC can be traced back to the resolution of by the UN General Assembly in 1974, which endorsed "the establishment of a special unit within UNDP to promote technical co-operation among developing countries". The Special Unit for South-South Cooperation was upgraded to be the UNO-SCC in 2013.

Partnership Framework Agreements, which are sometimes shared by other agencies and programmes.

16. Under the broader United Nations umbrella, also multilateral development banks have engaged in supporting country-led SSC, being aware that MICs are taking an increasingly dual role as borrowers and contributors to the IFIs. In this line, the World Bank Group offers a South-South Experience Exchange Facility (launched in 2011 and financed by emerging economies) and drives the Knowledge Hubs agenda (SSC capacities at sector level), both of which had a critical impact on the 2014 replenishment (IDA17). The Inter-American Development Bank supports SSC in Latin America and the Caribbean through the Regional Public Goods Initiative since 2004, and collaborates with Asian Development Bank on a joint South-South cooperation initiative launched in 2012, while the African Development Bank manages a SSC Trust Fund on behalf of Brazil, since 2011.
17. Apart from the multilateral system, a number of bilateral donor members of the OECD-DAC are pioneers in SSTC. Particularly Germany, Japan and Spain not only have developed policy approaches, but also rely on programmatic instruments such as bilateral programmes with emerging economies (Germany's Fund with South Africa, Japan's Partnership Program with Brazil) and the second generation of SSC providers (Spain's mixed funds with Chile, Costa Rica and Uruguay), as well as regional funds for triangular cooperation (Germany's Fund for Latin America) and global knowledge exchange mechanisms (Japan's Third Country Training Programme).
18. Over the past decade, emerging economies and other MICs have become important players in global development through SSTC. Southern countries can not only build on development achievements, but have also accumulated a wealth of public policy innovations and practical solutions with a proven record in effectively fighting poverty. While the BRICS group (Brazil, Russia, India, China and South Africa) offers a broad range of cooperation instruments (including financial cooperation, concessional debt, FDI and trade, etc.), most smaller MICs focus primarily on technical cooperation and knowledge sharing. Many of these countries are currently strengthening their institutional arrangements for development cooperation through dedicated agencies.¹⁰ Usually hosted at Ministries of Foreign Affairs, these agencies are in charge of negotiating bilateral and multilateral cooperation agreements, while also allocating financial resources for development cooperation and coordinating with national line ministries and sector institutions. In addition, Southern civil society organizations and private companies have started to collaborate under the SSC umbrella, enriching governmental exchanges and occasionally ensuring sustainability of these. Along with climate change, urban development, social protection and other themes, the agriculture sector constitutes one of the main arenas in which SSTC is currently expanding. Especially Brazil (through EMBRAPA¹¹) plays a leading role, and other mechanisms, such as the IBSA Fund (shared by India, Brazil and South Africa), are highly visible actors in this area.
19. Key challenges in SSTC. The GPEDC has become an arena to exchange perspectives and solutions around remaining gaps in the quality of SSC, some of which have been addressed by recent studies and mapping efforts. The main challenges identified are related to institutional capacity (Southern development cooperation agencies etc.), result orientation and M&E, programmatic and predictable funding, scaling up, sustainability and visibility.

¹⁰ Such as the Brazilian Cooperation Agency (ABC) in Brazil, the Development Partnership Administration (DPA) in the Ministry of External Affairs in India, the Mexican Agency for International Development Cooperation (AMEXCID) in Mexico, the South African Development Partnership Agency (SADPA) in South Africa and the Turkish Cooperation and Coordination Agency (TIKA) in Turkey.

¹¹ The Brazilian Agricultural Research Corporation.

III. South-South and triangular cooperation in IFAD-supported operations and initiatives

20. SSTC in IFAD corporate documents. The reference to SSTC in the context of its development effectiveness seems to have become explicit during the 8th replenishment consultation – in tandem with revisiting the IFAD's role vis-à-vis MICs.¹² In 2008, IFAD prepared a paper "IFAD's role in middle-income countries", which indicated the intention of pursuing "more active promotion of South-South cooperation, which will include supporting MICs in their efforts to promote knowledge sharing and innovation in low-income countries". Subsequently, reference to SSTC in IFAD corporate documents has also been increasingly associated with another priority corporate agenda in addition to MICs: scaling-up.
21. The Strategic Framework 2011-2015 acknowledges the important role of SSTC in the new global development architecture. It mentions that IFAD can "make an enormous contribution to the rural development, poverty reduction, and food security efforts of its Member States by enhancing its role as a knowledge broker..." It also associates the SSTC agenda with the MICs agenda and suggests the idea of mainstreaming SSTC into IFAD's work.
22. SSTC is one of the key issues discussed during the 9th as well as the recently concluded 10th replenishment consultations. The commitments made by IFAD at the 9th replenishment (in 2011) related to SSTC were as follows: (i) establish an adequately resourced corporate coordination function to ensure SSTC is pursued in a strategic manner, is widely mainstreamed across country programmes, and is grounded in a robust evidence base; and (ii) develop staff incentives to proactively pursue and promote SSTC. These were reported to have been "on track" for implementation.¹³ At the 10th replenishment, IFAD made a commitment to include an approach for SSTC in 50 per cent of all COSOPs.¹⁴
23. Progressive references to SSTC in the strategic frameworks and the reports on the replenishment consultation processes are shown in annex III.
24. "South-South cooperation in IFAD's business model".¹⁵ This was the first official document that focused on IFAD's activities relating to SSTC, which was prepared in 2011 during the 9th replenishment consultation. The document stated that IFAD embraces the definitions of SSC/SSTC by the UN General Assembly from 2003¹⁶ and by UNDP¹⁷ which are largely in line with the definition provided in the 2012 UN Framework (see paragraph 9). It went on to say that "because IFAD supports SSC as a facilitator or broker, its engagement in SSC is, strictly speaking, triangular cooperation." It also emphasized the aspect of knowledge management related to pro-poor rural development in connection with SSTC.
25. According to this paper, IFAD had "integrated SSC into its business model – its products, its business processes and systems, its human and financial resource base, its rules and procedures, its business culture – on the basis of specific high-return opportunities". The document indicated that, given the increasing demand for SSTC and its potential impact on development, IFAD management had

