EVALUATION OF UNDP CONTRIBUTION TO SOUTH-SOUTH AND TRIANGULAR COOPERATION (2008-2011)
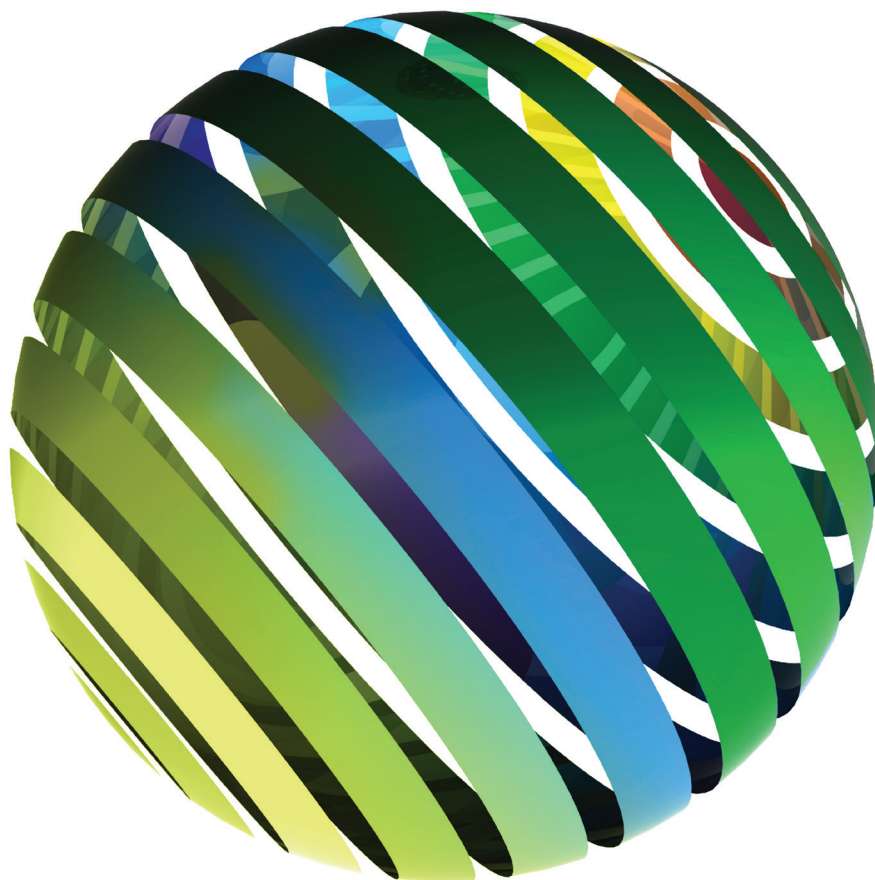
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EVALUATION OF UNDP CONTRIBUTION
TO SOUTH-SOUTH AND TRIANGULAR
COOPERATION (2008-2011)

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April 2013

ACKNOWLEDGEMENTS

FOREWORD

This is the report of an independent evaluation conducted by the Evaluation Office of the United National Development Programme (UNDP) in 2012. The evaluation assesses the performance of UNDP support to South-South and triangular cooperation from 2008 to 2011.
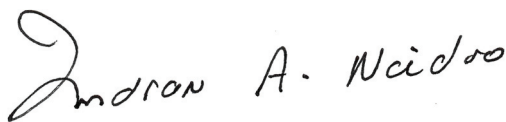
The evaluation found that UNDP has strong comparative advantage in supporting and facilitating South-South cooperation (SSC) and triangular cooperation (TrC) and enjoys high demand from partners for its facilitating role. UNDP's policy frameworks and statements of intent are aligned with the key principles for SSC embodied in the Buenos Aires and Nairobi Outcome Documents. UNDP support for SSC-related institutional work has led to preliminary results in at least three areas: capacity development of country-level international cooperation agencies and South-South mechanisms; support to research or advocacy on the strategic and policy dimensions of SSC; and support to thematic centres in selected countries. UNDP brokering of South-South knowledge exchanges, which constitutes one of the most common ways of UNDP support to SSC, has produced immediate term benefits for participants, which could evolve into longer-term benefits.

The evaluation found that, against the backdrop of increasing demand, UNDP's current financing commitment for SSC has not grown proportionally. Mainstreaming of SSC within UNDP programmes continues but there remains need for support until a more even pattern of progress is evident. In a context of differentiated progress around SSC-TrC it was found that there are varied understandings of what UNDP support to SSC involves. In such a context it is necessary for UNDP to assert its leadership by providing the accompanying corporate guidance and mechanisms first, by working on consensual definitions, as a basis for developing more sophisticated indicators that allow for a better tracking of progress; second, by using the knowledge platforms more effectively to share lessons learned at the national, regional and global levels. In the absence of a more dynamic system that enables to report on the quality of the multitude of experiences supported globally, many good practices get lost.

The evaluation fostered a broad-based engagement with UNDP staff and Executive Board members for the validation of findings and conclusions. Based on these consultations the evaluation recommends UNDP to prioritize its support to South-South and triangular cooperation with a clearly defined strategy that contains agreed definitions, operational guidance and allocation of resources to programme units, allowing the organization to capitalize on its comparative advantages.

The contextual evidence and historical background presented in this report points to South-South and triangular cooperation being of increased global importance as a driver for development. One key challenge is to ensure that it is also a positive force for human development. UNDP has an important role to play as a broker, facilitator and interlocutor on South-South and triangular cooperation among Member States of the United Nations. I hope the evaluation provides useful inputs for UNDP and its partners on the contributions it can make in this context.

Indran A. Naidoo
Director, Evaluation Office

CONTENTS

ACRONYMS AND ABBREVIATIONS

ABC	Brazilian Cooperation Agency
ADB	Asian Development Bank
ADR	Assessment of Development Results
APRM	African Peer Review Mechanism
ASEAN	Association of Southeast Asian Nations
ART GOLD	Governance and Local Development
BAPA	Buenos Aires Plan of Action
BRICS	Brazil, Russia, India, China and South Africa
CARICOM	Caribbean Community
DAC	Development Assistance Committee of the OECD
DOCO	UN Development Operations Coordination Office
ECOWAS	Economic Community of West African States
FDI	Foreign Direct Investment
FOCAC	Forum on China-Africa Cooperation
G20	The Group of 20
G77	The Group of 77 and China at the United Nations
GDP	Gross Domestic Product
HLC	High Level Committee on South-South Cooperation
IBSA	India, Brazil and South Africa
IMF	International Monetary Fund
ITEC	Indian Technical and Economic Cooperation
KOICA	Korean International Cooperation Agency
LDC	Least Developed Countries

MDG	Millennium Development Goals
MERCOSUR	Common Market of the South
MIC	Middle Income Countries
NCC	Net Contributor Countries to UNDP
NEPAD	The New Partnership for Africa's Development
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
ROAR	Results Oriented Annual Report
SCAAP	Special Commonwealth Assistance for Africa Programme
SIDS	Small Island Developing States
SSC	South-South Cooperation
SU-SSC	Special Unit for South-South Cooperation
TCDC	Technical Cooperation among Developing Countries
TCPR	Triennial Comprehensive Policy Review of operational activities for development of the United Nations system
TIKA	Turkish International Cooperation and Development Agency
TrC	Triangular Cooperation
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNO-SSC	United Nations Office for South-South Cooperation
UNV	United Nations Volunteers

EXECUTIVE SUMMARY

INTRODUCTION

South-South cooperation (SSC) and triangular cooperation (TrC), which have emerged as vital elements of the global development cooperation architecture, are set to assume greater importance in the future. This report presents the findings, conclusions and recommendations of the independent evaluation of the United Nations Development Programme (UNDP)'s contribution to SSC and TrC, conducted by the UNDP Evaluation Office in 2012. The evaluation reviewed the performance during the period 2008 to 2011 and, as with all UNDP evaluations, it examined the subject through the lenses of relevance, effectiveness, efficiency and sustainability. It specifically intended to focus on UNDP support to the achievement of development results through SSC and TrC and to clarify UNDP's added value and comparative advantage.

As the second Evaluation Office exercise dedicated to the theme, the previous one being conducted in 2007 and covering the period 1996-2006, this evaluation also aimed to assess the extent to which its predecessor's recommendations have been addressed. As is inevitable in the implementation of any programme of this nature, the actual progress over time would be varied, as would the successes and challenges in different places. The nature of UNDP, as a highly decentralized organization, means that policy intent is dependent upon a series of variables that are context specific, which this evaluation reflects upon. The evaluative conclusions and the recommendations take into account both where the organization has come from and where it is heading. The findings will provide substantive inputs to the UNDP Strategic Plan 2014-2017 and the Fifth Cooperation Framework for South-South Cooperation 2014-2017.

The evaluation was conducted against the UNDP Strategic Plan and the Fourth Cooperation Framework for South-South Cooperation, both approved by the UNDP Executive Board in 2008 and extended until 2013. The Strategic Plan identified the Fourth Cooperation Framework for South-South Cooperation as the document that "establishes and elaborates on the specific elements of the UNDP approach to South-South cooperation". The implementation of the Fourth Cooperation Framework for South-South Cooperation relied on the Special Unit for South-South Cooperation (SU-SSC) as the 'focal point' for South-South cooperation in UNDP. The Special Unit has been renamed the United Nations Office for South-South Cooperation (UNO-SSC) in 2012.

The scope of the evaluation was in consonance with the Strategic Plan's vision of mainstreaming South-South approaches throughout UNDP focus areas at the global, regional and country levels, and facilitating SSC and TrC initiatives within and across the five regions in which the organization operates. The evaluation assessed the extent to which UNDP supported SSC and TrC respecting the still valid principles outlined by the Buenos Aires Plan of Action for technical cooperation among developing countries: national ownership, equality, mutual respect, national sovereignty, mutual benefit, non-conditionality and solidarity.

Two sets of questions guided the evaluation:

a. Has UNDP played a relevant role in assisting programme countries to address their development challenges based on SSC and TrC? Was UNDP support to SSC and TrC based on a *Southern perspective* as expressed in the principles for SSC? Has UNDP responded appropriately

to the dynamic context of international development cooperation by adjusting its role and approaches to strengthen SSC and TrC?

b. To what extent has UNDP provided such assistance in an effective, efficient and sustainable manner and yielded results from a human development perspective?

An evaluation framework consisting of key issues, specific questions and sources of information was developed to guide the enquiry. A mixed-method approach was employed to generate a more comprehensive picture of the subject under evaluation by combining complementary data from primary and secondary sources and produce a strong basis for generating evidence to enhance the explanations for the findings. The evaluation identified a sample of 13 countries across the globe for visits, which provided insights into very impressive initiatives that have sought to knit together countries in the South for collective self-reliance, as envisaged in the policy mandates for SSC. The evaluation team was informed by interviews with over 290 stakeholders at the country, regional and headquarters levels. The team extensively reviewed programme documentation, UN General Assembly resolutions and UNDP Executive Board decisions in addition to numerous progress reports, regular monitoring data and institutional reports. The meta-analysis, including a review of 18 thematic evaluations and 48 Assessments of Development Results, the country-level evaluations of UNDP contribution to development results, was used to broaden the information base and to crosscheck for similarities and differences in UNDP-supported approaches. The evaluation benefited from wide-ranging internal and external quality-assurance mechanisms at various stages and from the advice of an external advisory panel of development experts.

FINDINGS

UNDP's policy frameworks and statements of intent are aligned with the key principles for SSC embodied in the Buenos Aires and Nairobi Outcome Documents. UNDP official documents and statements make constant reference to the principle of national ownership. UNDP focused its support on the development of national capacities, which must be led by and grounded in endogenous efforts in order to be meaningful and sustainable. As stated in the 2008 UNDP Strategic Plan, this is at the heart of how UNDP understands and applies the principle of national ownership. Additionally the evaluation found that the preambles to several country and regional programmes prepared by UNDP in collaboration with its partners mirror the principles of respect to national sovereignty and ownership, equality and non-conditionality.

UNDP has a strong comparative advantage in supporting and facilitating SSC-TrC. The evaluation found that UNDP has strong comparative advantage in supporting and facilitating SSC-TrC. The advantage is rooted in the following six operational characteristics: an extended country presence and decentralized structure with the operation of country offices and regional service centres; extensive technical know-how in the focus areas of UNDP and a portfolio of good practices; neutrality and absence of political bias; strategic position within the UN system; emphasis on capacity development and a demand-led approach to programming; and the flexibility to respond at country level. Based on elements of its comparative advantage UNDP enjoys high demand from partners for its services. Government officials in countries spoke highly of the ability of UNDP's country offices to help identify sources and methodologies for South-South information exchanges that meet their stated development priorities and objectives including the achievement of internationally agreed development goals such as the MDG targets.

UNDP support for SSC-related policy and institutional work has led to positive preliminary results, reinforcing the organization's potential for more innovation. The three main types of UNDP involvement in the policy and institutional areas related to SSC can be described as capacity

development of country-level international cooperation agencies and South-South mechanisms; support to research and/or advocacy on the strategic and policy dimensions of SSC; and enhanced country partnership agreements with 'emerging economies' to intensify their leadership in SSC including through the establishment of thematic centres to share lessons learned and expertise.

UNDP brokering of South-South knowledge exchanges and learning experiences, which constitutes one of the most common ways UNDP supports SSC, has produced immediate short-term benefits for participants with the potential to evolve into more institutional and country benefits. 126 UNDP country offices reported support to some sort of SSC initiative in 2010. From the vast number of initiatives the evaluation identified examples in all the regions for each focus area. In the area of *governance*, UNDP was involved in helping countries address issues related to democratic transitions, accountability of governance systems, and elections and constitutional reform. These UNDP-sponsored exchanges and events were considered as highly beneficial by participating governments and civil society organizations because without them, the parties involved would not have had access to the same range and scope of knowledge and expertise. Recent UNDP country programme evaluations note the growing importance of South-South knowledge and technical exchanges for *sustainable development*, management of natural resources and climate change adaptation and mitigation. UNDP's value-added to the global SSC debate in terms of highlighting people-centred and rights-based approach to development, including gender equality, was significant to the majority of stakeholders interviewed for this evaluation. UNDP did display a strong commitment towards MDG-focused South-South and triangular cooperation work. Additionally, in terms of *disaster prevention and recovery*, UNDP has been involved in brokering Southern-based immediate responses to natural disasters as well as at later stages when the countries involved were dealing with the recovery phase.

UNDP support for SSC has contributed to regional integration efforts. Recent UNDP thematic and country programme evaluations showed that a number of initiatives have taken place through direct cooperation with existing regional cooperation entities and UNDP's own regional programming approaches. For example, in Africa UNDP has entered into a joint agreement with the New Partnership for African Development (NEPAD) to strengthen partnership arrangements, helping to build regional cooperation around key thematic areas under the African Peer Review Mechanism (APRM). UNDP in Asia has provided direct long term support for entities such as the Association of Southeast Asian Nations (ASEAN), the Melanesian Spearhead Group, the South Pacific Forum, and the South Pacific Regional Environment Programme, to name a few. Several partners at country level identified regional integration as an important component of SSC, which could be further supported by UNDP. The evaluation identified numerous examples from different regions and there is a wide range of topics for UNDP-supported regional capacity-building and strategic collaboration among programme countries and/or regional institutions including climate change, disaster risk reduction, water and natural resource management, energy, trade relations, gender equality, poverty reduction, indigenous rights, HIV-AIDS and small business development.

Against the backdrop of high and increasing demand, in part due to the successes in areas and demand for replication, UNDP's current financing commitment for SSC has not grown proportionately. UNDP core resources allocation to SSC activities was determined by the UNDP Executive Board in 1995 in decision DP 23/95. The 0.5 percent of core resources was allocated to support the SU-SSC, which translated into $4.5 million per year at its peak and was later reduced to $3.76 million in 2011. This percentage is no longer proportionate with the growing demands of partners on the role UNDP can play in respect to SSC-TrC. Additionally, UNDP has supported SSC initiatives through regional and country

programmes. The size and scope of UNDP's funding commitment to SSC-TrC as translated into regional and country programmes is currently not accounted for. UNDP has no policy to encourage the allocation of a certain proportion of core resources specifically to SSC-related work at the country and/or regional levels.

There is an uneven progress in UNDP efforts to mainstreaming SSC within its programmes Mainstreaming of SSC within UNDP programmes continues but there remains need for support until a more even pattern of progress is evident. UNDP has made several efforts to formulate a SSC strategy that would help mainstreaming the support to SSC during the period of time under evaluation but these efforts have not yielded concrete results. There is a need for dedicated resources and budgets, specific tools and operational guidance, continuous monitoring and an overarching strategy with clear objectives, benchmarks and incentives for achievement. The lack of decentralized resources and tools for operationalizing and mainstreaming SSC was found to produce practical shortfalls. The evaluation revealed a lot of good will among UNDP personnel towards increased integration of SSC into UNDP operations at both the country and regional levels, but the understanding about exactly how to do it is often quite vague. The extent of mainstreaming of SSC-TrC within UNDAFs, and UNDP country programme plans followed no consistent institutional guidance or model. The evaluation identified various monitoring mechanisms that have been initiated during the period by UNDP management. These efforts are commendable and need to be further strengthened.

There is a gap between how SSC is *promoted* and/or *advocated* for at higher levels of the organization, and its practical and functional integration **into programming**. In a context of differentiated progress around SSC-TrC it was found that there are varied understandings of what UNDP support to SSC and TrC involves. The programme itself is sufficiently broad to incorporate a wide variety of activities which may have led to the ambiguity found, and the fact that many activities purported as SSC-TrC may not be aligned

to the principles of SSC. This finding may in part reflect on the broader questions of benchmarks, milestones, indicators and standards in the area which have not been fully developed, thus making it hard to define and hard to measure. It means that work needs to be undertaken based on the current experience to arrive at agreement on these issues, so that there is a more robust reporting framework. Unless this is in place it shall not be possible to provide the type of analysis required for effective reporting against intended outcomes. In such a context it is necessary for UNDP to assert its leadership in the area by providing the accompanying corporate guidance and mechanisms in the following areas. First, by working on producing consensual definitions, as a basis for developing more sophisticated indicators that allow for a better tracking of progress. Second, by using the knowledge platforms more effectively to share knowledge at the national, regional and global levels. In the absence of a more dynamic system that enables to report on the quality of the multitude of innovative experiences supported globally, many good practices are lost.

UNDP corporate-wide operational guidance and mechanisms to fully support SSC-TrC at regional and country levels were not in place. Operational plans, frameworks and tools for SSC-TrC implementation and oversight at an organization-wide level for UNDP and at all levels of its work are lacking. Some parts of UNDP have commendably taken it on themselves to develop their own approaches for supporting SSC-TrC (for example, regional bureaux for Latin America and Central Europe, and some regional centres and country offices), but it was observed that the level and type of integration of SSC-TrC is quite varied, with a lack of systematization in the approach used. There are few designated focal points for SSC-TrC within UNDP programming structures or specific staff positions related to SSC. Relationships and flow of information about activities and resources between UNDP headquarters (including the UNO-SSC), regional bureaux, regional centres, country offices and the new centres of excellence were mainly ad

hoc and poorly defined. The recently approved framework of operational guidelines on United Nations support to South-South and triangular cooperation should be taken into account as an important reference to develop the UNDP-specific guidelines.

Knowledge-sharing platforms and corporate reporting systems around SSC are not generating adequate learning and/or systematically providing performance information. The vast majority of information reported as support to SSC by UNDP is regarding the exchange of experiences and knowledge, mainly through study tours, knowledge fairs and participation in regional meetings. Support to SSC by UNDP is also taking place mainly within the specific region and even more so at the subregional level. Although the number of country offices and quantity of information reported has improved since 2008, the evaluation found that, with very few exceptions, UNDP does not distil lessons learned from current practices and approaches to SSC within country and regional programmes. Important lessons can be drawn from successful and unsuccessful experiences and ensure they are systematically disseminated throughout the organization. UNDP could play an important and critical role in supporting programme countries to scale up successful SSC initiatives. The weakness in this area has unfortunately undermined what has been an overall impressive initiative which only becomes apparent through evaluations like this.

It is too early to determine whether the results of current SSC initiatives are sustainable due to variations in the context and to the absence of effective monitoring systems. It is too early based on the evaluative evidence to determine whether the current benefits of supported initiatives are in fact sustainable or not, due in part to the fact that the initiatives are too varied, dynamic and complex and located with country and regional contexts that further influence potential success. The absence of effective monitoring systems for this element must be addressed, which will help to address the ambiguity around definitions

and hence benchmarks and milestones. At the operational level, for discrete projects there was little attention paid to the long-term benefits of the initiatives or to designing exit strategies for UNDP support as many of these initiatives are just one-off activities.

UNDP partnership strategy has been undergoing a gradual repositioning in many countries in response to the changing development cooperation context. Several recent UNDP programme evaluations have emphasized the need for UNDP to reconsider its strategic positioning within middle-income countries by strengthening support to SSC. Other evaluations have also emphasized the need for UNDP to play a stronger brokering, needs assessment and networking role in terms of SSC. The 2012 UNDP External Relations and Advocacy Framework prioritizes SSC as one of its objectives and also focuses on corporate resource mobilization. This resource mobilization approach does not fully encompass the broader strategic commitment to SSC-TrC that is demanded of UNDP by country-level interactions with many programme countries already at a higher level of development. The evaluation found that UNDP was struggling to move away from more traditional development agency approach related to responding to needs under UNDP's thematic priorities, towards a country-centred approach to SSC-TrC. One positive example in this regard is that the Brazilian Inclusive Growth Centre supported by UNDP promotes the use of mechanisms like conditional cash transfers for poverty reduction and is exploring the policy implications of their more widespread use in developing countries.

There is a lack of clarity about the division of labour, roles and responsibilities and lines of accountability for outcome achievement between UNDP and the newly renamed UNO-SSC. The fourth cooperation framework states that "UNDP should define clear collaborative arrangements with the Special Unit for SSC (SU-SSC)" and emphasizes the importance of leveraging between the two entities. In practice, the framework did not itself clarify the respective

roles, detailed functions and individual and shared mandates of the UNO-SSC and UNDP regarding SSC. The specific performance indicators and targets used in the results framework for the 2008 UNDP Strategic Plan pertained mainly to the SU-SSC. There were few details on the exact division of labour, roles and responsibilities and lines of accountability for outcome achievement. This is especially true in terms of the strategic linkages between UNO-SSC, UNDP headquarter units and the decentralized offices of UNDP at the field level.

The UNO-SSC has produced some key outputs under the fourth cooperation framework related to the 'three-in-one' architecture for SSC support, but the overall effectiveness and sustainability of the approach have yet to be seen. The UNO-SSC has created what it refers to as a 'three-in-one architecture' for supporting global, regional and national work on SSC. This has translated into various coordination and policy research activities, events, tools, knowledge products and online information portals and clearing houses created by the UNO-SSC as key outputs under the fourth cooperation framework. The three-tier strategy corresponds to the outcome areas under the framework, namely: 1) facilitation of knowledge exchange, 2) support to policy advice and innovation, and 3) scaling up for greater impact on development results. These areas are all considered relevant by Southern countries, which recognize that knowledge exchange is but a necessary first level of interaction to the achievement of development results, thus the importance of the other two tiers. Examples of key accomplishments by the UNO-SSC include organization of and support for the annual South-South Development Expo along with UN agencies, Member States and other development partners. The main activities of the UNO-SSC under the second tier of policy advice have been in helping Member States coordinate and facilitate the High Level Committee on South-South Cooperation (HLC-SSC) meetings and related deliberations. The third tier for innovation and scaling up of SSC-related ideas includes the

development of platforms such as the Global South-South Development Academy and the South-South Global Assets and Technology Exchange. The UNO-SSC activities, tools and systems under each of the three tiers were judged by the evaluators to all be technically proficient, containing interesting and innovative content and well-organized meetings. UN specialized agencies praised the coordinating role of the UNO-SSC in terms of knowledge exchanges and inter-agency collaboration. In spite of relatively high participation and accessibility for some of the key events and tools, there are ongoing challenges with follow-up, utilization and sustainability of its products and services. The broader development effects of many UNO-SSC efforts have not been fully analysed and documented.

CONCLUSIONS

Conclusion 1. UNDP is in the unique and strategic position in the UN system to foster stronger mechanisms of support and implementation for SSC-TrC, under the guidance of the UN General Assembly and the HLC-SSC. The contextual evidence, historical background and institutional information presented in this report points to SSC and TrC being of increased global importance in the future than in the past, as well as to the continued and growing importance of UNDP as a broker, facilitator and interlocutor for stronger horizontal cooperation among Member States of the UN.

UNDP's leadership and coordination role in the UN system and among partners, for more effective and strategic responses to SSC, is highly respected and the organization is viewed as having the potential to do much more. In particular, there is currently an important global dialogue going on regarding how to balance a more traditional North-South development paradigm, with one in which the primacy of South-South mechanisms is respected, enhanced and recognized. UNDP has played and can potentially play a much larger role in creating linkages between these two modalities of development cooperation, which

need to function in a mutually complementary fashion, and in finding ways of harnessing traditional North-South assistance flows towards support for stronger horizontal cooperation mechanisms, thus strengthening triangular cooperation. Nonetheless, UNDP faces challenges in fulfilling this potential if it does not develop the internal analytical capacity and resources required. Sharing knowledge about SSC-supported initiatives has room for improvement. Fragmentation on the part of UNDP's approach leads to a rich and diverse array of SSC-related activities, but these are not well documented so UNDP and its partners risk losing the potential synergies and efficiencies as well as broader impact that might characterize a better-delineated and systematic approach. The opportunities for scaling up successful experiences, which is one of the areas where South-South and North-South cooperation modalities can meet, get lost.

Conclusion 2. UNDP has made substantial contributions to facilitate South-South knowledge exchanges in all its focus areas and in all regions. UNDP is recognized as a key facilitator of effective horizontal cooperation mechanisms among Member States and in particular among countries emerging into or consolidating their middle-income status, and which want to capitalize on what they have to share with and offer other countries going through similar development processes. Both UNDP and the Special Unit have done many things right, as evidenced by the positive aspects of the picture emerging from the assessment of progress against key frameworks and results and from testimonials and evidence obtained at the country level about the utility of UNDP support for specific SSC knowledge exchange and capacity-building activities among partner countries. In the focus area of governance, UNDP was involved in inter-regional exchanges helping countries address issues related to democratic transitions, accountability of governance systems, and elections and constitutional reform. Recent UNDP country programme evaluations note the growing importance of South-South knowledge and technical exchanges for sustainable

development, management of natural resources and climate change adaptation and mitigation. UNDP did support South-South exchanges for addressing the poverty-environment nexus and displayed a strong commitment towards MDG-focused South-South and triangular cooperation work. Additionally, in terms of disaster prevention and recovery, UNDP has been involved in brokering Southern-based immediate responses to natural disasters as well as at later stages when the countries involved were dealing with the recovery phase.

UNDP support for SSC-related policy and institutional work was particularly effective in the areas of capacity development of country-level international cooperation agencies and South-South mechanisms, enhanced country partnership agreements for SSC and TrC through thematic centres, and support to research and/or advocacy on the strategic and policy dimensions of SSC, thus enabling developing countries to play a more active role in international policy and decision-making processes.

Conclusion 3. UNDP's size, diversity and complexity (which are also its greatest assets) as well as its corporate funding constraints mean that it is hard to make the shift efficiently to new ways of thinking and functioning in support of SSC. Facilitating or supporting SSC requires much more than project-based support on the part of UNDP in order to support greater sustainability of the concept and its effects, although that may still be one important tool. Consequently, there is a gap between rhetoric at the corporate level and the reality of what happens on the ground when the ideas get implemented in practice. In terms of institutional arrangements, SSC lacks a specified 'home' within UNDP's corporate structure. At least two headquarter units in UNDP (Bureau for Development Policy and Bureau for External Relations and Advocacy) played a role in supporting the organization's approach to SSC as well as in liaising with Member States but ultimately there does not appear to be a clearly defined location for coordinating and strategizing about SSC-related work. The UNO-SSC should

not be expected to play this role internally within UNDP because although it is officially hosted by the UNDP, its mandate is UN system-wide.

There are two critical strategic issues that are also related to programmatic and operational efficiency of the organization. One is that UNDP's dominant operational approach is still largely determined by traditional paradigms of North-South aid flows in which funds have to be raised from wealthier developed nations and then channelled via specific projects to less developed partners. In spite of the strong commitment of UNDP personnel in reaching towards new models of horizontal interaction and resource mobilization, the traditional development funding and implementation paradigms continue to be replicated within UNDP's approach to SSC-TrC. UNDP has the potential to do much more to increase complementarity and stretch the boundaries of cooperation and coordination between the two coexisting modalities of North-South and South-South development assistance. A second and closely related issue is the fragmentation of UNDP's approach to supporting SSC. The overall picture that emerges from the evaluation is one in which there is lack of overall coherence regarding UNDP's work in SSC-TrC, both in terms of its on-the-ground support and in the wider realm of knowledge management. The existing knowledge-sharing platforms related to SSC being promoted and utilized by UNDP are not yet fully managed to create the best possible synergies.

There is a fine line between appropriate adaptation to different contexts and what could be viewed as a reactive, fragmented or ad hoc approach on UNDP's part in relation to its work on SSC. The evaluation uncovered several examples of where different regional and country programmes each have had to 'reinvent the wheel' to some extent in relation to determining how to support SSC, as there is little corporate operational guidance or an overarching action plan under which to make consistent, strategic choices and investments in SSC-TrC approaches. UNDP has opportunities to further distinguish the different types of

TrC modalities and strategies that it offers and to finesse the range of approaches and specific effects that are required to work with different countries with diverse development needs and expertise to share.

Countries that are already emerging strongly on the world economic stage with considerable resources and strong international political and economic agendas are in a somewhat better position to move ahead with forging their own SSC linkages without much third party assistance from UNDP, but these countries still appreciate UNDP's continued capacity development efforts and encouragement of opportunities oriented towards crucial human development issues such as gender equality, environmental sustainability and inclusive economic growth.

Conclusion 4. There is no clear evidence of long-term sustainability of South-South initiatives supported by UNDP and the wider replication of the benefits is uneven. SSC-TRC initiatives, because of their voluntary nature and mutual-learning approach, demand high national ownership which is conducive to long-lasting results and stronger replication. However, sustainability has not always been factored in when designing SSC initiatives supported by UNDP, especially for short-term knowledge-based exchanges or information sharing. This shows a clear area for improvement where much attention needs to be paid to the follow-up effects of various South-South knowledge-exchange initiatives, either in direct implementation or in the policy arena. Neither is replication of these initiatives always evident, probably due to limited systematization and learning from previous experiences which, again, is linked to poor knowledge management in varied contexts. In some cases, however, national partners have taken full ownership over various capacity-building and/or innovation initiatives related to SSC and there has been considerable investment by them which is likely to continue. It may be too early, based on some of the evaluative evidence, to determine whether the benefits of current initiatives are in fact sustainable or

not, due in part to the fact that the initiatives are too varied, dynamic and complex and located within country and regional contexts that further influence potential success.

RECOMMENDATIONS

Recommendation 1. UNDP should develop a comprehensive corporate strategy for its support to SSC and TrC.

Following the decision of the 2012 quadrennial comprehensive policy review of the United Nations system for development, UNDP needs a fully articulated strategy to mainstream its support to SSC and TrC. This requires dedicated plans, tools, structures, resources, and incentive and accountability mechanisms that ensure its mainstreaming into the regular planning and programming activities for development. UNDP needs to embark on an iterative process of integrating SSC into its programming with the necessary budgeting, implementation and monitoring processes at national, regional and global levels.

UNDP still lacks a coherent corporate strategy with a clearly defined vision, priorities and practical approaches to support SSC and promote TrC. The corporate strategy would allow the organization to capitalize on its comparative advantages. Administrative and political leadership are needed to address this shortcoming.

The new strategy should help the organization position SSC as a key element contributing to enhanced national and local capacities for human development and the achievement of internationally agreed development goals, and a valid development cooperation modality relevant for programme countries. Working with a common definition is an important requirement for the development of a strategy. The definition can take the framework of operational guidelines on United Nations support to South-South and triangular cooperation as a basis and recognize the somewhat differentiated development

trajectory of Southern countries as a complement to the broad experience of international cooperation and as a relevant vehicle to address development challenges faced by developing countries. The strategy should help the organization operationalizing the *Southern perspective* to SSC based on the great importance given by UNDP to the principle of national ownership.

The human development perspective is another added value that UNDP brings to the global debate on SSC and TrC. Programme and donor countries value the people-centred approach of the proposition. The strategy should build on this comparative advantage and help develop the capacities of programme countries to maximize the benefits and impact of SSC and TrC in order to achieve their national goals, with special emphasis on the achievement of internationally agreed development goals. UNDP should promote further investment and engagement in *institutional capacity development* initiatives that have proved successful in the past to expand efforts of programme countries to engage in SSC. UNDP support should shift from the downstream level of direct involvement in implementing programmes to a capacity development and knowledge innovation as shown by the experiences of the thematic centres established in partnership with selected Member States. With this approach in mind UNDP can act as an enabler of substantive policy dialogue among developing countries to promote, enhance and advocate for a new global partnership for development. UNDP is viewed by many partners as an organization with the potential to offer new forms of advisory and institutional support related to SSC, and this must be reflected more strongly at the level of concrete interactions and methodology.

Based on its extensive presence UNDP should strengthen cross-regional knowledge exchange and improve its support to regional cooperation as important components of its approach to SSC. UNDP's ability to foster effective initiatives around regional integration was also seen positively in some regions and should be leveraged. The UNDP approach to SSC could gain

important spillovers from a dedicated strategy to support regional integration efforts.

Recommendation 2. Under the new corporate strategy for SSC, UNDP will need to clarify its corporate structure and define more precisely its operational approaches and guidance for continued support to SSC-TrC.

In conjunction with the need for a corporate strategy as noted under Recommendation 1, UNDP should clearly establish the roles and responsibilities within its operational structure to implement its strategy and to coordinate the efforts made by programme units at global, regional and country levels. Concretely, strengthening and further delineating the distinctive accountabilities, and functions of UNDP support to SSC and TrC, can greatly benefit on going work in having a more coherent approach to supporting SSC and TrC.

There is a need to operationalize in stronger and more coherent ways UNDP's support to SSC-TrC. UNDP needs to restructure incentives and reform internal management and operational systems to discourage top-down approaches to SSC and facilitate enhanced country ownership. UNDP should introduce planning and operational procedures that streamline and fully mainstream SSC within its programmes. While recognizing the continued advantages in some instances of a projectized approach to SSC-related programming, UNDP should consider developing more flexible and agile mechanisms to respond to rapidly evolving needs of programme countries for exchange of knowledge and technology.

Support to SSC at country level. UNDP supports the Resident Coordinator system encompassing all organizations of the United Nations system dealing with operational activities for development, regardless of their formal presence in the country and in that capacity should enhance its efforts in support to a more coordinated and cohesive support to SSC and TrC initiatives demanded to the UN by programme countries on the ground. UNDP

support to SSC at country level should be undertaken in an integral and cooperative way with the UN development system. UNDP should intensify its cooperation and adopt collaborative approaches to support country-level development initiatives, in alignment with the United Nations Development Assistance Framework to establish and/or improve mechanisms to promote knowledge sharing through SSC or triangular schemes. This implies that the UN system and specifically UNDP should respond to the diverse priorities, visions and demands of UN Member States regarding SSC. This highlights the emerging role of the important mechanism of triangular cooperation in which neutral third party funders/supporters can play a brokering or facilitation role for demand-driven, inter-country and country-owned sharing of expertise, knowledge and/or technology.

The recent renaming of the Special Unit serves to positively reinforce its broader role as an office in the UN system and should help reduce some of the ambiguity regarding its exact relationship with UNDP as its host agency. A re-examination of the existing division of labour and responsibility between UNDP and the UNO-SSC is needed for improved coordination and synergy. UNDP's extended country presence and operational capacity should benefit from the convener role played by the UNO-SSC which enables various UN legislative bodies to make inform decisions on SSC and TrC. The link between the normative side, represented by the UNO-SSC and the operational side, represented by UNDP, of the UN support to SSC and TrC should be mutually reinforcing. UNO-SSC had a very broad mandate and a thin resource endowment, both human and financial, and, as mentioned repeatedly by Member States, it requires further institutional strengthening. At the same time, the UNO-SSC still has to forge its own, parallel and complementary approach, building on past successes while at the same time rethinking its relationship to UNDP. Now that it is clearly identified as a UN office, there should be less confusion and also more opportunities for the

unit to define new and improved institutional working relationships and synergies with UNDP.

Recommendation 3. Knowledge management, which was a critical component of previous cooperation frameworks, needs to be addressed in a more systematic and coherent manner. UNDP should undertake an earnest review of experiences of SSC and TrC for the achievement of internationally agreed development goals and reinforce its mandate to support the capacity development of programme countries. UNDP needs stronger information system in support to SSC and TrC. Starting with a single repository of recorded efforts in support of SSC and TrC that is easily accessible it needs to distil lessons learned from current practices and approaches within country and regional programmes. Important lessons can be drawn from successful and unsuccessful experiences and ensure they are systematically disseminated throughout the organization. UNDP should be able to support programme countries to scale up successful SSC initiatives. For that, it needs to improve its capacity to learn from past experience. How to facilitate the complementarity of approaches between SSC and traditional North-South cooperation in which the UN in general and UNDP in particular should be an important and critical player is a necessary consideration. The UNO-SSC has developed innovative platforms for knowledge sharing that should also be used more systematically by UNDP on a corporate-wide basis.

Recommendation 4. UNDP should intensify its information sharing, reporting and evaluation on support to and results achieved through SSC and TrC. UNDP needs to continue to strengthen its approaches to *performance reporting* for SSC-related work, as well as towards the *monitoring and evaluation* of SSC and TrC contributions to development results. Many results observed during the evaluation had an emphasis on short-term benefits, showing the need for more clearly articulated theories of change during the design phase of the support. More robust M&E frameworks should be developed for any programmes or initiatives related to SSC that are supported

by UNDP, with the aim of documenting and extracting lessons and best practices for further replication. The current results framework for SSC with the explicit reference to outputs, indicators and targets should be considerably improved. First, the outputs should refer to the efforts undertaken by UNDP programme units at regional and national level, leveraging the network of country offices and regional service centres in support of SSC and not rely on the implementing capacity of the UNO-SSC. Second, the relationship between outputs, indicators and targets should be tightened. Finally, there needs to be more clarity about the benchmarks and the way to measure progress in a cohesive and meaningful way against expected outcomes. UNDP is making significant efforts to improve its approach to capturing progress through the results-oriented annual reports. The organization needs to continue strengthening its results-based-management with regard to its support to SSC. It made important progress in capturing the quantity of supported initiatives. UNDP can now move into capturing and analysing the quality of SSC initiatives for the achievement of development results. UNDP needs to pay more attention to the impact pathways of SSC and TrC initiatives and the sustainability of its benefits.

