



SOUTH-SOUTH IDEAS

ASSESSING IMPACT OF SOUTH-SOUTH COOPERATION:
VARIATIONS IN PERSPECTIVES
SELECT COUNTRY CASE STUDIES



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ABBREVIATIONS AND ACRONYMS

ABC	Brazilian Agency of Cooperation
ARF	African Renaissance and International Cooperation Fund
ASUL	South-South Cooperation Research and Policy Centre
ATDC	Agricultural Technology Demonstration Center
BAPA	Buenos Aires Plan of Action
BNC	Binational National Commission
BPC	BRICS Policy Centre
CAADP	Comprehensive Africa Agriculture Development Programme
CEAH	Centre of Excellence Against Hunger
CEL	Central Electronics Limited
DAC	Development Assistance Committee
DAG	Development Assistance Group
DBSA	Development Bank of Southern Africa
DIRCO	Department of International Relations and Cooperation
DPA	Development Partnership Administration
ECA	Economic Cooperation Administration
ENAP	National School for Public Administration
FMCG	Fast-Moving Consumer Goods
GCSS	General Cultural Scholarship Scheme
GOI	Government of India
GPEDC	Global Partnership for Effective Development Cooperation
IDC	Industrial Development Cooperation
IDEAS	Indian Development and Economic Assistance Scheme
IDI	India Development Initiative
IEC	Independent Electoral Commission
IPR	Intellectual Property Rights
LoCs	Lines of Credit
M&E	Monitoring and Evaluation
MEA	Ministry of External Affairs
MONUSCO	UN Stabilisation Mission in the Congo
NeST	Network of Southern Think Tanks
ODA	Official Development Assistance
OECD	Organisation for Economic Cooperation and Development
PALAMA	Public Administration Leadership and Management Academy
PCRD	Post conflict reconstruction and development
RBM	Results Based Management
SADPA	South African Development Partnership Agency
SSC	South-South Cooperation
TOSSD	Total Official Support for Sustainable Development
UNOSSC	United Nations Office for South-South Cooperation
WFP	World Food Programme

EXECUTIVE SUMMARY

Two important questions on the principles of South-South cooperation (SSC) have contributed to some intense debates over the last few years. The first question focuses on the relevance (or otherwise) of evaluation of contributions under SSC, whereas the second question relates to the need for developing a common standardized template for reporting of SSC activities of the development partners from the South.

The study considers an examination of the first issue, raising a set of two research questions, namely,

- Why should SSC be assessed?
- Should there be a common framework for such a purpose?

The questions are answered at two levels. Firstly, we develop a conceptual framework to argue in favour of assessment of SSC. Then, we consider four cases of assessment carried out by colleagues from the Network of Southern Think Tanks (NeST) across the four countries and observe the nature of heterogeneity and plurality in their assessment frameworks, to argue against a common assessment framework, even though there may be some common elements.

THEORETICAL FRAMEWORK

Research clearly underscores the fact that while evaluation is prescriptive, assessment is reflective. Considering the “demand –driven” characteristics of SSC, it cannot afford to be prescriptive and go for an evaluation of the SSC activity. It has to give primacy to reflective mechanism in the form of assessment that helps mutual learning and consequent mutual benefit. Furthermore, SSC is more centred towards a process-oriented understanding of an initiative, rather than on the outcome/ product of the activity. As a result, understanding has to be formative in nature, rather than being summative. Taking the argument further, any understanding deriving from an SSC initiative cannot be judgemental; it has to be diagnostic. Finally, the approach should not seek to derive comparative results, as is done in an evaluation. SSC is not premised on a competitive philosophy; rather, its philosophy of sharing highlights the degree of cooperation among partners.