¹² For example, the official paper on "IFAD's engagement with middle-income countries" approved by the Executive Board in May 2011, with reference to South-South cooperation, stated that: "IFAD can help transfer knowledge to local and regional institutions for greater learning...IFAD will develop peer-to-peer collaboration and build local capacity".

¹³ IFAD 2015. *Report of the Consultation on the Tenth Replenishment of IFAD's Resources* GC38/L.4/Rev.1 Feb 2015.

¹⁴ *Ibid.*

¹⁵ REPL.IX/3/R.3. September 2011

¹⁶ "A process by which two or more developing countries initiate and pursue development through the cooperative exchange of multidimensional knowledge, resources, skills and technical know-how through different types of cooperation".

¹⁷ "The United Nations Development Programme (UNDP) defines SSC as 'a means of promoting effective development by learning and sharing best practices; resources and technical know-how among developing countries'; and a related working group adds 'the concept of exchange of expertise among governments, organizations and individuals in developing nations.'" (IFAD 2011. REPL.IX/3/R.3)

"decided to: (i) sustain the current decentralized, flexible and diversified approach to SSC; (ii) make SSC more systematic, mainstreaming it, with the lessons learned, into IFAD's business model; (iii) scale-up IFAD's support to SSC, which will in turn contribute directly to the scaling up of poverty reduction successes; and (iv) support this effort for scaling-up with the establishment of the Office of Chief Development Strategist/Office of Strategy and Knowledge Management as the corporate-level coordination function that inspires, complements and programmatically supports the current decentralized activities". Currently, the main responsibilities for promoting and coordinating the SSTC agenda fall under the Strategy and Knowledge Department (SKD).

26. SSTC initiatives and activities supported by IFAD. In 2012, IFAD management decided to allocate part of the remaining resources from the Innovation Mainstreaming Initiative (IMI)¹⁸ on activities aimed at mainstreaming the core 9th replenishment priorities (and commitments) into IFAD business model, including SSTC.¹⁹ Consequently, US\$300,000 was allocated for SSTC "to enhance synergies and efficiency gains under IFAD's south-south cooperation agenda... [to] ensure that SSC is pursued in a strategic manner, and used in country programmes as an instrument to open up partnerships and learning spaces for scaling up".²⁰
27. As part of this IMI-funded initiative, a stock-taking exercise was initiated with the aim of gathering and analysing data on SSTC initiatives in IFAD-supported operations since 2009. It also collected a number of case studies which are considered to be good examples. This exercise, yet to be finalized, is seen as a first attempt to capture information in a more systematic manner on SSTC initiatives that were planned, initiated or undertaken after SSTC explicitly came into IFAD corporate agenda. The IFAD webpage on SSTC²¹ has information on activities it supports, that has presumably been generated from this exercise.
28. Referring to emerging findings from this stock-taking exercise on "IFAD's evolving approach and performance to date in over 40 countries", the report on the 10th replenishment²² stated that the main activities to promote SSTC at IFAD have been exchange visits and study tours for project staff, cross fertilization on country programming, project staff training, capacity development for farmers' organizations, and partnerships with the private sector. The same report also noted that the exercise began to identify "key ingredients for success in a range of settings", including, "for example, the credibility of the development experience of the cooperating country, the involvement of capable and committed institutions, the use of a variety of tools and activities, and adequate financial support."
29. A preliminary review of a number of key SSTC initiatives²³ conducted by IOE in the process of preparing this approach paper indicates the following:
 - (i) There are a variety of patterns in terms of how specific SSTC initiatives are conceptualized, opportunities identified and materialized. In some cases, support for SSTC initiatives may be a main focus of a project or a series of projects, especially those financed by grants. For example, PROCASUR is a case where a number of IFAD grants have been provided to a third-party institution with a brokering role to connect solution seekers and providers. In

¹⁸ Approved by the Executive Board in December 2004 and financed by a complementary contribution from the United Kingdom of GBP 6.6 million, the goal of the IMI was to enhance IFAD's capacity to promote innovations that will have a positive impact on rural poverty. Its expected outcomes are: (i) innovation mainstreamed into IFAD operations; (ii) strengthened learning on innovation and sharing, and the application of such learning; and (iii) changed organizational culture and practices for supporting innovation.