Recommendation 5. UNDP should clarify its financial commitment with regard to its support to SSC-TrC. UNDP does provide financial and in-kind support to SSC and TrC that is not fully accounted for and/or recognized. UNDP does not collect financial information on SSC-supported initiatives other than its regular contribution to the UNO-SSC. Most of its financial contribution is integrated into programme at either global, regional or country level. UNDP should improve its accounting mechanisms to take stock of the current support being provided to SSC through programme resources.

Country offices need to include resources to support SSC and TrC initiatives into their regular programmes. In practice initiatives that have not been planned within a programme or project are not likely to be supported, as there are no

earmarked resources for the support of SSC at country or regional level. This is one of the aspects that hinder UNDP flexibility in response to increasing demand. Programme countries expect UNDP to allocate counterpart or seed-money to launch joint strategies and pilot initiatives. For example, the new partnership strategy, which aims to strengthen the relationship with middle-income countries, requires financial resources for its implementation that currently need to be mobilized through programme resources.

The UNDP Executive Board may want to consider increasing its financial commitment to SSC-TrC as a key aspect of a renewed corporate approach. There is a need to address the current imbalance between stated ambition and financing. Specifically, the 0.5 percent of UNDP core resources allocated to SSC (all of which now go directly to support the UNO-SSC) should be re-examined to find ways for more funds to be directly available for use at the country and regional levels for SSC-related programming. The Executive Board may consider increasing funding and resource allocation to support SSC and TrC to be aligned with increasing demand from programme countries.

Chapter 1

INTRODUCTION

1.1 BACKGROUND

The UNDP Executive Board approved the evaluation of UNDP contribution to South-South and triangular cooperation in decision 2011/16 as part of the UNDP Evaluation Office proposed programme of work for 2012. As outlined in the UNDP Evaluation Policy,[1] *South–South programme evaluations* assess the performance and intended and achieved results and are envisioned to reinforce the substantive accountability of UNDP to the Executive Board, while contributing to the preparation and approval of the next programme.

The purpose of the evaluation is to inform decision-making and provide evidence-based inputs for the deliberations of the Executive Board on how to strengthen UNDP's role in facilitating and promoting South-South cooperation (SSC) and triangular cooperation (TrC). The evaluation findings will provide substantive inputs to the UNDP Strategic Plan 2014–2017 and the Fifth Cooperation Framework for South-South Cooperation 2014–2017, to be presented to the UNDP Executive Board.

1.2 OBJECTIVES OF THE EVALUATION

The primary objectives of the evaluation were to: assess the relevance, effectiveness, efficiency and sustainability of UNDP support to the achievement of development results through South-South cooperation and clarify the added value of UNDP and its comparative advantage in promoting more effective solutions to development challenges through South-South cooperation.

As this is the second evaluation on the topic conducted by the Evaluation Office, the evaluation also aimed to assess the extent to which the recommendations from previous evaluations[2] were taken into account. Finally, the evaluation aimed to provide actionable recommendations with respect to UNDP strategies and approaches to strengthen South-South cooperation and triangular cooperation.

1.3 SCOPE OF THE EVALUATION

The frames of reference for the evaluation are the UNDP Strategic Plan[3] and the Fourth Cooperation Framework for South-South Cooperation, both approved by the Executive Board of UNDP in 2008[4]; the evaluation covered the time period stipulated by these documents: 2008 - 2011.

The Strategic Plan identified the Fourth Cooperation Framework for South-South Cooperation as the document that "establishes and elaborates on the specific elements of the UNDP approach to South-South cooperation". The implementation

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1. Executive Board of the United Nations Development Programme, 'Decision 2011/3 Evaluation Policy', 3 February 2011. In 'Decisions adopted by the Executive Board 2011 (DP/2012/2)'.

2. UNDP Evaluation Office, 'Evaluation of UNDP Contribution to South-South Cooperation', New York, December 2007.

3. Executive Board of the United Nations Development Programme, 'UNDP Strategic Plan, 2008-2011 Accelerating Global Progress on Human Development*', Updated pursuant to decision 2007/32 (DP/2007/43/Rev.1). New York, May, 2008.

4. Executive Board of the United Nations Development Programme, 'Draft Fourth Cooperation Framework for South-South Cooperation (2009-2011)' (DP/CF/SSC/4/Rev.1), New York, July 2008. The framework was later extended until 2013 by the Executive Board to coincide with the Quadrennial Comprehensive Policy Review of UN operational activities for development.

of the Fourth Cooperation Framework for South-South Cooperation relied on the Special Unit for South-South Cooperation (SU-SSC)[5] as the 'focal point' for South-South cooperation in UNDP. The role of the Special Unit and the coordination mechanisms with UNDP are treated in a specific section of the evaluation report.

The evaluation was global, as the Strategic Plan indicates that South-South approaches should be mainstreamed throughout UNDP focus areas at the global, regional and country levels, and the facilitation of South-South and triangular cooperation initiatives should take place within and across the five regions in which UNDP operates.[6]

The time period under examination was one in which the global financial and economic crisis took place and new challenges and opportunities for SSC have arisen – the contributions of countries of the 'Global South' to development cooperation has changed, in addition to non-state actors, such as civil society organizations, including the private sector. This context was taken into consideration and UNDP response within this context was examined.

1.4 EVALUATION QUESTIONS AND CRITERIA

The evaluation was guided by the following two sets of questions, the first referring to the relevance of UNDP approach and the second to its performance in support of South-South and triangular cooperation:

a. Has UNDP played a relevant role in assisting programme countries to address their own development challenges, based on South-South cooperation? Was UNDP support to SSC and TrC based on a Southern perspective? Has UNDP responded appropriately to the dynamic context of international development cooperation by adjusting its role and approaches to strengthen South-South and triangular cooperation?

b. To what extent has UNDP rendered such assistance in an effective, efficient and sustainable manner and yielded results from a human development perspective?

The fundamental basis for South-South cooperation is that countries of the South drive the approach. Thus, the evaluation assessed the extent to which UNDP supported South-South and triangular cooperation respecting the principles outlined by the Buenos Aires Plan of Action[7] for technical cooperation among developing countries: national ownership, equality, mutual respect, national sovereignty, mutual benefit, non-conditionality and solidarity.

Following the inception phase a clear evaluation framework with key issues, specific evaluation questions and sources of information was developed to guide the broad lines of enquiry, as described in the terms of reference presented in Annex 1. The evaluation framework was designed to incorporate a range of UNDP initiatives pertaining to UNDP support to SSC and TrC that were not fully covered by the Fourth Cooperation Framework, particular in reference to UNDP efforts to mainstream its support to SSC. The results framework for the Fourth Cooperation Framework identified outcomes and indicators that were mainly under the responsibility of the Special Unit for SSC. The evaluation framework developed was thus wider in its approach and included UNDP initiatives at regional and

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5. The Special Unit for South-South Cooperation has been renamed the United Nations Office for South-South Cooperation (UNO-SSC) in 2012 and will be referenced with its new name throughout the report. UN General Assembly. A/67/39 New York, September 2012. Decision 8. p.3.

6. UNDP operates in Africa, Asia and the Pacific, the Arab States, Europe and the Commonwealth of Independent States and in Latin America and the Caribbean.

7. United Nations Conference on Technical Cooperation among Developing Countries, 30 August-12 September, 1978, Buenos Aires, Argentina, and UN General Assembly Resolution 33/134.

national level in support to SSC and TrC. In the final analysis, a synthesis was conducted to bring together all the available data pertaining to the two results frameworks contained in the Strategic Plan and in the Fourth Cooperation Framework for SSC, from regular reports and from the evaluation itself. These summaries can be found in Annex 8.

1.5 METHODOLOGY

The evaluation of UNDP contribution to SSC and TrC employed a mixed-method approach to generate a more comprehensive picture of the subject under evaluation by combining complementary kinds of data coming from primary and secondary sources to generate a robust basis for evidence and to enhance the rationale behind findings. Thus methods used included desk review, semi-structured interviews with a variety of stakeholders and expert informants, country visits and meta-analysis of existing evaluations.

The evaluation team conducted semi-structured interviews with senior staff at UNDP headquarters and other UN system entities, with Resident Representatives and programme staff of selected Country Offices, with a select number of Members States permanent missions to the United Nations who were members of the Bureau of the High Level Committee on South-South Cooperation senior staff of regional service centres and thematic centres, and with representatives engaged in South-South cooperation, at national level including government line ministries and, in few cases, representatives from civil society including the private sector. The evaluation was informed by over 290 interviews with stakeholders at the country, regional and headquarters levels as presented in Annex 3. Evaluation team members attended the 17th session of the HLC on SSC and the 2012 Global South-South Development Expo.

The evaluation undertook a desk review of extensive programme documentation, UN General Assembly Resolutions and UNDP Executive Board decisions in addition to numerous progress reports, regular monitoring data, academic papers and institutional reports (See Annex 2).

Country briefs were prepared for each country visited gathering national efforts on SSC, initiatives with UN engagement on SSC and the UNDP reported activities in support for SSC and TrC. The briefs were used for triangulation of information at country and regional level.

The meta-analysis was utilized to broaden the information available from the country visits and to crosscheck for similarities and differences in approaches supported by UNDP. The meta-analysis included a review of 18 thematic evaluations and 48 Assessments of Development Results, the country-level evaluations of UNDP contributions to development results, conducted by the Evaluation Office between 2008 and 2012.

The evaluation also conducted a review of the UNDP administrative records, including financial information and the South-South cooperation section of the Results Oriented Annual Report system (ROAR) 2008-2011, the self-reporting system of UNDP presented in Annex 5.

The evaluation identified a sample of 13 countries to gather in-depth information on UNDP support to SSC and triangular cooperation at the country level. The country visits were identified utilizing the following criteria for selection: 1) a high level of activity in South-South cooperation; 2) regional balance; 3) at least one country in each region with geographical or special development constraints (Less Developed Country or Small Island Developing State).

The evaluation chose to identify countries that are highly active in SSC because this is aligned with the fundamental principles of SSC. However, it has to be recognized that this may skew the results: countries that are less active may have very different characteristics with respect to UNDP's role. The evaluation utilized UNDP and UN documentation to identify countries where UNDP was actively supporting SSC. The sample

of countries included: in Asia and the Pacific: Cambodia, China, and Thailand; in Africa: Gabon, South Africa, and Tanzania; in Europe and the Commonwealth of Independent States: Turkey; in Arab States: Morocco and Tunisia; and in Latin America and the Caribbean: Brazil, Colombia and Haiti.

The regional centres in Bangkok and Johannesburg were also visited and phone conversations with the regional centres in Panama and Bratislava were undertaken. Seoul, Republic of Korea, was visited in relation to the newly established UNDP centre of excellence in partnership with the South Korean government. The mission to China also included a visit to Shanghai where the South-South Gate platform is hosted. Information from visits to Cairo, Bratislava, and Brasilia was also collected from a concurrent evaluation being conducted by the UNDP Evaluation Office.

ANALYSIS AND VALIDATION

The evaluation used systematic measurement procedures, including well-defined protocols and structured methods for ensuring consistency in primary data collection and extensive cross-validation to rule out competing hypotheses (See Annex 6). Systematic qualitative data analysis techniques were used and extensive discussions within the evaluation team and with various stakeholders took place to ensure the reliability and validity of generated information, and to enhance balance in perspectives and interpretations.

The evaluation benefited from internal and external quality assurance mechanisms at various stages of the evaluation process, including the establishment of an external advisory panel of development experts.

1.6 LIMITATIONS

The evaluation team faced a number of limitations while conducting the evaluation in addition to the usual constraints of time and resources. This section presents the main limitations and describes the way in which these were addressed to come out with a credible evaluation report.

DEFINITIONAL ISSUES

The lack of an international definition and agreed terminology associated with "South-South cooperation" presented challenges to the evaluation. Despite efforts made by many organizations at mainstreaming South-South cooperation into their work and operational activities, lack of understanding of the definition and concept of SSC and triangular cooperation, and of the differentiation between the regular technical cooperation programmes and those dealing specifically with South-South cooperation remain problematic[8].

Evaluation design addressed the lack of clarity in SSC and TrC agreed definitions. For the purposes of this evaluation, which is prepared from the perspective of UNDP, the concept of SSC will be used to refer to 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*. The concept of triangular cooperation, which refers to the support provided by developed countries, international organizations and civil society to developing countries, will be further expanded in section 2.1. Both definitions used in the evaluation are from the Nairobi Outcome Document[9].

The more specific and somewhat narrower concept of SSC-TrC will be used to refer to initiatives that take the form of technical cooperation programmes supported by development

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8. United Nations Joint Inspection Unit. 'South-South and Triangular Cooperation in the United Nations System', Geneva 2011.

9. 'Nairobi Outcome Document of the High-Level United Nations Conference on South-South Cooperation', adopted by the UN General Assembly in resolution 64/222 (2010).

cooperation agencies such as UNDP (at the request of programme countries) to promote and enhance knowledge exchanges and capacity development among Southern partners for collective self-reliance in support to national development goals. Strictly speaking, agencies such as UNDP are engaging in some form of TrC when they function as 'third party' supporters, funders, brokers or facilitators of horizontal cooperation arrangements between developing countries.

DATA AVAILABILITY AND SCOPE

The limited monitoring and evaluative evidence on efforts of UNDP and the Special Unit to facilitate South-South Cooperation presented challenges to assessing performance. UNDP has not systematically tracked financial contributions in support of South-South cooperation other than those provided to the Special Unit for South-South cooperation.

The data collected was not statistically representative and the evidence provided was mainly based on self-assessment. No external studies or evaluations of outcomes or the utility of each service or tool developed in this area have been conducted. This was partially overcome by triangulation through the visits to the sample of countries and consultations with national sources and reference to government documentation.

The evaluation was conducted between May and December 2012 and there was not enough time or resources allocated to evaluate all UNDP

individual contributions to SSC and TrC particularly at the national and regional levels.

Despite these limitations, the evaluation could be validated through a process of engagement with stakeholders leading to the finalization of the evaluation. The evaluation made pragmatic decisions about how to measure performance while taking into account the myriad of definitions and perspectives. The evaluation team maximized the use of available information and best efforts were made to address the evaluation questions based on a judicious use of evidence, triangulation and analysis.

1.7 STRUCTURE OF THE REPORT

The report has five chapters. Following the Introduction, Chapter 2 provides definitions of South-South and triangular cooperation and an overview of the development context in which UNDP has been operating over the 2008-2011 period, which is key to understanding the dynamics and discussions on SSC. Chapter 3 discusses the operationalization of the concept of SSC within the UN system, and UNDP in particular and analyses the resources available to support SSC and TrC. Chapter 4 presents a synthesis of progress made since the last evaluation and the evaluation's main findings of UNDP global, regional and country work in support of SSC, and in a separate section the chapter discusses the findings pertinent to the Special Unit. Chapter 5 presents conclusions of the report and the recommendations.

Chapter 2

SOUTH-SOUTH AND TRIANGULAR COOPERATION IN A CHANGING DEVELOPMENT CONTEXT

Chapter 2 describes the historical evolution of the concept of SSC and TrC over recent years and clarifies how these concepts are defined and then applied for the purposes of this evaluation. The chapter provides an overview of the development context in which UNDP has been operating from 2008 to 2011, which is key to understanding the dynamics and discussions on SSC and TrC. It also describes the UN's history of involvement in SSC and the ways in which recent changes in the global aid and development context directly influence both current and future approaches to SSC and TrC.

2.1 CONCEPTS OF SOUTH-SOUTH AND TRIANGULAR COOPERATION

SSC and TrC have become, over the last several decades, prominent components of the complex architecture of development cooperation in which governments, multilateral agencies, regional organizations, non-governmental organizations and the private sectors intersect.

The *broad concept of SSC* refers to the processes, institutions and arrangements designed to promote political, economic and technical cooperation among developing countries in pursuit of common development goals. It is *multidimensional* in scope as it encompasses trade, finance and investment

as well as the exchange of knowledge, skills and expertise among developing countries[10]. Furthermore it *addresses a vast terrain of initiatives* in areas such as health, education, infrastructure, agriculture, and environmental, scientific, technical and political fields. The pooling of capacities among developing countries may take place at regional, interregional, subregional and subnational levels. According to the UN High Level Committee on SSC, "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. SSC should not be seen as official development assistance. It is a partnership among equals based on solidarity"[11].

Distinctions between SSC and traditional official development assistance (ODA) are needed. One emerging distinction revealed that countries of the South providing assistance tended to use a multi-pronged development strategy, incorporating trade, investment and technical cooperation. Such assistance included concessional loans, grants, lines of credit and technical assistance, as well as support channelled through multilateral institutions[12].

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10. United Nations Conference on Trade and Development, 'Economic Development in Africa 2010: South-South Cooperation: Africa and the New Forms of Development Partnership', Geneva, June 2010.

11. United Nations, 'Resolution Adopted by the General Assembly: Nairobi Outcome Document of the High-Level United Nations Conference on South-South Cooperation', (A/RES/64/222), February 2010.

12. United Nations, Report of the Secretary General, 'The State of South-South Cooperation', (A/66/229), New York, August 2011.

SSC and TrC are *not* synonymous. The Nairobi Outcome Document referred to *triangular cooperation* as: "…support provided by developed countries, international organizations and civil society to developing countries, upon their request, in improving their expertise and national capacities through triangular cooperation mechanisms, including direct support or cost-sharing arrangements, joint research and development projects, third-country training programmes and support for South-South centres, as well as by providing the necessary knowledge, experience and resources, so as to assist other developing countries, in accordance with their national development priorities and strategies".[13]

TrC has gained significant momentum within the multilateral environment as an innovative approach to promote and support partnerships between developing countries. The Organisation for Economic Co-operation and Development (OECD) defined TrC as partnerships between Development Assistance Committee (DAC) traditional donors and pivotal countries (providers of SSC) to implement development cooperation programmes/projects in beneficiary countries (recipients of development aid).[14]

The High-level Committee on SSC in its seventeenth session held in New York in 2012 approved the framework of operational guidelines on UN support to SS and TrC as a living document. The document provides the following operational definition of SSC: "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". It is worth noting the emphasis on capacity development objectives of this definition for its operationalization within the UN development system.

2.2 EXPANDING GLOBAL ROLE OF SOUTH-SOUTH TRADE AND INVESTMENT

The political sphere has been an area of major South-South initiatives but economic initiatives are now coupling the political agreements. Countries of the so-called 'global South' have experienced unprecedented growth in the last decade based upon fast expansion of exports and the growing current account surpluses[15]. In Asia, increased transfers in investment and technology of export-oriented transnational corporations have taken place. In Latin America and Africa, the accelerated rise of commodity prices and decreasing costs of external financing became crucial to reverse the previous payment deficits and open the doors to positive growth rates. These developments as well as the expansion of foreign direct investment and strong trade surpluses have contributed to unprecedented accumulations of reserve holdings in many cases. Many countries undergoing rapid development have also benefited from the increased importance of foreign remittances; these maintained an upward trend for many years until the recent crisis in the economies of industrialized countries[16].

Asian and Latin American countries undergoing rapid industrialization and economic growth have expanded their direct investments flows into other developing countries, particularly those rich in

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13. United Nations, 'Resolution Adopted by the General Assembly: Nairobi Outcome Document of the High-Level United Nations Conference on South-South Cooperation', (A/RES/64/222), February 2010.

14. OECD, 'Triangular Cooperation and Aid Effectiveness,' paper prepared by Talita Yamashiro Fordelone for the Policy Dialogue on Development Cooperation (Mexico City, 28-29 September 2009), p. 4.

15. Akyüz, Yilmaz, 'What Explains the South's Recent High Growth – And Can It Continue?', *SouthViews*, No.30, August 2012.

16. Ibid

natural resources. Foreign direct investment among developing countries rose to 16 percent of the world total in 2010, representing an estimated of $210 billion, surpassing the previous 2008 record of $187 billion[17]. The outstanding economic performances of China and India, have led to an unprecedented net of connections between Asia and the developing world in production, trade and investment thus indicating a new equilibrium in the international system. Latin America, though far from replicating the Asian dynamism, has experienced similar tendencies. The expanded regional economic presence of Brazil has added to a steep increase in commercial flows of hydrocarbons of Bolivia, Colombia, Ecuador and Venezuela, and to the gradual increase of intra and extra-MERCOSUR exchanges[18]. Optimistic predictions hold that South-South trade could reach and even surpass North-North trade as early as 2017[19]. In fact, recent analysis on world GDP growth reveals that even though global rates shall decrease from 2.7 percent to 2.3 percent in 2012, the figures for developing economies are expected to be far less gloomy than those shared by the advanced economies[20].

A key example of the recent intensification of South-to-South investment flows is that, in 2000, the Forum on China-Africa Cooperation (FOCAC) was initiated, and it became an important platform for dialogue between China and African countries and an effective mechanism for pragmatic cooperation in the new circumstances. China's financial resource for foreign aid has increased rapidly, averaging 29.4 percent from 2004 to 2009. In August 2010, the Chinese Government held the National Conference on Foreign Aid to summarize its experience of foreign aid work, and define the major tasks for strengthening and improving foreign aid in new circumstances. China's foreign aid thus entered a new stage. China's foreign aid falls into the category of South-South cooperation and is mutual help between developing countries.[21]

China offers foreign aid in eight forms: complete projects, goods and materials, technical cooperation, human resource development cooperation, medical teams sent abroad, emergency humanitarian aid, volunteer programmes in foreign countries, and debt relief.[22] Financial resources provided by China for foreign aid mainly fall into three types: grants (aid gratis), interest-free loans and concessional loans. The first two come from China's state finances, while concessional loans are provided by the Export-Import Bank of China. By the end of 2009, China had provided a total of 256.29 billion yuan in aid to foreign countries, including 106.2 billion yuan in grants, 76.54 billion yuan in interest-free loans and 73.55 billion yuan in concessional loans.[23] China's cooperation is provided mainly through bilateral channels.

As noted above, along with China and many other countries, India has also emerged as a major leader in key global and South-South cooperation initiatives.[24] India is actively sharing its experience and

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17. Joint Inspection Unit, Op cit, p. 4.

18. ECLAC, 'Boletín estadístico: Comercio Exterior de Bienes en América Latina y el Caribe', Boletín número 3, segundo trimestre de2011, p. 5.

19. ECLAC, 'Actividades del Sistema de la CEPAL durante el bienio 2010-2011 para promover y apoyar la Cooperación Sur-Sur', Trigésimo Cuarto Período de sesiones de la CEPAL, San Salvador, August 2012.

20. UNCTAD, 'Trade and Development Report, 2012', (UNCTAD/TDR/2012), New York and Geneva, 2012, p. 2.

21. Government of China, 'Full text: China's Foreign Aid,' accessed on 18 July: <http://english.gov.cn/official/2011-04/21/content_1849913_3.htm>

22. Government of China, 'Full text: China's Foreign Aid,' accessed on 18 July: <http://english.gov.cn/official/2011-04/21/content_1849913_5.htm>

23. Government of China, 'Full text: China's Foreign Aid,' accessed on 18 July: <http://english.gov.cn/official/2011-04/21/content_1849913_4.htm>

24. United Nations Development Programme, Country Programme Document 2013-2017; DP/DCP/IND/2; March 2012.

good practices through South-South as well as triangular cooperation and this agenda is expected to grow significantly in the coming years.[25]

The Indian Technical and Economic Cooperation (ITEC) programme was launched in 1964 as a bilateral programme of assistance of the Government of India; it is part of the Ministry of External Relations. Being essentially bilateral in nature, ITEC is about cooperation and partnership for mutual benefit with emphasis on capacity-building, transfer of technology and sharing of experiences. It is focused on addressing the needs of developing countries. Under ITEC and its corollary SCAAP (Special Commonwealth Assistance for Africa Programme), 158 countries in Asia and the Pacific, Africa, Latin America and the Caribbean and East and Central Europe are invited to share in the Indian development experience, acquired since its Independence. It has six components, viz. (i) training (civilian and defence) in India of nominees from ITEC partner countries; (ii) projects and project-related activities such as feasibility studies and consultancy services; (iii) deputation of Indian experts abroad; (iv) study tours; (v) gifting/donation of equipment; and (vi) aid for disaster relief. The training programmes have contributed to capacity-building and human resource development in many parts of the world. The ITEC/SCAAP programme is a visible symbol of India's role and contribution to South-South Cooperation.[26]

The India Least Developed Countries (LDC) Ministerial Conference at New Delhi "acknowledged the need to reinvigorate the United Nations development system in supporting and promoting South-South cooperation, and to this effect urge the United Nations funds, programmes and specialized agencies to take concrete measures to mainstream support for South-South and triangular cooperation to help developing countries, at their request, to develop capacities to maximize the benefits and impact of South-South and triangular cooperation in order to achieve their national development goals and internationally agreed development goals, including the MDGs".[27]

While broadening and deepening the scope of their commitments to other developing countries, emerging economies have crafted innovative forms of inter-governmental collaboration. Especially noteworthy (in terms of size and scope) are the India-Brazil-South Africa (IBSA) and Brazil-Russia-India-China-South Africa (BRICS) groupings. IBSA has opened space for an affirmative multilateralism, intra-South political coordination, and a collective voice of solidarity towards the developing world. It has evolved into an institutional framework based on 16 working groups and an IBSA trust fund facility for the alleviation of hunger and poverty that comprises a set of SSC initiatives focusing on social inclusion, educational opportunity and economic empowerment[28]. The BRICS group has worked together to promote a more inclusive structure of global governance and defended the need of an expanded influence of emerging markets and developing countries in world affairs. During the years 2003-2010, BRICS countries accounted for more than 40 percent of the world GDP growth; together these countries represent 43 percent of the world population and are responsible for one-quarter of the global economy and 15 percent of world exports. BRICS has achieved concrete collective results, such as the increase in voting rights and quotas within the International Monetary Fund (IMF) and World

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25. United Nations Development Assistance Framework India 2013-2017

26. Official Website of the Government of India, accessed on 29 July 2012: <http://itec.mea.gov.in/>

27. UNDP India, South-South Cooperation Website, accessed on 29 July 2012: <http://www.undp.org/content/india/en/home/ourwork/south-south_cooperation/>

28. The IBSA Trust Fund (managed by the SU) has supported initiatives across the globe; among examples are: Development of Agriculture and Services to Rural Communities, and Support for Lowland Rehabilitation and for Agro-Processing both in Guinea-Bissau; Refurbishment of Health Care Infrastructure, and Provision of Safe Drinking Water through Water Desalinization in Cape Verde; Strengthening Burundi's Infrastructure and Capacity to Combat HIV/AIDS in Burundi; and Irrigation of Nam Sa Technical Study and Formulation, among others.

Bank. The group has also reached consensus regarding ambitious future projects, such as the creation of a Southern Development Bank.

2.3 NEW PLAYERS AND APPROACHES IN SSC

The recent boom of SSC undertakings and initiatives has been triggered by a wave of political intra-South enthusiasm intertwined with high growth rates and the notion that innovative associations between developing countries can be an effective vehicle to access global, regional and national public goods. Southern exchanges of knowledge and capacities have escalated based upon social, economic and institutional accomplishments related to agriculture, health, education, infrastructure, housing and other forms of social and economic goods and services. Another emerging dimension of South-South cooperation is that of so-called 'east-east' cooperation, which, although not formally recognized, is still an expanding area in terms of technical and strategic exchanges between the countries of Eastern Europe, the Middle East and Central Asia. These countries share similar socio-cultural, religious, linguistic, historical and/or political characteristics that support highly productive and useful sharing of expertise, investment and resources.

SSC has become an active component of the external cooperation, trade and investment agendas of an increasing number of countries, such as: Argentina, Brazil, Chile, China, Colombia, Costa Rica, Cuba, Egypt, Ghana, India, Indonesia, Malta, Malaysia, Mauritius, Mexico, Morocco, Nigeria, Pakistan, Peru, Singapore, Senegal, South Africa, Thailand, Trinidad and Tobago, Tunisia and Turkey[29]. South-South partnerships, whether related to trade, investment, humanitarian assistance or social development, are eclectic and multicultural. The Arab States discussion on SSC presents two scenarios where part of the countries see themselves in the SSC bloc, while others particularly the Gulf Net Contributor Countries see themselves as part of the TrC kind of cooperation. Their institutional frameworks are highly diverse and may or may not take place through independent national agencies for international cooperation. For example, SSC activities are managed through designated, specialized agencies by the governments of Turkey, Colombia Brazil, China, the Republic of Korea, and Thailand. In Brazil, the Brazilian Agency for Cooperation (ABC) is part of the Foreign Ministry. In China, SSC follows a decentralized pattern in which three ministries (Foreign Affairs, Science and Technology, and Commerce) play leading roles.

Modalities of country-driven SSC vary according to national policies and priorities for the countries involved. For instance, China provides cooperation mainly through bilateral ties, whereas South Africa has shown a strong inclination towards triangular arrangements with multilateral agencies. A significant number of Latin America, Asian and African countries, however, have also welcomed TrC arrangements made with traditional bilateral, northern donors to support their SSC efforts. The sharing of good practices has also expanded at the subnational level among provinces, municipalities and cities. Defined as decentralized partnerships, this modality of cooperation has become a pathway to overcome inter-state conflict agendas in border regions as a crucial tool in bilateral confidence-building negotiations[30].

It is difficult to estimate the real size of SSC exchanges. Many countries do not report South-South cooperation in ODA reports and because of the lack of an internationally accepted definition of South-South cooperation, even when official accounts of ODA include SSC these reports may not be consistent across countries.[31] In 2010, worldwide SSC financial resources were estimated between $13.0 billion and $14.8 billion, with positive prospects for 2011. Southern countries

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29. Ibid, p. 4.

30. SEGIB Report on South-South Cooperation in Ibero America 2011. Madrid, November 2011.

also vary procedures in matters of budget and financial routines, institutional frameworks and methodological approaches. SSC may take the form of grants, trade preferences, loans and debt relief, technical and knowledge replications and humanitarian assistance. Southern partnerships are usually carried forward with limited financial means; their costs and financial mechanisms follow different criteria, in accordance with the national policies of participating countries.[32]

Capacity and resource constraints have not prevented a wide range of countries from making a relevant contribution to SSC in the exchange of knowledge and capacity-building for social and economic growth. Examples include: Cuba, which in spite of its own economic constraints is a major partner in Latin America and the Caribbean in the provision of health partnerships; Thailand, which is an active provider of technical assistance for climate change adaptation in the agricultural and water sectors; Mexico and Chile, both active partners in natural disaster mitigation and relief efforts; China through infrastructure and energy; Turkey via economic infrastructure; Brazil in agriculture and food security; and India around initiatives to combat rural poverty. Timor-Leste, Egypt, Tunisia and other countries undergoing transition to democratic, multiparty systems have been able to both receive and offer extensive technical support in the electoral processes.

A basic premise underlying SSC is that all countries, regardless of their current economic development status, have something both to offer and to gain via these types of horizontal investment, trade, technical and/or expertise exchanges. There is also the broader idea of political solidarity in which it is considered that the G77 countries need to support each other to ensure that their perspectives, needs and values as part of the non-hegemonic 'global South' have to

be reinforced. SSC should be noted as an increasingly important area for humanitarian assistance programmes, where countries offer their technical and logistical support to nations experiencing severe economic and social deprivations, conflict situations or post-conflict reconstruction, transition to a free electoral process and/or recovery from natural disasters. Moreover, emerging economies such as China, Brazil, India and South Africa have in recent years reinforced solidarity ties with many developing countries by way of extensive debt relief and preferential trade concessions.

2.4 UN DEFINITIONS AND COMMITMENT TO SSC

The recent global-wide expansion of SSC as a country-driven phenomenon can be at least partly traced back to United Nations system involvement over the past several decades in facilitating Member States of the UN to formulate the appropriate definitions, modalities and tools. The first United Nations Conference on Technical Cooperation among Developing Countries (TCDC) was held at Buenos Aires in 1978. This conference is still viewed as a major milestone in the evolution of SSC as both a concept and a practical approach[33]. The famous Buenos Aires Plan of Action (BAPA), which resulted from the groundbreaking conference, underlined the link between regional integration and SSC, and it agreed that the involvement of the UN regional commissions and agencies was crucial in the promotion of intra- and inter-regional cooperation initiatives. Within the UN system, it should be noted that UNDP was mandated by BAPA as having a unique role as the focal point for promoting and supporting South-South cooperation in coordination with the Special Unit for SSC (see Chapter 3).

31. United Nations Department of Economic and Social Affairs, 'International Development Cooperation Report: Development Cooperation for the MDGs: Maximizing results', (ST/ESA/326), New York, 2010.

32. United Nations, 'Report of the Secretary-General, Quadrennial Comprehensive Policy Review of Operational Activities for Development of the United Nations System', (A/67/93-E/2012/79), New York, 11 June 2012, p. 52.

33. Special Unit for TCDC, 'The Buenos Aires Plan of Action', Buenos Aires, 12 September 1978.

The 1978 BAPA parameters still help guide UN system engagement with SSC, stressing that cooperation among developing countries follow the premises, conditions and objectives specific to their historical and political contexts, along with the needs and expectations which comply with the purpose of achieving and strengthening national and collective self-reliance. Any initiatives supported by the UN development system at the request of countries must therefore be carried forward according to the principles of respect to national sovereignty, national ownership and independence, equality, non-conditionality, non-interference in domestic affairs, irrespective of their size, level of development and social and economic systems. SSC-TrC as promoted and supported by the UN system must be demand driven, practiced on a voluntary basis, and centred upon the ideas of mutually beneficial results, shared confidence and solidarity[34].

BAPA established a broad UN-wide 'definition' or formulation of SSC as a manifestation of solidarity among peoples and countries of the South by way of partnerships, involving sharing of knowledge and experience, training, technology transfer, financial and monetary cooperation and in-kind contributions. At first it was strictly referred to as TCDC, but over time the basic concept of SSC slowly evolved (as noted in the previous section) to a wider and inclusive concept of multifaceted horizontal partnerships among Southern countries[35]. BAPA laid out the foundations of the High Level Committee (HLC) on TCDC as a subsidiary body of the UN General Assembly. The term SSC was used interchangeably with TCDC following Resolution 58/220 of 23 December 2003 by which the UN General Assembly changed the name of the HLC, reflecting the integration of technical and economic cooperation among developing countries.

Since BAPA, the UN system and its many agencies, funds and commissions have made an explicit and continued commitment to work for the enforcement of the broader SSC concept and definition and of key SSC-related outcomes on behalf of UN Member States. Most importantly, all major UN conferences and summits over the past several years in the economic, social and related fields which address some component of SSC, as well as all UN General Assembly resolutions specifically related to SSC and the UN's role in promoting it, acknowledge that SSC in its purest sense must be pursued as a responsibility of the developing countries themselves. The HLC-SSC consisting of the Member States of the UN, which meets formally twice a year to address SSC issues, is the lead intergovernmental body responsible to assure coherence and monitor the continued implementation of the BAPA principles within and outside of the UN development system.

The BAPA definition and principles have been repeatedly reiterated, affirmed and upheld by the UN system. The wording of the definition has evolved somewhat but remains consistent with BAPA over time. Examples of UN-sponsored forums include the High Level Plenary Meeting of the 65th session of the General Assembly regarding the Millennium Development Goals in 2010, numerous G77 and China Ministerial meetings, the Yamoussoukro Consensus on South-South Cooperation in 2008, and the Nairobi UN Conference on South-South Cooperation in 2009. The Nairobi Outcome Document in particular is considered an important follow-up political statement to the 1978 BAPA which restates and updates the main tenets 31 years later. Throughout all these key decisions and formulations on SSC, the UN and its specialized agencies, funds and programmes were mandated

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34. United Nations Conference on Technical Cooperation among Developing Countries, 30 August-12 September 1978, Buenos Aires, Argentina, and UN General Assembly Resolution 33/134.

35. United Nations, High Level Committee on the Review of Technical Cooperation among Developing Countries, 'New Directions for TCDC', New York, June 1995. See also Joint Inspection Unit, 'South-South and Triangular Cooperation in the United Nations System', (JIU/REP/2011/3), Geneva, 2011.

Box 1. South-South Cooperation Principles

a. South-South cooperation is a common endeavour of peoples and countries of the South and must be pursued as an expression of South-South solidarity and a strategy for economic independence and self-reliance of the South based on their common objectives and solidarity;

b. South-South cooperation and its agenda must be driven by the countries of the South;

c. South-South cooperation must not be seen as a replacement for North-South cooperation. Strengthening South-South cooperation must not be a measure of coping with the receding interest of the developed world in assisting developing countries;

d. Cooperation between countries of the South must not be analysed and evaluated using the same standards as those used for North-South relations;

e. Financial contributions from other developing countries should not be seen as Official Development Assistance from these countries to other countries of the South. These are merely expressions of solidarity and cooperation borne out of shared experiences and sympathies;

f. South-South cooperation is a development agenda based on premises, conditions and objectives that are specific to the historic and political context of developing countries and to their needs and expectations. South-South cooperation deserves its own separate and independent promotion;

g. South-South cooperation is based on a strong, genuine, broad-based partnership and solidarity;

h. South-South cooperation is based on complete equality, mutual respect and mutual benefit;

i. South-South cooperation respects national sovereignty in the context of shared responsibility;

j. South-South cooperation strives for strengthened multilateralism in the promotion of an action-oriented approach to development challenges;

k. South-South cooperation promotes the exchange of best practices and support among developing countries in the common pursuit of their broad development objectives (encompassing all aspects of international relations and not just in the traditional economic and technical areas);

l. South-South cooperation is based on the collective self-reliance of developing countries;

m. South-South cooperation seeks to enable developing countries to play a more active role in international policy and decision-making processes, in support of their efforts to achieve sustainable development;

n. The modalities and mechanisms for promoting South-South cooperation are based on bilateral, subregional, regional and interregional cooperation and integration as well as multilateral cooperation.

Source: Southern Centre, "South-South Cooperation Principles: An Essential Element in South-South Cooperation", November 2009.
At: <http://www.southcentre.org/index.php?catid=60%3Athe-south-and-global-governance&id=1231%3Asouth-south-cooperation-principles-an-essential-element-in-south-south-cooperation&lang=en&option=com_content&view=article>

as having a catalytic and supportive role in the enhancement of cooperative partnerships among developing countries mainly via UN support for and engagement with SSC-TrC.

For example, in the 2004 and 2008 Triennial Comprehensive Policy Review (TCPR) of operational activities for development of the United Nations system, the General Assembly urged the UN system to mainstream modalities to support SSC that would promote indigenous knowledge and know-how and technology in the South. It also emphasized the need to mobilize additional resources for enhancing SSC, including from the UN system and donors through the use of triangular cooperation. It highlighted that in spite of progress achieved, further efforts were required to better understand the approaches and potential of SSC to enhance the development effectiveness, including through national capacity development[36]. In the TCPR 2008, the General Assembly for the first time linked SSC to the achievement of internationally agreed development goals including the Millennium Development Goals (MDGs) and called upon donors and Member States to strengthen their support

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3 6. United Nations 'Resolution Adopted by the General Assembly: The Triennial Comprehensive Policy Review', (A/RES/79/250), New York, 2005.

to SSC and triangular cooperation by mobilizing resources on a sustainable basis and by providing technical assistance[37].