The study therefore, argues that SSC activities are suitable for assessment. As the term suggests, assessment does not involve any comparison between actual achievement and pre-determined targets. There is no contractual obligation for either of the partners as assistance is provided as and when asked for. Consequently, the targets are not fixed by the provider, but always determined by the recipients, reflecting the fact that the principles are demand-driven. Being implemented on a “mission mode” (Mohanty 2015), SSC activities are often linked up to support provided in different forms – referred to in the literature as modalities – and to sectors that ensure strong backward and forward linkages for comprehensive development in partner countries. For instance, a line of credit offered to set up an enterprise may often



by accompanied by relevant capacity-building programs, technology transfer and trade-related support. Furthermore, an activity under SSC is often complemented by follow-up activities in order to facilitate a sequential process of contributing to the development needs of a partner country. Thereby, the role of assessment is altogether different from that expected of an evaluation process and partners in SSC consider an assessment framework to be more effective in realising the objectives of development cooperation.

KEY FINDINGS FROM THE COUNTRY CASE STUDIES

The four case studies simultaneously revealed some interesting commonalities as well as differences. Although the dimensions, principles and indicators were independently chosen by respective researchers, the emphasis on sticking to the non-negotiable principles of SSC is visible across the spectrum.

However, there are variations in terms of the modalities used. While the modalities identified under 'Development Compact' provide a semblance of a holistic structure of development cooperation principles, it is the case that countries exercised discretion in identifying those that are relevant according to the needs of the partners. The cases reflect the variations across modalities used.

Optimum utilization of resources, both in terms of their quantity and quality, is an established and well-recognized process followed in SSC (Kumar, 1987). Assessment of SSC has to capture the variations in the process involved.

The results of SSC should also be assessed not only from the perspectives of the recipient countries, but also from that of the providers, given the SSC emphasis on mutual benefits.

RECOMMENDATIONS

Being involved in development cooperation from one developing country to another, SSC cannot be left without any understanding and examination of the worth and merit of the activities involved. Constituting an effort to enhance the level of solidarity among the Southern nations, Southern partners also have the responsibility to share the impacts – positive or otherwise – of an exercise to the rest of the Southern countries so as to help them identify some best practices that may be implemented with necessary adjustments so as to contribute to their developmental aspirations. In such circumstances, it is desirable that SSC is assessed in order not only to facilitate improvements in future performance, but also to ascertain the extent of mutual benefit flowing to the countries in partnership. Such an objective could be undertaken through an exercise that involves both parties in exchange to determine the criteria for assessment with the assessee in control of the assessment process so that it may utilize the feedback for its benefit. Therefore, SSC must develop a mutually agreeable method of assessment of "mutual benefits".

In the future, the unique features of SSC should be sustained and diversification of assessment frameworks should be encouraged, as each southern country is different from each other with their own historical, cultural, developmental backgrounds. The purpose of SSC assessment is not to make international



EXECUTIVE SUMMARY

comparisons in a competitive spirit but to enhance mutual learning and experience-sharing. Furthermore, being pluralistic in nature, SSC activities cannot be assessed using a common template. The four case studies presented in this study also bear out this conclusion.

In closing, it may be proposed that the collective choice level assessment framework is to be provided based on the “fundamental guiding principles” of SSC (the first component of the matrix given in Table 11) as they emerged through consultations and discussions among the Southern partners, which may be considered as a common component of the assessment template. However, the operational choice level framework (second part of the matrix given in Table 11) of assessment need not conform to any fixed structure. Diversity in approaches and modalities of SSC – the real strength of Southern solidarity – need not be compromised on the altar of “standardization” of institutional arrangements.



1. INTRODUCTION: SETTING THE CONTEXT

1.1 Present Context

Two important questions on the norms of SSC have contributed to some intense debates over the last few years. The first question is concerned about the relevance or otherwise of evaluation of contributions under SSC, whereas the second question relates to the need for developing a common standardized template for reporting of SSC activities of the development partners from the South. The call for the need for evaluation of SSC emerges from the perspective of accountability and transparency. It is being argued that moving beyond the inputs under SSC, some mechanism is necessary to evaluate the outcomes of such cooperation activities. There are also arguments that a common standardized template followed by the partners in SSC would help bring about a semblance of transparency and comparability in SSC activities. The forthcoming Second High-level United Nations Conference on South-South Cooperation (BAPA+40) is expected to galvanize debate and engagement in order to arrive at a meaningful consensus on this issue.