¹⁹ The other three topics were: scaling-up; country-level policy engagement; and knowledge management.

²⁰ EB 2013/110/INF.3/Rev.1. "IFAD Initiative for Mainstreaming Innovation: Eighth Progress Report on the Main Phase"

²¹ <http://www.ifad.org/south-south/index.htm>. It includes maps with data on SSTC activities (e.g. by division/region, by year, by themes, etc.)

²² GC38/L.4/Rev.1

²³ Identified based on case studies presented in the stock-taking exercise draft report, other reports and publications and information from key resource persons.

other cases, grants are provided to institutions that are expected to act as SSC providers. Some IFAD-supported initiatives (e.g. regional knowledge networks) may provide opportunities and entry points for SSTC initiatives financed by different projects or supported by other non-lending activities.

- (ii) Topics or focus of IFAD-supported SSTC initiatives vary, ranging from agricultural technologies with commodity focus, thematic areas (e.g. land, water, access to markets, rural finance), or other cross cutting approaches (e.g. gender mainstreaming). As indicated in the report on the 10th replenishment (see also paragraph 28), a majority of activities considered "SSTC initiatives" have been in the form of exchange visits and study tours for government/project staff, farmers and other actors.
 - (iii) SSTC initiatives supported by IFAD have been at various levels with diverse stakeholders, including IFAD's main target group²⁴ as well as government officials, and various geographical coverage (inter-continental, within a region or between neighbouring countries). Examples of SSTC initiatives cited in IFAD documents also include those promoting high level regional and cross-regional policy dialogue on poverty alleviation and food security (e.g. on family farming in Latin America through MERCOSUR²⁵).
 - (iv) There may be a series of connected SSTC activities undertaken under different financing mechanisms and instruments (grants, different investment projects, policy engagement, partnership building, etc.).
30. The above confirms that, as recognized in IFAD official documents, its approach to SSTC has been "decentralized, flexible and diversified" – under different instruments, various patterns, some based on an ad hoc approach and some more programmatic/strategic. There are also some old initiatives that were not labelled SSTC as such earlier but recently often mentioned as SSTC examples, for example, policy dialogue through MERCOSUR, and learning route supported by PROCASUR.

IV. Objectives, scope and methodology

31. ESRs, an IOE product introduced in 2012²⁶, should be distinguished from corporate level evaluations (CLEs), in terms of the overall orientation (i.e. main focus on learning rather than accountability, and hence, there will be no ratings on IFAD's work in this area using the standard evaluation criteria). ESRs also differ from CLEs with respect to the methodology for data collection (in principle, ESRs based on mainly desk review – primarily available evaluative findings - and interviews), as well as the budget and timeframe (lower and shorter). As such, this ESR – by shedding light on the diversity of IFAD's SSTC experiences, lessons learnt and innovations needed in future – will focus on the learning dimension. Recognizing that SSTC is a means to an end and not an end itself, the ESR will also pay attention to the issue of results and contribution of SSTC to overall development effectiveness.
32. In the above context, this section outlines the objectives, key evaluation questions, scope and methodology, and limitations of the evaluation synthesis. Based on emerging findings, key questions, scope and methodology may be adjusted in the course of the exercise.

²⁴ In general terms defined as "rural people living in poverty and food insecurity in developing countries" (IFAD Targeting Policy, 2006)

²⁵ This has been often mentioned as a good example of IFAD's support to SSTC since SSTC came into the corporate agenda. IFAD provided support with three grants over a decade since around 2000.

²⁶ So far, IOE has produced evaluation synthesis reports on the following topics: (i) Gender Equality and Development Evaluation Units (2012); (ii) IFAD's Direct Supervision and Implementation; (iii) Rural Differentiation and Smallholder (2013); (iv) Development Results-based Country Strategic Opportunities Programmes (2013); (v) IFAD's Engagement with Cooperatives (2013); (vi) IFAD's Engagement in Middle-income Countries (2014); (vii) Rural Youth (2014); and (viii) Water Conservation and Management (2014). Two reports are being finalized: pastoral development, and IFAD's engagement with indigenous peoples.