Specifically, the UN system of agencies and funds is considered by many UN Member States as a key promoter, supporter, interlocutor and resource provider for SSC, but via the 'modality' of TrC. This was made possible in recent decades by a gradually expanding inter-agency network presence in countries setting an innovative ground for effective trilateral partnerships between multilateral organizations, and developing countries[38]. Furthermore, the UN system has systematically renewed its commitment to mainstream support to SSC to help developing countries enhance capacities based upon shared experiences and sympathies in accordance with the respect for national priorities and strategies. Corporate policy instruments and strategies of UN entities have included SSC-TrC as a key vehicle for achievement of national, regional and internationally agreed development goals, including the MDGs. It is important to note, however, that UN documents and tools underline the important perspective that SSC is not a substitute for, but rather a complement to modalities and funding arrangements for North-South cooperation.

2.5 'NEW GLOBAL PARTNERSHIP' FOR SSC AND DEVELOPMENT ASSISTANCE

The broader concept and practice of SSC as a form of horizontal cooperation among countries in the process of development has evolved rapidly in recent years in parallel with ongoing UN development system support and encouragement for TrC. However, the global financial and economic crisis that began in 2008 has recently produced a strong negative effect on the flows of development cooperation from North to South, because of the fiscal constraints in several OECD/DAC members. Aid disbursements decreased 3 percent in 2011, amounting to $133.5 billion. This represents 0.31 percent of DAC countries combined gross national income, that which is dramatically inferior to the 0.7 percent target established by the MDGs. The 2012 report of the MDGs recognizes that this represents a gap of $167 billion, while underlining the barriers ahead to closing this gap[39].

In this same context and in relation to on-going debates since the mid-2000s on strengthening the effectiveness of international development funding, the DAC-led 4th High Level Forum on Aid Effectiveness held at Busan in late 2011 advocated the replacement of the traditional 'North-South' development paradigm by a more inclusive approach. This conference (building on but going beyond the 2005 Paris Declaration) brought together traditional donors, benefactors for SSC, partner countries in the developing world, civil society and the private sector. The shift promoted in the Busan conference reveals an attempt to combine a holistic approach to development assistance with the acknowledgement that SSC must be differentiated for its specific nature, modalities and responsibilities. Considered a step ahead of the largely donor-driven guidelines established in the Paris Declaration, the Busan Partnership Agreement (BPA) calls for the creation of the Global Partnership for Effective Development Cooperation, based on a broad and representative operational framework, supported by 'light institutional structures', with the aim of putting together a global monitoring and accountability system for development cooperation.[40]

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3 7. United Nations 'Resolution Adopted by the General Assembly: The Triennial Comprehensive Policy Review', (A/RES/62/208), New York, 2008.

3 8. Among the many examples are the China-FAO Regional Asian Workshop on Small-Scale Milk Collection and Processing in Developing Countries, the Global Soil Partnership at FAO, the Cholera Task force at the OMS, and the Articulating Regional and Territorial Thematic Networks of Cooperation for Human Development or ART Global Initiative at UNDP.

3 9. United Nations, 'Millennium Development Goal 8. The Global Partnership for Development: Making Rhetoric a Reality', MDG Gap Task Force Report 2012, New York, 2012, p. xii

In relation to SSC, developing countries have tried to avoid a too narrow conceptualization that could replicate the rigidity of northern-dominated norms and guidelines applied to traditional aid, policies and practices. The BPA has highlighted the voluntary nature of adherence of developing countries and emerging economies to the GPEDC. This would not necessarily mean adherence to a global monitoring system of all horizontal coopera-tion (including anything that falls under the SSC umbrella) using OECD/DAC norms, which has generated a defensive reaction in the developing world. This is because, at the global level, many countries that are members of the G77 are reluctant to accept an approach to engaging in and 'measuring' SSC that falls too far outside the parameters already established for and by the UN system.

Besides the fact that OECD/DAC frame repre-sents a narrow spectrum of donor countries, the developing world fears that a 'single track' approach in addressing international develop-ment cooperation may end up further negatively affecting North-South assistance flows[41]. Some developing countries consider it crucial to avoid a situation where support for the further expansion of SSC could lead to more cutbacks on the part of traditional northern bilateral donors in funding for development cooperation.

Follow-up meetings to Busan have so far been unsuccessful in bringing BRICS members on board in the creation of a global monitoring system for development cooperation. Recent steps by the OECD/DAC to include SSC as part of a single architecture of development cooperation have generated resistance among some countries, as well as some interest in strengthening the current insti-tutional mechanisms of the UN system as a neutral partner to address the present upsurge of interest in TrC. Undoubtedly, this will continue to be a crucial subject in the global debates regarding a post-2015 development agenda, particularly in face of the impact of the global financial and economic crisis and the disappointing results of MDGs commit-ments on the part of many developed countries.

Given all the above, the role to be played by the UN development system is critical in the reconfiguration of a revised global development strategy. While the approach announced in Busan will help set new horizons for the way in which countries will choose to participate in interna-tional development relationships, this may also awaken new defensiveness among some countries that see SSC as a more powerful and appropriate tool that provides an alternative to traditional donor support. In this context, the UN approach, policies and practices related to SSC-TrC need, more than ever, to improve coherence, coordi-nation and innovation[42]. There is likely to be an emerging gap between the vigorous independent proliferation of SSC among developing countries and those undergoing strong economic expansion, and the ability of the UN development system to keep pace with these changes via appropriate support for SSC-TrC. Part of the challenge is the ability of UN agencies and UNDP in particular to maintain its conceptual and operational roles in SSC-TrC with all the pressures and forces now at work in the global development context.

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4 0. 'Busan Partnership for Effective Development Cooperation', 4th High Level Forum on Aid Effectiveness, Busan, December 2011. Additionally, a DAC-UNDP partnership was sealed with the purpose of working together for an "effective functioning of the Global Partnership".

4 1. United Nations, 'Draft Report. Rapporteur: Mr. Joshua Mugodo (Kenya)', High-Level Committee on South-South Cooperation, (SSC/17/L.4/Rev.2), 8 August 2012.

4 2. United Nations, ', Report of the Secretary-General, Quadrennial Comprehensive Policy Review of Operational Activities for Development of the United Nations System', Op cit, p. 22.

Chapter 3

OPERATIONALIZATION OF SOUTH-SOUTH AND TRIANGULAR COOPERATION WITHIN UNDP

Chapter 3 discusses the operationalization of the concept of SSC within the UN system, and UNDP in particular, as well as the mandate and role of the Special Unit on South-South Cooperation. It summarizes and analyses the UNDP resources available to support SSC and TrC both in terms of UNDP's regular programmes and for the UNO-SSC.

3.1 UNDP CORPORATE APPROACH TO SSC

As a crucial player in the UN system, UNDP has a long history of support to South-South and triangular cooperation that predates even the official BAPA document in 1978 (see Figure 1).

UNDP was expected to encourage funds, programmes, specialized agencies and other entities of the UN system to promote and reinforce SSC as well as offering TrC support where appropriate. Its mandate was to:

a. Take the lead in assisting developing countries in overcoming the problems encountered in their efforts to promote and implement cooperation activities among developing countries;

b. Promote triangular cooperation;

c. Enhance the role of UNDP country offices as facilitators;

d. Establish improved links with centres of excellence in the developing countries;

e. Strengthen the Special Unit for South-South

Figure 1. South-South Cooperation Milestones at UN and UNDP
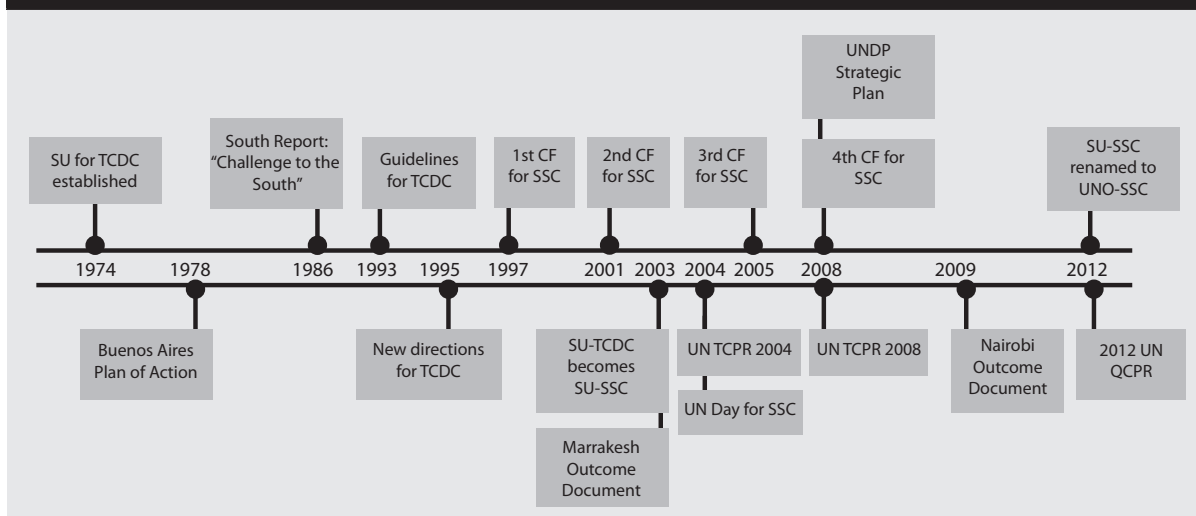
Source: UN General Assembly Resolutions and UNDP Executive Board decisions. Elaborated by the evaluation team.

Cooperation and to ensure that its separate identity is maintained and that the unit is supported so that it fully implements its mandate for promoting, monitoring and coordinating cooperation;

f. Effectively mainstream the use of SSC in the design, formulation and implementation of its regular programmes[43].

This mandate has not changed much in essence and is still valid in 2012. UNDP began including SSC as a "driver of development effectiveness" in its Multi-Year Funding Framework (MYFF) in 2001. Following up on the guidance provided by the UN General Assembly in the 2008 the Triennial Comprehensive Policy Review of operational activities for development (TCPR), UNDP included support to SSC in the Strategic Plan 2008-2011 and further stated that UNDP characterizes its operations by the following key elements: national ownership, capacity development, effective aid management, and SSC. The UN development system and UNDP in particular is expected to take concrete measures to mainstream support to SSC in order to help programme countries to build capacities for maximizing the benefits and impact of SSC.

The latest UNDP Strategic Plan provided a list of initiatives to be undertaken to mainstream SSC (see Box 2). Mainstreaming aims to take advantage of the extended country presence of UNDP and the agency's role is to facilitate exchange of experiences from developing countries in addressing common development challenges, which fits with an expanded interest in the concept and importance of TrC (see Chapter 2).

Box 2. UNDP Efforts to Mainstream SSC

UNDP will step up efforts to mainstream South-South approaches in all focus areas by:

(a) Leveraging its network of country offices in support of South-South solutions;

(b) Seeking ways to strengthen the work of the Special Unit for South-South Cooperation, including the establishment of measurable targets, with its mandate to coordinate United Nations system-wide activities, to advise United Nations country teams, and to act as a catalyst of South-South exchange mechanisms;

(c) Leveraging its global reach to assist programme countries in strengthening capacities to scale up the impact of such cooperation;

(d) Assisting programme countries in identifying, documenting and disseminating cutting-edge experiences in critical development areas, including through the establishment of a unified system and database of best practices;

(e) Within country and regional programmes, encouraging the use of available institutional, technical and human resources in the South in meeting internationally agreed development goals, including the MDGs;

(f) Supporting programme countries, at their request, in developing institutional capacities to manage, design and implement national South-South cooperation policies and initiatives effectively, including through the establishment of multi-stakeholder focal points and networks at the national, regional and interregional levels; and

(g) Enhancing the coherence and coordination of United Nations system support to South-South and triangular cooperation through policy research and dialogue, broad public-private partnership engagement, and joint initiatives.

Source: UNDP Strategic Plan 2008-2011 pp. 22-23

In response to requests from the UNDP Executive Board,[44] UNDP expressed its commitment in the Strategic Plan to mainstreaming South-South approaches in all practice areas, by leveraging

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4 3. UN General Assembly recommendations contained in the New Direction Strategy on TCDC (TCDC/9/3) in 1995.

4 4. Executive Board of the United Nations Development Programme, 'Decision 2007/32 UNDP Strategic Plan, 2008-2011', Second regular session 2007 (11 to 15 September, New York).In 'Decisions adopted by the Executive Board 2007 (DP/2008/2): "Requests UNDP to promote South-South cooperation by stepping up efforts to seek South-South solutions in all its focus areas, as a way to enhance exchange of best practices and support among developing countries regardless of their levels of development, and also requests the Administrator to establish measurable targets, in consultation with the Executive Board, for the Special Unit for South-South Cooperation."

its global, regional and country programmes in support of South-South solutions, and assisting programme countries to share experience and strengthen capacities to scale up the impact of SSC and triangular cooperation.

The Strategic Plan identified three outputs, as part of the results framework, which were oriented to improve the effectiveness of its support to SSC.

Output 1: South-South approaches to development mainstreamed in national development plans and the work of United Nations organizations.

Output 2: South-South and triangular partnerships contributing to inclusive growth and effectiveness reflected in national efforts to meet the MDGs and other internationally agreed goals.

Output 3: Enhanced United Nations effectiveness in South-South approaches to development.

It should also be noted that the cooperation framework is clearly seen as a subsidiary document that is nested under the UNDP Strategic Plan, which mentions that "the Fourth Cooperation Framework for South-South Cooperation (2008-2011) establishes and elaborates on the specific elements of the UNDP approach to South-South cooperation, which will be mainstreamed and leveraged throughout the implementation of the present strategic plan"[45].

The Fourth Cooperation Framework for South-South Cooperation relied on the Special Unit for South-South Cooperation (SU-SSC) for its implementation. The SU-SSC was basically responsible for the Strategic Plan's outputs-indicators (linked to the Fourth Cooperation Framework), but this is conflated with what

UNDP is supposed to do as a whole. The overall quality of both results frameworks is low as there is a mismatch between indicators and the outputs which are very broad. See the synthesis analysis made in Annex 8.

3.2 THE SPECIAL UNIT FOR SOUTH-SOUTH COOPERATION

The High Level Committee on SSC has consistently reaffirmed the mandate of the Special Unit for South-South Cooperation (SU-SSC), newly renamed as the United Nations Office for South-South cooperation (UNO-SSC), as a separate entity for the promotion and facilitation of SSC and triangular cooperation on a global basis and its coordinating role for the whole UN system, and it recognizes the need to mobilize adequate resources for enhancing SSC[46]. UNDP support to SSC-TrC cannot be fully understood without considering the role played by the UNO-SSC. Although complementary, UNDP and the Special Unit each have a distinctive role to play while their histories and functions in relation to SSC are closely intertwined.

The mandate of the Special Unit has evolved over time as the priorities of the General Assembly and global development context shifted (see Figure 2). At the beginning, the Special Unit was seen as a mechanism within UNDP to implement the mandate to support TCDC. During a second phase in the 1990s, Southern countries seized the opportunity to promote a broadened concept incorporating both economic and technical cooperation. The specific role of the SU shifted to focusing on priority thematic issues likely to have cross-cutting impact for the largest number of developing countries. In a third phase, countries capitalized on the MDGs as a means for advocating for SSC, but at the same time the emphasis shifted to ensuring

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45.   UNDP Strategic Plan 2008-2011, 'Accelerating Global Progress on Human Development', (DP/2007/43). The UNDP Strategic Plan was later extended until 2013.

46.   High Level Committee on South-South Cooperation, Draft decisions, New York, August 2012.

Figure 2. Evolution of the SU-SSC Mandate

BAPA (1978)

Emphasis was placed on UNDP role in supporting TCDC, through the SU-TCDC.
The Special Unit was seen as a mechanism for UNDP to implement the mandate to support internal operations of UNDP with respect to TCDC, including coordinating activities of UNDP with those of participating (UN) entities; and preparing modifications in policies, rules and procedures of UNDP.

New TCDC (1995)

Emphasis shifts to the Special Unit's role in supporting TCDC.
The GA endorsed a more strategic orientations for TCDC focusing on priority thematic issues that were likely to have a major development impact on a large number of developing countries.
The Special Unit's strategy was also endorsed, which identified a more proactive role for the unit: engaging developing countries, the international development community and the UN system as a whole. Additionally, the Unit envisioned proactively integrating TCDC within UNDP at the national, subregional and regional levels.

GA (2001-2005)

Emphasis shifts to a broadened role of the SU-SSC as "focal point in the UN system".
The 12th Session of the HLC-SSC in 2001 introduced the 'focal point' idea. The GA changed the name of the SU-SSC in 2003, however, the mandate was not expanded until 2005 when GA resolution 60/212 dentified the SU-SSC as a "separate entity" for the first time and noted its role was as "focal point" for the UN system.

Nairobi (2009)

Emphasis on the need for ensuring the development effectiveness of SSC. SU-SSC mandate reaffirmed.
SU-SSC was identified as a "separate entity" and a coordinator for promoting and facilitating SS and Triangular cooperation on a global and UN system-wide basis.
The need for a framework of operational guidelines was indetified. Specific initiatives of the SU-SSC were identified as a means for achieving enhanced linkages among entities dedicated to SSC.

an independent unit, hosted by UNDP, with a broadened emphasis placed on its coordinating role within the UN system.

The fourth phase, which began around 2009 with the Nairobi Outcome Document of the HLC, has been influenced by the financial and economic crisis as well as by an emphasis on results, development effectiveness and enhanced coordination among entities dedicated to SSC. The evolution of the cooperation frameworks (see Figure 2) and comparison between them and the Strategic Plan indicates that while the UNO-SSC is dedicated to the system-wide promulgation of the generic concept of SSC as an independent, country-driven modality for cooperation, UNDP itself is becoming more focused as an agency on implementation and support of TrC because of its regular programmatic role at the country and regional levels.

SOUTH-SOUTH COOPERATION FRAMEWORKS

The cooperation framework on SSC, a document approved every three years by the UNDP Executive Board, orients the work of the Special Unit. The Cooperation Framework for SSC (1997-2000) provided the first overall framework of activities for the SU. The Second Cooperation Framework (2001-2003) was approved in 2001.

The first two cooperation frameworks had an emphasis on the promotion of TCDC and its benefits for developing countries. The Second Cooperation Framework had two strategic focuses: (i) mobilizing global support for SSC; and (ii) acting as a catalyst for the development of innovative models of South-South technical cooperation for partnering, resource mobilization and mainstreaming. In addition, success indicators were identified for assessing the degree of mainstreaming of support for South-South technical cooperation in the operational

activities of the UN system and for enhanced South-South economic, social, scientific and technical cooperation.

The Third Cooperation Framework (2005-2007) was intended to operationalize the concept in more depth and identified three policy and operational support platforms as the main building blocks of SSC that enable UNDP and the Special Unit to strengthen their collaboration. These were: i) a platform to support policy dialogue and follow-up to major intergovernmental conferences, with particular emphasis on mainstreaming South-South cooperation as a driver of development effectiveness; ii) a platform to help create an enabling environment and public-private partnership mechanisms for sustained intra-South business collaboration and technology exchanges; and iii) a platform to support a more robust information system for managing and sharing development knowledge throughout the South. The Third Cooperation Framework was focused on identifying South-South experience and knowledge exchange with the intention to accelerate development and reach the MDGs.

The Fourth Cooperation Framework (2008-2011) had a more elaborate results framework with global outcomes, outputs and indicators in addition to key goals and institutional and development results. It was divided into three areas of work: i) policy development, research and advocacy; ii) knowledge mobilization for mutual learning; and iii) innovation for scaling up impact. It was expected to provide Member States with evidence-based analysis on new trends, concepts and opportunities for SSC, identify innovative South-South development solutions, compile an inventory of SSC initiatives supported by UNDP, prepare with UNDP a corporate strategy on SSC that elaborates on specific roles, lines of accountability and responsibility for results, and set up dynamic South-South platforms for the UN system wide.

The emphasis under the Fourth Cooperation Framework, as will be further analysed in Chapter 4, has been in servicing the HLC-SSC, setting up knowledge platforms and in advocacy. However, the request for more concrete operationalization of the concept of SSC-TrC within the UN system as a whole is a common theme since the 1990s and was again reiterated in recent sessions of the HLC-SSC and in the Nairobi Outcome Document.

3.3 UNDP FINANCIAL RESOURCES FOR SSC

The UNDP Executive Board committed in decision 95/23 to allocating 0.5 percent of its regular (core) financial resources specifically to SSC, which in practice has gone directly to the Special Unit. UNDP contributed from its regular resources $4.5 million 2008-2010 and $3.76 million in 2011 to SSC under the Fourth Cooperation Framework, for a total of $17.26 million (See Table 1). Thus, UNDP has been just under the 0.5 percent commitment for the Fourth Cooperation Framework: for example, total UNDP regular resources were $975 million in 2011 and $967 million in 2010,[47] which makes the commitments to SSC reaching 0.39 percent and 0.47 percent, respectively. The temporary decline of UNDP's contribution in 2011 was attributed to budget cuts in the UN system as result of the global financial and economic crisis.

Although the Special Unit has a UN system-wide mandate, UNDP is the sole source of regular core resources (direct non-project financing) for the Special Unit. Its regular funding provides staffing, administrative costs and some implementation costs for the unit. This funding enables the Special Unit to undertake its mandated activities as the secretariat for the HLC-SSC, such as preparing for HLC-SSC meetings, celebrating the annual United Nations Day for South-South

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47. UNDP, 'Annual Review of the Financial Situation, 2011 Report of the Administrator', (Document DP/2012/17), New York, 2012.

Figure 3. Resources Allocated to the UNDP Cooperation Frameworks for South-South Cooperation 1997-2011, by Source of Fund
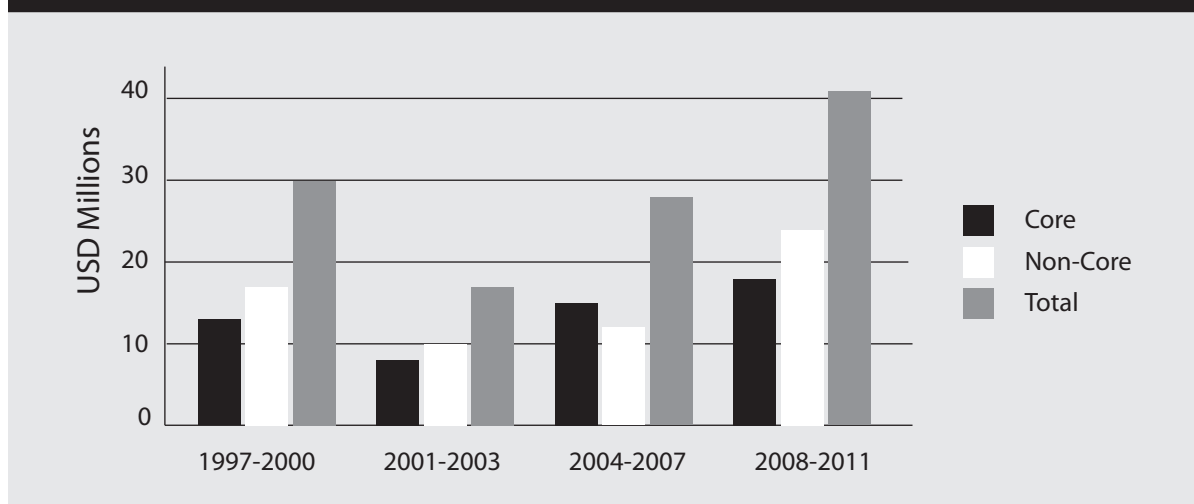
Source: DP/2000/36; DP/2003/14; DP/2007/30; SSC/17/2; and SU-SSC

Cooperation, facilitating the regional and inter-regional South-South cooperation through its regional offices, and offering policy advices and other services for the United Nations system.

Other than the funds allocated for the Special Unit, it is not possible to obtain precise figures on the extent of overall UNDP expenditures on SSC-TRC from the agency's financial tracking system, because most SSC-related initiatives are not specifically coded as such. Within its overall programme and budget, UNDP has incorporated and thus financed a multitude of specific SSC-TrC activities and programmes at corporate, regional and country level. Thus, the majority of UNDP's support is 'embedded' within specific programmes or projects. Furthermore, UNDP raises a large amount of non-core funds from governments and donors to help fund specific initiatives some of which involve an SSC-TrC component. In these cases, some UNDP core funds may be used as 'seed money' for a project so that additional resources can be leveraged from non-UNDP funding sources.

BUDGET AND EXPENDITURES OF THE UNO-SSC

The budget and expenditures for the UNO-SCC have fluctuated over the course of the preceding cooperation frameworks including the present one; Figure 3 illustrates these changes. The overall budget for the UNO-SSC declined under the Second Cooperation Framework due to a decrease in UNDP core support and then increased during the third. The overall budget for the UNO-SSC has increased since the First Cooperation Framework (with the exception of the second one), however, the core resources allocated for the year 2011 match the yearly allocations under the Third Cooperation Framework, as noted this was a result of the repercussions on UNDP from the financial and economic crisis. Due to resource mobilization efforts by the unit, there was an increase in non-core funds under the Fourth Cooperation Framework.

The total budget for the Special Unit to implement the Fourth Cooperation Framework amounted to $41.5 million from 2008 to 2011, of which $17.26 million was from UNDP regular (core) resources while $24.3 million was from non-core

Table 1. Core and Non-Core Sources of Funds, the Special Unit, 2008-2011					
(Thousands of United States dollars)					
Fund	**2008**	**2009**	**2010**	**2011**	**Total**
Core funds	4,500.00	4,500.00	4,500.00	3,760.00	17,260.00
Cost sharing	1,762	280.1	1,061.00	32.1	3,135.2
IBSA Trust Fund	3,000.00	3,000.00	3,000.00	3,128.80	12,128.80
Fund for South-South Cooperation	1,327.70	1,689.40	3,708.50	1,871.70	8,597.30
Perez-Guerrero Trust Fund	49.1	179.6	89.8	104.1	422.60
Total core	**4,500.00**	**4,500.00**	**4,500.00**	**3,760.00**	**17,260.00**
Total non-core	**6,138.80**	**5,149.10**	**7,859.30**	**5,136.70**	**24,283.90**
Total	**10,638.80**	**9,649.10**	**12,359.30**	**8,896.70**	**41,543.90**

Source: SSC/17/2 and 2008 figures provided by the Special Unit.

funds. The precise amount and distribution of the budget for the Fourth Cooperation Framework according to core and non-core sources of funds is illustrated in Table 1. The non-core sources of funds are: (a) general contributions to the United Nations Fund for South-South Cooperation[48]; (b) cost-sharing resources under the Fourth Cooperation Framework was from Japan; (c) parallel financing; and (d) special partnership arrangements, such as the India-Brazil-South Africa Fund for Poverty and Hunger Alleviation, from which the UNO-SSC derives a management fee, and the Perez-Guerrero Trust Fund[49]. In addition to these sources of non-core funding, several other ways of financing have been pursued by the Special Unit to finance its work, such as the design of specific SSC-TrC services (such as SS-GATE) with the possibility of wider support by governments, the private sector and development foundations.

As can be seen from Figure 3, the unit was able to increase non-core resources by about 30 percent between the First and Fourth Cooperation Frameworks and 45 percent between the Third and Fourth Cooperation Frameworks. This increase is largely attributable to increased contributions to the IBSA fund, but also more contributions were made to the UN SSC Trust Fund. The SU staff provide 'management services' to the management of non-core resources; however, the specific tasks/responsibilities and amount of time allocated is not reported on in annual reports.

Figure 4 shows the Special Unit's expenditure broken down according to each of the programme areas under the Fourth Cooperation Framework. Highest expenditures are for policy development (which includes support for the functioning of the HLC-SSC), followed by piloting innovation, fund management and knowledge sharing.

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48. During the period of the Fourth Cooperation Framework for South-South Cooperation the following countries contributed to the UN Fund for South-South Cooperation: Antigua and Bermuda; Bangladesh; Cameroon; China; Ghana; Germany; India; Kenya; Korea; Lebanon; Madagascar; Mexico; Norway; Qatar; Suriname; Tanzania; and United Arab Emirates. (Source: Special Unit-SSC, as of March 2012)

49. During the period of the Fourth Cooperation Framework for South-South Cooperation the following countries contributed to the Perez-Guerrero Trust Fund: Algeria; Antigua and Barbuda; Argentina; Cameroon; Chile; China; Ecuador; Egypt; Indonesia; Jamaica; Kuwait; Lebanon; Madagascar; Qatar; Singapore; South Africa; Sudan; Suriname; Trinidad and Tobago; Uruguay; and Viet Nam.

Figure 4. Use of Funds by Programme Area, UNO-SSC

Bar chart with y-axis labeled "US$ Million" (0 to 10) and x-axis labeled "UNO-SSC Focus Area" with categories: Policy Development, SS Knowledge Sharing, Piloting Innovation, Partnership Initiatives. Legend: Core (black), South-South Trust Fund (grey).
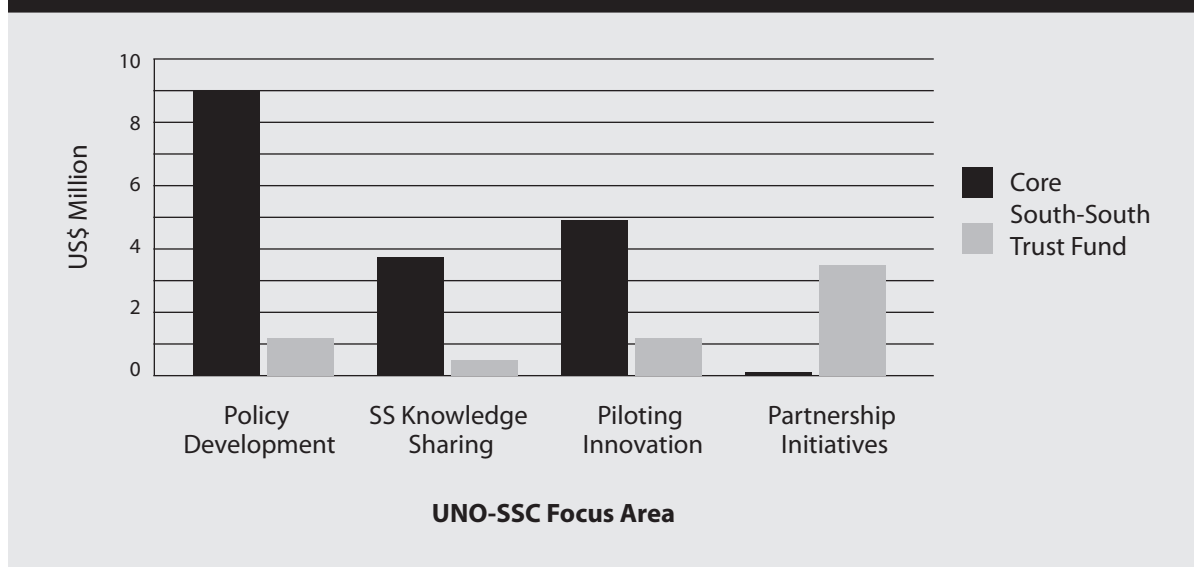
Source: Information provided by UNO-SSC December 2012 (Only includes core and SSTF funds; does not include Japan cost-sharing or the IBSA or Perez-Guerrero Trust Funds)

This is consistent with the way in which the different areas of work are prioritized under the Fourth Cooperation Framework. It is worth noting that partnership initiatives managed by the UNO-SSC demanded as much resources as supporting knowledge-sharing initiatives.

UNDP programme units, country offices and regional bureaux, make important efforts to financially support SSC initiatives. These efforts are integrated into regular programmes such as country and regional programmes. The amount of this support is not easily accessible as there is no budget reporting line for SSC or TrC in Atlas, the UNDP Enterprise Resource Planning system. As seen even in the newly signed partnership agreements with emerging countries, the resources for implementing the agreements were coming from regular programme resources, which posed significant resource mobilization challenges.

One feature contributing to the effectiveness and efficiency of the UNO-SSC is the human resource endowment. The UNO-SSC was staffed with by 21 active members with four vacant posts as of July 2012. The staff includes representatives for four regions who are out posted either in the UNDP regional service centres or in the regional bureaux in New York, (See organigram of the SU in Annex 7). While the competence and capacity of staff is recognized by stakeholders, the limited human resources currently dedicated to SSC-TrC is not commensurate with the size of the mandate.

The evaluation of the Third Cooperation Framework for SSC identified that mainstreaming SSC has been slow, because UNDP has not earmarked resources for relevant country-level programming, and that South-South cooperation was unlikely to get attention, until a new line item was created in the budget. The evaluation pointed to significant resource constraints in UNDP programmes to promote South-South cooperation[50]. Unfortunately this evaluation has not identified changes in this situation and reinforces the conclusions from the previous evaluation.

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50.   UNDP Evaluation Office, 'Evaluation of UNDP Contribution to South-South Cooperation', New York, December 2007, p.28.

Chapter 4
EVALUATION FINDINGS

Chapter 4 presents progress made since the last evaluation in 2007 and the main findings of the evaluation based on an extensive data collection process as explained in the methodology section in Chapter 1. The evaluation framework used covered a range of evaluation criteria and topics (relevance, effectiveness, efficiency and sustainability), in line with standard UNDP evaluation practice. However, in order to present a more dynamic view of UNDP's work given the interconnected nature of support for SSC, the findings across different criteria are grouped in this chapter in a cross-cutting manner according to: a) UNDP accomplishments and progress, b) challenges in UNDP's approach, and c) the situation of the UNO-SSC as an entity with a specific focus and mandate. The findings and evidence presented in Chapter 4 were also used as the basis for synthesis 'performance assessment' of UNDP's and the SU-SSC's work as captured in the two main performance frameworks: the 2008-2013 UNDP Strategic Plan and the Fourth South-South Cooperation Framework.[51]

4.1 PROGRESS SINCE THE LAST EVALUATION

In order to provide a coherent performance analysis and a balanced judgment of progress for the past five years of UNDP's and the Special Unit's work, the evaluation drew on a range of analysis and information, including progress towards: 1) implementation or application of key recommendations from the 2007 SSC evaluation; 2) the three SSC-related outputs found in the 2008-2013 Strategic Plan; and 3) the key outcome areas of the Fourth South-South Cooperation Framework.

OVERVIEW OF UNDP AND THE SU-SSC PROGRESS SINCE 2007

Progress towards implementation of 2007 evaluation recommendations

The previous SSC evaluation which was completed in late 2007 provided a benchmark for assessment of progress and performance over the past five years. **There was incomplete implementation for two of the recommendations from the independent evaluation conducted in 2007.** The available evidence suggested that many aspects of these recommendations remain a work-in-progress, and that, due to their broad nature, they were reinterpreted in practice. Strong efforts were made by the Special Unit to adhere to the key components of recommendations #1 and #2 related to design and implementation of its programme of work from 2008 onwards. However, UNDP was unable to fully implement recommendation #3 related to the creation of its own corporate strategy. Implementation of recommendation #4 related to the cooperation arrangements between the SU-SSC and UNDP was also problematic due to the continued challenges of defining and clarifying the institutional relationship between the two entities. It is worth noting that many of the findings of the 2007 SSC evaluation were quite similar in nature to those presented in the current evaluation, while the relative importance of SSC has increased during the time covered by this evaluation.

Significant initiatives and improvements noted throughout the current evaluation report have taken place to move UNDP and the Special Unit forward, however, the evaluation also highlights the dynamic nature of the development cooperation context and points out

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51. These summary performance assessments can be found in Annex 8.

to the continuing challenges and require-
ments of further improving UNDP's approach
to SSC-TrC. More detailed analysis for each
recommendation is provided below.

**Previous Recommendation #1: The Fourth
Cooperation Framework (managed by the
Special Unit) should be shaped around three
activity streams – knowledge sharing, policy
development and advocacy, and catalysing inno-
vation. Initiatives in each of these streams should
be time-bound and results oriented.** This recom-
mendation and related sub-recommendations were
found to be largely fulfilled. Organization of the
cooperation framework followed the recommended
areas and results and indicators were designed to
improve measurability, precision and accuracy (see
more details for each outcome area under *Progress
towards Fourth Cooperation Framework outcomes*
below). The various sub-recommendations iden-
tified more details regarding specific activities or
initiatives to be conducted by the Special Unit. In
practice, these recommendations were subject to
some reinterpretation in practice and had to be
adapted to time and resource constraints. 'Pilot
initiatives' referred to in the recommendation (such
as the SS-GATE and South-South Development
Expo) were systematically implemented over
time. Recommended activities such as demand
mapping, funds management and development
of policy frameworks were indeed integrated into
the Special Unit's work programme, but (as noted
in Chapter 4) with varying degrees of success and
sustainability.

**Previous Recommendation #2: In program-
ming initiatives, the Special Unit should adopt
strict criteria and leverage the capacities of
UNDP and other relevant United Nations
organizations to enhance the contribution of
South-South cooperation to development effec-
tiveness.** While some sub-components of this
recommendation were found to be at least partially
fulfilled, the somewhat vague wording meant that
judging its degree of completion was somewhat
difficult. Inter-agency partnerships and leveraging
of resources and information increased to some
extent, for example, via the annual implementation

of the SS Development Expo and via ongoing
collaboration between UNDP and the Special
Unit on system-wide strategic issues and on estab-
lishment of at least some of the new Southern-
focused thematic centres with selected partner
counties. However, in spite of many collabora-
tive meetings and exchanges of information held
between UNDP and the Special Unit, the ability
of many UNDP country offices and programmes
to 'leverage' Special Unit input or support for the
SSC-related initiatives they were engaged in (and
vice versa) was not as consistent as envisioned in
the original recommendation.

**Previous Recommendation #3: UNDP should
develop a corporate South-South coopera-
tion strategy that: addresses emerging issues;
draws on its own experience; integrates all of its
programme frameworks; and is underpinned by
resources, incentives and accountability.** While
it is important to acknowledge that UNDP's
recent work since 2010 on corporate organiza-
tional change has been strongly directed towards
finding 'new ways of doing business' that better
reflect UNDP's unique advantages as a broker
and facilitator of partner-driven SSC, the lack
of an overall UNDP corporate strategy on SSC
five years after this recommendation was origi-
nally made remained a noticeable gap in the
organization's structure and programme of work.
Inconsistencies or gaps in mainstreaming SSC
in UNDP, which required dedicated plans, tools,
structures, resources, incentives and institutional
commitment in order to succeed, could also be
at least partly attributed to the dearth of organ-
ization-wide strategic direction setting. While
UNDP had many positive intentions and some
initial successes in slowly fostering new partner-
ship arrangements with middle-income countries,
there was no consistent and broad application of
this recommendation.