The present compilation attempts to look at these issues through a Southern lens and observes considerable differences in the methodological approaches towards evaluation and/or assessment of SSC. In terms of its guiding principles, with SSC being primarily outcome-sensitive, the need to contribute to the debate becomes all the more relevant. The case studies considered in this volume encapsulate the methodological structures followed in Brazil, China, India & South Africa in assessing the SSC and the role played by the respective countries.

The report is divided into six sections. While the first section is introductory and establishes the context of the study, the following four sections focus on case studies in assessment from the four countries, namely, Brazil, the People's Republic of China, India and South Africa. The final section concludes and provides the way forward.

1.2 Research Objectives

The study considers a set of two research questions, namely,

- Why should SSC be assessed?
- Should there be a common framework for such a purpose?

The questions are answered at two levels. Firstly, we develop a conceptual framework to argue in favour of assessment of SSC. Then, we consider four cases of assessment carried out by colleagues from NeST across the four countries and observe the nature of heterogeneity and the plurality in their assessment frameworks.

1.3 Assessment or Otherwise of SSC: The Contestations

Although assessment and evaluation are often used interchangeably, they are different in terms of their implications. Let us first consider Table 1 below that compares evaluation and assessment. The table clearly suggests that evaluation, as opposed to assessment, is based on some criteria determined by the evaluator who enjoys a vantage point in ascertaining the worth and merit of an activity against a pre-defined standard. Consequently, the process is almost entirely under the control of the evaluator. An assessment, on the other hand, provides space for the assessee to participate in the process of setting the criteria and possessing some control on the assessment activities as well. In other words, assessment is more participatory than evaluation in identifying the gains and losses through a development cooperation engagement. Being driven by the spirit of solidarity and mutual benefit, SSC is evidentially a suitable candidate for an assessment process.

Table 1 Comparison between Assessment and Evaluation

	Assessment	Evaluation
Purpose	To improve future performance	To judge the merit or worth of a performance against a pre-defined standard
Setting Criteria	Both the assessee and the assessor choose ¹ the criteria.	The evaluator determines the criteria
Control	The assessee --- who can choose to make use of assessment feedback	The evaluator --- who is able to make a judgment which impacts the evaluation
Depth of Analysis	Thorough analysis by answering questions such as why and how to improve future performance	Calibration against a standard
Response	Positive outlook of implementing and action plan	Closure with failure or success

Source: Parker et al (2001)

It is quite well known that SSC is governed by a set of non-negotiable guiding principles. They are i) demand-driven support, ii) respect for national ownership and independence, iii) solidarity, iv) accepting diversity and heterogeneity, v) respect for national sovereignty, vi) non-conditionality and vii) mutual benefit. Features of assessment identified in Table 1 clearly establish a link between the principles and assessment framework. Criteria setting and control parameters follow the principles ii and v above. Depth of analysis as an assessment criterion can be linked to principle vii—mutual benefit. Feature of criteria setting also corresponds to the principle of accepting diversity and heterogeneity (iv). The purpose of assessment being improvement of future performance, it can be linked to the principle of non-conditionality (vi).

¹ Choice not in the form of picking from a fixed list of criteria but rather having independence in terms of creating specific context as well.



The feature of response as an assessment criterion can well be linked to the principle of demand-driven support (i) and solidarity (iii).

Another effort at understanding the dimensions of differences between evaluation and assessment has been identified by Straight (2002) – Table 2.

Table 2 Dimensions of differences between evaluation and assessment

Dimension of Difference	Assessment	Evaluation
Timing	Formative	Summative
Focus of Measurement	Process-Oriented	Product-Oriented
Relationship Between Administrator and Recipient	Reflective	Prescriptive
Findings, Uses Thereof	Diagnostic	Judgmental
On-going Modifiability of Criteria, Measures Thereof	Flexible	Fixed
Standards of Measurement	Absolute	Comparative
Relation Between Objects	Cooperative	Competitive

Source: Straight (2002)

It clearly underscores the fact that while evaluation is prescriptive, assessment is reflective. Considering the “demand –driven” characteristics of SSC, it cannot afford to be prescriptive and go for an evaluation of the SSC activity. Rather, it has to give primacy to a reflective mechanism in the form of assessment that helps mutual learning and consequent mutual benefit. Furthermore, SSC is more centred towards a process-oriented understanding of an initiative, rather than being keen only on the outcome/ product of the activity. Consequently, the understanding has to be formative in nature, rather than being summative. Taking the argument further, understanding of an SSC initiative cannot be judgemental; it has to be diagnostic. Finally, the approach has to have no interest in deriving comparative results, as is done in an evaluation. SSC is not premised on a competitive philosophy; rather its philosophy of sharing highlights the degree of cooperation among the partners. The linkage between the principles of SSC and the dimensions of difference is also quite evident here.