33. Objectives. The ESR has the following two key objectives:
- (i) Review and analyse the experience in relation to IFAD-supported SSTC initiatives, mainly those supported through non-lending activities, and identify enabling factors for success, opportunities for scaling-up, constraints and incentives; and
 - (ii) Identify key issues and lessons learnt for reflection and make recommendations for enhancing IFAD's approach to support SSTC.
34. Recommendations will be formulated based on emerging findings and issues in the context of this ESR, reflecting the learning orientation of the exercise. They would not duplicate the recommendations previously made by IOE in evaluation reports that would inform the ESR.
35. Key questions. The proposed main questions that would guide the ESR include the following:
- (i) Country leadership: To which extent has IFAD's support to SSTC initiative been based on needs, demand and capacities of participating partners? To what extent has IFAD's support to SSTC been aligned to the partnering countries' SSTC strategies/policies and its development/ sector policies?
 - (ii) Relevance for IFAD's business model: How does IFAD's support to SSTC initiatives relate to and contribute to its corporate strategies, agenda/priorities, as well as country-level strategies (COSOPs)? How does or could SSTC complement IFAD overall operations?
 - (iii) Effective implementation: What instruments²⁷ and modalities²⁸ for supporting SSTC initiatives for which audience have been utilized and found particularly effective in contributing to development results? To which degree have the planning and monitoring/documenting of IFAD-supported SSTC initiatives been oriented towards results?
 - (iv) Sustainability: To what extent have relevant solutions provided under SSTC initiatives been effectively transferred/adapted to and are being used by the receiving organizations/countries? To what extent are solutions transferred in IFAD-supported SSTC initiatives replicable and scalable, especially as part of the IFAD business model?
 - (v) Contribution to global SSTC agenda: How is IFAD's support contextualized in the broader international development agenda on SSTC? What are its value added and strengths amongst development partners supporting SSTC?
 - (vi) Lessons learned: What are the key factors for success and failure, opportunities and remaining barriers identified in IFAD's current support to SSTC?
36. It should be cautioned that to what extent the above questions could be answered would depend on the availability and quality of information. Given the diversity of initiatives and the learning orientation of this exercise, the ESR will take a reiterative approach, i.e. specific points under overall key questions as indicated above and issues for attention may be adjusted and adapted during the process based on emerging findings or need to probe further on certain aspects.
37. Scope. This ESR will mainly cover: (i) IOE evaluations conducted after 2009 containing relevant information (in particular, country programme evaluations, CPEs), including those currently ongoing or planned for 2015 (three CPEs and a project performance assessment, PPA); and (ii) selected prominent SSTC initiatives

²⁷ An instrument refers to types of SSTC, such as technical assistance, knowledge sharing, technology transfer, academic cooperation, or agency development (i.e. support to SSTC capacities of IFAD partners)

²⁸ Modalities might include field visits, twinning/coaching arrangements, secondees programs, conferences/workshops, policy dialogue, joint studies, communities of practice, etc.

that were under implementation at some point during the period 2009-2014, including those that started before 2008. The year 2009 is considered an appropriate point of reference, since it was in 2008 the reference to "SSTC" became visible and explicit in IFAD corporate documents; at the same time, the proposed scope still leaves room to cover any prominent initiatives that started or took place before 2008 which would have been considered SSTC.

38. "An SSTC initiative" may consist of a series of activities financed under different loan/grant-financed projects (as part of activities) or a series of grants, and would not necessarily or entirely correspond to a project or projects. The focus would be to look at a consistent thread of SSTC activities under an umbrella, hence using the term "initiatives" instead of referring to "project(s)". For example, Learning Route (implemented by PROCASUR), which has been financed by a number of IFAD grants in different regions for over 10 years, would be considered as one initiative. "SSTC initiatives" have mainly been supported by IFAD through grants on knowledge management, partnership building and/or policy dialogue, and often have some linkages with investment projects (loans and DSF grants). There have also been a number of interesting SSTC initiatives – to less extent - developed and materialized in the context of IFAD's investment projects (loans and DSF grants). It is envisaged that several SSTC initiatives would be reviewed and analyzed closely to complement findings based on other sources (see also paragraph 42).
39. Methodology. The exercise will consist of the following key building blocks: (i) literature review to provide an overall context for the study and put IFAD's business model into perspective, including corporate policy and guidance documents; (ii) review and analysis of relevant evaluative findings generated through ongoing CPEs (India, Brazil and Turkey) and a PPA (Mauritania); (iii) review and synthesis of relevant information in the IOE evaluations after 2009 (mainly CPEs); (iv) review and analysis of experiences with selected prominent SSTC initiatives; and (v) review of evaluations and other analytical reports related to SSTC by other development partners to draw lessons generated therein to complement the review of IFAD-supported SSTC initiatives.
40. Since findings in existing IOE evaluations generated from the "SSTC angle" are not abundant given that the topic was not dealt with systematically, this ESR will follow a mixed approach including: (i) review and synthesis of relevant evaluative findings contained in IOE evaluations, including CPEs/PPA (involving field missions) conducted in 2015 specifically incorporating the SSTC perspective; (ii) in-depth review and analysis of selected SSTC initiatives, mainly those supported through non-lending activities, based on document reviews and interviews with IFAD staff, other stakeholders and key informants (partners, project staff and beneficiaries); (iii) interviews with other key informants; and (iv) desk review of past IOE evaluations and other literatures.
41. The team for this evaluation synthesis will closely collaborate with IOE staff members responsible for the CPEs/PPA to be undertaken in 2015 and their teams in order to integrate questions relevant to SSTC to their respective evaluations. The CPE/PPA teams are expected to produce a short working paper on SSTC, as would be agreed with the SSTC evaluation synthesis team.
42. As for the selection of prominent SSTC initiatives, a preliminary list is being developed based on a review of SSTC examples provided in IFAD documents, a database on grants, discussions with selected IFAD staff, basic information on potential initiatives, and SSTC cases included in the SKD stock-taking exercise. Possible considerations for final selection for in-depth review and analysis include: (i) diversity of instruments, modalities, origins, geographical coverage, thematic areas, IFAD's role, etc.; (ii) engagement of partner institutions whose mission and core activities are aimed at promoting SSTC (e.g. PROCASUR); (iii) potential for scaling-up of SSTC solutions, instruments or modalities; and (iv) inclusion in a