**Previous Recommendation #4: UNDP and the
Special Unit for South-South Cooperation
should define clear collaboration arrangements
between the Special Unit and UNDP.** Sub-
components of this recommendation included
further institutionalization of the relationship

between the two entities, reviewing UNDP's funding commitment to the Special Unit of 0.5 percent of total programming resources, enhancing Special Unit engagement with UNCTs and codification of existing experience. The recommendation was partially achieved by creating a process whereby the Special Unit director could be invited to Operations Group meetings, but overall no significant progress was made in other areas as previously noted under some of the findings in Chapter 4.

Progress towards 2008-2012 Strategic Plan outputs

Detailed performance assessment for the three specific SSC-related outputs in the UNDP Strategic Plan can be found in Annex 8. Overall, the evaluation found limited knowledge among UNDP partners and staff, especially at the country office level, regarding the scope, intent and exact implementation methods for these outputs.

Moderate progress was made towards all three Strategic Plan outputs based on the available reporting evidence at the time of the evaluation (i.e. late 2012). While the Strategic Plan has served as the main corporate reference point for UNDP's work in SSC over the past several years, the quality and clarity of the outputs and their exact relationship to UNDP's work on-the-ground was not well understood among stakeholders. There was weak coherence between the broad scope of the output statements themselves, the specific performance indicators and targets used (which pertained more to the work and tasks of the Special Unit than to UNDP as a whole), and the degree to which either Special Unit and/or UNDP accomplishments or activities could be synthesized and rolled up to provide a clear picture of progress for UNDP at the organization-wide level. The three outputs were certainly of some strategic utility in shaping the UNDP and Special Unit direction and programmes of work. Nonetheless more systematic and precise internal performance information was not available regarding UNDP's organization-wide progress

and contributions towards these three outputs. The linkage between the available ROAR data and the information required to definitively assess progress towards the three outputs of the Strategic Plan was not evident.

In relation to Output #1 (mainstreaming of SSC cooperation approaches in national development plans and the plans and work of UN organizations), available information on mainstreaming activities of UNDP itself was limited and inconclusive even though the Special Unit was able to report on a number of focal point strengthening activities at the national level. Several UNDP country programmes had provided evidence of institutional capacity strengthening in this regard and the available ROAR data provided some information on this.

For Output #2 (SSC and TrC contributing towards inclusive growth and effectiveness to meet MDGs and other goals), the main evidence provided was that of information tools and databases developed by the Special Unit, not by UNDP itself, but so far little evidence was available regarding utilization of these tools especially at the country level for UNDP. Considerable progress towards these knowledge platforms was reported by the Special Unit and corroborated by the evaluation. Key products and events were certainly produced or facilitated to assist in achieving this output, but there was also feedback and critique received from a few partners and key stakeholders (including UNDP country offices) regarding accessibility, scope, dissemination strategies and follow-up of various tools to build a broader knowledge-sharing 'culture' around SSC.

For Output #3 (UN effectiveness in SS approaches to development), again, the key indicators and targets were related to the Special Unit's work, not UNDP as an organization. It is worth noting the development of Operational Guidelines for the UN development system undertaken by the Special Unit, which were approved by the HLC on SSC in late 2012. Progress was noted and corroborated regarding policy documents, tools

and analytical frameworks produced by the Special Unit, but again there was a lack of detail pertaining to UNDP's own organization-specific contributions and progress.

Progress towards Fourth Cooperation Framework outcomes

The Fourth South-South Cooperation Framework was the responsibility of the Special Unit. Detailed performance assessment regarding the three 'focus areas' and corresponding outcomes and outputs is provided in Annex 8 of this report. Based on the indicators and criteria provided within the results framework for the cooperation framework, the evaluation identified that moderate progress was made towards the key outputs in this framework, although performance varied somewhat between outcome areas. Some areas of the cooperation framework obviously overlapped with the key outputs of the Strategic Plan and vice versa, although the focus was more strongly on the UN system-wide deliverables for which the Special Unit was accountable along with key partners.

4.2 RECENT UNDP ACCOMPLISHMENTS AND PROGRESS

The evaluation examined UNDP's relevance to the needs of programme countries and regional entities engaged in SSC. These included the relevance of UNDP's development objectives and it specific programming and operational approaches to partner needs and priorities (*the Southern perspective*); its comparative advantages as a global development partner; and its ability to respond appropriately to the rapidly changing context and changing partner needs around support for SSC.

The development effectiveness of UNDP support for SSC-TrC was looked at from two main perspectives: 1) UNDP's contribution to global, regional and national development objectives and results, and 2) contribution of activities to the UNDP Strategic Plan outputs related to SSC and the three outcome areas of the Fourth Cooperation Framework, namely the policy-advocacy dimensions of SSC-TrC, knowledge-sharing, partnerships and innovations.

The evaluation looked at efficiency with regard to the clarity and precision of UNDP planning and reporting tools for SSC-TrC, timeliness and value-for-money of UNDP support for SSC-TrC, quality of performance information produced in various reports and evaluations, use of knowledge management systems and tools, funding support and allocations, and quality and definition of the strategic and operational relationship between UNDP and the UNO-SSC.

The evaluation examined the sustainability of the benefits from SSC initiatives supported by UNDP, especially at the country level. The main intent was to understand and assess the degree to which transfer of skills, knowledge and/or development cooperation resources (with UNDP involvement) between and among countries would likely lead to lasting institutional arrangements or benefits for partners.

Finding 1. UNDP's policy frameworks and statements of intent are aligned with the key principles for SSC embodied in the Buenos Aires and Nairobi Outcome Documents.

There is broad consistency between UNDP's statement of intent on SSC-TrC and the Southern perspective of partners such as the G77 countries. The 2008 UNDP Strategic Plan says, "UNDP activities are based on the premise that governments have the primary responsibility for the development of their countries and for establishing and leading the national development agenda. This principle applies in different development contexts, be they at different stages of development progress or post-conflict and early recovery situations. In all cases, UNDP focuses its support on the development of national capacities, which must be led by and grounded in endogenous efforts in order to be meaningful and sustainable. That is at the heart of how UNDP understands and applies the principle of national ownership."

Member States and other key stakeholders in the UN system recognize the alignment between UNDP's stated policy and the Buenos Aires/Nairobi Outcome Documents. The general principles are in turn reflected in UNDP's statements on SSC-TrC at the country and regional levels. For example, the preambles to many country and regional strategies prepared by UNDP in collaboration with its partners mirror the 2008 Strategic Plan principles. Meta-analysis of a number of recent UNDP country programme evaluations and thematic reviews provided further evidence on this point. Almost half of the ADRs[52] identified South-South cooperation as a national priority reflected in national policy or in the UN country framework or UNDP country programme. Several countries have been long-time advocates of South-South cooperation, such as Brazil, Thailand, India, Chile, and China, but several countries that are not as well known for their support to SSC were identified, such as El Salvador, Peru, Georgia and Tunisia.

Official statements made by the UNDP Administrator have consistently reaffirmed support for these core principles. For example, in 2009 at the Nairobi High Level Conference on SSC, the Administrator recognized and affirmed the high levels of knowledge, skills and technical expertise available in developing countries to meet emerging challenges. She also noted the need for new and improved forms of TrC, and for greater support for capacity development in global cooperation regional economic integration programmes. Recent key statements and official progress reports prepared for presentation to the UNDP Executive Board and sessions of the HLC-SSC also clearly reflect this point of view (see, for example, SSC/17/1, 2 April 2012). While there are wide variations in how SSC-TrC is defined and understood among UNDP personnel, especially at the regional and country levels, the

evaluation found high levels of personal commitment among UNDP personnel to organizational goals. Overall, country partners interviewed for the evaluation welcomed UNDP's receptiveness to working on SSC-TrC and affirmed that partner aims around SSC-TrC are aligned with many UNDP-funded initiatives at the country and/or regional levels.

Finding 2. UNDP has a strong comparative advantage in supporting and facilitating SSC-TrC.

UNDP's engagement is seen as highly relevant to the needs of Member States and regional entities engaged in SSC-TrC. Almost half of recent country programme evaluations conducted by UNDP[53] identified South-South cooperation as a national priority. This is reflected in many UN country frameworks or UNDP country programme documents. There is clear evidence that countries see SSC-TrC as an area in which UNDP has a strong comparative advantage as a strategic partner. That advantage is rooted in the following six operational characteristics.

An extended country presence and decentralized structure with the operation of the country offices and regional service centres. Programme countries and UNDP country offices emphasized again and again during the evaluation the high value of UNDP in brokering inter-country, regional and cross-regional exchanges and dialogue, highlighting this as an example of how country presence facilitates work in SSC-TrC.

Extensive technical know-how in the focus areas, a strong portfolio of good practices as well as research information and connections. UNDP already has a strong track record in brokering a wide range of organizational, subnational and decentralized connections on

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52. 45 percent (19/42) of ADRs: Brazil; Thailand; Papua New Guinea; Mongolia; El Salvador; India; Afghanistan; Cambodia; Chile; Seychelles; Zambia; Peru; China; Georgia; Tunisia; Ghana; Senegal; Maldives; Philippines

53. 45 percent (19/42) of ADRs: Brazil; Thailand; Papua New Guinea; Mongolia; El Salvador; India; Afghanistan; Cambodia; Chile; Seychelles; Zambia; Peru; China; Georgia; Tunisia; Ghana; Senegal; Maldives; Philippines

behalf of and in support of developing countries (for example, between civil society groupings and territorial or municipal governments) which it can continue to build on. UNDP has ample strengths in development cooperation and cross sectoral approaches as well as the operational capacity to facilitate exchanges among developing countries.

Neutrality and absence of political bias. UNDP's neutrality and credibility were cited repeatedly as the main comparative advantage of the agency, combined with its ability to identify funding sources, consultants and cost-effective technical inputs. UNDP was recognized for creating neutral space for dialogue on policy options including those coming from other developing countries through SSC.

Emphasis on capacity-development and demand led approach. The organization's broad mandate with significant engagement on capacity development in the four practice areas of democratic governance, poverty eradication and the achievement of the MDGs, environment and sustainable development, and crisis prevention and recovery is seen as a significant strength. UNDP is also perceived as a trustworthy partner because it is demand-driven and has a long and credible track record of support for country priorities.

Strategic positioning within the UN system. UNDP is widely viewed as having a key role in the UN system as well as broad access to both regional networks and bilateral development cooperation agencies. UNDP's hosting of the UN Resident Coordinator position at the country level and its active support for stronger country-led coordination of development assistance mechanisms were also identified as ensuring UNDP's credibility in brokering exchange activities and connections.

Flexibility to respond at country level. UNDP is perceived by the majority of partners as adaptive and flexible in relation to its support for

SSC-TrC. Member States appreciate UNDP's flexibility when specific initiatives need to be adjusted or rethought. There is ample evidence from several recent country programme evaluations that UNDP has adapted continuously to the changing context of country priorities in SSC in several countries,[54] such as countries undergoing rapid governance transitions, as in the case of the Arab states, or those recovering from natural disasters, like Haiti.

Finding 3. Demand for UNDP's support and/ or facilitation in SSC-TrC activities among partners is very high, reflecting its perceived comparative advantage.

UNDP faces a high level of demand for SSC-TrC services and there are high expectations for UNDP support and involvement on the part of country partners. These partners are requesting more knowledge-based and technical-strategic expertise, in addition to support for more traditional forms of project-based development assistance. For example, in Thailand, Turkey and China, UNDP has worked with their central agencies as well as line ministries to offer information, training and/or strategic advice in response to their stated requirements to expand the scope, quality and effectiveness of their own international cooperation programmes (see Finding 4). Officials in countries such as Cambodia, Tanzania and Gabon spoke highly of the ability of UNDP's country offices to help identify sources and methodologies for South-South information exchanges that meet their stated development objectives including MDG targets, in sectors as diverse as health, agriculture and local governance (see Finding 5).

Representatives in several UNDP country offices identified a growing demand for SSC-TrC related support from national partners. Services sought ranged from institutional capacity development for the country's own development cooperation mechanisms, to specific knowledge exchange

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54. Brazil, Peru, China, El Salvador, Thailand, Mongolia

activities and broader policy and strategic advice. Rapidly developing countries seeking to intensify their SSC efforts want UNDP be in a position to broker connections, prepare needs analysis, obtain background information, and assess the feasibility of offering various South-South investment and technical assistance opportunities. Less developed countries see UNDP support as a resource that could help identify and access various forms of technology and/or expertise from other developing countries.

Finding 4. UNDP support for SSC-related policy and institutional work has led to positive preliminary results that reinforce the potential of the organization for innovation.

UNDP has in recent years supported a number of initiatives at the request of some programme countries to strengthen their institutional knowledge, policy frameworks and/or level of strategic engagement in South-South cooperation. In many cases, these approaches have helped lay the foundation for new country-level institutional arrangements, methodologies, functions, plans or strategies related to SSC. Such initiatives are country-driven and are usually self-funded by countries with requests to UNDP only for complementary funding and for targeted forms of expertise as well as its broader networking and facilitation or advisory inputs. Recent adaptations in UNDP's approach towards the advocacy-policy dimensions of SSC-TrC need to be understood in the context of UNDP's recent Agenda for Organizational Change (2011), which refers to the agency's need to respond more rapidly, innovatively and appropriately to emerging demands and changes in the global partnership context.

The three main types of UNDP involvement in the policy and institutional areas related to SSC can be described as follows:

Capacity development of country-level international cooperation agencies and South-South mechanisms. UNDP has offered capacity-building assistance related to such areas as staff managerial training, strategic planning,

action planning and statistical expertise, input on setting up M&E systems and consultant rosters, and technical support for improved policy coherence and communication mechanisms. These initiatives fit within the key aims of countries' national development and international cooperation strategies. Recent country programme evaluations for UNDP Thailand, Brazil, China, Pacific Islands, El Salvador, Chile and Nepal found that that UNDP assisted the institutional capacity of each country in providing and/or benefitting from SSC. There are good examples of this type of institutional support in Turkey and Tunisia. In a few cases, UNDP has helped countries to 'pilot' new approaches for delivering technical or development assistance to third countries and helped them assess how best to adapt their strategies to the developmental aims of beneficiaries or receiving countries. One example is the China-Cambodia-UNDP trilateral agreement with UNDP serving as facilitator and intermediary organization. This is considered to be an important initiative because it demonstrates the possibility of UNDP providing a TrC role that is country-driven and fits within a broader framework for new partnership arrangements with China (see below). Another example of UNDP's role in this area is its support for a Development Cooperation Forum side event on to exchange knowledge and brainstorm about challenges regarding the country strategies of Southern cooperation agencies held in July 2012. This was a global event jointly organized by Bureau for External Relations and Advocacy, Bureau of Development Policy and the SU-SSC with the support of all UNDP regional bureaux.

Support to research and/or advocacy on the strategic and policy dimensions of SSC. UNDP supports key national institutions as well as thematic centres (see below) to engage in policy and/or analytical work around SSC. It was found that in China, Thailand and Turkey, for example, UNDP helped them consolidate best practices and lessons learned in international cooperation to date as well as come up with new approaches for developing country assistance

strategies. Other initiatives included working in partnership with programme countries to host global policy and strategic conferences to help pool the resources and expertise in intensifying the strategies for LDC graduation. In that sense, UNDP enabled developing countries to play a more active role in international policy and decision-making processes, in support of their efforts to achieve sustainable development. UNDP has also been the interlocutor for an innovative horizontal cooperation initiative between Poland and Iraq to help restructure former Iraqi state-owned enterprises. This is considered by many key stakeholders to be a 'cutting edge' example of where countries with similar policy reform trajectories can share both strategies and technical advice with UNDP support, leading to independent bilateral cooperation strategies. UNDP also facilitated the 2010 China-Africa Poverty Reduction and Development Conference, during which 20 African countries and nine Chinese government ministries discussed and agreed on a broad programme of action to share China's poverty alleviation experiences and strategies with African partners, including food security and poverty reduction strategies for rural areas. At a broader, more strategic level, UNDP in Latin America and other regions helped with policy studies, case studies, strategic advice and best practices pertaining to placing SSC and TrC more firmly on the new global development effectiveness agenda, involving the lead-up to the Busan conference in late 2011.

Enhanced country partnership agreements and thematic centres. UNDP is working with selected countries that are classified as 'emerging economies' to intensify their leadership and engagement in SSC via the formulation of new partnership agreements and the establishment of thematic centres addressing topics of global significance. Starting in 2010, UNDP at the corporate level and in close cooperation with the country offices began to design new frameworks in which the development knowledge, resources and skills of key middle income countries would be harnessed. The partnership agreements signed

with these countries are broad and aimed to ensure that their own comparative advantages, resources, technical expertise, development models, best practices and examples could be shared more widely. A deliberate objective of all these partnership agreements is the promotion of SSC and TrC.

The thematic centres (also referred to as 'centres of excellence' by UNDP and partners) are varied in their structure and funding arrangements but are all based on the premise that the countries directly involved have significant lessons and expertise to share globally. In some cases (such as China), the centres are fully funded and owned by the countries but draw on UNDP technical support as well as its global networks to broker partnerships and knowledge sharing. For example, via the International Poverty Centre in Brazil, UNDP has promoted SSC in applied poverty research and supported various research-based policy solutions to address poverty and inequality. It also initiated a process to help scaling up social protection schemes in countries such as Timor-Leste based on exchanges with Brazil on Conditional Cash Transfers. The International Centre for Private Sector in Development in Turkey is co-funded by the Turkish government and targets the development of inclusive and competitive markets as well as fostering private sector engagement and advocacy. It is intended to support capacity development activities that harnesses the potential of SSC and TrC, and promotes skill-building, access to enterprise-related finance, entrepreneurship and assistance to enabling private sector actors (with a strong focus on MDG achievement and follow-up). With Singapore, UNDP is in the process of setting up a Global Centre for Public Service Excellence to promote South-South learning and develop the capacities of countries in efficient public services management. The centres (both recent and planned) are all good examples of where UNDP's intermediary TrC role has the potential to be catalytic. The International Centre for Human Development in India opened in 2012 in partnership with the Ministry of Human Resource Development and the Indian

Institute of Advanced Study raises expectations as it intends to translate the human development approach into policy including through the analysis of trade-offs of various people-centred measures. In cases such as Turkey, the centres have been identified as a UNDP entity but are substantially co-funded and receive extensive technical value-added from the host country.

The UNO-SSC did not participate in the formulation of these agreements as they were centred on UNDP's corporate partnership for development of new relationships with each country. Most of the institutional and/or policy-related initiatives noted above are still at their preliminary stages or have yet to yield definitive results. Some have only been in existence for three years or less and have also experienced delays in getting off the ground due to institutional changes in the programme countries. UNDP is also experimenting with playing different roles in some of these initiatives, ranging from technical consultant or adviser to information broker and policy analyst. Such modalities are still influenced by purely operational considerations in its engagement with and support for SSC, ranging from timing to obtaining additional funding. The success or effects of these initiatives is obviously quite dependent on the country's own level of commitment and engagement, as well as the ability of the respective UNDP country offices to correctly assess the needs of partners and provide appropriate catalytic advice or inputs.

Finding 5. UNDP brokering of South-South knowledge exchanges and learning experiences has produced immediate and short-term benefits for participants which have the potential to evolve into more institutional and country benefits.

The intra-agency communications and networking linkages between UNDP country offices both within and across regions, and the existence of various sectoral or thematic virtual communities of practice, have allowed UNDP staff to identify and/or broker many opportunities on behalf of national partners where South-South exchanges of information have been useful. The majority of country programme assessments (57 percent) analysed for the current evaluation, including at least one from each region, identified many positive contributions to SSC-TrC by UNDP country offices, mostly in the form of organizing South-South knowledge exchanges, study tours, training, the use of technical experts, and sponsorship of country participants to attend international or regional forums. This was corroborated by the country-level visits which identified the main modalities for UNDP engagement in SSC-TrC as being various forms of facilitation, organization, sponsorship and funding or co-funding of South-South workshops, learning events, conferences and meetings at all levels (global, regional and national). Topics or themes that are the basis of South-South knowledge exchanges brokered or sponsored by UNDP include many diverse areas, such as regional development, small business development, gender equality, climate change, disaster prevention and recovery, migration issues, local governance systems and strategies for MDGs achievement.

One illustrative example was the Knowledge from the South initiative: a regional knowledge fair organized under the auspices of the Government of Panama in 2012, which offered a space to showcase and learn about SSC experiences and solutions that have been successful in Latin America and the Caribbean. Participants made presentations and learned from the evidence about the successful SSC experiences and mechanisms on social protection, equity-sensitive fiscal policies, citizens' participation and disaster risk reduction that have been developed in the region. The main outcomes of the fair were 16 cooperation and knowledge exchange agreements established between participating countries/organizations.[55]

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55. The knowledge fair was organized by the Regional Service Centre for LAC based on the Centre's extensive experience in knowledge fairs. The event had the collaboration of the SU-SSC. Website: <http://www.saberdelsur.org>

There is still a strong focus in many countries on exporting or sharing 'hard' technical expertise related to infrastructure development or transfer of durable goods or technologies, or provision of technical training (linked to the more traditional concept of TCDC) according to their development trajectory. However, some countries also want to transfer more 'soft' knowledge related to sustainable development, economic or policy reform processes, techniques for public sector transformation or reorganization, trade and patent negotiation skills, decentralization approaches, and information and ideas related to electoral reform and democratic transition. These ideas pointed towards greater variability around the concept of SSC to incorporate human development concerns, which is being assisted via UNDP support and engagement.

As summarized below, many examples of successful SSC-TrC knowledge exchange initiatives were found in the practice areas of democratic governance, poverty eradication and the achievement of the MDGs, environment and energy and disaster prevention and relief, as well as in some cross-cutting global initiatives with country-level linkages.

Democratic governance. UNDP was involved in helping countries address issues related to democratic transitions, accountability of governance systems, and elections and constitutional reform. These UNDP-sponsored exchanges and events were considered as highly beneficial by participating governments and civil society organizations because without them, the parties involved would not have had access to the same range and scope of knowledge and expertise. Examples include a regional conference on women in governance in Central Europe and Central Asia hosted by Turkey with UNDP support in 2009 to share experiences, UNDP brokering of successful South-South capacity-building initiatives to improve competencies and standards among central audit agencies in French-speaking countries of the Middle East and sub-Saharan Africa, and public sector strengthening offered by India to Afghanistan

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Box 3. SSC After the Arab Spring

In June 2011 UNDP and the Government of Egypt convened government and civil society stakeholders from the Maghreb region and Egypt to exchange experiences with leaders from around the developing world who have faced first-hand the challenges of transition or reform which the Arab countries were grappling with. The forum allowed representatives from Egypt, Jordan, Morocco and Tunisia to learn about the critical decisions and challenges faced by leaders of the democratization processes of such diverse countries as Argentina, Brazil, Chile, Indonesia, Mexico and South Africa. This wealth of experience was deployed to consider such questions as the role of political parties and social movements in transitions, mechanisms for safeguarding human rights and deepening justice in times of change, and the link between reforms in the governance arena and the importance of ensuring equitable distribution of the benefits of economic growth.

The high-level international forum in mid-2011 on 'Pathways of Democratic Transitions: International Experiences, Lessons Learnt and the Road Ahead' was touted as a significant example of SSC. As follow up to the forum, regional consultations were held on transitional justice – understanding of the concepts and mechanisms of transitional justice taking into consideration the judicial, cultural and political contexts. This event was organized in collaboration with various UNDP bureaux, UN organizations and International Centre for Transitional Justice, regional civil society organizations and the media. After the event, visits from government representatives from Egypt, Jordan, Morocco and Tunisia visited Chile, Colombia, India and Afghanistan for further exchange of experiences.

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with UNDP able to sponsor some aspects of the exchange. South-South exchange visits and other activities supported by UNDP to share ideas on constitutional reform, creation of independent electoral commissions and enhancement of transparency are perceived by government agencies, civil society and parliamentarians as instrumental in fostering better cooperation and as forums for learning lessons, consolidating national and international harmony, and building peace.

Environment and energy. Recent UNDP country programme evaluations note the growing importance of South-South knowledge and

technical exchanges for sustainable development, management of natural resources and climate change adaptation and mitigation. UNDP has supported SSC-TrC in relation to environmental management of common ocean resources in East Asia, including development of joint and country-specific sustainable development strategies and pilot sites for integrated coastal management. The Partnerships in Environmental Management for the Seas of East Asia project is one key example of a UNDP-supported regional mechanism implemented jointly by several governments since 2007. UNDP country offices as well as many programme countries told the evaluators that climate change is an expanding area for SSC that will require extensive dialogue and technical exchanges among countries of the global South in future. UNDP has supported exchanges and inter-country collaboration among small island developing states in the Caribbean and the Pacific, for example. In the area of disaster prevention and recovery, SSC is increasingly utilized by programme countries to share their experience, technologies and knowledge, and UNDP has played a key role by helping to forge linkages between countries via engagement and support for the functioning of regional disaster prevention and response agencies (for example, in Central Asia, the Caribbean and Southeast Asia). Knowledge exchanges related to sustainable land management took place in central Asia among Kazakhstan, Tajikistan, Turkmenistan, Uzbekistan and Kyrgyzstan within the framework of the UNDP regional multi-country capacity-building project on land degradation. Another initiative noted (but not explored in depth by the evaluation) was the promotion and expansion of renewal energy platforms in West Africa involving exchanges of best practices and technology transfer among African countries, facilitated by a UNDP regional project. On the same token, the UNDP-UNEP Poverty Environment Initiative has supported peer-exchanges and study tours between programme countries in the South to develop the capacity of decision makers on poverty-environment mainstreaming.

Poverty eradication and MDGs. The UNDP Strategic Plan identified SSC as an important means for achieving human development: "UNDP efforts to support programme countries in developing national and local capacities for human development and achievement of the MDGs will be characterized by stepping up efforts to seek South-South solutions in its areas of focus." Accordingly, UNDP's value-added to the global SSC movement in terms of highlighting people-centred and rights-based development (including gender equality) was significant to the majority of stakeholders interviewed for this evaluation. Although it is always difficult to measure the direct effects of UNDP's support for national development aims, UNDP did display a strong commitment towards MDG-focused SSC and triangular cooperation work. Because the MDGs form the cornerstone of much of UNDP's work at the country level, inevitably many SSC-related initiatives were also focused in this direction.

UNDP supported both global and regional conferences as well as country-to-country networking around strategies for MDG achievement and key poverty reduction targets. This included mobilization of financial, investment and technical resources from middle-income countries to assist less developed countries in achieving national development aims for economic growth. Turkey is one key example of the intersection between MDG progress and SSC. As a higher MIC and emerging provider of SSC, Turkey was strongly focused on MDG achievement, both for itself and for other countries in sub-Saharan Africa, Central Asia, and the Black Sea regions. UNDP has supported consultations and strategic discussions on Internationally Agreed Development Goal and MDG achievement in the context of several recent global and regional conferences hosted by Turkey. Ongoing commitment for both LDC graduation and MDG achievement was reflected in the approach of the Turkish Government through its lead agency TIKA, for which institutional capacity development has been supported by UNDP.

UNDP has also funded, in support of poverty reduction and pro-poor economic empowerment, a range of local and national pilot programmes geared towards sharing information among and between countries for increasing agricultural production, enhancing the role and contribution of small and medium enterprises, and improving access to and functioning of microcredit schemes. Some of these initiatives relied on low-cost expertise from Southern countries being transferred for replication elsewhere, as in the case of water management schemes to increase agricultural production or the establishment of value-added agricultural microprocessing. However, the long-term benefits from many of these inter-country and regional exchanges are yet to be seen.

Disaster prevention and recovery. UNDP has been involved in brokering Southern-based immediate responses to natural disasters as well as at later stages when the country involved were dealing with the recovery phase. For example, in the Asia and Pacific region it has helped organize both post-tsunami and earthquake recovery efforts that strongly integrate a South-South component, or were based around transfer of developing country expertise. Another recent example is Haiti, where UNDP helped mobilize and facilitate the flow of resources from the Caribbean and Latin American middle-income countries towards reconstruction. Joint infrastructure reconstruction projects were supported for Haiti by UNDP, Cuba and Brazil. In Central Asia, after the Ankara earthquake, UNDP helped transfer technologies and models for earthquake preparedness and response from Turkey to other countries in the region and beyond.

Another key example of UNDP facilitation of inter-country strategies and knowledge around disaster risk reduction is the Caribbean Risk Management Initiative (CRMI). This is an umbrella programme to build capacity and facilitate inter-country collaboration and knowledge sharing across the Caribbean region for the management and reduction of climate-related risk including rising sea levels and hurricanes. The CRMI is led by the UNDP country offices

in Cuba and the Eastern Caribbean, in close collaboration with a number of Caribbean country partners and other country offices in the region. UNDP has also helped facilitate important subnational consultations and information-sharing sessions related to the important role of cities in addressing climate change, such as a recent meeting of mayors and senior officials from 10 city governments across Asia which was deemed to be an effective platform for technical and policy collaboration.

Cross-cutting global and/or regional initiatives with country-level linkages. UNDP has helped design and implement a number of broadly based regional or global programme initiatives structured to integrate multi-modal knowledge exchanges involving several partner countries sharing information or expertise on a systematic basis. For example, the Growing Inclusive Markets (GIM) is a UNDP-led global multi-stakeholder research and advocacy initiative for the development of inclusive, pro-poor business models. Another example is the 'Articulating territorial and thematic networks for human development' Governance and Local Development (ART-GOLD) initiative based in UNDP's Hub for Innovative Partnerships in Geneva. This focuses on harmonizing global and regional activities in support of national strategies for local territorial or subnational development. A key factor for success is the leadership and ownership of the participating countries, as well as the linkages to their priority development needs. There are positive examples of where both GIM and ART-GOLD have supported extensive decentralized South-South knowledge exchange initiatives related to a number of sectors in Latin America, Turkey and the Balkans, Morocco, Gabon and Mauritania. UNDP-supported global programmes are appreciated by national participants for their innovation and dynamism, as well as for their potential to lead to longer-term independent linkages between participating countries. In the case of ART, they also highlight the growing importance of decentralized or subnational SSC

initiatives and the importance of UNDP as an organizational resource, strategic consultant and broker for these arrangements.

Another programmatic initiative that UNDP supports globally and which is closely allied with SSC is the United Nations Volunteers (UNV). In many cases, UNV focuses on funding placement of skilled individuals from one country to another in support of a wide range of technical, social and human development aims for the host country. Volunteers can also become part of their home countries' own strategic approach to SSC by showcasing particular areas of expertise or support where mutual exchanges can occur over the long term. The Economic Community of West Africa States (ECOWAS) Volunteers Programme (2009-2012) was established as another example of partnership between UNV and the African Development Bank to engage the citizens of the region in general and youth in particular in peace-building and development activities through volunteerism. The programme allowed 160 ECOWAS volunteers from the region to be deployed in the four pilot countries of Guinea, Guinea Bissau, Liberia and Sierra Leone.

Finding 6. UNDP support for SSC has contributed to regional integration efforts.

For regional integration support, recent UNDP thematic and country programme evaluations showed that a number of initiatives have taken place in all regions, both through direct cooperation with existing regional cooperation entities and UNDP's own regional programming approaches. For example, in Africa UNDP has entered into a joint agreement with the New Partnership for African Development (NEPAD) to strengthen partnership arrangements, help built regional cooperation around key thematic areas under NEPAD's programme and support the African Peer Review Mechanism (APRM). UNDP in Asia has provided direct long-term support for entities such as the Association of Southeast Asian Nations, the Melanesian Spearhead Group, the South Pacific Forum, the South Pacific Regional Environment Programme

and in the Caribbean region to CARICOM (to name only a few).

Other examples of country-level UNDP support but with a regional integration or cooperation element built in can be found in Thailand, the Philippines, India, Nepal, Lao PDR, Papua New Guinea, Ecuador, Bangladesh, Tajikistan and Jordan. In the Central Asia region, UNDP country offices and the regional centre have facilitated linkages and exchanges among countries such as Turkmenistan, Azerbaijan, Tajikistan and Kyrgyzstan to enhance regional cooperation around HIV/AIDS, environmental degradation, land mine mitigation and public sector reform. These efforts are intended to strengthen so-called 'east-east' regional linkages and cooperation, for example, to foster technology and information exchanges among the Central Asian countries and Turkey, India, the Czech Republic and Afghanistan. In Africa, several key regionally focused initiatives have been sponsored or facilitated by UNDP, many linked to knowledge sharing but also to strategic and policy dialogue. Examples include a recent regional conference based on 20 African national governance reports which identified best practices and common lessons, support for the African Conference of Ministers of the Public Service to improve regional harmonization and systematization related to public service reforms, regional initiatives to share drugs and diagnostics related to HIV/AIDS, and support for a regional platform on aid effectiveness. As can be seen from these examples from different regions, there is a wide range of topics for UNDP-supported regional capacity-building and strategic collaboration among programme countries worldwide and/or regional institutions including climate change, disaster risk reduction, water and natural resource management, energy, trade relations, gender, poverty reduction and MDG achievement, indigenous rights, HIV-AIDS and small business development.

UNDP's regional structure was found by stakeholders and partners to be both an asset and an impediment for supporting horizontal cooperation and broader regional integration processes. On the

plus side (as already noted elsewhere in the report), UNDP's regional structure is a key asset to fostering innovative and productive collaboration (both within and across regions), such as several interchanges evidently facilitated by the Regional Bureau for Latin America (RBLAC) between countries such as Colombia, Philippines, Indonesia and Vietnam on climate change, disaster risk reduction and tourism development. In general, the regional bureaux of UNDP placed a high priority in their strategic plans on support for regional interchanges and regional integration activities, but on the down side, the nature of this support was inconsistent. Several country programme evaluations identified regional integration as an important component of South-South cooperation, which could be further supported by UNDP.[56] There are some concerns among stakeholders that its regional structure is not being used to the fullest extent possible in terms of facilitating effective South-South institutions and linkages. Some stakeholders said that more could be done by UNDP to create linkages between horizontal cooperation initiatives among countries and broader regional integration agendas or strategies.

4.3 CHALLENGES IN UNDP SUPPORT FOR SSC

Finding 7. UNDP's current financing commitment for SSC has not grown proportionately with current demand.

The evaluation found that against the backdrop of high and increasing demand, in part due to the successes in areas and demand for replication, UNDP's current financing commitment for SSC has not grown in line with current demand. UNDP core resources allocation to SSC activities was determined by the UNDP Executive Board 17 years back in decision DP 23/95. The 0.5 percent of core resources were allocated to support the UNO-SSC (see Chapter 3), which translates

into $4.5 million per year at its peak and was later reduced to $3.76 million in 2011. This percentage is no longer proportionate with the growing demands of partners on the role UNDP could play in respect to SSC-TrC. Even considering this amount as seed money to mobilize resources, it is not significant if compared with the $13 billion to $14 billion annually spent by countries of the South in SSC according to estimations made by the UN Department of Economic and Social Affairs[57].

In addition to the core resources allocated to the UNO-SSC, UNDP has supported SSC initiatives through programme units at regional and country levels. The size and scope of UNDP's funding commitment to SSC-TrC as translated into regional and country support is not accounted for and should be made clear to Member States and partners. UNDP has no policy to encourage the allocation of a certain proportion of its core resources specifically to SSC-related work at the country and regional levels. This affects the ability of UNDP at the country level to respond effectively and efficiently to requests for South-South cooperation support, as these initiatives are frequently dependent on UNDP obtaining additional external donor resources with conditions attached to their use. Access to catalytic funding for initiation of SSC projects would enhance UNDP response and strategic partnerships at country and regional level.

The level and type of funding resources available for SSC and triangular cooperation support by UNDP raised concerns about the institutional efficiency of UNDP support. The SSC review conducted by the UN Joint Inspection Unit in 2011 noted that UNDP does not track the use of either core or non-core resources for SSC, and also recommended that the agreed 0.5 percent of the UNDP core budget that is used to finance the UNO-SSC should also be "set across the board to

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5 6.   Lao PDR, Papua New Guinea, Bangladesh, Ecuador, Tajikistan.

5 7.   United Nations, Department of Economic and Social Affairs, 'International Development Cooperation Report: Development Cooperation for the MDGs: Maximizing Results', (ST/ESA/326), New York, 2010.

all programmes at all levels for core and non-core resources." However, currently the budgets and funding projections for UNDP at the regional and country levels still do not typically allocate funds for SSC except in relation to specific projects or programmes. The lack of earmarked core funds leaves UNDP country offices in the position of having to mobilize non-core resources from external donors to support SSC-related initiatives. All of UNDP's core resources dedicated to SSC went directly to support on a regular basis the functioning of the UNO-SSC. Both past evaluations and the present one found that resource constraints at the country level in particular are a major factor in UNDP's ability to respond to requests for engagement and support in SSC by national partners.

Finding 8. UNDP efforts to mainstream SSC within its programmes have been uneven.

A challenge identified via the evaluation is that there is uneven progress in main-streaming SSC-TrC into UNDP's work. This is probably due to the resource constraints and multiple priorities, which makes it not possible to employ the more analytical and advisory services required to support its full integration into regional and country programme services. UNDP has made several efforts to formulate a SSC strategy during the period of time under evaluation but these efforts have not yielded concrete results. In spite of its stated intention to do so (see Chapter 3), the UNDP response to mainstreaming SSC has been insufficient, and according to some stakeholders and partners is not yet properly understood by the organization.

Mainstreaming requires assessing the current corporate policies and practices, raising the awareness of staff about the benefits of SSC and where necessary embark into capacity develop-ment activities. But to do this, there is a need for

dedicated resources and budgets, specific tools and guidance, continuous monitoring and an overarching strategy with clear objectives and benchmarks for achievement. As has been found in the area of mainstreaming gender equality, for example, if mainstreaming is only an add-on to some checklist of items to cover, then it will not work very effectively when translated at the programme implementation level. Moreover, SSC-TrC may not be a typical issue for main-streaming (such as gender, human rights, envi-ronmental sustainability) because it is a partic-ular development cooperation modality of choice. SSC is not intended to replace coopera-tion with the North. The premises are different, so are the conditions and the expectations. Its effective mainstreaming demands a paradigm shift in terms of how UNDP positions itself in the global development context and it can change how UNDP operates in its day-to-day programming work.

Approximately 70 percent of recent country programme evaluations found that UNDP country offices did leverage UNDP networks to support South-South cooperation, which is commendable. However, UNDP country offices are not always equipped to respond to country requests around SSC-TrC due to shortages of funds, time and appropriate expertise or tools to assist partners.[58] UNDP country offices are undertaking SSC projects and initiatives in isolation and would benefit from linking up with more structured approaches for enhanced learning and cross-fertilization.[59] The UNDP regional centres, bureaux and more recently the thematic centres of excellence (see Finding 4) have assisted in knowledge-based support either directly with partners or via country offices, but it often depends on individual capaci-ties and linkages rather than on a comprehen-sive, agency-wide programmatic approach with dedicated tools, methods, strategies, expertise

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58. 33 percent (14/42): El Salvador; Ghana; India; Nepal; Barbados; Chile; China; Guyana; Peru; Somalia; Turkey; Tunisia; Papua New Guinea; Maldives

59. ADRs in Brazil; Thailand; El Salvador; Ghana; India; Barbados; Chile; Peru; Philippines; Turkey

and resources. These challenges show that the concept of mainstreaming is not yet thoroughly applied throughout the organization.