wider national or regional SSTC policy strategy or framework (e.g. China, Brazil, MERCOSUR). In addition to the initiatives with substantial implementation experience to draw lessons from, the ESR will also review a limited number of relatively new initiatives (e.g. NEN regional grant with UNOSSC) to understand the trend and approach recently conceptualized. One-off isolated SSTC activities (e.g. one-time exchange visit between more than two countries financed under projects) would not be a main focus on their own right, but where these were facilitated by a broader SSTC initiative, the latter would be the focus of the review. The attention would be on looking at a consistent thread of SSTC activities under an umbrella with programmatic approach.

43. Data collection (especially for CPEs, PPA and selected SSTC initiatives) will be based on a set of common framework and questionnaires to ensure homogeneity of data but an additional set of customized/tailored questions will also be developed to get a better understanding of specific cases. Annex IV provides a set of key proposed parameters to guide the systematic collection and organization of basic data on selected SSTC initiatives.
44. Persons and organizations to be interviewed (face-to-face or remotely) will include (not mutually exclusive): (i) those who have played a role in providing cooperation/support through SSTC ; (ii) those who have sought and received cooperation/support²⁹; (iii) those who have facilitated/brokered SSTC partnerships; (iv) those who have had a role in conceptualizing initiatives (including IFAD staff); and (v) other key informants (e.g. development agencies). In general, it is expected that solution providers and seekers would be diverse ranging from farmers, researchers, entrepreneurs, service providers, government officials to policy makers. Given the limited resources and desk-based nature of the exercise, the coverage through interviews would need to be kept at the realistic and feasible level, for example in terms of the number of interviewees to be reached.
45. Consideration may be given to developing an electronic survey to facilitate aggregation of findings and allow for some quantification if deemed useful and value-adding, although at the approach paper stage, desk review and interviews seem more appropriate as the ESR does not intend to cover the entire spectrum of IFAD SSTC initiatives but will review selected initiatives for the purpose of learning.
46. Process. The main interlocutors at IFAD for this ESR would be SKD and the Programme Management Department (PMD). The process will be supported by a small group of IFAD staff members ("core learning partnership", CLP) that would provide inputs at key steps (e.g., exchange of experiences and lessons on key topics that would feed into the exercise, views on preliminary findings and lessons, etc.). It is proposed that the CLP comprise: Senior Portfolio Advisor PMD, SKD staff responsible for SSTC, a representative from each regional division (regional economist, portfolio advisor or CPM) and PRM, and the IOE team for the evaluation synthesis.
47. The draft report will be shared with IFAD for review and consolidated comments. A written consolidated Management Response by IFAD will be provided on the final report.
48. Furthermore, IOE will also identify two external peer reviewers and seek their feedback on the draft report (for example, staff members of other development agencies involved in or coordinating the SSTC agenda).
49. Limitations. As noted earlier, ESRs, not full-fledged evaluations and with a focus on learning, are conducted with limited budget based on a desk study in a shorter time period, as compared to CLEs that normally include field missions to multiple countries. Furthermore, there are some specific factors that could make this ESR a challenge. First, while the SSTC perspective is incorporated into some of the CPEs

²⁹ (i) and (ii) are not mutually exclusive.

and a PPA conducted in 2015, the review of other selected SSTC initiatives and activities would be mostly desk-based, hence, the details and quality of information to be drawn would depend on the existing materials and there will be limited control and capacity to access key players and gather direct information. Consequently, while the key questions posed (paragraph 35) would guide the exercise, to what extent they can be answered is not fully known. Second, the evaluation synthesis will employ remote interviews (skype or telephone), but the outreach to some stakeholders in the field may be limited, even where it would be desirable, due to connectivity/access to internet. Third, SSTC initiatives and activities supported by IFAD have been quite diverse, possibly making comparisons challenging.

V. Evaluation synthesis team and proposed timetable

50. Evaluation synthesis team: The evaluation synthesis will be undertaken by a team that will be comprised as follows: Fumiko Nakai, IOE Senior Evaluation Officer and lead evaluator; a principal consultant and an evaluation research analyst (IOE consultants). Laure Vidaud, IOE Evaluation Assistant, will provide research and administrative support.
51. Proposed timetable. The indicative timeframe is provided in the below.

<i>Activity</i>	<i>Indicative date</i>
Preparation of draft approach paper note and preparatory work	May-June 2015
Literature review	June 2015
Draft approach paper shared with IFAD	Mid June 2015
Finalisation of the approach paper	Late July 2015
CPE missions (led by respective IOE lead evaluators) which are expected to provide inputs to the evaluation synthesis	Brazil CPE main mission (late June – early July 2015) India CPE preparatory mission (mid June 2015) (possible follow-up by the evaluation synthesis team) Turkey main mission (June-July 2015) Inputs by August 2015
Inputs from PPA Mauritania	August 2015
Review of selected SSTC initiatives (desk-based)	July-August 2015
Interviews with SSTC stakeholders (face-to-face or remote)	July-September 2015
Interviews with key IFAD staff	Mid-September to early October 2015
Interviews with IFAD management	Early October 2015
Learning event on emerging findings	Mid-late October 2015
Preparation of the first draft report (for internal peer review)	19 October 2015
Feedback from IOE internal peer review	27 October 2015
Draft report shared with IFAD for comments	4 November 2015
Consolidated comments by IFAD on the draft report	25 November 2015
Preparation of final draft report	By 20 December 2015
Publication	January-February 2016

Descriptions of South-South and triangular cooperation in key reference documents

Box 1

Description of South-South cooperation by the UN Office for South-South Cooperation

South-South cooperation is a broad framework for collaboration among countries of the South in the political, economic, social, cultural, environmental and technical domains. Involving two or more developing countries, it can take place on a bilateral, regional, sub-regional or interregional basis. Developing countries share knowledge, skills, expertise and resources to meet their development goals through concerted efforts. Recent developments in South-South cooperation have taken the form of increased volume of South-South trade, South-South flows of foreign direct investment, movements towards regional integration, technology transfers, sharing of solutions and experts, and other forms of exchanges.

Collaboration in which traditional donor countries and multilateral organizations facilitate South-South initiatives through the provision of funding, training, and management and technological systems as well as other forms of support is referred to as triangular cooperation.

Basic Elements of South-South Cooperation

South-South cooperation is initiated, organized and managed by developing countries themselves; often, Governments play a lead role, with active participation from public- and private-sector institutions, non-governmental organizations and individuals. It involves different and evolving forms, including the sharing of knowledge and experience, training, technology transfer, financial and monetary cooperation and in-kind contributions. South-South cooperation can include different sectors and be bilateral, multilateral, sub-regional, regional or interregional in nature.

Guiding Principles of South-South Cooperation

South-South cooperation is a manifestation of solidarity among peoples and countries of the South that contributes to their national well-being, their national and collective self-reliance and the attainment of internationally agreed development goals, including the Millennium Development Goals. The South-South cooperation agenda and South-South cooperation initiatives must be determined by the countries of the South, guided by the principles of respect for national sovereignty, national ownership and independence, equality, non-conditionality, non-interference in domestic affairs and mutual benefit.

Source: http://ssc.undp.org/content/ssc/about/what_is_ssc.html

Box 2

From the 2009 Nairobi outcome document

... South-South cooperation is a common endeavour of peoples and countries of the South, born out of shared experiences and sympathies, based on their common objectives and solidarity, and guided by, inter alia, the principles of respect for national sovereignty and ownership, free from any conditionalities. South-South cooperation should not be seen as official development assistance. It is a partnership among equals based on solidarity.... South-South cooperation embraces a multi-stakeholder approach, including non-governmental organizations, the private sector, civil society, academia and other actors that contribute to meeting development challenges and objectives in line with national development strategies and plans (resolution 64/222, annex, paras. 18-19).

... South-South cooperation takes different and evolving forms, including the sharing of knowledge and experience, training, technology transfer, financial and monetary cooperation and in-kind contribution (para 12)

.. South-South cooperation is not a substitute for, but rather a complement to, North-South cooperation. (para 13)