The lack of decentralized resources and tools for operationalizing and mainstreaming SSC was found to produce both practical shortfalls as well as a type of credibility gap in terms of the perception of UNDP among partners. The evaluation found a lot of good will among UNDP personnel towards increased integration of SSC into what UNDP does at both the country and regional levels, but the understanding about exactly how to do it is often vague. The extent of mainstreaming of SSC-TrC within UNDAFs, and UNDP country programme plans followed no consistent institutional guidance or model. As a consequence, UNDP country personnel expressed the strong desire for better training, technical advice and information flows from UNDP headquarters and regional bureaux regarding how to integrate SSC into both the UNDP country strategies and the UNDAFs. Mainstreaming of SSC within UNDP programmes continues but there remains need for continued support until a more even pattern of progress is evident.

Finding 9. There is a gap between how SSC is promoted and/or advocated for at higher levels of the organization, and its practical and functional integration into programming.

In a context of differentiated progress around SSC-TrC it was found that there are varied understandings of what the UNDP support to SSC and TrC involves. The programme itself is sufficiently broad to incorporate a wide variety of activities which may have led to the ambiguity found, and the fact that many activities purported as SSC-TrC, may not be aligned to the principles. This finding may in part reflect on the broader questions of benchmarks, milestones, indicators and standards in the area which have not been fully developed, thus making it hard to define and

hard to measure. It means that work needs to be undertaken based on the current experience to arrive at agreement on these issues, so that there is a common reporting framework.

In spite of UNDP's adherence to the key *principles* of SSC as noted under Finding 1 above, there were important practical gaps identified by the evaluation between how SSC is *promoted* and/or *advocated* for at higher levels of the organization, and its practical and functional *integration* as a Southern-driven and innovative development assistance approach within UNDP's day-to-day operational activities. Overall, both the institutional and programmatic efficiency for UNDP in the area of SSC-TrC was identified as a challenging area due to the multi-faceted, multi-stakeholder, multi-level, participatory, reactive and transactional nature of UNDP's engagement. At another, broader level, many countries now believe that SSC is not just another way to deliver development assistance but a new model which reverses tradition North-South thinking about development[60]. It is for this reason that it has been embraced as an 'alternative' model of development cooperation as part of the preparations and follow-up to the Busan forum on aid and development effectiveness. By facilitating these platforms and discussions within several regions around how SSC and TrC can provide new avenues for development cooperation in an era of shrinking resources and commitments, UNDP has played and may continue to play a vital role. On the other hand, it would be erroneous to conclude that this work to validate and enhance the role of SSC in the global context is an end in itself.

There is recognition of the importance of the SSC agenda as expressed in decisions and deliberations of both the G20 (for example, during the Seoul meeting in June 2011) as well as among the G77 and its 130 member countries. It is perceived that the United Nations through its strong operational arm has an important part to play in strengthening SSC-TrC as a

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60. Some countries argue that SSC is not associated with policy conditionality, as has been sometimes the case in relations with traditional development partners.

practical modality for development partnership. The Nairobi Conference in 2009 emphatically reaffirmed this role of the United Nations and UNDP is considered to be a key player due to its multi-faceted approach to development.

The ability of UNDP to link programme countries in need (such as those recovering from natural disasters or other emergencies, as in the recent case of Haiti) to other Southern partners with the appropriate expertise is viewed by stakeholders as a valuable complement to traditional northern-led assistance. This represents great potential for UNDP's value-added presence and the active involvement with various forms of SSC-TrC by UNDP is crucial as a way of reinforcing the particular strengths of developing countries and emerging economies as development actors. According to these partners, UNDP's capacity to keep abreast of these changes and emerging needs will be a key determinant of its ability to stay 'ahead of the curve' in SSC-TrC. This entails also the technical capacity of its staff to facilitate such exchanges.

However, in the views of some country partners, UNDP support to SSC still mirrors the priorities of traditional donors. Their perception is that one of the challenges facing UNDP in facilitating, brokering or promoting SSC is that must maintain a balance between responding to priorities of donors (which are its main source of funding), and encouraging and supporting the frequently different viewpoints and needs of the developing countries. In their views, the vertical relationship between donor and recipient that characterizes traditional development cooperation sometimes takes precedence in UNDP support to SSC.

For example, UNDP's continued reliance on project-based modalities restricts it to a narrower and more constrained North-South cooperation approach. When it comes to integrating SSC into its programming work, UNDP as an external agency still often plays the role of *provider* of technical cooperation, usually by identifying or hiring expertise from another developing country, while a programme country is the *receiver*. This approach, although it may involve the use of expertise from the South, still reflects a vertical rather than horizontal relationship. The component of mutual benefit and learning among developing countries for collective self-reliance is frequently lost in this type of arrangement. Interviews conducted with UNDP staff members for this evaluation at both country and headquarters levels also indicated different understanding regarding the exact meaning, scope and intent of work around SSC as supported or facilitated by UNDP. The majority of personnel believe SSC entails the sharing of information or knowledge as the main form of horizontal cooperation among countries, while a few even think that the use of locally based consultants or staff by UNDP is a form of SSC. This is related to the lack of a clear operational definition of SSC in UNDP that accurately reflects the emerging new conceptualization and debates around how to further complement the development paradigm from North-South cooperation with SSC.

Finding 10. At the time of the evaluation, corporate-wide operational guidance and mechanisms to fully support SSC-TrC at regional and country levels were not in place.

UNDP needs to assert its leadership in the area by providing the accompanying corporate guidance and mechanisms in the following areas, first, by working on producing consensual definitions, as a basis for developing more sophisticated indicators that allow for a better tracking of the programme, second, by using the knowledge platforms more effectively to share lessons learned at the global, regional and national levels. In the absence of a more dynamic system that is able to report on the multitude of innovative experiences that occur globally, many good practices are lost. Linked to the question of knowledge capture and sharing, which the evaluation shows as a weakness, are some of the related problems that impact on UNDP, such as the ambiguity of understanding on the relationship between the Special Unit and UNDP and UNO-SSC.

The previous evaluation of UNDP contributions to South-South cooperation conducted in 2007 found that as an organization, UNDP lacked a shared understanding, set of incentives, and ability to systematically capture its corporate wide experiences and expertise in SSC-TrC. It identified the absence of an overarching corporate strategy on SSC (including appropriate operational definitions delineating the difference between conceptual support for the broad area of SSC and the specific role of UNDP in SSC-TrC) as limiting the development of appropriate capacities and resources to optimize its potential contributions.

The Fourth Cooperation Framework in 2008 stated clearly that "UNDP should develop a corporate South-South cooperation strategy that addresses emerging issues, draws on its experiences, integrates all of its programme frameworks, and is underpinned by resources, incentives and accountability." In 2010, the mid-term review of the UNDP Strategic Plan found that no corporate strategy for SSC yet existed and stated that while UNDP had supported numerous innovative initiatives, it still faced the challenge of developing "a robust and proactive corporate strategy to promote South-South cooperation." Right now, both the Strategic Plan and Fourth Cooperation Framework remain as high-level documents with no concrete plans of action attached that can be translated into tools and approaches by UNDP regional centres, regional bureaux or country offices. For example, there was only minimal information on how to operationalize SSC in the UNDP Programme of Operations, Policies and Procedures which is used at all levels of the agency to guide programmatic work.

The UNDP Global Programme IV included support to SSC under the mainstreaming cross-cutting results. It affirmed its central role in reinforcing UNDP's commitments to stepping up support of SSC and seeking South-South solutions in all practice and cross-cutting areas.[61] The results framework provided for indicative resources towards achieving the SSC outcome. However, SSC has not been established as one of the UNDP cross-practices, either in BDP or across the regional service centres. As a result, the Global Programme budget for SSC has never been formalized as a programme or as a specific target of advisory services.

It is clear that many previous recommendations regarding how to strengthen and solidify its work on SSC have not yet been addressed by UNDP. Preparation of a corporate strategy on SSC appears to have 'fallen through the cracks' over the past several years in spite of repeated calls for its development. Recently, revised operational guidelines on how UN agencies (including UNDP) can better integrate SSC into their work were[62] prepared. These broad guidelines are an important milestone in the operationalization of the UN development system support to SSC but will still require detailed and in-depth UNDP strategies and plans to ensure they can be applied.

Interviews conducted with UNDP regional entities and country offices found that these entities operate in what could be termed a corporate void around SSC-TrC, with little support and no real locus of strategic direction-setting, reflection, analysis, oversight and accountability for it as a key area of UNDP's programmatic work. This was also corroborated via a comprehensive meta-analysis of recent UNDP corporate, thematic and country-level evaluations, which identified repeated challenges with regard to SSC-TrC work with lack of systematic analysis, no apparent over-arching strategic

6 1. The UNDP Global Programme, 2009-2011, DP/GP2. p 11.

6 2. United Nations, 'Framework of Operational Guidelines on United Nations Support to South-South and Triangular Cooperation,' High-level Committee on South-South Cooperation, New York, 2012.

approach, weak staff performance incentives, and the inability to compile and share pertinent and timely information and best practice examples.

On a practical level, there is a dearth of existing operational plans, frameworks and tools for SSC-TrC implementation and oversight at an agency-wide level for UNDP and at all levels of its work. Some parts of UNDP have commendably taken it on themselves to develop their own approaches for supporting SSC-TrC (for example, regional bureaux for Latin America and Central Europe, and some regional centres and country offices), but it was observed that the level and type of integration of SSC-TrC is quite varied, with a lack of systematization in the approach used. There are few designated focal points for SSC-TrC within UNDP programming structures or specific staff positions related to SSC. Relationships and flow of information about activities and resources between UNDP headquarters (including the UNO-SSC), regional bureaux, regional centres, country offices and the new centres of excellence were mainly ad hoc and poorly defined.

The UNO-SSC used to be the focal point on SSC also for UNDP. Since 2008 the Bureau for Development Policy had the lead role for UNDP own work on SSC. However, it did not take lead responsibility as the clearing house, or nerve centre for the organization's overall work in SSC, with assigned responsibility for training or coaching staff across the organization in the importance of SSC and-or doing quality assurance of UNDP's many levels of engagement with SSC. There was little systematic technical support around SSC by and from key programmatic units on an agency-wide basis.

Finding 11. Knowledge sharing platforms and institutional reporting systems concerning SSC are not generating adequate learning and/or systematically providing performance information.

So far, there is virtually no evaluative or analytical information at the country and regional levels regarding the broader strategic significance of

the multiplicity of UNDP-supported activities going on and what 'best practices' can be extracted for further country-owned replication and use. One of the challenges is that there is no central inventory within UNDP that systematically captures all this work and which can be used as the basis for further expansion and comparison of SSC-related models and tools. At a functional level, for example, one-third of previous country programme evaluations found that UNDP networks were not used effectively to leverage possible SSC-TrC opportunities between programme countries, or there was insufficient response to partner country requests for support and knowledge exchange. There are problems with the rapidity and appropriateness of knowledge exchange activities involving middle-income countries like Brazil, Mexico, Colombia, Thailand and India, where the expectations for the quality and depth of exchanges and knowledge sharing related to policy dialogue and/or institutional capacity-building are very high.

UNDP has relied mainly on its existing communities of practice networks as well as the UNDP Teamworks online knowledge platform as a means of sharing key information, ideas and examples related to SSC-TrC. Both approaches were cited by UNDP personnel at the country level as being somewhat useful to their work in trying to learn more about what was going on within regions and globally in relation to SSC-TrC. However, from what the evaluators could determine, the Teamworks platform does not yet provide the kind of systematized best practices repository which is actively managed by UNDP for the mutual benefit of partners, country offices and regional centres. For example, the evaluation of UNDP's third global cooperation framework identified insufficient attention to identifying gaps in capacities and emerging trends in SSC-TrC and the lack of an adequate framework or guidance that could systematize the global experience of SSC. Recent country programme evaluations in Brazil, Thailand, India, Barbados, and El Salvador all noted challenges with UNDP's ability at the country level to utilize the contacts and information available from

its thematic and/or regional networks adequately in support of SSC for the benefit of the countries involved.

UNDP needs stronger information system in support to SSC and TrC. Starting with a single repository of recorded efforts in support of SSC and TrC that is easily accessible. The evaluation found that, with very few exceptions such as the work done by the International Poverty Centre in Brasilia, UNDP does not distil lessons learned from current practices and approaches to SSC within country and regional programmes. Important lessons can be drawn from successful and unsuccessful experiences and ensure they are systematically disseminated throughout the organization. UNDP could play an important and critical role in supporting programme countries to scale-up successful SSC initiatives. This represents an area where the complementarity of approaches between SSC and traditional North-South cooperation can take place.

In terms of corporate information on SSC results and progress, the volume of performance reporting by UNDP country offices around SSC has increased from 2004, which was the first time SSC was systematically captured in results reporting. The conceptualization and methods for data capturing evolved after 2008.

UNDP has recognized the importance of building an enhanced results-based management system, including a ROAR that provides UNDP with information that can be utilized to improve its work in support of SSC; and that the development of this system is still a work in progress. The 2011 ROAR also made considerable advances in terms of enabling UNDP to collect quantitative data that can be aligned with country programme and Strategic Plan outcomes.

Approximately 126 UNDP country offices indicated over the last three years that at least one activity or initiative to support SSC was implemented through their country programmes. During the evaluation, many UNDP senior personnel regularly cited this fact as evidence that the agency was in fact making

considerable progress on SSC-TrC and the availability of more reporting information is certainly an advance. There were many examples provided through the ROARS of where UNDP support made important contributions to the institutional capacity of partner governments to engage or supported worthwhile knowledge sharing initiatives. The vast majority of information reported as support to SSC by UNDP is regarding the exchange of experiences and knowledge, mainly study tours and participation in regional meetings. Support to SSC by UNDP is also taking place mainly within the region and even more so at the subregional level and more recently at the subnational level. Although the number of country offices and quality of information reported has improved since 2008, some country offices continued to report the use of Southern consultants or even staff members from the South as SSC activities.

On closer examination, there are several technical and systemic weaknesses in the ROAR data. When analysed carefully, details on the quality and scope of SSC-TrC support were missing from the way the basic data is compiled. The ROAR does not currently employ weighting system to more accurately reflect the level of support to SSC underneath an outcome area. Defining support to SSC within the UNDP context would be a necessary precursor to developing a weighting system. The information collected is so varied that aggregation of results from country offices become superficial, thus the quantitative data generated by the 2011 ROAR should be utilized carefully (see Annex 5).

Finding 12. It is too early to determine whether the results of current SSC initiatives are sustainable due variations in the context and to the absence of effective monitoring systems.

The sustainability of the benefits of SSC initiatives supported by UNDP is critical to the achievement of development results. It is too early based on the evaluative evidence to determine whether the current initiatives are in fact sustainable or not, due in part to the fact that the initiatives are too varied, dynamic and complex and located with country and regional contexts that further

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influence potential success. As noted earlier, the absence of effective monitoring systems for this element must be addressed, which will help to address the ambiguity around definitions and hence benchmarks and milestones.

At the operational level for discrete projects there was little attention paid to designing exit strategies for UNDP support, as many of these initiatives are just one-off activities. For countries themselves, institutional or programmatic sustainability of specific initiatives was largely dependent on the degree of funding available for SSC initiatives on a sustained basis via national budget allocations. Full ownership of results or initiatives in SSC-TrC is obviously linked to the priority that different countries place on them, as well as to whether participant countries were in charge of the design process and could establish independent cooperation relationships with other countries that might outlast any kind of funding or facilitation from UNDP. Therefore, the prospects for sustainability obviously varied a great deal from country to country depending on their institutional resources.

For institutional-building initiatives related to building national strategic capacities for SSC-TrC in countries further along the development trajectory like Brazil, Thailand and Turkey, similar methodologies for project design and implementation were used to ensure that projects were derived from partner needs and priorities. In the case of Turkey, sustainability of institutional development for the country's international cooperation agency was assured by the fact that the bulk of project funding (over 90 percent) comes from the agency itself. In Brazil and Thailand, recent country programme evaluations found that sustainability of institutional support for the national cooperation agencies of both countries was less assured because of some perceived dependence on UNDP for operational support. Other sustainability factors for project-based initiatives include extensive use of participatory strategies and exchanges of information-knowledge that are jointly driven by partners. For example, it was found that for the

knowledge-sharing exchanges between Morocco, Gabon and Mauritania in support of local-territorial development, intensive participatory planning, country-led facilitation processes and hands-on engagement of local participants during the exchange event helped promote longer-term sustainability of the strategies and tools shared.

Thematic evaluations revealed that UNDP sometimes is unable to disseminate new information garnered from knowledge exchanges outside the countries that are directly involved, a concern that was voiced by several UNDP country-level programme staff working to facilitate or support SSC-TrC. UNDP's support for South-South knowledge exchange on-the-ground was often ad hoc, reactive, fragmented and/or project based.

Overall, UNDP's approach to sustainability of SSC-TrC is only partial or incomplete at this time. Country partners and evaluation reports identified strong concerns regarding sustainability of some South-South project-based initiatives, for example, in Cambodia, Zambia, Tanzania, Chile and Haiti due to lack of institutional commitment, poor exit strategies and low resources. Most tellingly, there are consistent problems with the ability of UNDP to help participating partners follow-up on knowledge exchanges in order to ensure long-term effects and full participant ownership over the results.

Finding 13. UNDP partnership strategy has been undergoing a gradual repositioning in many countries in response to the changing development cooperation context.

Several recent UNDP programme evaluations have emphasized the need for UNDP to reconsider its strategic positioning within middle-income countries by strengthening support to SSC. Other evaluations have also emphasized the need for UNDP to play a stronger brokering, needs assessment and networking role in terms of SSC. This underlines the specific challenges faced by UNDP in strengthening its relevance as a development partner in many middle-income countries as well as responding to the needs of countries seeking to

attain middle-income status. This involves strengthening UNDP's ability to help programme countries at different stages of the development process.

As already noted under Finding 4, the negotiation and signing within the last two years of new partnership agreements between UNDP and selected countries (Turkey, China, Brazil, South Africa, India, Mexico, South Korea, Singapore and Thailand) as well as the recent establishment of several co-funded thematic centres of excellence in these countries are indicative of UNDP's need and desire to put SSC-TrC on a new footing. Country offices need to include resources to support SSC and TrC initiatives into its regular programmes. In practice initiatives that have not been planned within a programme or project are not likely to be supported, as there are no earmarked resources for the support of SSC at country or regional level. This is one of the aspects that hinder UNDP flexibility in response to increasing demand. Programme countries expect UNDP to allocate counterpart or seed-money to launch joint strategies and pilot initiatives. For example, the new partnership strategy, which aims to strengthen the relationship with middle-income countries, requires financial resources for its implementation that currently need to be mobilized through programme resources.

UNDP needs to take stock of the financial contributions made for the establishment of these centres, as part of its overall contribution to SSC-TrC. UNDP has made additional contributions in terms of staff working on SSC beyond those in the SU-SSC. As a case in point, the BERA team supporting the new strategic partnership agenda in headquarters, Bratislava Regional Centre and in China country office. However, there are key challenges in realizing the full promise of these partnership agreements and centres. Many national partners and UNDP personnel interviewed said that more needed to be done to demonstrate clearly that these modalities embody a new way of functioning for UNDP and its partners. Some countries hosting the centres show varied levels of satisfaction at what they see as UNDP's response to engage in new modalities and types of interactions with rapidly developing countries.

The 2012 UNDP External Relations and Advocacy Framework prioritizes SSC as one of its objectives and focuses also on corporate resource mobilization and states that the partnership agreements with selected countries are 'investments' that will help ensure that emerging donors can eventually contribute more funds to UNDP's core resources. This resource mobilization approach does not fully encompass the broader strategic commitment to SSC-TrC that is demanded of UNDP by country-level interactions with many partner countries already at a higher level of development.

UNDP was struggling to move away from more traditional development agency approach related to responding to needs under UNDP's thematic priorities, towards a country-centred approach to SSC-TrC. One positive example in this regard is that the Brazilian Inclusive Growth Centre supported by UNDP promotes the use of mechanisms like conditional cash transfers for poverty reduction and is exploring the policy implications of their more widespread use in developing and middle-income countries. UNDP's attempt to strengthen its relevance by entering these new partnerships and exploring or encouraging new types of resource transfer relationships between countries is commendable, but it also mean that new skills and expertise is required on the part of UNDP so that the agreements and centres are adapted to the context and priorities of the global South when it comes to SSC-TrC.

4.4 SITUATION OF THE UNITED NATIONS OFFICE FOR SOUTH-SOUTH COOPERATION

Finding 14. There is a lack of clarity about the division of labour, roles and responsibilities and lines of accountability for outcome achievement between UNDP and the newly renamed UNO-SSC.

The Fourth Cooperation Framework states that "UNDP should define clear collaborative arrangements with the SU-SSC" and emphasizes the

importance of leveraging between the two entities. In practice, the Fourth Cooperation Framework has served as the programme of work for the SU-SSC and has not been utilized by UNDP itself at a corporate level as a managerial tool. The framework did not itself clarify the respective roles, detailed functions and individual and shared mandates of the UNO-SSC and UNDP regarding SSC. There is a broad, diffuse mandate on SSC-TrC that is shared by UNDP and the UNO-SSC, but with few details on the exact division of labour, roles and responsibilities and lines of accountability for outcome achievement. This is especially true in terms of the strategic linkages between UNO-SSC, UNDP headquarter units and the decentralized offices of UNDP at the field level. The recent annual reports by the UNO-SSC to the UNDP Executive Board in 2010 and 2011 have included reporting against the Fourth Cooperation Framework, however they clearly pertained only to activities of the SU-SSC. This division of labour was also reflected in the mid-term review of UNDP Strategic Plan.

The SU-SSC is not explicitly linked in any way to the UNDP country offices although there are regional SU advisers who now sit in three UNDP regional centres. Their exact position and level of integration with UNDP's own work varies from centre to centre depending on such factors as the background knowledge of these advisers about UNDP's programming work and how long the position has been in place in the regional centre. UNDP supports the UN Resident Coordinator system at country-level and its personnel who are tasked with linking with or supporting partners' coordination efforts around SSC-TrC have virtually no direct contact with the SU-SSC, its mandate or tools.

In fact, based on what was learned during evaluation field visits, the SU-SSC was found to be largely invisible at the country programme level within the UNDP system. The lack of formal interface with and knowledge about UNO-SSC within UNDP country offices means that frontline programming personnel were unlikely to access the many tools and resources that the UNO-SSC offered. Conversely, there are evidently no formal or systematic opportunities for UNDP country offices to channel their own learning, information, lessons and ideas about how to facilitate SSC-TrC, as well as successful country-level best practices or successes in SSC-TrC, into the SU-SSC global pool of information.

The challenge is that the UNO-SSC up to now has not really been fully integrated into UNDP programmatic work. Its unique inter- or cross-organizational identity is linked to its mandate as a UN system-wide entity. There is no explicit policy or programme guidance for UNDP in engaging with the UNO-SSC, which has proven to be a major constraint to leveraging the substantive SSC resources needed as well as to encouraging more systematic and fruitful collaboration.

Finding 15. The UNO-SSC has recently faced challenges to facilitate consensus around critical HLC documents, raising concerns over the presentation of the Southern perspective.

The UNO-SSC is the designated focal point for SSC within the UN system and as such it facilitates and brokers a wide range of convening, knowledge sharing and partnership activities. There was recognition among all Member States of the importance of the UNO-SSC's role and the need to further strengthen its capacities and approaches. UN partners and Member States interviewed recognized the UNO-SSC as the official clearinghouse on SSC within the UN system in support of the HLC-SSC and affirmed that it should be a key representative or interlocutor for the voice of the South in SSC.

HLC-SSC Member States understand that there are two levels of work on SSC: a) the normative area in which the HLC-SSC functioned as an intergovernmental body that promotes SSC, reviews progress and ensures coordination of UN system activities in support of SSC, with the UNO-SSC as its secretariat; and b) the programmatic area which involved the many initiatives in horizontal and technical cooperation undertaken by countries themselves, some of which

is supported or funded UN entities, including UNDP, the UNO-SSC, and/or other multilateral or bilateral partners.

Member States' views regarding the ability of the SU-SSC to promote and advocate a Southern perspective on SSC varied over time and were sometimes critical. They recognize the significant role played by the UNO-SSC as Secretariat of the HLC in the preparation of the Nairobi Outcome Document and numerous studies on SSC. In their view, more recently the SU as the secretariat of the HLC-SSC could be doing more to facilitate information flows and advocacy for SSC based on solidarity with the achievement of countries' development objectives and a recognition that collective self-reliance should prevail over the mere exchange of knowledge. The strategic ability of the UNO-SSC to help ensure that SSC is mainstreamed and promoted to the fullest extent possible and that the Southern viewpoint on SSC is at the forefront is questioned by some Member States. From this perspective, the UNO-SSC, and to some extent UNDP itself, are not regarded to be living up to the expectations outlined by the General Assembly that, "South-South cooperation and its agenda have to be set by countries of the South."[63]

These concerns were amplified in late 2011 and early 2012 during debate around the approval of key documents submitted to the 17th session of the HLC-SSC. The proposed 'Framework of Operational Guidelines on United Nations Support to South-South and Triangular Cooperation' prepared by the SU-SSC generated much debate among Member States. The debate centred on the use of references to the 2012 'Busan Partnership for Effective Development Cooperation Outcome Document', which was organized by OECD-DAC as part of the follow-up to the 'Paris Declaration on Aid Effectiveness'. The Busan document was contentious among many countries mainly because it appeared to advocate for the use of conditions that would be attached to the deployment of resources in support of SSC, a position that violates the principles of the Buenos Aires and Nairobi documents. They also noted that "there was a paradigm difference between North-South and South-South assistance that no common approach could bridge." A further comment from this report is that, "Developing countries were unanimous in reaffirming their political commitment to and strong support for South-South cooperation. They saw it as a complement to North-South cooperation for development, not its substitute, and as their collective endeavour based on the principle of solidarity and on premises, conditions and objectives specific to the historical and political context of developing countries and to their needs and expectations. As such, South-South cooperation deserved its own separate and independent promotion, as reaffirmed in the Nairobi Outcome Document."

Member States in general want the UNO-SSC's independence and autonomy from the traditional models of North-South aid relationships to be strengthened, in order to maintain its relevance for Southern country dynamics. This perspective was reflected in the recent HLC-SSC decision to remove the 'unit' designation of the SU-SSC and rename it as the United Nations Office for SSC (UNO-SSC) as well as enlist the support of the Secretary-General in making the new office more relevant, effective and efficient in meeting the needs of Member States[64]. Of course, this shift will also have important implications for the current institutional relationship with UNDP as the present host of the unit.

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6 3.   United Nations, General Assembly Resolution 64/222, 'Nairobi Outcome Document of the High-Level United Nations Conference on South-South Cooperation', New York, February 2010.

6 4.   UN General Assembly, 'Report of the 17th Session of the High Level Committee on South-South Cooperation,' (A67/39), New York, September 2012. Decision 8. p.3.

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Finding 16. The UNO-SSC has produced some key outputs under the Fourth Cooperation Framework related to the 'three-in-one' architecture for SSC support, but the overall effectiveness of the approach is still to be seen.

The results framework embodied in the Fourth Cooperation Framework provides UNDP with some programmatic orientation for its support to SSC, but in practice the main implementing unit has been the SU-SSC. The framework provides the Executive Board with a managerial tool for accountability so that it can track the SU-SSC performance in terms of outputs and funding. Although there are some challenges regarding the coherence and alignment between the UNDP Strategic Plan and the cooperation framework as well as poorly articulated institutional linkages between UNDP and the UNO-SSC (as already noted under Finding 14), the UNO-SSC has adhered to the framework in conducting its programme of work.

The UNO-SSC has, over the past several years, created what it refers to as a 'three-in-one architecture' for supporting global, regional and national work in support of SSC. This has translated into various coordination and policy research activities, events, tools, knowledge products and online information portals and clearing houses created by the SU-SSC as key outputs under the Fourth Cooperation Framework. The three-tier strategy corresponds to the outcome areas under the framework, namely 1) facilitation of knowledge exchange, 2) support to policy advice and innovation, and 3) scaling up for greater impact on development results. These areas are all considered relevant by Southern countries, which recognize that knowledge exchange is but a necessary first level of interaction to the achievement of development results, thus the importance of the other two tiers.

Under the knowledge exchange tier, examples of key accomplishments by the UNO-SSC include organization and support for the annual South-South Development Expo along with UN agencies, Member States and other development partners, as well as South-South knowledge fairs such as a recent one in Panama organized jointly with the UNDP Regional Centre for Latin America. The Global Development Expo in particular was able to showcase a number of examples and good practices in SSC from across the UN system, with participation from many developing country partners. There were significant reports produced from these events over the past several years that summarized the range of experiences and opportunities showcased for SSC. Attendance at some components of the global and regional knowledge exchange meetings and event has increased between 2008 and 2011.

For the second tier of policy advice, the main activities of the UNO-SSC have been in helping Member States coordinate and facilitate the HLC-SSC meetings and related deliberations. This includes preparing background and research documentation as well as ensuring coherence of the agenda and process related to the HLC-SSC's work. Some of the strengths and weaknesses of the UNO-SSC's role in the policy area, in terms of reinforcing the perspectives and values of Southern partners around SSC, are described under Finding 15.

The third tier for innovation and scaling up of SSC-related ideas includes the services or platforms provided by the UNO-SSC related to the Global South-South Development Academy and the South-South Global Assets and Technology Exchange or SS-GATE. The Development Academy is an online service platform focused primarily on the identification, compilation, and dissemination of Southern development solutions, also through the use of rosters of Southern experts. Approximately 3,500 unique visits were noted on the Development Academy website over the past eight months, of which 15 percent of the visits came from UN entities and 30 percent of visits came from within a developing country. The academy also created an online self-learning module, 'Basics of South-South Cooperation', and an online 'Handbook on South-South Cooperation'.

The SS-GATE is a complex, multi-track system for assets and technology exchange for Small and Medium Enterprises. According to reports from the UNO-SSC, the level of interactions and transactions has increased over the past three years, with increased number of country centres for SS-GATE reaching a total of 40 centres as of July 2012. SS-GATE pilot initiatives and technology transfer arrangements so far were limited to a few countries in Asia and Africa, with the bulk of connections being made between China (the host country) and African countries.

The UNO-SSC activities, tools and systems under each of the three tiers were judged by the evaluators to all be technically proficient, containing some interesting content and well-organized meetings. UN specialized agencies praised the coordinating role of the UNO-SSC in terms of knowledge exchanges and inter-agency collaboration. UN system partners for the UNO-SSC indicated that the annual meetings for inter-agency focal points as well as the annual South-South Global Development Expos were unique and worthwhile events. The Global Expos provided the platform for showcasing South-South and triangular partnership solutions, with co-sponsorship and participation of more than 20 UN organizations. Technology exchange is at the forefront of the SSC agenda for many countries, as can be seen by the number of country centres currently operating for SS-GATE. In that sense, the partnership strategy and implementation approach adopted by the UNO-SSC seems to be sound, but with implementation constraints (see Finding 17).

Finding 17. It is difficult to gauge the sustainability and broader effects of the UNO-SSC's products and services due to limited monitoring and evaluation.

In spite of relatively high participation and accessibility for some of the key events and tools of the UNO-SSC, there are ongoing challenges with follow-up, utilization and sustainability of its products and services. The broader development effects of many UNO-SSC efforts are not yet known or have not been fully analysed

and documented. Some initiatives such as the Expo happen on an annual basis and do not involve any direct follow-up by the UNO-SSC itself, so it was unclear how the Expo is being linked to further programmatic innovations for UNDP or other members of the UN system. The replication mechanisms are not yet known, nor is the sustainability of the benefits of many UNO-SSC initiatives.

For example, SS-GATE has now been established as a state-owned enterprise of the Shanghai Government and it is attempting to build in a cost-recovery mechanism to build sustainability and the UNO-SSC is committed to develop an exit strategy. The UNO-SSC sees many of its pilot projects as having successful results and high ownership on behalf of the country partners and thus sustainable. There is no evaluative evidence of the effectiveness or sustainability of these results. Based on more solid evidence the UNO-SSC would be in a better position to scale up successful initiatives or to adjust the less successful ones. There remains a gap between intentions and actual scope or awareness of some UNO-SSC services and events. Overall, the scale of what the UNO-SSC offers in directly facilitating SSC is relatively modest in comparison to the global context, and it is not yet evident how various pilot activities offered under the three tiers can be leveraged into broader effects.

One key issue is that although the Nairobi Outcome Document referenced the key initiatives of the UNO-SSC in an effort to enhance closer linkages between Southern partners, the UN system and the UNO-SSC, the majority of country partners and UNDP country offices interviewed for this evaluation were unaware of the knowledge products or tools offered by the UNO-SSC or how they could be applied in their work. The UNDP products and services survey of 2009 found that UNO-SSC products and services are not being regularly or consistently accessed by UNDP personnel: out of the 4,895 staff members that responded to the survey, fewer than 100 responded to the questions regarding the services

of the UNO-SSC. Of these limited number of respondents, only 50 percent had anything to say regarding the utility of UNO-SSC products. This is a significant gap given that the UNDP programming staff in many regional and country offices are in a good position to benefit from and/or further promulgate or promote among partners what the UNO-SSC has to offer.

In spite of the positive performance reports and reflection or policy papers produced by the SU-SSC at the request of the HLC-SSC and the UNDP Executive Board, the overall effectiveness picture for the unit's work is still incomplete. The UNO-SSC consistently reports against the Fourth Cooperation Framework on an annual basis to the Executive Board of UNDP, however, due to the output-based orientation of the cooperation framework, the reports contain a compilation of activities rather than analysis of cumulative longer term effects or results. It is difficult to judge yet if the key outputs being produced by the UNO-SSC are in fact contributing to the broader development outcomes that are envisioned in the framework and the UNDP Strategic Plan.

The required outcome boards under UNDP's corporate requirements (which still guide the unit's work in spite of its independent status) have not yet been set up by the UNO-SSC to conduct any outcome evaluations. The SU-SSC commissioned only one external project evaluation in 2008 that looked specifically at a component of its work and only recently conducted several external project evaluations of the IBSA-funded projects. No external evaluations have been conducted up to now of the specific tools or platforms in the three-in-one architecture and their eventual effects and identification of improvements. The feedback loops to trace ongoing or longer term effects of the methods and strategies used by the UNO-SSC are still missing.

Finding 18. The UNO-SSC is recognized as having an extremely broad mandate and limited resources and its operational capacity was thus questioned.

The special status of the UNO-SSC as a separate entity within the UNDP corporate structure and its complex institutional identity as an 'entity within an entity' affect the administration and coordination of both UNDP and SU work in support of SSC. The UNO-SSC has been plagued with the institutional firewall issue for years. In the 1990s, this issue emerged when the Kienbaum & Partners review of UNDP management recommended that the unit be subsumed under the Bureau for Programme Policy and Evaluation, which was not accepted by the UNDP Administrator.[65] Ever since the report the unit has struggled with the dual mandate to maintain a separate identity, as requested by Member States, while at the same time support UNDP as its focal point for SSC as stipulated in the Strategic Plan and cooperation framework. Other UN agencies, funds and programmes consulted for the evaluation welcome the firewall with UNDP and highlight the coordinating role the UNO-SSC has played for the UN system overall. The coordinating role of the UNO-SSC among UN agencies funds and programmes at headquarters level is a recognized value added by the unit.

The Fourth Cooperation Framework specifically directed that "the Special Unit should adopt strict criteria and should leverage the capacities of UNDP and other relevant United Nations organizations to enhance the contribution of South-South cooperation to development effectiveness." As noted under Finding 14, leveraging and priority setting between the two entities still is limited, possibly because there were so many levels and arrangements between the different actors. The UNO-SSC's role and offerings are certainly not evident from the data collected in relation to strengthening UNDP's and national partners' work.

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65. United Nations, 'Report on the 7th Session of the High Level Committee on the Review of Technical Cooperation Among Developing Countries (A/46/39)', New York, 1991.

The UNO-SSC faced and continues to face severe resource constraints (as noted in Chapter 3) according to recent documents such as the draft report of the 17th session of the HLC-SSC released in August 2012. Member States of the HLC-SSC again have demanded much higher financial commitments, visibility and advocacy for SSC throughout the UN system and beyond. Another factor is that the UNO is perceived to be isolated from the day-to-day programming work of UN entities and has been unable to adequately utilize the resources and networks within the UN system to inform a comprehensive perspective on emerging, on-the-ground demands in SSC.

The recent Joint Inspection Unit review and internal UNDP audit of the UNO-SSC identified the need for a revamped outreach programme to increase engagement and ensure clarification of the mandate for and greater visibility of the SU-SSC. All these ideas reinforce the need for the SU-SSC to look more closely at efficiency issues.

The UNO-SSC has showed limited ability on its own to translate pilot projects into innovative initiatives leveraging concrete financial support for SSC. Additionally, stakeholders raised questions about the ability of the SU-SSC to manage SSC trust funds according to needs of UNDP country offices, and more importantly the needs and expectations of funders and programme countries. The IBSA Trust Fund is a significant advance for SSC because it is one of the few trust funds funded by Southern countries for the benefit of other southern countries, and should therefore be expanded.

As mentioned previously, the SU-SSC has now been renamed the UNO-SSC and has an important coordinating role to play in the UN system. While it obviously does not have the responsibility to coordinate internal UNDP SSC-related mechanisms and strategies, its ability to efficiently link with UNDP's work is of crucial significance to the future of the UN support for SSC.

Chapter 5

CONCLUSIONS AND RECOMMENDATIONS

In order to provide a coherent performance analysis and a balanced judgement of progress for the past five years of UNDP's work on SSC, the evaluation drew on a range of analysis and information, including progress towards the implementation of key recommendations from the 2007 independent evaluation of UNDP contribution to SSC; the three SSC-related outputs found in the UNDP 2008-2013 Strategic Plan; and the key outcome areas of the Fourth Cooperation Framework for SSC. The conclusions were formulated in relation to the key evaluation questions and underlying evaluation criteria presented in Chapter 1. The following sections summarize and synthesize the key conclusions and recommendations obtained from this analysis.

5.1 CONCLUSIONS

Conclusion 1. UNDP is in the unique and strategic position in the UN system to foster stronger mechanisms of support and implementation for SSC-TrC, under the guidance of the UN General Assembly and the High Level Committee on South-South Cooperation. The contextual evidence, historical background and institutional information presented in this report points to SSC and TrC being of increased global importance in the future than in the past, as well as to the continued and growing importance of UNDP as a broker, facilitator and interlocutor for stronger horizontal cooperation among Member States of the UN.

UNDP's leadership and coordination role in the UN system and among partners, for more effective and strategic responses to SSC, is highly respected and the organization is viewed as having the potential to do much more. In particular, there

is currently an important global dialogue going on regarding how to balance a more traditional North-South development paradigm, with one in which the primacy of South-South mechanisms is respected, enhanced and recognized. UNDP has played and can potentially play a much larger role in creating linkages between these two modalities of development cooperation, which need to function in a mutually complementary fashion, and in finding ways of harnessing traditional North-South assistance flows towards support for stronger horizontal cooperation mechanisms, thus strengthening triangular cooperation. Nonetheless, UNDP faces challenges in fulfilling this potential if it does not develop the internal analytical capacity and resources required. Sharing knowledge about SSC-supported initiatives has room for improvement. Fragmentation on the part of UNDP's approach leads to a rich and diverse array of SSC-related activities, but these are not well documented so UNDP and its partners risk losing the potential synergies and efficiencies as well as broader impact that might characterize a better-delineated and systematic approach. The opportunities for scaling up successful experiences, which is one of the areas where South-South and North-South cooperation modalities can meet, get lost.

Conclusion 2. UNDP has made substantial contributions to facilitate South-South knowledge exchanges in all its focus areas and among all regions. UNDP is recognized as a key facilitator of effective horizontal cooperation mechanisms among Member States and in particular among countries emerging into or consolidating their middle-income status, and which want to capitalize on what they have to share with and offer other countries going through similar development processes. Both UNDP and the Special

Unit have done many things right, as evidenced by the positive aspects of the picture emerging from the assessment of progress against key frameworks and results and from testimonials and evidence obtained at the country level about the utility of UNDP support for specific SSC knowledge exchange and capacity-building activities among partner countries. In the focus area of governance, UNDP was involved in inter-regional exchanges helping countries address issues related to democratic transitions, accountability of governance systems, and elections and constitutional reform. Recent UNDP country programme evaluations note the growing importance of South-South knowledge and technical exchanges for sustainable development, management of natural resources and climate change adaptation and mitigation. UNDP did support South-South exchanges for addressing the poverty-environment nexus and displayed a strong commitment towards MDG-focused South-South and triangular cooperation work. Additionally, in terms of disaster prevention and recovery, UNDP has been involved in brokering Southern-based immediate responses to natural disasters as well as at later stages when the countries involved were dealing with the recovery phase.

UNDP support for SSC-related policy and institutional work was particularly effective in the areas of capacity development of country-level international cooperation agencies and South-South mechanisms, enhanced country partnership agreements for SSC and TrC through thematic centres, and support to research and/or advocacy on the strategic and policy dimensions of SSC, thus enabling developing countries to play a more active role in international policy and decision-making processes.

Conclusion 3. UNDP's size, diversity and complexity (which are also its greatest assets) as well as its corporate funding constraints mean that it is hard to make the shift efficiently to new ways of thinking and functioning in support of SSC. Facilitating or supporting SSC requires much more than project-based support on the part of UNDP in order to support greater sustainability of the concept and its effects, although that may

still be one important tool. Consequently, there is a gap between rhetoric at the corporate level and the reality of what happens on the ground when the ideas get implemented in practice. In terms of institutional arrangements, SSC lacks a specified 'home' within UNDP's corporate structure. At least two headquarter units in UNDP (Bureau for Development Policy and Bureau for External Relations and Advocacy) played a role in supporting the organization's approach to SSC as well as in liaising with Member States but ultimately there does not appear to be a clearly defined location for coordinating and strategizing about SSC-related work. The UNO-SSC should not be expected to play this role internally within UNDP because although it is officially hosted by the UNDP, its mandate is UN system-wide.

There are two critical strategic issues that are also related to programmatic and operational efficiency of the organization. One is that UNDP's dominant operational approach is still largely determined by traditional paradigms of North-South aid flows in which funds have to be raised from wealthier developed nations and then channelled via specific projects to less developed partners. In spite of the strong commitment of UNDP personnel in reaching towards new models of horizontal interaction and resource mobilization, the traditional development funding and implementation paradigms continue to be replicated within UNDP's approach to SSC-TrC. UNDP has the potential to do much more to increase complementarity and stretch the boundaries of cooperation and coordination between the two coexisting modalities of North-South and South-South development assistance. A second and closely related issue is the fragmentation of UNDP's approach to supporting SSC. The overall picture that emerges from the evaluation is one in which there is lack of overall coherence regarding UNDP's work in SSC-TrC, both in terms of its on-the-ground support and in the wider realm of knowledge management. The existing knowledge-sharing platforms related to SSC being promoted and utilized by UNDP are not yet fully managed to create the best possible synergies.

There is a fine line between appropriate adaptation to different contexts and what could be viewed as a reactive, fragmented or ad hoc approach on UNDP's part in relation to its work on SSC. The evaluation uncovered several examples of where different regional and country programmes each have had to 'reinvent the wheel' to some extent in relation to determining how to support SSC, as there is little corporate operational guidance or an overarching action plan under which to make consistent, strategic choices and investments in SSC-TrC approaches. UNDP has opportunities to further distinguish the different types of TrC modalities and strategies that it offers and to finesse the range of approaches (and specific effects) that are required to work with different countries with diverse development needs and expertise to share.

Countries that are already emerging strongly on the world economic stage with considerable resources and strong international political and economic agendas are in a somewhat better position to move ahead with forging their own SSC linkages without much third party assistance from UNDP, but these countries still appreciate UNDP's continued capacity development efforts and encouragement of opportunities oriented towards crucial human development issues such as gender equality, environmental sustainability and inclusive economic growth.

Conclusion 4. There is no clear evidence of long-term sustainability of South-South initiatives supported by UNDP and the wider replication of the benefits is uneven. SSC-TrC initiatives, because of their voluntary nature and mutual learning approach, demand high national ownership which is conducive to long-lasting results and stronger replication; however, sustainability has not always been factored in when designing SSC initiatives supported by UNDP, especially for short-term knowledge-based exchanges or information sharing. This shows a clear area for improvement where much attention needs to be paid to the follow-up effects of various South-South knowledge-exchange initiatives, either in direct implementation or in the policy arena. Neither

is replication of these initiatives always evident, probably due to limited systematization and learning from previous experiences which, again, is linked to poor knowledge management in varied contexts. In some cases, however, national partners have taken full ownership over various capacity-building and/or innovation initiatives related to SSC and there has been considerable investment by them which is likely to continue. It may be too early, based on some of the evaluative evidence, to determine whether the benefits of current initiatives are in fact sustainable or not, due in part to the fact that the initiatives are too varied, dynamic and complex and located within country and regional contexts that further influence potential success.

RECOMMENDATIONS

Recommendation 1. UNDP should develop a comprehensive corporate strategy for its support to SSC and TrC.

Following the decision of the 2012 Quadrennial Comprehensive Policy Review of the United Nations System for Development, UNDP needs a fully articulated strategy to mainstream its support to SSC and TrC. This requires dedicated plans, tools, structures, resources, and incentive and accountability mechanisms that ensure its mainstreaming into the regular planning and programming activities for development. UNDP needs to embark on an iterative process of integrating SSC into its programming with the necessary budgeting, implementation and monitoring processes at national, regional and global levels.

UNDP still lacks a coherent corporate strategy with a clearly defined vision, priorities and practical approaches to support SSC and promote TrC. The corporate strategy would allow the organization to capitalize on its comparative advantages. Administrative and political leadership are needed to address this shortcoming.

The new strategy should help the organization position SSC as a key element contributing to

enhanced national and local capacities for human development and the achievement of internationally agreed development goals, and a valid development cooperation modality relevant for programme countries. Working with a common definition is an important requirement for the development of a strategy. The definition can take the framework of operational guidelines on United Nations support to South-South and triangular cooperation as a basis and recognize the somewhat differentiated development trajectory of Southern countries as a complement to the broad experience of international cooperation and as a relevant vehicle to address development challenges faced by developing countries. The strategy should help the organization operationalizing the *Southern perspective* to SSC based on the great importance given by UNDP to the principle of national ownership.

The human development perspective is another added value that UNDP brings to the global debate on SSC and TrC. Programme and donor countries value the people-centred approach of the proposition. The strategy should build on this comparative advantage and help develop the capacities of programme countries to maximize the benefits and impact of SSC and TrC in order to achieve their national goals, with special emphasis on the achievement of internationally agreed development goals.

UNDP should promote further investment and engagement in *institutional capacity development* initiatives that have proved successful in the past to expand efforts of programme countries to engage in SSC. UNDP support should shift from the downstream level of direct involvement in implementing programmes to a capacity development and knowledge innovation as shown by the experiences of the thematic centres established in partnership with selected Member States. With this approach in mind UNDP can act as an enabler of substantive policy dialogue among developing countries to promote, enhance and advocate for a new global partnership for development. UNDP is viewed by many partners as an organization with the potential to offer new forms of advisory

and institutional support related to SSC, and this must be reflected more strongly at the level of concrete interactions and methodology.

Based on its extensive presence UNDP should strengthen cross-regional knowledge exchange and improve its support to regional cooperation as important components of its approach to SSC. UNDP ability to foster effective initiatives around regional integration was also seen positively in some regions and should be leveraged. The UNDP approach to SSC could gain important spillovers from a dedicated strategy to support regional integration efforts.

Recommendation 2. Under the new corporate strategy for SSC, UNDP will need to clarify its corporate structure and define more precisely its operational approaches and guidance for continued support to SSC-TrC.

In conjunction with the need for a corporate strategy as noted under Recommendation 1, UNDP should clearly establish the roles and responsibilities within its operational structure to implement its strategy and to coordinate the efforts made by programme units at global, regional and country levels. Concretely, strengthening and further delineating the distinctive accountabilities and functions of UNDP's units in support to SSC, can greatly benefit on-going work in having a more coherent approach to supporting SSC and TrC.

There is a need to operationalize in stronger and more coherent ways UNDP's support to SSC-TrC. UNDP needs to restructure incentives and reform internal management and operational systems to discourage top-down approaches to SSC and facilitate enhanced country ownership. UNDP should introduce planning and operational procedures that streamline and fully mainstream SSC within its programmes. While recognizing the continued advantages in some instances of a projectized approach to SSC-related programming, UNDP should consider developing more flexible and agile mechanisms to respond to rapidly evolving needs of programme countries for exchange of knowledge and technology.

Support to SSC at country level. UNDP supports the Resident Coordinator system encompassing all organizations of the United Nations system dealing with operational activities for development, regardless of their formal presence in the country and in that capacity should enhance its efforts in support of a more coordinated and cohesive support to SSC and TrC initiatives demanded to the UN by programme countries on the ground. UNDP support to SSC at country level should be undertaken in an integral and cooperative way with the UN development system. UNDP should intensify its cooperation and adopt collaborative approaches to support country-level development initiatives, in alignment with the UNDAF to establish and/or improve mechanisms to promote knowledge sharing through SSC or triangular schemes. This implies that the UN system and specifically UNDP should respond to the diverse priorities, visions and demands of UN Member States regarding SSC. This highlights the emerging role of the important mechanism of triangular cooperation in which neutral third party funders/supporters can play a brokering or facilitation role for demand-driven, inter-country and country-owned sharing of expertise, knowledge and/or technology.

The recent renaming of the Special Unit serves to positively reinforce its broader role as an office in the UN system and should help reduce some of the ambiguity regarding its exact relationship with UNDP as its host agency. A re-examination of the existing division of labour and responsibility between UNDP and the UNO-SSC is needed for improved coordination and synergy. UNDP's extended country presence and operational capacity should benefit from the convener role played by the UNO-SSC which enables various UN legislative bodies to make inform decisions on SSC and TrC. The link between the normative side, represented by the UNO-SSC and the operational side, represented by UNDP, of the UN support to SSC and TrC should be mutually reinforcing. UNO-SSC had a very broad mandate and a thin resource endowment, both human and financial, and, as mentioned repeatedly by Member States, it requires further institutional strengthening. At the same time, the UNO-SSC still has to forge its own parallel and complementary approach, building on past successes while at the same time rethinking its relationship to UNDP. Now that it is clearly identified as a UN office, there should be less confusion and also more opportunities for the unit to define new and improved institutional working relationships and synergies with UNDP.

Recommendation 3. Knowledge management, which was a critical component of previous cooperation frameworks, needs to be addressed in a more systematic and coherent manner.

UNDP should undertake an earnest review of experiences of SSC and TrC for the achievement of internationally agreed development goals and reinforce its mandate to support the capacity development of programme countries. UNDP needs stronger information system in support to SSC and TrC. Starting with a single repository of recorded efforts in support of SSC and TrC that is easily accessible it needs to distil lessons learned from current practices and approaches within country and regional programmes. Important lessons can be drawn from successful and unsuccessful experiences and ensure they are systematically disseminated throughout the organization. UNDP should be able to support programme countries to scale up successful development initiatives based on South-South solutions. For that it needs to improve its capacity to learn from past experience. How to facilitate the complementarity of approaches between SSC and traditional NSC in which the UN in general and UNDP in particular should be an important and critical player is a necessary consideration. The UNO-SSC has developed innovative platforms for knowledge sharing that should also be used more systematically by UNDP on a corporate-wide basis.

Recommendation 4. UNDP should intensify its information sharing, reporting and evaluation on support to and results achieved through SSC and TrC.

UNDP needs to continue to strengthen its approaches to *performance reporting* for SSC-related work, as well as towards the *monitoring and evaluation* of SSC and TrC contributions to development results. Many results observed during the evaluation had an emphasis on short-term benefits, showing the need for more clearly articulated theories of change during the design phase of the support. More robust M&E frameworks should be developed for any programmes or initiatives related to SSC that are supported by UNDP, with the aim of documenting and extracting lessons and best practices for further replication. The current results framework for SSC with the explicit reference to outputs, indicators and targets should be considerably improved. Firstly the outputs should refer to the efforts undertaken by UNDP programme units at regional and national level, leveraging the network of country offices and regional service centres in support of SSC and not rely on the implementing capacity of the UNO-SSC. Secondly, the relationship between outputs, indicators and targets should be tightened. Finally, there needs to be more clarity about the benchmarks and the way to measure progress in a cohesive and meaningful way against expected outcomes. UNDP is making significant efforts to improve its approach to capturing progress through the results-oriented annual reports. The organization needs to continue strengthening its results-based-management with regard to its support to SSC. It made important progress in capturing the quantity of supported initiatives. UNDP can now move into capturing and analysing the quality of SSC initiatives for the achievement of development results. UNDP needs to pay more attention to the impact pathways of SSC and TrC initiatives and the sustainability of its benefits.

Recommendation 5. UNDP should clarify its financial commitment with regard to its support to SSC-TrC.

UNDP should improve its accounting mechanisms to take stock of the current support being provided to SSC through programme resources. UNDP does provide financial and in-kind support to SSC and TrC that is not fully accounted for and/or recognized. UNDP does not collect financial information on SSC supported initiatives other than its regular contribution to the UNO-SSC.

Country offices need to include dedicated resources to support SSC and TrC initiatives into their regular programmes. In practice initiatives that have not been planned within a programme or project are not likely to be supported, as there are no earmarked resources for the support of SSC at country or regional level. This is one of the aspects that hinder UNDP flexibility in response to increasing demand. Programme countries expect UNDP to allocate counterpart or seed-money to launch joint strategies and pilot initiatives. For example, the new partnership strategy, which aims to strengthen the relationship with middle-income countries, requires financial resources for its implementation that currently need to be mobilized through programme resources.

The UNDP Executive Board may want to consider increasing its financial commitment to SSC-TrC as a key aspect of a renewed corporate approach. There is a need to address the current imbalance between stated ambition and financing. Specifically, the 0.5 percent of UNDP core resources allocated to SSC (all of which now go directly to support the UNO-SSC) should be re-examined to find ways for more funds to be directly available for use at the country and regional levels for SSC-related programming. The Executive Board may consider increasing funding and resource allocation to support SSC and TrC to be aligned with increasing demand from programme countries.

Annex 1

TERMS OF REFERENCE

BACKGROUND

The United Nations Development Programme (UNDP) Strategic Plan 2008-2011 emphasizes South-South cooperation as a key element contributing to enhanced national and local capacities for human development and the achievement of internationally agreed development goals. Under the Fourth Cooperation Framework for South-South cooperation, UNDP is expected to effectively service the High-level Committee and strengthen the leadership role of UNDP in mainstreaming South-South cooperation by leveraging its network of country offices and the entire organization, at headquarters and in the field. UNDP is also expected to leverage its global reach to assist programme countries in strengthening national capacities to scale up the impact of South-South cooperation in the course of meeting commitments spelled out in the Strategic Plan.

UNDP hosts the Special Unit for South-South Cooperation. The work of the Special Unit is guided by the High Level Committee on South-South Cooperation and is aligned with the dual role of UNDP in its service to the international community, Member States and society at large. The Special Unit, under the Fourth Cooperation Framework, should seek to promote the coordination, efficiency and effectiveness of United Nations support to South-South cooperation, particularly at the country level.

The Evaluation Office (EO) of UNDP, as part of its oversight function, focuses on thematic areas that are germane to the effectiveness of UNDP – a key one being the extent to which the UNDP fosters collaboration and cooperation among Member States for the achievement of development results.

An independent evaluation of UNDP contribution to South-South cooperation is required before the approval of the next cooperation framework that will be presented to the Executive Board in 2013. The second evaluation of UNDP contribution to South-South cooperation will be conducted in 2012 and will assess progress made since 2008. It is part of the Evaluation Office programme of work, as approved by the Executive Board of UNDP in 2010.

A. PURPOSE AND OBJECTIVES

The purpose of the evaluation is to inform decision-making and provide evidence-based inputs for the deliberations of the Executive Board on how to strengthen UNDP role in facilitating and promoting South-South and triangular cooperation. It will assess the extent to which the recommendations from previous evaluations were taken into account and the progress made in the achievement of stated outcomes since 2008. As this is the second evaluation on the topic conducted by the EO, the evaluation will have an emphasis on identifying lessons learned. The evaluation will also provide UNDP management with conclusions and recommendations that are expected to assist in identifying strategies and operational approaches pertaining to UNDP role in promoting South-South and triangular cooperation.

The primary objectives of the evaluation are to:

- Assess the relevance, effectiveness, efficiency and sustainability of UNDP support to the achievement of development results through South-South cooperation;

- Clarify the added value of UNDP and its comparative advantage in promoting more effective solutions to development challenges through South-South cooperation;

- Identify lessons learned from past initiatives and approach to South-South cooperation; and

- Provide actionable recommendations with respect to UNDP strategies and approaches to strengthen South-South cooperation and triangular cooperation.

This is a goal-based evaluation in which a UNDP programme has an explicit results framework. The UNDP Strategic Plan provides the overall approach to mainstreaming South-South cooperation throughout UNDP, and the Fourth Cooperation Framework for South-South cooperation elaborates on specific elements of UNDP's approach to South-South cooperation. The evaluation will document and analyse achievements against intended outcomes and linkages between activities, outputs and outcomes. The evaluation will qualify UNDP's contribution to outcomes with a reasonable degree of plausibility. It will identify intended and unintended consequences of the implementation of the cooperation programmes.

B. SCOPE

The evaluation will assess the performance of UNDP support to South-South cooperation, as expressed in the Fourth Cooperation Framework for South-South cooperation approved by UNDP Executive Board in 2008 and mainstreamed by UNDP through the implementation of its Strategic Plan. It will cover the period between 2008 and 2011. The geographic scope of the evaluation is global, as initiatives to promote South-South and triangular cooperation took place within and across the five regions in which UNDP operates.[66]

The overall objectives of the Fourth Cooperation Framework for South-South cooperation is to enable the international community to effectively

(a) promote South-South cooperation as a viable strategy for the South to achieve their national development goals and the internationally agreed development goals, including the Millennium Development Goals, in pursuit of more inclusive globalization; (b) mobilize Southern expertise and MDG solutions for mutual learning; and (c) help scale up the scope and impact of South-South and triangular cooperation in achieving internationally agreed development goals, including the MDGs.

The evaluation will ascertain how UNDP has engaged in South-South cooperation and triangular cooperation in a context of fast development changes, new challenges and opportunities for SSC, and in the context of emerging global patterns in international development cooperation including and the emerging role of non-state actors, such as civil society organizations, the private sector and grass-root movements. New partnerships, innovating funding and support mechanisms have been established to address a range of development challenges at global and regional levels. The evaluation will document and analyse UNDP response to such changes.

Despite efforts made by many organizations at mainstreaming South-South cooperation into their work and operational activities, lack of understanding of the definition and concept of SSC and triangular cooperation, and of the differentiation between the regular technical cooperation programmes and those dealing specifically with South-South cooperation remain problematic[67].

The General Assembly has reaffirmed through Resolution 64/222, the Nairobi Outcome Document[68], that South-South cooperation, "should not be seen as official development assistance, but rather as a partnership among equals based on solidarity." The UNDP Special Unit for South-South cooperation

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66. UNDP operates in Africa, Asia and the Pacific, the Arab States, Europe and the Commonwealth of Independent States and in Latin America and the Caribbean.

67. United Nations Joint Inspection Unit, 'South-South and Triangular Cooperation in the United Nations System', Geneva, 2011.

68. United Nations, 'Resolution Adopted by the General Assembly: Nairobi Outcome Document, of the High-level United Nations Conference on South-South Cooperation', (A/RES/64/222), New York, February 2010.

defines South-South cooperation as, "… a broad framework for collaboration among countries of the South in the political, economic, social, cultural, environmental and technical domains... Developing countries share knowledge, skills, expertise and resources to meet their development goals through concerted efforts".[69] United Nations Department of Economic and Social Affairs (DESA) defines South-South cooperation as "cooperation among members of the Group of 77 and China".[70] South-South cooperation is initiated at various levels, namely: bilateral, regional, and global.

Triangular cooperation is a modality through which SSC is also promoted. The General Assembly recognizes triangular cooperation as, "support provided by developed countries, international organizations and civil society to developing countries, upon their request…"[71]. The SU-SSC describes it as the 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. DESA expands upon the definition of triangular cooperation to include, "in some cases Southern providers funding a Southern country (the implementing country, sometimes referred to as 'pivotal' country) to execute projects/programmes in another Southern country (the beneficiary).[72] SSC is implemented through various types of cooperation, illustrating its diverse nature.

South-South cooperation initiatives are generally financed through direct support, cost-sharing arrangements, in-kind contributions and financial and monetary cooperation through trust funds established in multilateral organizations (i.e. South-South Trust Fund). One emerging distinction between South-South cooperation and traditional Official Development Assistance (ODA) revealed that countries of the global South providing assistance tended to use a multi-pronged development strategy, incorporating trade, investment and aid, which are often directed towards infrastructure projects or for building productive capacities. Such assistance included concessional loans, grants, lines of credit and technical assistance, as well as support channelled through multilateral institutions[73]. Additional forms of SSC transfers include government-sponsored investments and agreement of energy supply (e.g. Venezuela provides loans for energy resources at lower interest rates than the international market).[74]

In conformity with the recommendations of the evaluation of the UNDP contribution to South-South cooperation (DP/2008/8) and the commitments UNDP has made in its management response and in its Strategic Plan 2008-2011, the Fourth Cooperation Framework seeks to contribute to three results areas, namely: (a) policy development and advocacy; (b) knowledge mobilization for mutual learning; and (c) scaling up the impact of South-South cooperation through innovation. The fourth framework is expected to make direct and measurable contributions to the UNDP institutional and development results.

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6 9. UNDP, Special Unit for South-South Cooperation website: <http://ssc.undp.org/content/ssc/about/what_is_ssc.html>

7 0. United Nations, Department of Economic and Social Affairs, 'Development Cooperation for the MDGs: Maximizing Results,' (ST/ESA/32/6), New York, 2010.

7 1. United Nations, 'Resolution Adopted by the General Assembly: Nairobi Outcome Document, of the High-level United Nations Conference on South-South Cooperation', (A/RES/64/222), New York, February 2010; para 15.

7 2. United Nations, Department of Economic and Social Affairs, 'Development Cooperation for the MDGs: Maximizing Results,' (ST/ESA/32/6), New York, 2010.

7 3. United Nations, 'Report of the Secretary General, The State of South-South Cooperation', (A/66/229), New York, August 2011.

7 4. Lengyel & Malacalza, Latin American Faculty of Social Sciences, Argentina, 'What do we talk when we talk about South-South Cooperation? The construction of a concept from empirical basis,' IPSA-ECPR Joint Conference, Sao Paulo February 2011.

C. KEY EVALUATION QUESTIONS AND CRITERIA

The fundamental questions to be examined in this evaluation are:

■ Whether UNDP has played a relevant role in assisting programme countries to address their own development challenges, based on South-South cooperation;

■ Whether UNDP rendered such assistance in an effective, efficient and sustainable manner, and to what extent UNDP's assistance yielded results from a human development perspective; and

■ Whether UNDP has responded appropriately to the dynamic context of international development cooperation by adjusting its role and approaches to strengthen South-South and triangular cooperation.

The evaluation will carry out the assessment based on the following criteria[75]:

Relevance and strategic positioning. The evaluation will seek to draw conclusions as to how UNDP has positioned itself vis-à-vis Member States in providing support to initiatives from programme countries from the South.

■ How relevant and strategic has UNDP been in promoting solutions to development challenges through South-South cooperation?

■ Are UNDP approaches to SSC, resources, models, conceptual framework relevant to achieve planned outcomes?

■ What comparative advantages does UNDP bring to South-South and triangular cooperation?

■ How has UNDP engaged in South-South cooperation in a context of fast development changes, new challenges and opportunities for SSC, and in the context of emerging global patterns in international development cooperation including triangular cooperation and the emerging role of grass-root movements and civil society organizations?

Effectiveness. The evaluation will assess UNDP's contribution to development results through South-South cooperation initiatives.

■ Did UNDP's approach to SSC contribute to progress towards the stated outcomes in the Fourth Cooperation Framework and the Strategic Plan?

■ How effective has UNDP been in supporting the achievement of sustainable development results based on South-South cooperation initiatives?

■ Is UNDP effectively engaged in policy dialogue with national actors to support their development priorities?

■ To what extent has UNDP implemented broader corporate-level policy to promote South-South cooperation with respect to relevant sectors and thematic areas particularly in the areas of poverty reduction, democratic governance, crisis prevention and recovery, the environment, and sustainable development, as well as gender empowerment?

■ Did UNDP follow up on recommendations from previous independent evaluations?

■ To what extent has UNDP affected its own programmatic orientation, programme priorities, and delivery modalities at the country and regional levels to achieve institutional and development results?

Efficiency. The evaluation will assess at corporate level, as well as in the context of specific countries, the timeliness and resource utilization as well as UNDP internal arrangements in supporting efforts for South-South cooperation.

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75. This is the 'lens' through which the evaluation will look at UNDP work.

- Have the programmes been implemented within deadlines and cost estimates?

- Were the UNDP resources focused on the set of activities that were expected to produce significant results?

- Was UNDP able to successfully leverage its global reach to assist programme countries and country and regional programmes in support of South-South cooperation?

Sustainability. The sustainability of the benefits of UNDP programmes implemented through South-South cooperation modalities is of central importance to the achievement of development results. The evaluation will assess the extent to which concerns for sustainability have shaped UNDP partnership with nations of the South in its response to specific development challenges.

- How sustainable are the benefits of South-South cooperation initiatives supported by UNDP?

- Were the cooperation programmes designed to have sustainable results and did they include exit strategies?

- To what extent have South-South cooperation initiatives been owned and embedded into national development results, processes and structures?

Additionally, the evaluation will assess the extent to which UNDP has promoted **human development principles**, and in particular **gender equality.**

- Did UNDP's approach to South-South cooperation promote more equitable development results that expanded the capabilities of vulnerable groups of population?

- To what extent did UNDP's approach to South-South cooperation promote gender equality?

- Have environmental effects been taken into consideration when designing UNDP programmes on South-South cooperation?

The evaluation will identify lessons learned from past experience in promoting South-South and triangular cooperation.

D. EVALUATION METHODS AND APPROACH

The evaluation will use a multiple-method approach. For data collection, that will entail the use of primary and secondary sources; using interviews, focus groups, field visits, and surveys, including Delphi surveys. The evaluation will make extensive use of documents and administrative records and will conduct desk reviews and meta-analysis of previous evaluations, either thematic or programmatic, as deemed appropriate to respond to the evaluation questions.

The evaluation will use a variety of methods to ensure that the data is valid, including through triangulation. All the findings must be supported by evidence and validated through consulting multiple sources of information. The evaluation team will be required to use an appropriate tool to show that all the findings are validated.

The evaluation will include: (i) an analysis of the pattern of implementation of the three focus areas of the programme; (ii) the analysis of the factors affecting performance/contribution; and (iii) the effects, at output and outcome level, of South-South and triangular cooperation initiatives on institutional and development results.

The above approach is focused on the organizational strategy and supply-side dimension in supporting South-South cooperation with due regard to analyses of demand and evolving challenges from a UNDP perspective. However, as noted in the definition, *South–South cooperation is about developing countries working together to find solutions to common development challenges.* South-South cooperation and its agenda have to be set

by countries of the South. In this regard, a more valid approach for this evaluation would involve the use of a Southern perspective as the basis for evaluating UNDP assistance. The guiding principles of South-South cooperation, as defined in the Yamoussoukro Consensus on SSC[76], namely, national ownership, equality, mutual respect, national sovereignty, mutual benefit, non-conditionality and solidarity, should guide the conduct of the exercise.

To better understand the context in which UNDP initiatives take place, the evaluation will commission a series of overview papers on South-South and triangular cooperation in specific thematic issues of interest to UNDP, such as social protection, gender equality, climate change, disaster risk reduction, trade and investment. This will assist in identifying the strategic positioning of UNDP in these areas.

Stakeholders will be consulted during different phases of the evaluation in order to (i) ensure an adequate understanding of the nature of UNDP support to South-South cooperation (ii) validate the overall evaluation approach, (iii) ensure that the evaluation report is factually correct and contains no errors of interpretation, (iv) discuss the preliminary findings, and (v) facilitate the formulation of conclusions and recommendations that are relevant and utilization focused. New technological means such as blogs and web-based surveys will be used to expand the consultation process to a broader audience.

The evaluation will promote a broad discussion on main findings and will facilitate a collective reflection on the conclusions and recommendations to inform senior management and the governing body on the good practices and areas for improvement in UNDP's approach to South-South and triangular cooperation.

E. MANAGEMENT ARRANGEMENTS

Various stakeholders are engaged in the conduct of the evaluation. The participation of the stakeholders at different stages of the evaluation process helps to enhance its quality, by providing different levels of scrutiny and insight. The following section aims to clarify the roles and responsibilities for the adequate conduct of the exercise.

LEADERSHIP AND MANAGEMENT

UNDP Evaluation Office

UNDP EO will conduct the evaluation. The EO task manager (TM)/team leader (TL) will provide overall management and guidance to the evaluation. The TM will develop the Terms of Reference for the evaluation, select the evaluation team, receive the inception report, provide guidance to the conduct of evaluation, organize feedback sessions and a stakeholder meeting. The TM will also support the evaluation team in understanding the scope, the process, the approach and the methodology, provide ongoing advice and feedback to the team for quality assurance, and work with the evaluation team in finalizing the report. The EO will meet all costs directly related to the conduct of the evaluation.

Evaluation Team

An independent evaluation team will be responsible for conducting the evaluation. This will entail, *inter alia*, establishing the evaluation plan in the inception report, conducting data collection and analysis, presenting preliminary findings, conclusions and recommendations at debriefings and the stakeholder workshop, and preparing the first, second and final drafts of the evaluation report.

The evaluation team will be composed of four members. A team leader/evaluation manager from EO responsible for the overall quality of the

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76. United Nations Conference on Technical Cooperation among Developing Countries, 1978. Buenos Aires, Argentina.

evaluation report and three team specialists, one responsible for addressing the institutional dimensions and another one responsible for addressing the development results, as expressed in the Fourth Cooperation Framework. The team will be assisted by a research consultant in New York.

The evaluation team will undertake field trips for interviews, group discussions, and/or project site observations to 12 countries that have been active either providing support to South-South and/or triangular cooperation and to countries that benefited from these initiatives. The team leader will also hold specific interviews, briefings or presentations with representatives of programme countries and with UNDP senior managers in New York.

QUALITY ASSURANCE

Advisory Panel of Experts

An advisory panel of experts will be organized to advise the Evaluation Office in the design and conduct of the evaluation. The panel will assist in enhancing the quality of the evaluation. The panel will be comprised of experts in development evaluation who are familiar with the intergovernmental discussions on South-South cooperation. The members of the advisory panel will provide comments to the concept note, the terms of reference, the inception report and draft report.

Reference Group

The Reference Group will be a consultative body and will serve as a sounding board for the evaluation. It will be formed with representatives of the governments of countries providing and receiving South-South cooperation, as well as representatives for civil society and private sector. The Reference Group will be useful to validate the findings of the evaluation and will provide comments to the draft report.

The members of the Reference Group will also act as the focal points in respective governments or organizations and will facilitate the conduct of the evaluation by: providing necessary access to

information source within each government, and safeguarding the independence of the evaluation if required. The members will also promote the use and assist in the dissemination of the evaluation.

EVALUANDS

UNDP Senior Management

Senior management in UNDP will ensure that the evaluation team has full access to all the information needed regarding strategic guidance on UNDP programmes, projects and activities at headquarters and in the field to promote South-South and triangular cooperation. They will support the evaluation team in liaison with UNDP country offices and regional service centres. They will provide factual corrections and comments to the draft report. They are responsible for preparing a management response upon the completion of the evaluation report.

The Special Unit for South-South Cooperation

The Special Unit for South-South cooperation (SU) will be the main counterpart for the conduct of the evaluation. It will support the evaluation team in liaison with key partners and other stakeholders, make available to the team all necessary information and documentation regarding UNDP's programmes, projects and activities in the countries. It will provide comments to the concept note, the draft terms of reference, the inception report and factual verifications of the draft report.

UNDP Country Offices and Regional Service Centres

UNDP COs/RSCs will support the evaluation team in liaison with the Special Unit, key partners and other stakeholders, make available to the team all necessary information regarding UNDP's programmes, projects and activities in the regions and countries, and provide factual verifications of the draft report. COs/RSC will provide the evaluation team support in kind (e.g. by arranging meetings with project staff and beneficiaries).

Principles

The evaluation will be conducted in adherence to the Norms and the Standards[77] and the ethical Code of Conduct[78] established by the United Nations Evaluation Group (UNEG), as well as to the UNDP's Evaluation Policy. All those engaged in designing, conducting and managing evaluation activities should conduct high-quality work guided by professional standards and ethical and moral principles. The integrity of evaluation is especially dependent on the ethical conduct of key actors in the evaluation. Evaluators are expected to demonstrate independence, impartiality, credibility and avoid any potential conflict of interest.

F. EXPECTED OUTPUTS AND TIME-FRAME

- A background scan of SSC initiatives supported by UNDP, incorporating data from various sources, including Results Oriented Annual Reports (ROARS), independent evaluations at country level (ADRs) and other thematic evaluations;

- An inception report for the overall evaluation;

- A comprehensive, evaluation report covering the principle issues outlined in these terms of reference, including an executive summary that highlights findings, recommendations and lessons learned. The format and presentation of the report will be based on prior Evaluation Office practice and should adhere to relevant Evaluation Office and UNDP editorial guidelines;

- PowerPoint presentations for senior managers, the Executive Board and other stakeholders to be used during stakeholder feedback sessions as necessary;

- A methodology brief to facilitate the learning of lessons from the evaluation process.

The time-frame for the evaluation process is tentatively as follows:

Activity	Deadline
Development of inception report on the scope, design and methodology	30 May 2012
Data collection	15 June to 15 August 2012
Analysis and systematization	15 September 2012
First draft report	5 October 2012
Revision of first draft report	30 October 2012
Issuance of second draft	30 November 2012
Executive summary to EB Secretariat	30 January 2013
Issuance of final evaluation report	28 February 2012
Presentation to UNDP Executive Board	June 2013

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77. <www.uneval.org/normsandstandards/index.jsp?doc_cat_source_id=4>

78. <www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=102>

Annex 2

PEOPLE CONSULTED

UNITED NATIONS SYSTEM HEADQUARTERS

Abdellatif, Adel M., Chief, Regional Programme Division, Regional Bureau for Arab States, UNDP

Ahmia, Mourad, Executive Secretary (G77), Special Unit for South-South Cooperation, UNDP

Amorim, Anita, Senior Policy Adviser, UN Reform and SS Cooperation, ILO

Anvarova, Tahmina, Programme Associate, Regional Bureau for Europe and CIS, UNDP

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Boesen, Nils, Capacity Development Group, Bureau for Development Policy, UNDP

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Garafulic, Igor, Senior Policy Adviser, Regional Bureau for Latin America and the Caribbean, UNDP

Gitta, Cosmas, Chief, Policy, Special Unit for South-South Cooperation, UNDP

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Kalapurakal, Rosemary, Chief, Policy and Operations Support Unit, Regional Bureau for Europe and CIS, UNDP

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Oliviera, Marielza, Adviser on Results Management, Operations Support Group, Executive Office, UNDP

Ramachandran, Selva, Chief, Northeast Asia and Mekong, Regional Bureau for Asia and the Pacific, UNDP

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Zhou, Yiping, Director, Special Unit for South-South Cooperation, UNDP

PERMANENT MISSIONS TO THE UNITED NATIONS IN NEW YORK

Jorgji, Petrika, Minister Counsellor, Permanent Mission of Albania to the United Nations

Landveld, Raymond, Minister Counsellor, Permanent Mission of Suriname to the United Nations

Lemieux, Claude, Counsellor Development, Permanent Mission of Canada to the United Nations

Mugodo, Joshua, Minister Counsellor, Permanent Mission of Kenya to the United Nations

COUNTRY VISITS

BRAZIL

National Government

Cintra, Marcos, Adjunct Director of Studies on Economic Relations and International Politics, Institute for Applied Economic Research (IPEA)

Farani, Marco, Director, Brazilian Cooperation Agency (ABC)

Lopes Correa, Marcio, Coordinator-General for Multilateral Technical Cooperation, ABC

Schwarz, Fabiana, ABC Officer, Brazilian Embassy in Haiti

Civil Society

Milani, Carlos, Fellow of the International Development Cooperation-IPEA, Professor at IESP-UERJ-State University of Rio de Janeiro, State University of Rio de Janeiro/IPEA

Toni, Ana, Board Chair, Greenpeace International

CAMBODIA

UN System

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Khim, Lay, Energy and Environment Team Leader, UNDP

Kun Theara, Tep, Democratic Governance Programme Analyst, UNDP

Leakhena, Sieng, Democratic Governance Programme Analyst, UNDP

Natharoun, Ngo, Team Leader, Poverty Cluster, UNDP

Phearanich, Hing, Energy and Environment Policy Analyst, UNDP

Ratana, Norng, Programme Analyst, Poverty Cluster, UNDP

Ratha, Chan, Energy and Environment Young Professional Officer, UNDP

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Say, Kosal, President, National League of Commune/Sangat

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CHINA

UN System

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Gillian, Mellsop, Representative, UNICEF

Lijin, Zhou, Programme Officer, FAO

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Sabey, Steven, Senior Policy Adviser, UNDP

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Zhouxiang, Lu, First Secretary, Department
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Affairs, Ministry of Commerce

Zhu, Terry, Deputy Director Trading
and IT Department, SS-GATE

Multilateral and Bilateral Agencies

Alemu, Assefa Biset, Minister
Counsellor, Embassy of Ethiopia

Chandani, Farah, First Secretary,
Development, Embassy of Canada

Jo, Nicholls, Health Adviser, Department for
International Development, United Kingdom

Kristensen, Rasmus, Head of Department of
Economic Affairs, Royal Danish Embassy

Leung, Paul Chong, Ambassador,
Embassy of the Republic of Mauritius

Maria, Rendon, Director, Office of Economic
Development & Governance, USAID

Simpura, Juho, Second Secretary, Embassy of Finland

Rwagasana, Emile, First Secretary, Embassy of Rwanda

Civil Society

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Jiangzhong, Guo, Deputy Director, International Affairs Office, University of Shanghai for Science and Technology

Tiejun, Wen, Professor and Dean, School of Agriculture Economics and Rural Development, Renminn University

Weizhong, Xu, Deputy Director, China Institute of Contemporary International Relations

Private Sector

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Xia, Liu (Jean), Chairman, Shanghai Yuhua Life Science Technology Development Co. Ltd.