Key international milestones related to South-South cooperation³⁰

- 1949 The UN Economic and Social Council (ECOSOC) establishes the first UN technical aid programme.
- 1955 Newly independent African and Asian States meet in Bandung, Indonesia, and decide to work together at the UN as the Afro-Asian Group.
- 1964 Establishment of the United Nations Conference on Trade and Development (UNCTAD). At the first UNCTAD, Latin American countries join with African and Asian countries to create the Group of 77.
- 1972 The UN General Assembly creates a Working Group on technical cooperation among developing countries (TCDC).
- 1974 The General Assembly, in its resolution A/3251 (XXIX), endorses “the establishment of a special unit within the United Nations Development Programme to promote technical cooperation among developing countries”.
- 1978 A conference of the global South on TCDC is held in Buenos Aires, resulting in the adoption of the Buenos Aires Plan of Action (BAPA) for Promoting and Implementing TCDC.
- 1980 The countries participating in UNDP become established as a High-level Committee of the General Assembly that would meet every two years to monitor the implementation of BAPA.
- 2001 The Third UN Conference on the Least Developed Countries, held in Brussels in May 2001, emphasize the importance of South-South cooperation in capacity-building and setting best practices, particularly in the areas of health, education, training, environment, science and technology, trade, investment and transit transport cooperation.
- 2002 The International Conference on Financing for Development, held in Monterrey, Mexico in March 2002, specifically encourage South-South cooperation, including through triangular cooperation, to facilitate exchange of views on successful strategies, practices and experience and replication of projects.
- 2002 The World Summit on Sustainable Development, held in Johannesburg, South Africa, in August 2002, adopts a Declaration and an Implementation Plan that endorsed South-South cooperation and strong regional and subregional action.
- 2003 The UN General Assembly, in its resolution 58/220, decides to declare 19 December as the United Nations Day for South-South Cooperation.
- 2004 The Special Unit for TCDC has a new name: the Special Unit for South-South Cooperation (SU/SSC) that reflects the increased importance and expanded focus of cooperation among developing countries.
- 2005 The Heads of State and Government that gathered at the World Summit in New York, from 14 to 16 September 2005, recognize the achievements and great potential of South-South cooperation and encourage the promotion of such cooperation. They also encourage the international community, including the international financial institutions, to support the efforts of developing countries, inter alia, through triangular cooperation.
- 2009 The High-level UN Conference on South-South Cooperation is held in Nairobi, Kenya. Participants produce the Nairobi outcome document highlighting the roles that national governments, regional entities and UN agencies are to play in supporting and implementing South-South and triangular cooperation.

³⁰ Source: UN Office for South-South Cooperation <http://ss-scsd.org/south-south-cooperation/> Accessed April 2015.

- 2011 The UN General Assembly decided that, beginning in 2012, the observance of the United Nations Day for South-South Cooperation would be changed from 19 December to 12 September, to mark the day in 1978 when the UN Conference on Technical Cooperation among Developing Countries adopted the Buenos Aires Plan of Action.
- 2012 The High-level Committee on South-South Cooperation holds its seventeenth session at UN headquarters in New York, from 22 to 25 May 2012, to review the progress made in implementing the Buenos Aires Plan of Action, the new directions strategy for South-South cooperation and the Nairobi outcome document of the High-level UN Conference on South-South Cooperation.
- 2014 The Executive Board of the United Nations Development Programme, the United Nations Population Fund and the United Nations Office for Project Services at its annual session 2014 takes note of and approves the Strategic Framework of the United Nations Office for South-South Cooperation, 2014-2017.

Reference to SSTC in key IFAD corporate documents

Table III-1
Reference to South-South and triangular cooperation in Strategic Framework documents

Strategic Frameworks	Reference to SSC and SSTC
SF 2011-2015	<p>New potential for South-South cooperation. Another important element of the new global development architecture is the emergence of a number of major new players – such as Brazil, China and India – in the global economy and in South-South cooperation. The support of these countries is presenting new opportunities for rural economies in developing countries – particularly given that emerging economies have been a major source of both demand and supply for agricultural products, agricultural technology and knowledge sharing. (p.23)</p> <p>IFAD can also make an enormous contribution to the rural development, poverty reduction, and food security efforts of its Member States by enhancing its role as a knowledge broker among countries, leveraging its 30 years of experience and its close relations with national governments and other stakeholders. IFAD will develop knowledge products more systematically and make them available to a wider audience. It will also enhance its role in facilitating South-South cooperation, including by drawing lessons from successful experiences of middle-income countries that may be applied in low-income countries. (p.31)</p> <p>Principle of engagement 7: Effective partnerships and resource mobilization. Seek ways to better support and leverage South-South cooperation, with a view to gradually mainstreaming it into IFAD's work in the future. (p.42)</p>

Table III-2
Reference to South-South and triangular cooperation in documents in replenishment consultations

Replenishment consultation	Reference to SSC and SSTC
8th consultation (2008) (GC 32/L.5, January 2009)	<p>As one of the actions that IFAD should explore to enhance its role in MICs, the report stated that IFAD should explore further actions including, "more actively promote South-South cooperation, including by supporting MICs in their efforts to promote knowledge-sharing and innovation in low-income countries. Some MICs have developed leading edge capabilities in agricultural research and are generating new technologies that are likely to prove essential to the interests of poorer countries. By supporting South-South cooperation, IFAD will increase its overall effectiveness and the sustainability of its efforts".</p>
9 th consultation (2011)	<p>"Enhancing IFAD's business model with an explicit South-South and triangular cooperation (SSTC) dimension that is strong, well-planned and coordinated will yield multiple benefits for the relevance, effectiveness and efficiency of IFAD-supported programmes, as well as for IFAD's ability to promote scaling-up and engage in national policy dialogue on agriculture and rural development. Towards this, IFAD will strengthen its role in promoting and facilitating SSTC".</p> <p>As key commitments, the following were listed: (a) establish an adequately resourced corporate coordination function to ensure SSTC is pursued in a strategic manner, is widely mainstreamed across country programmes, and is grounded in a robust evidence base; and (b) develop staff incentives to proactively pursue and promote SSTC.</p>
10 th consultation (2014)	<p>Under IFAD10, IFAD plans to expand the work in this area, seeing it as an integral part of its business model. Discussions have been launched with interested Member States to establish a trust fund in support of these efforts. IFAD envisages that SSTC will become a major component of its business model. (IFAD10/2/R.3: <i>Enhancing IFAD's business model for inclusive and sustainable rural transformation</i>)</p>
	<p>"Consolidate strategic approaches around four key sets of issues – public-private-producer partnerships, country-level policy engagement, global policy</p>

engagement, and SSTC; as well as give particular attention to expanding support for rural youth."

"Under IFAD10, IFAD plans to strengthen its comparative advantage and expand its work in this area [SSTC] in terms of both knowledge-based cooperation and investment promotion, seeing it as an integral part of its business model... [A] minimum of 50 per cent of new COSOPs will be expected to include an approach for SSTC as part of the country programme. IFAD will promote the use of its own resources to support SSTC, and it will also seek unrestricted complementary contributions and other resources in order to substantially expand its engagement in this area." (Report of the consultation)

Box III-3

Extract from "IFAD's engagement with middle-income countries" (2011)

Differentiated services: Enhancing IFAD's knowledge products and services

IFAD already has some knowledge products of importance to MICs, which will be developed further:

- Policy, "convening" and advocacy platforms. IFAD supports its Members by sponsoring dialogue and brokering partnerships between diverse rural stakeholders and constituencies, both within and between countries. This can contribute to governments' own policy definition and investment of public resources in rural development and poverty reduction. Examples include (i) in LAC, the Central America Free Trade Agreement and the Common Market of the South's Commission on Family Farming and its Confederation of Family Farmer Producer Organizations; and (ii) in Africa, the New Partnership for Africa's Development (NEPAD) Comprehensive Africa Agriculture Development Programme. For non-borrowing MICs, these services will be provided for a fee.
- Support to developing national agricultural/rural development strategies. MICs are increasingly requesting sustained analytical support in subsectoral or thematic areas (targeting, gender, rural financing, etc.). Support is delivered by IFAD on the basis of flexible, demand-driven programmes that focus on results....
- South-South cooperation. IFAD can help transfer knowledge to local and regional institutions for greater learning. For example, in collaboration with existing institutions (universities, agricultural colleges, etc.), it could spread knowledge by facilitating learning routes, organizing study tours and employing experts from other southern countries. IFAD will develop peer-to-peer collaboration and build local capacity. In East and Southern Africa, this type of work has included working with the private sector. MICs also have experience, particularly in Latin America, in climate adaptation and mitigation, e.g. agroforestry and payment for environmental services (linked to carbon markets) and zero tillage (for soya) and the use of legumes for nitrogen enhancement. As other Member States develop their own initiatives, these experiences will become increasingly important. Examples are already appearing (e.g. Burkina Faso and the Niger recently reviewed approaches to soil and water conservation).

Key parameters for basic data collection on SSTC initiatives

Provided below is a set of key proposed parameters that would guide the review of selected SSTC initiatives with the aim to systematically collect and organize data and information. There will be additional sets of general and specific questions for different purposes (e.g. for interviews with different sets of respondents).

Overarching question: "How have IFAD-supported SSTC initiatives been conceptualized (i.e. how have the opportunities been identified), planned and delivered?"

	Key parameters	Terms and definition	
1	Which are the main instruments of IFAD-supported SSTC?	"Instrument" : types of SSTC, such as technical assistance, knowledge sharing, technology transfer, academic cooperation, or agency development (i.e. support to SSTC capacities of IFAD partners)	
2	Where have these been originated?	"Origin" : previously existing South-South relation, initiative by provider/receiver, IFAD facilitation/brokerage, third party facilitation	
3	Which specific thematic areas are being covered?	"Thematic area" : Self-explanatory	
4	What is the geographical scope?	"Geographical scope" : neighboring countries, within region, or cross-regional	
5	Which country institutions are involved?	NA	
6	To which degree have these initiatives been formalized among the partners?	"Level of formalization" : agreements, letters of intent, joint project documents etc.	
7	What kind of modalities are being implemented?	"Modality" : Including field visits, twinning/coaching arrangements, secondees programs, conferences/workshops, joint studies, communities of practice, policy dialogue	
8	Through which financing mechanisms are these being financed?	"Financing mechanism" : grants, part of investment financing, co-financing by partners or third countries/organizations etc.	
9	What role does IFAD play?	"IFAD role" : Direct support to SSTC initiatives, brokering/ facilitation, documentation of best practices (or capturing/ packaging), financing, and support to agency development. These are non-exclusive, several roles can be assumed in one initiative	
10	To which degree has there been a result orientation, including result planning and M&E?		NA

Preliminary list of documents for review

IFAD

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