COLOMBIA

UN System

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National Government

Alzate Cifuentes, Sandra, former Director, Presidential Agency for International Cooperation of Colombia (APC)

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Cañon, Viviana, Coordinator of Asia, Africa and Eastern Europe, APC

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Olarte, Juanita, Strategic Planning Coordinator, APC

Salazar, Luz María, Coordinator of Multilateral Sources, APC

Civil Society

Estrada Escobar, Juan Sebastian, Head of the Office of Cooperation and Agreements, ICBF

Rodríguez Burgos, Liliana, Executive Director, Colombian Confederation of NGOs

Schönrock, Philipp, Director, CEPEI

Vela, Gloria, Promoter Team, La Alianza

Private Sector

Maruri, Enrique, former Director of International Cooperation in the Colombian Ministry of Foreign Affairs and Technical Secretary of Task Team on SSC, current Consultant and Co-Founder Fluyt Knowledge Brokers

GABON

UN System

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National Government

Azize Bouma, Reve Caroline, Ambassador, Director of Economical Financial and Commercial Cooperation, Ministry of Foreign Affairs, International Cooperation and Francophony

Biyogo B'otogo, Juste Parfait, National Programme Director, Art-Gold Gabon, Ministry of Economy, Employment and Sustainable Development

Ibouli Maganga, Joseph, Director-General of Planning, Ministry of Economy, Employment and Sustainable Development

Multilateral and Bilateral Agencies

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HAITI

UN System

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National Government

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Multilateral and Bilateral Agencies

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REPUBLIC OF KOREA

National Government

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Yang, Fine, Research Fellow, STEPI

MOROCCO

UN System

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Mokrane, Bachir, Adviser, Programme for Regionalization Support and Local Development, UNDP

Pedraza Lopez, Cristino, Principal Technical Adviser, ART-Gold, UNDP

Pouezat, Bruno, Resident Representative, UNDP

Roudias, Jihane, Monitoring and Evaluation Analyst, UNDP

Sarhrouny, Yasmina, Governance and Human Rights Programme Adviser, UNDP

National Government

Achergui, Abdelmalek, Chief of UNDP System Division, Ministry of Foreign Affairs and Cooperation

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SOUTH AFRICA

UN System

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TANZANIA

UN System

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Kalinga, Libertus, Energy Specialist, Tanzania Bureau of Standards

Mnunguli, Thomas, Head Engineering Standards Department, Tanzania Bureau of Standards

Mrsiho, Fatma, Executive Chair, Tanzania Commission for AIDS

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THAILAND

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TUNISIA

UN System

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Da Cruz, Vincent, Adviser, Electoral Operations, UNDP

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EVALUATION FRAMEWORK

Criteria/ Sub-criteria	Main Evaluation Questions	Data Sources	Data Collection Methods	(CODE)
1 Relevance and strategic positioning: The evaluation will seek to draw conclusions as to how UNDP has positioned itself vis-à-vis Member States in providing support to initiatives from programme countries from the South.				
1a Relevance of the objectives	• How relevant and strategic has UNDP been in promoting solutions to development challenges through South-South cooperation?	Government Regional org. Academics	Interviews Focus groups Desk review	REL-A
1b Relevance of the approaches	• Are UNDP approaches to SSC, resources, models, conceptual framework relevant to achieve planned outcomes? Do they follow/ know good practices?	Government Regional org. Academics Programme documents (logical model)	Interviews Focus groups Desk review	REL-B
1c Comparative advantages	• What comparative advantages does UNDP bring to South-South and triangular cooperation? • To what extent do current approaches to South-South cooperation in fact build on such comparative advantages?	Government UNDP and other relevant actors Regional org. Academics	Interviews Focus groups Desk review	REL-C
1d Responsiveness to changes in development cooperation	• How has UNDP engaged in South-South cooperation in a context of fast development changes, new challenges and opportunities for SSC, and in the context of emerging global patterns in international development cooperation, including triangular cooperation?	Government Regional org. Academics UNDAFs	Interviews Focus groups Desk review Field visits	REL-D
2 Effectiveness: The evaluation will assess how effective UNDP's contribution was to development results through South-South and triangular cooperation initiatives.				
2a Progress towards achievement of outcomes	• Did the Fourth Cooperation Framework for SSC contribute to progress towards the stated outcomes? Did it set dynamic processes that move towards the long-term development outcomes? • Did UNDP follow up on recommendations from previous independent evaluations?	Evaluations Progress reports National plans UNDAFs	Desk review Meta-analysis of evaluations	EFF-A-1

Criteria/ Sub-criteria	Main Evaluation Questions	Data Sources	Data Collection Methods	(CODE)
2b Policy dialogue	• Is UNDP effectively engaged in policy dialogue with national actors to support their development priorities? • How effective has UNDP been in supporting the achievement of development results based on South-South cooperation initiatives?	Progress reports Evaluations National plans National data	Desk review Field visits	EFF-B-1
2c Mainstreaming SSC in thematic areas	• To what extent has UNDP adopted and implemented broader corporate-level policy to promote South-South cooperation with respect to relevant sectors and thematic areas particularly in the areas of poverty reduction, democratic governance, crisis prevention and recovery, the environment, and sustainable development, as well as women's empowerment? • To what extent has UNDP affected its own programmatic orientation, programme priorities, and delivery modalities at the country and regional levels to achieve institutional and development results?	Guidelines Programme docs Project docs Corporate annual	Desk review	EFF-C-1
3 Efficiency: The evaluation will assess at corporate level, as well as in the context of specific countries, the timeliness of and resource utilization as well as UNDP internal arrangements in supporting efforts for South-South and triangular cooperation.				
3a Managerial efficiency	• Have the programmes been implemented within deadlines and cost estimates? • Have UNDP and its partners taken prompt actions to solve implementation issues?	Government Regional org. Stakeholders	Interviews Desk review	EFCY-A-1
3b Programmatic efficiency	• Were the UNDP resources focused on the set of activities that were expected to produce significant results? • Has the Special Unit provided sufficient support, both advisory and financial, to the regionally based units that deal with South-South cooperation? • To what extent has UNDP made use of its network of country offices and regional centres to promote intraregional and interregional initiatives of South-South cooperation?	Government Regional org. Stakeholders Programme docs Project docs	Interviews Desk review	EFCY-B-1
4 Sustainability: The evaluation will assess the extent to which concerns for sustainability have shaped UNDP partnership with nations of the South in its response to development challenges.				
4a Design for Sustainability	• Were interventions designed to have sustainable results and did they include an exit strategy?	Evaluations Project docs	Desk review Meta-analysis	SUST-A

Criteria/ Sub-criteria	Main Evaluation Questions	Data Sources	Data Collection Methods	(CODE)
4b Sustainability of benefits	• How sustainable are the benefits of South-South cooperation initiatives supported by UNDP? • Has national capacity been developed so that UNDP may realistically plan progressive disengagement? • To what extent have South-South cooperation initiatives been owned and embedded into national development results, processes and structures?	Government Regional org. Stakeholders Evaluations Programme docs National reports	Interviews Field visits Desk review Meta-analysis	SUST-B-1
5 Promotion of human development: The evaluation will assess the extent to which UNDP has promoted human development principles, and in particular gender equality.				
5a UNDP's role in supporting policy dialogue on human development issues	• Did UNDP's approach to South-South cooperation promote more equitable development results that expanded the capabilities of vulnerable groups of population?	Evaluations Progress reports National data	Desk review Meta-analysis Focus groups	HD-A
5b Contribution to gender equality	• To what extent is the UNDP programme designed to appropriately incorporate in each outcome area contributions to the attainment of gender equality? • To what extent did UNDP's approach to South-South cooperation promote gender equality?	Programme docs (logic model) Evaluations Progress reports National data	Desk review Meta-analysis Focus groups	HD-B
5c Contribution to environmental sustainability	• Have environmental effects been taken into consideration when designing UNDP programmes on South-South cooperation?	Programme docs (logic model) Evaluations Progress reports National data	Desk review Meta-analysis Focus groups	HD-C
6 Lessons learned: As this is the second evaluation on the topic conducted by EO, the evaluation will have an emphasis on identifying lessons learned.				
6a Lessons learned	• What are the lessons learned from past experience in promoting South-South and triangular cooperation?	Evidence from previous questions	Synthesis	LEL

Annex 5

REVIEW OF UNDP RESULTS ORIENTED ANNUAL REPORTING (ROAR) ON SOUTH-SOUTH COOPERATION 2008-2011

I. INTRODUCTION

A review was undertaken to identify how information on UNDP efforts to support South-South cooperation (SSC) at the country level was being collected and reported in the UNDP Results Oriented Annual Report (ROAR), and to the extent possible, to identify trends in terms of the type of support to SSC provided at the national level that was reported by country offices.

II. METHODOLOGY

The ROAR[79] results for 2008-2010 were accessed on the UNDP intranet under "South-South Solutions". The Operations Support Group (OSG) provided the evaluation team with the 2011 ROAR information, including analyses the office completed for the UNDP annual report; these reports are also accessible on the UNDP intranet. Firstly, the design of the ROAR section for capturing SSC activities of country offices and differences between the previous system (2008-2010) and the new system (2011) was assessed, secondly, the quality of information reported is assessed utilizing a sample of the country office ROARs, and the use of the information generated from the ROAR, including analyses completed by the OSG, was assessed to provide an understanding of how the ROAR is being used by UNDP.

III. FINDINGS

A. ROAR DESIGN

From 2008-2010, the ROAR contained a single question, "Please provide an account of the use of South-South solutions to enhance development effectiveness during the reporting period" to collect information on "South-South solutions" from country offices. As noted by the OSG, the 2008-2010 ROAR "was found to have little value for managing organizational performance," thus, in response to various reviews and change management initiatives[80], in 2011 UNDP introduced a new ROAR with an enhanced capacity to quantify information. Thus, there is no longer a dedicated narrative section for reporting efforts to support SSC. The new 2011 ROAR has a section titled "Resident Representative's Foreword" where the overall development context, UNDP CO key contributions to development, cross-practice approaches, efforts to support national efforts to improve development effectiveness and aid management, and how the office represents value for money are reported.

Neither the 2008-2010 version nor the new 2011 ROAR provided a definition of what constitutes UNDP support to SSC, although the 2011 ROAR provides some guidance, as explained below. The OSG noted that although the issue of

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79. Note: there are inherent issues with the ROAR system, as it is a self-reporting system that does not have a strong quality-assurance process, thus the activities reported in the ROAR are not necessarily verified; this report will not discuss these issues, but it is important to keep in mind in terms of data quality.

80. Including the Mid-Term Review of the Strategic Plan 2008-2013.

Table A5.1. Structural Changes to ROAR	
ROAR 2010	**ROAR 2011**
1.1 Overview of Development Trends	A. Resident Representative's Foreword
1.2 Transformational Change to which UNDP Contributed	B. Programme Outcomes
1.3 South-South Solutions	Outcome 1
1.4 Overall Lessons Learned	Outcome 2
1.5 Summary of Progress for Each Outcome	Outcome 3
Outcome 1	C. Evaluation
Outcome 2	D. Support to UN Results
Outcome 3	E. Unit Key Results
2.1 Progress in Implementing Management Workplan	F. ROAR +5
2.2 Institutional Results on Gender Equality	G. Additional/Customizable Section
3.1 Innovative Initiatives (optional)	H. Strategic Priorities Baseline Exercise
3.2 BSC Reporting - number of active joint programmes	

definition is important, their focus was on experimenting with the new ROAR, "building the case by seeing what's happening on the ground". Table A5.1, which was developed by UNDP as part of an FAQ on the new ROAR, describes the structural changes made.

The ROAR requires reporting on outcomes and the UNDP contribution to those outcomes, including those contributions that are provided through support to SSC. In general, multiple outputs contribute to an outcome. Thus, the country office reports on outputs and projects that took place under each outcome (Section B), including efforts to support SSC. A dedicated section for reporting support to SSC is found underneath each outcome area. If support to SSC took place underneath a particular outcome, there is a space for the country office to click 'yes' according to the 'substantive area' of South-South support (as outlined below: expertise and experience; models and practices; and knowledge management and/or transfer), and a text box where an explanation of the support can be entered.

"The South-South sub-section contains three 'yes/no' questions. In each case, if the office answers 'no' there is no request for further information. If the office reports 'yes', it is requested to provide additional information on the substantive area and the countries involved.

The questions address issues of SSC in relation to the following three areas:

- Expertise and experience

- Models and practices

- Knowledge management and/or transfer

Please note that there is no prescriptive dimension to these questions and no expectation that offices will be able to report SSC under each outcome every year."[81]

While the ROAR guidance does not specify that a country office SSC strategy or support should be included in the Resident Representative section, it could theoretically be included, but this is highly dependent on their choice. The 2011 ROAR has no open-ended space dedicated

81.   UNDP, Operations Support Group, Guidance on ROAR Section B. Programme Outcomes.

for describing an overarching strategy for support to SSC and the guidance does not indicate that SSC efforts should be reported in the RR or other open-ended sections.

B. QUALITY OF INFORMATION REPORTED BY COUNTRY OFFICES

The 2008-2011 ROAR reports of country offices included in the evaluation were reviewed in addition to a random sample of reports from the 2011 ROAR. The vast majority of information reported as support to SSC by UNDP is regarding the exchange of experiences and knowledge, mainly study tours and participation in regional meetings. Support to SSC by UNDP is also taking place mainly within the region and even more so at the subregional level. As may be expected, UNDP country offices report efforts to support a national strategy for SSC only in countries where SSC is identified as a key national priority.

The design of the 2011 ROAR resulted in country offices reporting support to SSC as an activity. Many country offices utilized the open-ended space provided in the 2008-2010 ROAR question on South-South Solutions by describing the overall strategy and context for SSC in addition to specific actions taken. However, many important contributions to SSC facilitated by UNDP got lost between the lines in the 2011 ROAR. For example, the Mozambique country office did not report SSC as a key country programme priority, but in both 2010 and 2011, South-South partnerships with Brazil were facilitated by UNDP Mozambique. The 2011 Mozambique ROAR included this under outcome 5.3: "…Partnerships were developed in 2011 with Escola Tecnica e Saúde of Rio de Janeiro through the Osvaldo Cruz Foundation…" Perhaps, including an additional open-ended question in the ROAR would allow for more flexibility of reporting on SSC. Additionally, the ROAR could enable the country office to indicate whether an outcome is specifically dedicated to SSC or if a South-South approach is integrated into the outcome area, which may enable quantitative collection of information at an

outcome (and even higher level) and provide interesting information for understanding the evolving nature of support to SSC.

Although the number of country offices and quality of information reported has improved since 2008, some country offices continued to report the use of Southern consultants or even staff members from the South as SSC activities. For example, the Syria country office reported in 2011: "The Chief Technical Adviser who is Lebanese supported this project by providing her regional experience at the level of local community development." Although uncommon, there were also reports of cooperation between UNDP country offices. In 2011, Belarus country office reported, "…UNDP provided crucial support to Nepal, Turkmenistan, Kyrgyzstan country offices in managing the Global Fund grants and assisted in preparation of reports, forecasting of ARVs, setting up of new financial, procurement, programmatic systems." Also Nepal country office reported in 2011: "UNDP RO BKK provided UNDP Nepal with support to develop the proposal on migrants and HIV…" The OSG noted that efforts have been taken to reduce this type of reporting in the 2012 ROAR.

To illustrate the information collected through the 2011 ROAR, Box A5.1 contains a random sample of countries that indicated, "The outcome is achieved and is evidenced by positive change in the outcome indicator" and also indicated that support to SSC was provided (a total of 43 countries reported both the achievement of at least one outcome and support to SSC). The quality of the response and the variety of types of initiatives considered SSC is evident from this sample: UNDP Iran reported activities that were in initial stages; UNDP Mexico reported efforts to facilitate the sharing of knowledge and experience between four countries in the region; UNDP Mozambique reported that UNDP facilitated the exchange of ideas with one country; UNDP Namibia reported two study tours within the region and the sharing of information (with no specified countries); UNDP Philippines reported the exchange of information

Box A5.1. Random Sample of Country Offices Reporting Outcome Achievement and Support to SSC in 2011 ROAR

Iran

- Discussions are underway through UNDP's convening services to establish links, particularly in the areas of HIV/AIDS and TB between Iran and some Central Asian countries. Particular focus is to be put on the exchange of expertise and experience on HIV/AIDS and explore avenues of cooperation with regard to care and treatment to multi-drug resistant TB patients.

Mexico

- SIGOB: State of Zacatecas and Haiti had shared good practices. Project IPRO has shared its experience through the network of Transparency International, especially with Transparency International Brazil chapter.

- Through TRAALOG, Mexico Estatal has provided ground to compare transparency framework from 4 states in Mexico against 4 Latin America countries (Nicaragua, Panamá, Guatemala and Honduras). This exercise provided useful insight for developing legal frameworks that meet minimum standards and measure results, and it also provided possibilities to compare state and national government.

Mozambique

- With Cape Verde, the UNDP-supported project on ICT for development provided an opportunity to exchange ideas and experience to enhance ICT infrastructure for electoral management. The new elections project for PALOP countries and Timor-Leste promote exchange of expertise and experience under South-South cooperation.

Namibia

- Lesotho learning exchange mission to Namibia on ISLM; Tanzania learning exchange mission to Namibia on climate change adaptation;

- As part of the UNDP COP 17 Best practices, Namibia documented and shared a number of practices on climate change adaptation, renewable energy and community -based adaptation.

Philippines

- UNDP supported exchange of expertise and experiences: South Africa-Climate Change.

- UNDP supported the country to promote its models or practices: Democratic People's Republic of Korea (DPRK)-renewable energy.

- Perspectives of Philippine civil society on gender analysis shared with women's network from Nepal, Indonesia, Timor-Leste and Sri Lanka.

Viet Nam

- In 2011 a delegation from the DPRK was supported: to learn and exchange views on sustainable energy development (looking at financial, institutional, technical, economic, social and environmental aspects), particularly in rural areas; and the linkage of sustainable energy development with income generation, rural development and improving the overall quality of life of the people.

- A delegation from Viet Nam visited Bangkok to exchange views and lessons on floods management in the cities of Bangkok and Hanoi, and water resources planning.

- A delegation from Mozambique visited Viet Nam to share experience and lessons on institutional arrangements and models for disaster risk management, planning and actions at national and local levels; DRM master planning processes; as well as the Vietnamese approach of 'living with the floods' and resettlement programmes in the Mekong Delta.

Table A5.2. # of Country Outcomes for Which the Answer was 'Yes'			
Corporate Outcome	**1. Is the country being supported by UNDP to exchange expertise and experiences with another developing country/countries?**	**2. Is the country being supported by UNDP to promote its models or practices in another developing country/ countries?**	**3. Is the country being supported by UNDP to participate in knowledge management and/or transfer with another developing country/ countries?**
Poverty & MDG	179	85	108
Democratic Governance	203	104	139
Crisis Prevention & Recovery	71	31	53
Environment & Sustainable Development	118	57	91
TOTAL	**571**	**277**	**391**

Source: UNDP 2011 ROAR Analysis

on specific topics (without any description) with two countries; and UNDP Viet Nam reported a study visit from one country within the region. None of the country offices reported results from these activities, and the system does not allow for an indication of importance of the support to the achievement of the outcome (weighting will be discussed further below).

C. USE OF ROAR INFORMATION

Total count of country offices and country outcomes supporting SSC

The below analysis provided by UNDP is the total count of country offices supporting SSC, by 'substantive area':
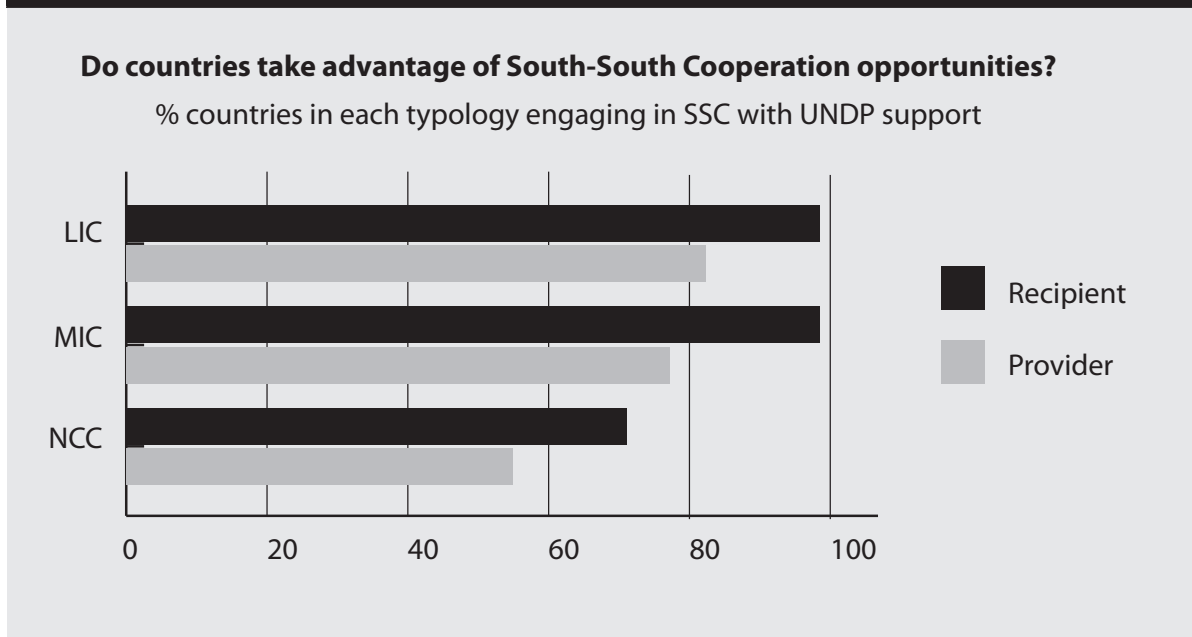
- 126 countries are being supported by UNDP to **exchange expertise and experiences** with another developing country/countries;

- 102 countries are being supported by UNDP to **promote its models or practices** in another developing country/countries; and

- 122 countries are being supported by UNDP

to **participate in knowledge management and/or transfer** with another developing country/countries.

Table A5.2 was also provided to the evaluation team, which provides "# of country outcomes for which the answer was 'yes'" (by SSC 'substantive area').

The quantitative information collected by the ROAR is the number of 'yes' ticked per SSC 'substantive area' (exchange expertise, models or practices, and knowledge management) and per corporate outcome (poverty and MDG, democratic governance, etc.). Thus, a country office could select all three types of 'substantive areas' once per outcome, but a country office could select several country outcomes underneath one corporate outcome area (i.e. democratic governance). This explains why a total of 126 country offices reported support to the exchange of expertise and experiences, while 203 country outcomes were reported as supporting the exchange of expertise and experiences under democratic governance.

Do countries take advantage of South-South Cooperation opportunities?

% countries in each typology engaging in SSC with UNDP support

Just to clarify, the 2011 ROAR does not capture the actual number of initiatives in support of SSC implemented by country offices. The result is that a country office could report many SSC initiatives in the text box provided or just one SSC initiative and they are both equivalent to '1'. Thus, the information being reported: "X countries are being supported by UNDP to (area of support to SSC) with another developing country/countries," could actually mean a variety of things depending on what the country reported. For example, one country might have supported one study exchange while another country may have integrated a South-South approach throughout the outcome. The information collected is so varied that its aggregation results in a superficial count of country offices, from which it is difficult to decipher what that support to SSC really means.

The ROAR does not currently employ weighting; this could be considered as a means for country offices to more accurately reflect the level of support to SSC underneath an outcome area. Lessons learned from the use of the UNDP Gender Marker should be considered when developing such a weighting.[82] Defining support to SSC within the UNDP context would be a necessary precursor to developing a weighting system.

Reporting countries as 'Recipient' and 'Provider'

Figure A5.1 that divides countries into 'provider' and 'recipient' of SSC was presented to an informal meeting of the UNDP Executive Board on the 2011 annual report. First, the fundamental basis for SSC is that it is *mutually beneficial* – thus the language of 'recipient' and 'provider' should be used carefully; many Southern Member States view SSC as mutually beneficial as opposed to the donor-recipient relationship where one is the

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82. For example, the Gender Marker rates every output against a four-point scale that ranges from 0 (not expected to contribute noticeably to gender equality) to 3 (gender equality as a principal objective).

Figure A5.2. UNDP Country Offices Reporting SSC Activities (Yes/No) by Progress on Outcome
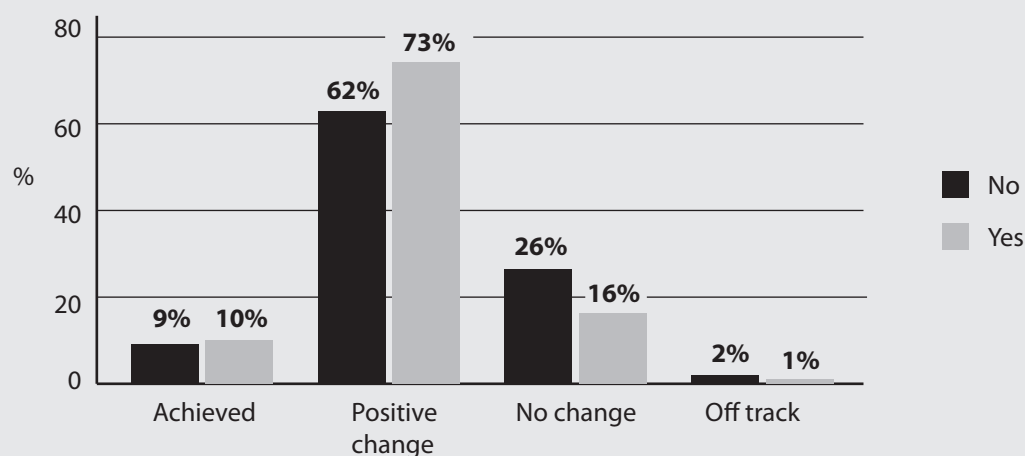
'provider' and the other is the 'recipient'. Second, the 2011 ROAR does not clearly define 'recipient' and 'provider'. The OSG defined the categories utilizing the below questions, however, the questions are not clear as they are not mutually exclusive (one could be one or both):

- "Is the country being supported by UNDP to exchange expertise and experience with another developing country?" = Recipient

- "Is the country being supported by UNDP to promote its models or practices in another developing country?" = Provider

Statistical Analyses

The OSG found, "There is a positive association between SSC and results, at the highest confidence level" (See Figure A5.2).[83] The outcome of the statistical analysis was interpreted and presented by UNDP officials as, "Statistical analysis demonstrated that SSC increases

development effectiveness significantly: countries that participated in SSC cooperation were more likely to achieve positive outcome-level results, no matter what the focus area."[84]

As explained above, because of the challenges presented by the 2011 ROAR design and the varied quality of information reported, the interpretation of the statistical analysis as indicating that "SSC increases development effectiveness significantly" is, in the view of the evaluation team, not a valid interpretation. Potentially, a clear definition of what constitutes support to SSC and an indication of the importance (or weight) of country office support to SSC to the achievement of the outcome may contribute to an enhanced understanding of the extent to which country office support to SSC is contributing to outcome level-results. However, at this stage the information generated from the ROAR is not strong enough for any meaningful statistical analysis.

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83. Analyses provided by the Operations Support Group to the evaluation team.

84. UNDP, 'Facilitating South-South and Triangular Cooperation', presentation made to the 2012 UN inter-agency meeting of focal points for SSC, New York, July 2012.

CONCLUSION

UNDP has recognized the importance of building an enhanced Results Based Management (RBM) system, including a ROAR that provides UNDP with information that can be utilized to improve its work in support of SSC; and that the development of this system is still a work in progress.

The review demonstrated that UNDP has made huge strides in terms of collecting information from country offices regarding efforts to support SSC; the systematization of this information has improved greatly since 2008. Many efforts were reported at the programme level by country offices where SSC is a national priority, and 126 country offices reported at least one instance of support to SSC. There are several examples of where UNDP support was reported to have made important contributions to the capacity of governments to engage in SSC and where UNDP facilitation of SSC resulted in policy change. The 2011 ROAR also made huge strides in terms of enabling UNDP to collect quantitative data that can be aligned with Country Programme and Strategic Plan outcomes.

This assessment concludes that the lack of guidance on what constitute support to SSC at the country level combined with the design of the 2011 ROAR resulted in a wide-range of quality. The 2011 ROAR did not facilitate a comprehensive understanding of what UNDP is doing at the country level to support SSC or how this support is contributing to outcomes, thus the quantitative data generated by the 2011 ROAR should be utilized carefully. It is always necessary to make known the limitations to data and those that are aware of these limitations should facilitate accurate interpretations of data.

The OSG agrees that the issue of definition of SSC is important, and from their perspective the 2011 ROAR questions on support to SSC were part of a process of 'experimentation', a means for "building the case by seeing what's happening on the ground" without "dictating it" from headquarters. While some experimentation may be necessary, reporting on support to SSC is not a new topic, and this assessment maintains that it is time that UNDP develop clear guidance so that enhanced RBM for support to SSC can be achieved. Recognizing that the 2011 ROAR was the first use of the new ROAR and that there will inherently be issues found this assessment could be utilized as input for revisions.

Annex 6

PROTOCOLS FOR DATA COLLECTION AND ANALYSIS

WORKSHEET FOR DATA ANALYSIS

Team member name:

2. Relevance and Strategic Positioning (example)

| Code	Evaluation Sub-Criteria	Evaluation Questions (from evaluation matrix in Annex 4)
SP-A	SOUTHERN PERSPECTIVE	What comparative advantages does UNDP bring to South-South and triangular cooperation?
		To what extent do current approaches to SSC in fact build on such comparative advantages?

INTERVIEW DATA	
Piece of evidence/raw data (cut & paste):	
Source of evidence (be specific)	
Evaluators comments	

MONITORING & EVALUATION DATA (ROAR, annual reports, evaluations)	
Piece of evidence/raw data (cut & paste):	
Source of evidence (be specific)	
Evaluators comments	

DOCUMENT ANALYSIS (Research, UN official reports, etc.)	
Piece of evidence/raw data (cut & paste):	
Source of evidence (be specific)	
Evaluators comments	

SP-A	Finding:

ORGANIGRAM OF THE SPECIAL UNIT FOR SOUTH-SOUTH COOPERATION AS OF JULY 2012

Annex 8
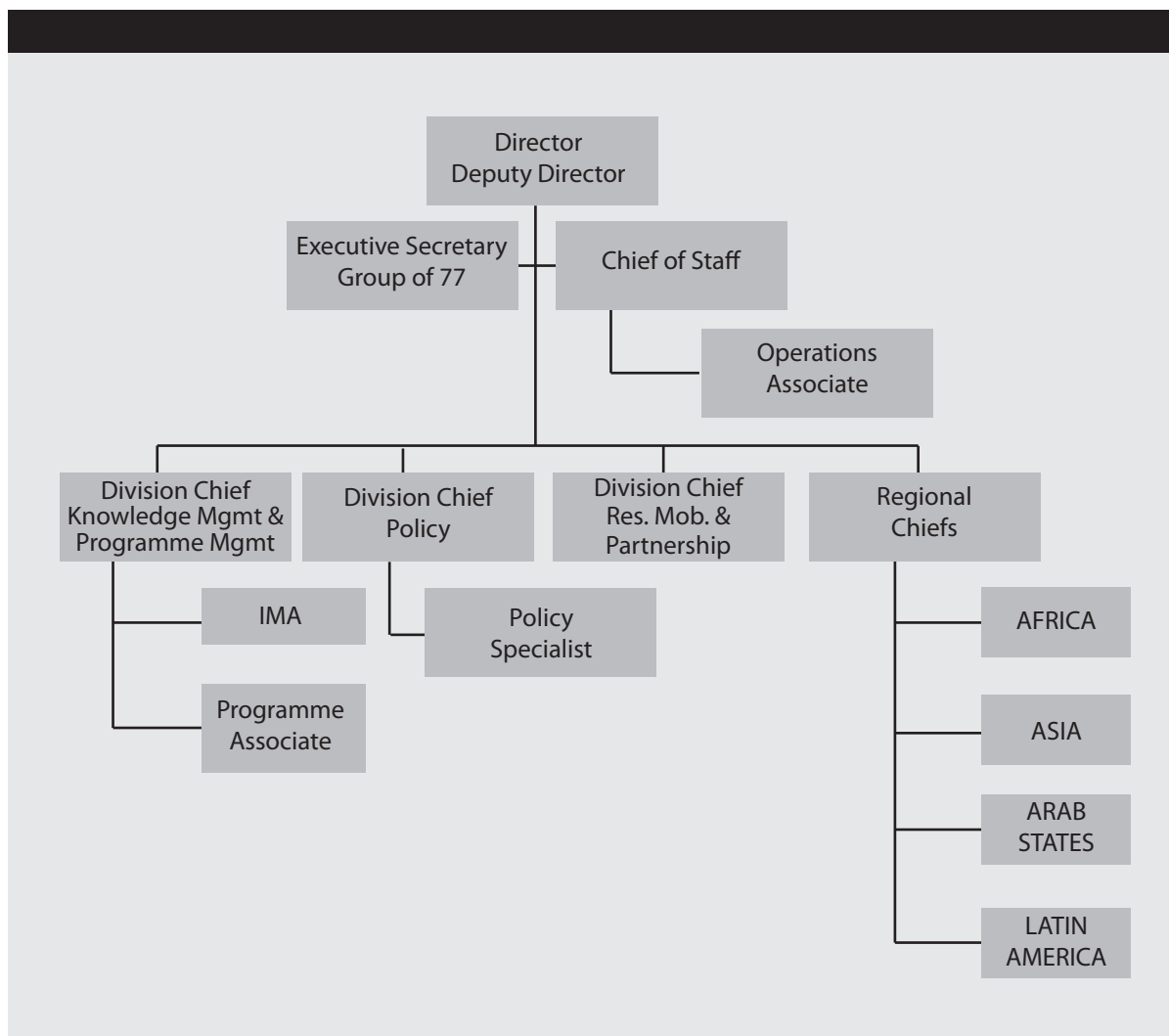
EVALUATION ASSESSMENT SYNTHESIS FOR RESULTS AND INDICATORS IN THE STRATEGIC PLAN AND SCF4

I.   UNDP STRATEGIC PLAN 2008-2012 (REF. 'SOUTH-SOUTH COOPERATION RESULTS', P. 16)

Output	Indicator	Target	Evaluation Assessment[85]
Output 1. South-South approaches to development mainstreamed in national development plans and the work of United Nations organizations.	Number of United Nations and national focal points actively coordinating South-South cooperation to share experiences on MDGs.	Increase number of focal points engaged in process from 35 (current) to 95 by 2011.	According to UNDP and SU-SSC documentation, the number of UN interagency focal points increased to 89 by 2011. Multi-partner 'focal point networks' facilitated by SU-SSC in 2010 included 89 previous and new participants from government, private sector, civil society and academia. In support of this indicator, key documents and reports noted the ongoing UN interagency focal point meetings, increased frequency of UN interagency meetings of SSC focal points, existence of dedicated virtual space for UN interagency focal point on the SU website, and the identification of 'entry points' within the UNDAF process for selected country teams. Examples cited included subregional and regional policy forums facilitated for SSC African national focal points in 2010, research conducted on development and potential of SSC for African policy makers, and strategic advice provided to selected countries in assisting them to create their own national SSC units/programmes. The accuracy of these figures and information could not be fully verified by the evaluation, and it was not documented to what extent interactions and initiatives were sustained.

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85. Evaluation assessment in these tables is based on a synthesis of two main sources: 1) self-reporting by UNDP, and 2) independent data collection and analysis by the evaluation team. Self-reporting sources referred to were: Annexes to the Mid Term Review of the Strategic Plan (2011) with information on SSC indicators, and Annual Reports of the UNDP Administrator on the Strategic Plan (2009, 2010 and 2011). Information was also derived from the 'Reflections' documents produced by the SU-SSC in 2008 and 2009 as well as a recent internal paper (December 2012) prepared for the evaluation team, summarizing SU-SSC accomplishments and work since 2008. For the purposes of this synthesis, a three-tier performance assessment ranking was applied by the evaluators to each output-indicator: low (little or limited progress with incomplete evidence available); medium (moderate progress, with partial evidence of accomplishments); and high (able to attain or exceed the original target, with good evidence of accomplishments and progress).

Output	Indicator	Target	Evaluation Assessment
			The evaluation observed strong comparative advantages for both UNDP as an agency and the SU-SSC in facilitating mainstreaming and coordination of interagency, multi- and inter-country efforts around SSC (see Findings 2, 3, 6). Capacity-building for national agencies and institutions around SSC, as well as creation of UNDP-supported SSC 'thematic centres' was relatively effective (see Findings 4, 5). The evaluation corroborated the existence and perceived value-added of various capacity-building, knowledge sharing and coordination activities conducted over the past several years by both UNDP and the SU-SSC. Gaps and challenges were identified in relation to overall achievement of mainstreaming within UNDP itself (see Finding 8) especially at the level of COs and regional teams, and with the overall effectiveness of UNDP engagement (see Findings 9, 10). Challenges were also identified with the nature and scope of SU-SSC's engagement (see Findings 14, 15). The indicator target did not distinguish between the baseline and projection for interagency and national focal points. There was no performance information available to the evaluation about 'mainstreaming' as a complex, multi-level transformative activity. Assessment: Medium progress. Target was met, but the available data did not provide clear evidence of mainstreaming progress per se.

Output	Indicator	Target	Evaluation Assessment
Output 2. South-South and triangular partnerships contributing to inclusive growth and effectiveness reflected in national efforts to meet the MDGs and other internationally agreed goals.	1. Establishment of a database that codifies best practices in SSC, which is updated on an annual basis.	Wide Area Network system transformed into a global South-South gateway with a unified coding system and common database by 2009.[86]	Recent UNDP documents in combination with evaluation evidence showed that several key platforms and databases were established and/or were under active development and management by the SU-SSC between 2008 and 2012 to offer searchable databases on Southern-based development solutions (see Finding 16. For example, the SS-GATE listed up to 4,000 transferable technologies, matched up to 700 supply-demand interactions and produced 200 technology exchange partnerships by 2012, with up to 40 country centres. The WIDE platform included up to 69 rosters listing 10,000 experts by 2012. The evaluation identified challenges with UNDP and partner country knowledge about and access to these systems (see Findings 14, 17), although some platform usage data compiled by the SU-SSC indicated broader access than the evaluation revealed. See below for overall assessment.
	2. Establishment of mechanisms in place to facilitate cross-regional policy dialogue and exchange of development related experience and knowledge.	At least one multi-stakeholder dialogue platform in place by 2008.	UNDP and SU-SSC reports and documents from 2008 to 2012 stated that the annual Global South-South Development Expo involving up to 20 UN agencies showcased at least 100 Southern-based development solutions. Member State participation increased in these events from 2008 to 2012, involving experts, practitioners, donors, and government officials to share knowledge, source financing and share innovative new instruments and technologies. The SS-GATE global transaction platform was also confirmed by the evaluation to have fostered multi-stakeholder dialogue as noted under the indicator above, although some limitations and challenges with sustainability and access to these dialogue events and platforms were also found (see Finding 17). At least 50 networking and collaboration activities were undertaken between SU-SSC and various units and bureaux of UNDP since 2008 to advance work on SSC.

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86. Note that this target was provided in the original Strategic Plan table as relating to the second indicator for this output, but because it clearly does relate to this first indicator it has been moved up to this space to condense and simplify this summary table.

Output	Indicator	Target	Evaluation Assessment
			The evaluation corroborated independently the existence and ongoing activities pertaining to establishment of databases, rosters and other sharing mechanisms managed by the SU-SSC (see previous indicator and Finding 16). However, some national level stakeholders and UNDP regional centres and country offices said they had limited access so far to the SU-SSC's tools and resources (Finding 14). While sharing mechanisms and platforms underwent expansion since 2008, the evaluation found evidence of mixed utilization and value-added at different levels (see Findings 17, 18). Approaches used by both UNDP and the SU-SSC to advance national efforts in SSC and TrC in support of the MDGs (as stated in the output) were found to be of variable scope and quality in spite of some advances since 2008 (see Findings 10, 14). Assessment: Medium- to high-progress. Key products and events were produced or facilitated, but also some independent critiques by key stakeholders and partners of accessibility, dissemination strategies follow-up and scope of utilization.
Output 3. Enhanced United Nations effectiveness in South-South approaches to development.	New policy framework developed and widely shared in United Nations system.	United Nations wide policy framework produced by early 2008.	At least 29 policy-related documents were produced between 2008 and 2012 by the SU-SSC which contributed towards an UN system policy framework as well as to some extent, enhanced UNDP engagement with SSC (see Finding 16). For example, SG Policy Decision No. 2008/26 mandated the creation of an UN-wide framework on SSC in food security, climate change and HIV/AIDS to be prepared by 2009. Inputs were provided to UNDG documentation on development effectiveness for UNCTs, and the report of the Joint Inspection Unit review of SSC within the UN system. At least two iterations of Operational Guidelines on SSC for the UN system which produced between 2009 and 2012. See below for overall assessment.

Output	Indicator	Target	Evaluation Assessment
	South Report produced jointly with other United Nations organizations.	First edition published in 2007.	One edition of the *South Report* was prepared and published in 2009. Preparations were begun on the 2010/2011 *South Report* but it was not completed according to what the evaluation could find. See below for overall assessment. Assessment: Medium progress towards policy frameworks, low progress in planned production of *South Report* and medium progress in terms of servicing the HLC.
	Effective servicing of High Level Committee on South-South Cooperation.	At least one inter-organization meeting organized biennially.	Reports and documents showed that the SU-SSC prepared inputs and provided secretariat support before, during and after the regular sessions of the High Level Committee on South-South Cooperation held since 2008. SU-SSC provided background and secretariat services to the High Level United Nations Conference on South-South Cooperation that brought together 93 Member State in Nairobi, Kenya in December 2009 and helped finalize key policy documents on SSC in the UN system (i.e. Nairobi Outcome Document). The SU-SSC facilitated the work of the HLC in the preparations for the Joint Inspection Unit review of SSC in the UN System in 2010, and worked with the HLC on follow-up and response from this key assessment report. The evaluation corroborated that key policy documents and publications were produced and disseminated by the SU-SSC. Research conducted at the country and regional levels for the evaluation revealed limited knowledge among UNDP programming staff and national government representatives about many of the initiatives and linkages established by the SU-SSC (see Finding 14). Stakeholders and Member States also noted challenges with the SU-SSC's adaptability, timeliness, efficiency, responsiveness and effectiveness (see information under each above indicators and Findings 15, 17, 18). Assessment: Medium progress towards policy frameworks, low progress in planned production of South Report and medium progress in terms of servicing the HLC.

II.   FOURTH SOUTH-SOUTH COOPERATION FRAMEWORK 2009-2011 (REF. ANNEX, 'RESULTS AND RESOURCES FRAMEWORK FOR THE FOURTH SOUTH-SOUTH COOPERATION FRAMEWORK, 2009-2011')

FOCUS AREA 1: POLICY DEVELOPMENT, RESEARCH AND ADVOCACY

Global outcome	Output	Indicator	Evaluation Assessment
(Institutional result) Contributions of South-South cooperation (SSC) to inclusive globalization recognized and promoted on a global and United Nations (UN) system-wide basis.	1. Member States enabled to make informed decisions on SSC including through effective servicing of the HLC on SSC. 2. Enhanced effectiveness of UN system support, especially that of UNDP, to SSC for development.	1. Member States provided with evidence-based analysis on SSC. 2. Updated inter-organization guidelines and development of a corporate South-South strategy for UNDP. 3. Support to annual and periodic events (UN SSC Day, HLC meetings, UN conference on SSC, UN interagency FP meetings). 4. Prepared (in collaboration with UNDP bureaux and units) a corporate strategy on SSC.	1. Achieved: At least 29 different publications, reports, studies and policy-related documents available for GA/HLC, member states and GA. Some challenges noted via evaluation research regarding accessibility and utilization of materials. 2. Partially achieved: Work done on UN system operational guidelines between 2009 & 2012. No corporate strategy produced. 3. Achieved: Strong evidence of ongoing SU-SSC support for key events and meetings, interagency consultations etc. as well as recent involvement in Busan process. Many documents, agendas, reports and background studies produced. 4. Not achieved: See #2 above. No corporate strategy produced although some initiatives were undertaken by SU-SSC and BDP towards this in 2008-2009. Overall assessment: Medium progress towards outputs.

| (Development result) MDG-based South-South and triangular approaches mainstreamed in national development strategies and the operational activities of the UN development system. | 1. Number of developing countries integrated SSC in their MDG-based national development strategies.

2. Number of sector-specific South-South and triangular initiatives supported by UN organizations, especially by UNDP global, regional and country programmes, and other development partners. | 1. Capacity-building and technical support provided to at least 15 national governments.

2. Corporate guidance note for UNCTs prepared and assisted up to 15 UNCTs, UNDP global, regional and country teams, and regional commissions.

3. Assisted five traditional donor organizations, at their invitation, to help articulate and introduce innovative South-South-triangular arrangements. | 1. Achieved: Exact number of national governments engaged-reached for TS and capacity-building around SSC not available, but available data on utilization of Development Academy and SS-GATE appears to show that at least 100 countries have accessed these services-platforms.

2. Not achieved: Not clear from available information that this product was produced. At least 18 'joint initiatives' (meetings, discussions, policy dialogue) between SU-SSC and various UNDP bureaux and units took place.

3. Not achieved: No data available on this indicator.

Overall assessment: Medium progress towards outputs. |

FOCUS AREA 2: KNOWLEDGE MOBILIZATION FOR MUTUAL LEARNING

Global outcome	Output	Indicator	Evaluation Assessment
(Institutional result) Systematic organization and promotion of South-South development expertise and MDG solutions for mutual learning.	Mechanisms, including a database/inventory that codifies South-South development expertise and solutions, in place to facilitate cross-regional policy dialogue and exchange of experience and knowledge in generating, cataloguing, disseminating and utilizing such expertise and solutions.	1. South-South e-learning module and how-to handbook, introduced through the UNDP Virtual Development Academy in 2008. 2. WIDE transformed into an interactive South-South development solutions gateway by 2009 including an upgraded experts roster system. 3. Methodologies for generating Southern experts' rosters, packaging solutions, and organizing demand and solution matching (DSM) exercises developed in 2008 and rolled out in 2009.	1. Achieved: Two on-line modules developed and launched under UNDP Virtual Development Academy (no date provided). 2. Achieved: SS-GATE launched in 2008 has 40 decentralized workstations and listed 4,000 transferable technologies with over 200 partnership arrangements brokered. 3. Achieved: Up to 69 decentralized rosters of experts on-line and functioning listing over 10,000 development experts from the South. According to available data, SS-GATE has facilitated more than 700 supply-demand matches since 2008-2009. Overall assessment: High progress towards output.
(Development result) South-South development expertise and solutions contributed to meeting the needs of developing countries in meeting IADG/MDG targets.	1. Number of Southern experts and MDG solutions and needs generated, catalogued and made accessible through the new Web of Information for Development (WIDE) gateway. 2. Number of concrete MDG-focused South-South exchanges initiated by developing countries and supported by UN organizations, UNDP global, regional and country programmes, and triangular partners, with concrete results.	1. Mega-community of South-South practices established by 2009, linking SU-SSC and UNDP global and regional knowledge networks. 2. Support provided to 30 national SSC focal points + those of the UN system and UNDP to generate, catalogue, store and disseminate South-South development solutions. Expert rosters to increase from 40 currently to 70 by 2011.	1. Achieved: See indicators #2 and #3 above. SS EXPO held annually since 2008, involving up to 120 countries per event (2012 attendance) in showcasing technology solutions and finding partnerships. 2. Achieved: As part of SS-GATE system, at least 40 national workstations established with involvement of local focal points or national partners. Information obtained did not specify whether other forms of capacity-building support were planned or offered. Overall assessment: High progress towards outputs.

FOCUS AREA 3: INNOVATION FOR SCALING UP IMPACT

Global outcome	Output	Indicator	Evaluation Assessment
(Institutional result) South-South and triangular partnerships, including public-private partnerships, contributing to inclusive growth and effectiveness through scaling up the South-South impact, reflected in national efforts to meet the MDGs/IADGs.	A dynamic South-South platform established for UN system-wide support to enable the private sector and civil society organizations to contribute to national priorities and programmes and to help scale up the South-South impact.	1. SS-GATE track 1 (technology exchange) made operational and accessible by 2008 and track 2 (development solutions exchange) by 2009. 2. Capacity-building and technical support for 35 national governments to establish SSC focal point, increasing to 70 by 2011. 3. Special Unit regional support units expanded from two to five by 2011.	1. Achieved: See information provided under indicators for Focus Area 2 above. 2. Partially achieved: Unclear from available information whether this relates to establishment of workstations for SS-GATE or some other, broader initiative for capacity-building. Some reports indicate that up to 89 national SSC focal points now in place, but this lacks corroborating evidence. 3. Achieved: Total of five decentralized personnel deployed to regional support centres by 2012. Overall assessment: Medium-high progress towards output.
(Development result) Policies, strategies and partnerships established to promote public-private sector collaboration and private-sector and market development that benefit the poor and ensure that low-income households and small enterprises have access to a broad range of financial and legal services.	Innovative and scalable South-South development solutions, pro-poor business models and technologies systematically showcased and exchanged to scale up their development impact.	1. Up to 50 national civil society organizations directly benefitting from the SS-GATE. 2. Network of thematic centres of excellence expanded and consolidated. 3. Number of evidence-based and innovative MDG solutions benefiting developing countries, especially LDCs, LLDCs and SIDS. 4. Inventory compiled of SSC activities supported by UNDP.	1. Achieved: SS-GATE services available to national chambers of commerce associations in 40 countries. 2. Partially achieved: Support provided for development-funding and implementation of up to seven thematic centres under auspices of UNDP. 3. Partially achieved: Limited information obtained regarding exact influence or effects on countries in terms of attaining and scaling up MDG solutions. SU-SSC participated in several MDG-related consultations and conferences. 4. Not achieved: No information obtained on this indicator. Overall assessment: Low-medium progress towards output.

Annex 9

MANAGEMENT RESPONSE TO THE EVALUATION OF UNDP CONTRIBUTION TO SOUTH-SOUTH AND TRIANGULAR COOPERATION (2008-2011)

I. CONTEXT AND BACKGROUND

This report summarizes the *response of UNDP management* to the evaluation of the organization's contribution to South South (SSC) and triangular cooperation (TrC).[87] The evaluation was conducted by the UNDP Evaluation Office in 2012. The primary objectives of the evaluation were to assess the *relevance, effectiveness*, *efficiency* and *sustainability* of UNDP support to the achievement of development results through SSC and TrC and to clarify UNDP's added value and comparative advantage. As the second Evaluation Office exercise dedicated to the theme, the evaluation also aimed to assess the extent to which its predecessor's recommendations have been addressed. The findings of the evaluation report will provide substantive inputs to the UNDP Strategic Plan 2014-2017 and the Fifth Cooperation Framework for South-South Cooperation 2014-2017, to be presented to the UNDP Executive Board in 2013 and in 2014 respectively.

The global development cooperation landscape is changing rapidly. Emerging economies and other developing countries have become key actors in global and regional development efforts. A number of countries of the South are leading world

economic growth and have been doing so for a number of years. During most of the 2000s, developing countries as a whole grew at over twice the rate of high-income countries. Even if economic growth leaders – such as China and India – are excluded, a large number of developing countries have experienced robust growth. Equally encouraging, according to UNCTAD, as from 2008, developing countries as a whole exported more to the South than to the North: South-South trade today accounts for almost half of the total trade of China, and almost 60 percentage of the total trade of India and Brazil, and the South-South trade of each of these countries will continue to outstrip their trade with the rest of the world all the way through to 2050.

Southern partnerships play an important role in the new development architecture, not only due to their contribution to overcoming pressing development challenges, but also in light of the diversity and richness of the practices and experiences shared, the lessons they offer for building common agendas at global and regional levels, and the leadership they promote, particularly at local levels. Knowledge and experience gained by various countries — and their ability to share that knowledge and learn from each other — has

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87. The management response suggests an expanded understanding of South-South cooperation to include East-East, horizontal and other forms of cooperation among member states and development partners.

proven to be useful and successful in identifying the demands and needs of the developing world.

With guidance from the High-level Committee on South-South Cooperation, the UN development system advances SSC and TrC for development. Also, many UN Conferences culminating in the 2012 United Nations Conference on Sustainable Development (Rio +20) have consistently stressed the importance of SSC and TrC as an effective modality of development cooperation. The Rio Outcome Document states that *"South-South Cooperation should be seen as an expression of solidarity and cooperation between countries, based on their shared experiences and objectives."* SSC and TrC have increased in terms of strategic importance and volume: knowledge sharing for sustainable development and poverty eradication has become an important element contributing to the enhancement of national and local capacities for human development. Particular importance is associated with South-South partnerships and solutions in addressing challenges that cut across regions and national boundaries – challenges that are often very difficult for individual countries to deal with effectively.

For many developing countries, SSC has increased the diversity in opportunities for development assistance in addition to offering a significant resource channel that is additional to and on different terms from their traditional donor sources of foreign financing. Solidarity and cooperation among developing countries finds expression in their intensified efforts to institutionalize their own development cooperation with other countries in the South.

In short, SSC and TrC, which have emerged as vital elements of the global development cooperation architecture complementary to the traditional North-South model, are set to assume even greater importance in the future.

II. UNDP AND ITS CONTRIBUTION TO SOUTH-SOUTH AND TRIANGULAR COOPERATION

Ever since the 1978 Buenos Aires Plan of Action for Promoting and Implementing Technical Cooperation among developing countries, UNDP has been actively supporting SSC and TrC. Importantly, this engagement is also guided by the Nairobi Outcome Document, which acknowledged "the need to reinvigorate the United Nations development system in supporting and promoting South-South cooperation".[88] The recent UN Member States' negotiations of the Quadrennial Comprehensive Policy Review (QCPR) and the relevant text on SSC provides further impetus to position the organization around an effective development cooperation architecture to support the implementation of the MDGs and the post-2015 agenda.

Important recent trends have seen Southern countries not only institutionalizing their own development support as bilateral partners, but are also looking for multilateral solutions to consolidate their resources for greater impact, reach and sustainability in the developing world. In particular, they are looking to share and benefit from knowledge and experiences on institutionalizing their development cooperation. Many countries have increasingly demanded UNDP's support to adapt to the changing development cooperation architecture in its role as a connector (e.g. connecting countries which engage in SSC and TrC), as a facilitator (e.g. of forums for exchange, peer learning and policy dialogue), and knowledge broker (e.g. in the set-up and consolidation of development cooperation agencies across regions).

UNDP on a global, regional and country level – in cooperation with the United Nations Office for South-South Cooperation (UNO-SSC,

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88.   GA Resolution 64/222

former Special Unit for South South Cooperation) - plays an important role in mainstreaming South-South cooperation across the UN system and throughout the international development community. UNDP leverages its global reach as well as its policy and institutional capacities to assist developing countries in strengthening their SSC capacities. Countries' efforts to manage, design and implement SSC policies and initiatives are supported through the identification, sharing and transfer of successful Southern development solutions and by recent efforts aiming at scaling-up Southern solutions for transformational impact. UNDP has also been regularly and systematically identifying and showcasing scalable Southern solutions at the annual Global South-South Development Expo since its first launch in 2008 by the UNOSSC.

Through its country office network, UNDP has embraced SSC as a key driver for progress in developing countries and has provided support to SSC on a wide array of development issues. This includes knowledge exchange and documentation of good practices, capacity development, technical cooperation and programme/project design on climate change, MDG achievement, poverty reduction, HIV/AIDS, food security, gender, trade and democratic governance, to name a few.

More recently, UNDP has provided a range of development support services including legal, capacity and programme development as well as partnership support, to countries across regions in their efforts to establish and further develop capacities of development cooperation entities.[89]

Responding to these burgeoning developments and demands, UNDP has been stepping up its engagement in SSC over the past several years, and one important signal of this has been the commitments expressed as part of several Partnership Framework Agreements signed with a number of important emerging economies. A key objective of UNDP's strategic partnerships with emerging economies is to scale up SSC and TrC, to facilitate knowledge and experience exchange on sustainable human development, and facilitate their engagement in shaping the global development agenda. As a result of this strengthened partnership, political space has opened up contributing to integrating more proactively the voices of these countries in a number of critical global processes driving the future development agenda and architecture, such as Rio+20, the Post 2015 agenda, the Development Cooperation Forum (DCF), G20, and BRICS, to name a few.

Further, UNDP's national, regional and global human development reports regularly utilize South-South exchanges, systematically harnessing these both strategically and in-routine programme activities. The Human Development Report 2013 'The Rise of the South: Human Progress in a Diverse World' will also contribute to advocacy and policy dialogue on SSC. In collaboration with the UNO-SSC, UNDP also responds to demand from Southern countries to provide platforms for exchange and making their voices heard in global and regional policy dialogues, such as in the context of the General Assembly High-Level Committee on South-South Cooperation and ECOSOC's Development Cooperation Forum.

UNDP provides strategic support to SSC and TrC through its policy advisory services, programme support, brokering knowledge, forging partnerships, and capacity development for SSC and TrC. Global Centres of excellence have been an important vehicle for this support.

The UNDP Brasilia-based International Policy Centre for Inclusive Growth (IPC-IG) is

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89. Many partner countries are in the process of either establishing or consolidating their own development cooperation agencies/entities/architecture for better coordinating their growing development and south-south cooperation efforts. These include, among others, countries such as Azerbaijan, Brazil, China, Colombia, India, Indonesia, Kazakhstan, Mexico, Peru, Russia, South Africa, UAE as well as many new Eastern European (EU) member states

dedicated to equipping policy makers in the developing world with the skills necessary to design, implement and evaluate policies and programmes towards the attainment of inclusive growth. This successful partnership between an emerging global player such as Brazil and UNDP is a good indicator to the international community that emerging economies are going through successful processes of social transformation and thus have much to share with the rest of the world and contribute to poverty eradication and inequality reduction at global level. Through research, publications and conferences covering development topics such as inequality and the associated topics of inclusive development, social protection, and the relation between privatization and human development, the IPC-IG brought key policy issues to the attention of decision makers in the South, providing highly informed policy guidance and advice in an effort to accelerate achievement of the MDGs. IPC-IG developed an integral approach to communications by combining a dynamic production of knowledge with various outreach tools and strategic partnerships with think tanks and Southern public intellectuals, practitioners and the media. This experience is informing the strategy of other UNDP centres. The IPC will now evolve and soon merge with the newly established World Centre for Sustainable Development in Rio de Janeiro as a main outcome of the growing UNDP and Brazil partnership following the Rio +20 conference.

Through the China International Centre for Poverty Reduction, UNDP has helped the Global South strengthen national capacities to design and implement pro-poor policies and anti-poverty programmes with a focus on both income and human dimensions of poverty. Following a SSC approach, the Centre serves as a knowledge hub and comprehensive depository of information about poverty and the poverty reduction experience in China for mutual learning between China and other developing and transition economies.

In the environment field, since 2005 UNDP's Drylands Development Centre (DDC) Nairobi

has been supporting the efforts of decision makers and practitioners working in drought-prone countries to mitigate the risks of drought and improve livelihoods by providing them with a variety of peer learning and knowledge sharing support. The DDC, with a mandate to develop a sound knowledge base on sustainable drylands development issues, fulfill UNDP's corporate commitment to the implementation of the United Nations Convention to Combat Desertification (UNCCD). The DDC implements the Integrated Drylands Development Programme (IDDP), UNDP's comprehensive programmatic framework to tackle poverty eradication in the drylands using an integrated approach that combines: (i) mainstreaming drylands development issues into national policy and budgetary frameworks; (ii) building the resilience of dryland communities to climate and socio-economic change; and (iii) strengthening the governance of natural resources. Under the IDDP, projects are currently being implemented in 15 countries and support is being provided to regional and subregional initiatives. An example is DDC's work on land governance through the SADC Regional Land Reform Support Facility, which supports the development of improved national land policies in SADC Member States. At the global level, the DDC works closely with the UNCCD Secretariat in support of implementation.

As a key global policy centre on democratic governance, the Oslo Governance Centre (OGC) has contributed to accelerating South-South cooperation on governance in a number of areas. Through the innovative Global Programme on Governance Assessments (GAP) and the first-ever Oslo Governance Forum, UNDP leveraged discussions on effective renewal of democratic governance processes and institutions for a new era. The 2011 Forum culminated in the adoption of the Oslo Principles on Democratic Governance Assessments as well as establishing Governance Assessments for Social Accountability to influence global discourse on development financing to include a focus on removing

corruption bottlenecks. Other activities include, the Centre's partnership with UNO-SSC, BCPR, RBLAC and UNDP Brazil on South-South exchange on citizen security in Brazil as well as facilitation of South-South learning on the political economy of transitions.

In close collaboration with the Government of Turkey, UNDP established the UNDP Istanbul International Centre for Private Sector in Development. The Centre's foundation is premised on the principles of South-South cooperation and serves as a platform to engage the private sector in development and as a source of expertise on building the kinds of business models which are positive for new home-grown businesses and for creating more jobs and improving livelihoods.

As a deliberate strategic effort to further strengthen South-South exchanges and new development partnerships around specific priority themes, UNDP and a number of countries have agreed to establish other global centres of excellence, including in India (human development), in Singapore (public service excellence), , and Republic of Korea (global development partnerships). These centres are global platforms for connecting and brokering knowledge and partnerships not least between Southern stakeholders around themes where the host countries have a particular rich experience and legacy to share with others.

UNDP has also supported regional integration efforts as part of its approach to SSC. A number of initiatives have taken place through direct cooperation with existing regional cooperation entities and UNDP's own regional programming approaches. For example, in Africa, UNDP entered into a joint agreement with the New Partnership for African Development (NEPAD) to strengthen partnership arrangements, helping to build regional cooperation around key thematic areas under the African Peer Review Mechanism (APRM). Indeed, the evaluation report found that UNDP approach to SSC could gain important spillovers from a dedicated strategy to support regional integration efforts.

III. MANAGEMENT RESPONSE TO THE EVALUATION FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

The ambition in the next Strategic Plan is to take a major step forward in the way both SSC and TrC are conceived, developed and managed and therefore the findings, conclusions and recommendations of this evaluation will influence both its content and approach to implementation. At the core of this transformation will be a concept of collaboration and leadership that focuses on the achievement of results that benefit developing countries, recognizing that the complexity of the issues being faced requires responses that go well beyond any one organization. UNDP in the future must be open to a wide spectrum of collaborative opportunities, ranging from shared research, analysis and advocacy to jointly funded and managed programmes. UNDP wishes to pursue a very wide range of options to implement this approach. Hence, it proposes to emphasize a number of key options, to obtain the best returns for development from its institutional assets including South-South and triangular cooperation.

UNDP acknowledges the positive findings of the evaluation including the following:

- The full alignment of UNDP frameworks and statements with the principles of SSC and TrC, including respect for national sovereignty, national ownership and independence, equality, non-conditionality, non-interference in domestic affairs and mutual benefit;

- UNDP's strong comparative advantage in supporting SSC and TrC, as highlighted in the evaluation report;

- Progress being made on building strategic partnerships with emerging economies and the innovation potential that these hold for the organization's further support to SSC and TrC;

- UNDP's success in brokering knowledge exchange and learning and its impact on short-term benefits with potential for long-term benefits; and

- UNDP's contribution to regional integration efforts including catalytic and strategic interventions under NEPAD, APRM, ASEAN, the Melanesian Spearhead Group, the South Pacific Forum, the South Pacific Regional Environment Programme and to CARICOM, to name a few.

However, UNDP also wishes to elaborate and clarify some of the other findings, including:

- With regard to the finding on the levels of UNDP funding for SSC, UNDP recognizes that in the past accounting and reporting systems were not configured to readily provide comprehensive data on UNDP spending on SSC. UNDP has greatly improved its Results Oriented Annual Reporting system to more effectively report on SSC results and achievements. Furthermore, in recent years funding flows for SSC through UNDP have continued to increase going well beyond the US$3.76 million figure for 2011 mentioned in the report. For example, for many years now Brazil alone has contributed US$141 million for SSC in partnership with and through UNDP. Other countries have also been making important contributions. Trust funds managed by UNDP, such as the India, Brazil South Africa (IBSA) Trust Fund and the Pérez Guerrero Trust Fund are examples of other non-core funding arrangements from countries mainly from the South. However, much of these SSC funds are often channeled through UNDP in the form of government cost-sharing to national projects which are not appropriately tagged in our existing financial management systems as SSC. This issue is currently being addressed by UNDP following the recent Executive Board decision to establish a distinct cost-recovery rate for SSC. Additionally, in-kind assistance has also been on the rise. A more robust financial and in-kind monitoring architecture to better reflect South South flows is therefore being put in place.

- On mainstreaming of SSC, UNDP's data-driven reporting introduced in 2011 has

shown that SSC has indeed become an important element of how UNDP contributes to development results: in 2011, reports show that support to SSC has taken place under 645 out of 995 country outcomes in 152 countries.

- The evaluation also refers to UNDP's External Relations and Advocacy Framework (ERAF) highlighting that it prioritizes SSC but focuses on resource mobilization. UNDP underscores that the ERAF recognized the full political and developmental importance of SSC and provides a much broader perspective to this issue than just resource mobilization.

- With regard to knowledge management, it should be noted that UNDP's goal of real time knowledge sharing, and 'connect' over 'collect', has been at the core of UNDP's corporately endorsed knowledge strategy. The main emphasis of the corporate Knowledge Strategy 2009-2011 was to initiate and support a culture shift away from overly formalized and hierarchical processes to a more open and organic environment where individuals across the South are empowered to share knowledge freely and informally as needed and desired and to better engage multilateral processes. Teamworks was conceived as an extranet with the goal of engaging external individuals which - given that out of 44,000 Teamworks users 28,000 users are non-UNDP users – it successfully achieved. In addition, UNDP established the Teamworks One UN domain, which enabled 3,800 individual UN colleagues from 45 UN organizations to share resources, engage in discussions and collaborate in spaces for UNCTs, inter-agency task forces or working groups, such as the UN HLCP for Climate Change. Finally, UNDP provided the Teamworks platform as well as knowledge advisory and support services to non-UNDP stakeholders for the Rio+20 Dialogues and the Post-2015 consultation process. This is an example of deepening democratic space and civil society dialogue and exchanges across the South, providing input to

multilateral processes, including the Rio Outcome Document. The World We Want accelerates this engagement (see http://www.worldwewant2015.org/).

- UNDP understands that the UNO-SSC, though hosted by UNDP, is a General Assembly mandated 'separate entity' and coordinator on SSC and TrC on a global and UN system-wide basis. It has been performing both normative and operational support functions. But beyond hosting, UNDP has provided the UNO-SSC the policy space, institutional infrastructure and financial and operational support that enabled it to have "…successfully created a space where UN actors, Member States, the private sector and non-governmental development actors can forge inclusive partnerships for effective development", as acknowledged in an EU statement at the 17th Session of the HLC 2012. The Secretary-General also in his report on Quadrennial Comprehensive Policy Review of operational activities for development of the United Nations system (A/67/93), specifically mentioned that the "United Nations Office for South-South Cooperation created a three-in-one multilateral South-South architecture to enable all stakeholders to forge inclusive South-South and Triangular partnerships" . What the UNO-SSC has developed under the 4th cooperation framework is not just a 'knowledge brokerage platform', it is a transactional system enabling South-South partners to make informed decisions, generate knowledge and share knowledge, forge partnerships and mobilize resources to scale up development impact of Southern solutions and transfer appropriate technologies using the South-South and triangular approaches.

IV. CONCLUSION

UNDP agrees with the main conclusions of the evaluation which have emphasized the following:

- **Conclusion 1**
  Relevance: The continued relevance of UNDP in support of SSC and TrC which reaffirms that UNDP is in an unique position in the UN system to foster stronger mechanisms in support of SSC and TrC under the guidance of the UN General Assembly and the High Level Committee on SSC.

- **Conclusion 2**
  Effectiveness: Despite significant efforts since the last evaluation to make its support to SSC more effective and responsive, more efforts are needed and UNDP commits to undertaking the various actions described in the action plan below.

- **Conclusion 3**
  Efficiency: UNDP's agenda for change has outlined a number of internal reform processes that seek to ensure that UNDP is fit for purpose. A number of relevant work streams will make a significant difference in UNDP's ability to better and more efficiently respond to the particular needs to deliver and enable SSC. These include new country office business models in differing country typologies (NCCs, MICs, LICs/LDC etc.), considering adaptations to UNDP's funding model that can better integrate in-kind and other South-South flows for development cooperation as well as consolidation, integration, scaling up of staff capacities dedicated to partnerships and SSC at global, regional and country levels to better facilitate SSC and TrC.

- **Conclusion 4**

  Sustainability: Because of the bilateral nature of SSC and the brokering facilitation role of UNDP in this context, critical issues such as sustainability and impact of SSC often rely primarily on country systems. In recent years UNDP has taken steps to focus part of its support in strategic entry points for SSC, including strengthening longer term institutional capacities for SSC such as through newly established development cooperation agencies or other national knowledge hubs that engage in SSC and embed within those bodies SSC sound development cooperation practices including ensuring greater sustainability of SSC initiatives. UNDP has also been prioritizing exchanges of knowledge based on policy oriented and scalable Southern solutions to achieve wider impact through SSC.

Recommendation 1. UNDP should develop a comprehensive corporate strategy for its support to SSC and TrC.				
Management response: UNDP agrees with this recommendation and will develop a corporate strategy to support its engagement with SSC and TrC by bringing to conclusion much of the work done to develop a corporate strategy as the 2007 evaluation highlighted. UNDP will develop a SS strategy following the approval of the new Strategic Plan. UNDP will however establish the fundamental principles of the strategy in the new Strategic Plan, following an inventory of corporate best practices for successfully mainstreaming cross-cutting issues such as gender equality.				
Key action(s)	**Time-frame**	**Responsible unit(s)**	**Tracking***	
			Comments	**Status**
1.1 SS embedded in the new Strategic Plan	September 2013	SCIG		
1.2 Require programme formulation at all levels to examine how better development results can be achieved using SSC and TrC in any new Global, Regional and Country Programme Documents	January 2014	RBx, OSG, BDP		
1.3 Develop corporate strategy for supporting SSC and TrC	December 2014	BDP, BERA, OSG, UNOSSC		

Recommendation 2. Under the new corporate strategy for SSC, UNDP will need to clarify its corporate structure and define more precisely its operational approaches and guidance for continued support to SSC-TrC.

Management response: UNDP agrees to the need for an institutional home for SSC within UNDP. In particular, the following considerations will be factored in:

- UNDP is committed to the establishment of appropriate institutional arrangements, which would, among others, include better leveraging of dedicated South-South capacities across all levels of the organization, in partnership with UNO-SSC.

- In its role as coordinator of the Resident Coordinator (RC) system, UNDP will work to integrate SSC in the work of UNCTs by providing tools and policy guidance on the integration of SSC and TrC in the UNDAF process and other programming instruments throughout the conceptualization, planning, implementation, evaluation and reporting related to national and regional development initiatives.

- UNDP remains committed to hosting the UNO-SSC and working more closely with the UNO-SSC as the coordinator for SSC and TrC in the UN system, leveraging the UNO-SSC as it facilitates inter-agency UN support to SSC and provides secretarial services to intergovernmental bodies that provide policy guidance on SSC and TrC in the UN system.

Key action(s)	Time-frame	Responsible unit(s)	Tracking*	
			Comments	Status
2.1 Designate an institutional home for the substantive lead in and coordination of SSC/TrC	September 2013	OPG to designate		
2.2 As an input to the corporate SSC strategy, define roles and responsibilities between UNDP and UNO-SSC building on the operational and normative nature of each entity respectively	June 2014	BDP, BERA, OSG, UNO-SSC, EXO		
2.3 Global and Regional Centres define strategic niche, operational approaches and synergies within and between regions for SSC/TrC	September 2014	Global and Regional Centres		
2.4 Programme and operational guidelines developed and rolled-out to mainstream and facilitate the inclusion of SSC and TrC within country, regional and global programmes/projects	June 2015	OSG, BDP, BERA		
2.5 Tools and policy guidance provided to integrate SSC and TrC in the work of UNCTs, including in UNDAFs and other programming instruments	Ongoing	BDP, DOCO, UNO-SSC		

Recommendation 3. Knowledge management, which was a critical component of previous cooperation frameworks needs to be addressed in a more systematic and coherent manner.

Management response: UNDP agrees with this recommendation and notes that UNDP's goal of real time knowledge sharing, and 'connect' over 'collect', has been at the core of UNDP's corporately endorsed knowledge strategy. The main emphasis of the corporate KnowledgeStrategy 2009-2011 was to initiate and support a culture shift away from overly formalized and hierarchical processes to a more open and organic environment where individuals across the South are empowered to share knowledge freely and informally as needed and desired and to better engage with multilateral processes. This strategy will be backed up by evidence based knowledge from programme and institutional practices and complemented by clearly elaborated UNDP business model of supporting SSC and TrC.

Key action(s)	Time-frame	Responsible unit(s)	Tracking*	
			Comments	Status
3.1 Mapping and review of UNDP programme experience and institutional efforts in promoting SSC/TrC, including lessons learned for replication and elaborate a business model	December 2013	BDP, BCPR, RBX, RSCs and Policy Centres, BERA, BOM, OSG		
3.2 Leverage existing platforms developed in advance of Rio+20 and post-2015 to engage citizens in debating South-South cooperation content and modalities, deepening Southern perspectives	Ongoing	BDP in collaboration with RBX, RSCs and Policy Centres		
3.3 Scale up and provide more focused and tailored support to different typologies of countries providing in-kind and other forms of South-South development assistance	Starting June 2014	BDP, BCPR, RBx, RSCs, country offices, UNO-SSC		
3.4 Better integrate UNO-SSC knowledge sharing platforms/hubs into UNDP's own knowledge management systems	On-going	BDP		

Recommendation 4. UNDP should intensify its information-sharing, reporting and evaluation on support to and results achieved through South-South and triangular cooperation.

Management response: UNDP has strengthened its result-based monitoring and reporting system, explicitly addressing the SSC dimension. Building on that effort, UNDP will further intensify the SSC dimension in its integrated work plan and financial management systems, and will enhance information sharing.

Key action(s)	Time-frame	Responsible unit(s)	Tracking*	
			Comments	Status
4.1 New strategic plan results framework includes ways to measure and monitor SSC using corporate systems, with South-South baselines, targets and indicators reported annually	January 2014	OSG, SCIG, BDP		
4.2 Incentives established for country offices to support and encourage SSC in programme frameworks	December 2014	Regional bureaus and other relevant bureaus		
4.3 Scale up and provide more focused and ta4.3 Annual country, regional and global reporting includes more robust reporting on SSC and TrC Starting	January 2015	All units		

Recommendation 5. UNDP should clarify its financial commitment with regard to its support to SSC-TrC				
Management response: Funding flows through UNDP for SSC and TrC far exceed the 0.5% of core resources allocated through the fixed line. UNDP agrees to ensure a more robust financial management system that is able to better track and report on these funding flows**.**				
Key action(s)	**Time-frame**	**Responsible unit(s)**	**Tracking***	
			Comments	**Status**
5.1 Methods established to monitor SSC/TrC flows	December 2014	BOM, BERA, BDP		
5.2 South-South funding mechanisms reviewed to propose modifications to resource allocation, including revisiting the current distribution under Programming Arrangements governing fixed line of core resources for SSC	December 2014	BDP, BOM, UNO-SSC		
5.3 Window established in thematic trust funds to support South-South priorities defined in Strategic Plan	December 2014	BDP		
5.4 Invest in capacities for strengthening UNDP's role in supporting SSC, including operationalizing Partnership Framework Agreements signed with emerging economies	December 2013	SCIG		
5.5 Step up resource mobilization for both core and non-core to support SSC and TrC	On-going	All bureaux		
5.6 Introduce a UNDP specific project modality for SSC and TrC that can accommodate flows of both financial and in-kind assistance	December 2014	OSG, BDP		