It needs to be emphasized at this juncture that SSC, in view of the expressed non-negotiable principles, acknowledge cooperative “sharing” between the parties engaged in such cooperation (United Nations General Assembly 2009). Implemented out of a concern to express solidarity with newly decolonized

countries facing developmental challenges, SSC has been horizontal and has never set “conditions”, thereby rendering support that is purely demand-driven and helping the partners in reaping “mutual benefits”. Such a logic of sharing involves sharing of resources between the partners.

Therefore, a typical sharing of “resources” within the domain of SSC (Ben-Porath 1980) -

- “May extend over a long period of time, but the duration is often not specified in advance;
- Involves a large variety of exchanges and occurs in a package consisting of highly interdependent transactions, in tune with Development Compact principles;
- Is not specifically identified beforehand, most of them are contingent on events and are decided sequentially;
- Does not necessarily lend itself to being expressed in terms of a unit of account;
- Is enforced by internal values shared by the members;
- Creates a collective identity that affects the transactions of each member with people outside the group;
- Is specific and non-transferable”.

Such features in exchange of resources mimic that between friends or that within the members of a family (Ben-Porath 1980). In the absence of any ex-ante contractual obligations – not specifically identified beforehand, most of them are contingent on events and are decided sequentially – it is not possible to make a judgement on worth or merit of an SSC activity against a pre-determined standard. Being sequential in its approach, the standards may be constantly evolving and changing over time.

So, the study argues that SSC activities are suitable for assessment. As the term suggests, assessment does not involve any comparison between actual achievement and pre-determined targets. There is no contractual obligation on either of the partner as assistance is provided as and when asked for. Consequently, the targets are not fixed by the provider, but always determined by the receivers, in tune with the principles being demand-driven. Being implemented on a “mission mode” (Mohanty 2015), SSC activities are often linked up to support provided in different forms – referred to in the literature as modalities – and to sectors that ensure strong backward and forward linkages for comprehensive development in partner countries. For instance, a line of credit offered to set up an enterprise may often be accompanied by relevant capacity-building programs, technology transfer and trade related support. Furthermore, an activity under SSC is often complimented by follow-up activities to facilitate a sequential process of contributing to the development needs of a partner country. Thereby, the role of assessment is altogether different from the role expected of an evaluation process, and partners in SSC consider an assessment framework to be more effective in achieving the objectives of development cooperation.



The objectives of development cooperation – implemented on a mission mode – call for applying a multi-modality approach. Chaturvedi (2016) captures the idea in the form of what is known as ‘Development Compact’.

1.4 Development Compact

That development cooperation under SSC could be conceptualized as Development Compact is evident from the experiences of SSC. Development Compact results out of solidarity and friendship. The development compact as Chaturvedi (2016) conceptualized is between actors from the South, and on the principles that govern SSC such as mutual gain, non-interference & collective growth opportunities. Under SSC, the development partnerships offer opportunities for growth and economic expansion through human capacity-building and strengthening of institutions. This is not the Development Contract that was offered by developed countries to developing countries that decided to undertake Structural Adjustment Programs. It is in the spirit of sharing that the multiple modalities of development compact, often in an interlinked manner, forms the basis of cooperation between the countries of the South. The nature of cooperation is arrived at through the discussions between the two parties engaged in the process. Such cooperation may be in the form of help in capacity-building, duty free quota free market access to partner countries, concessional credit, sharing of technologies and pure grants. They may be offered either singularly or in combinations of different components. Given the fact that development assistance under SSC is demand-driven—offered on demand—it is assumed that the recipient partner would themselves initiate, organize and manage SSC activities.

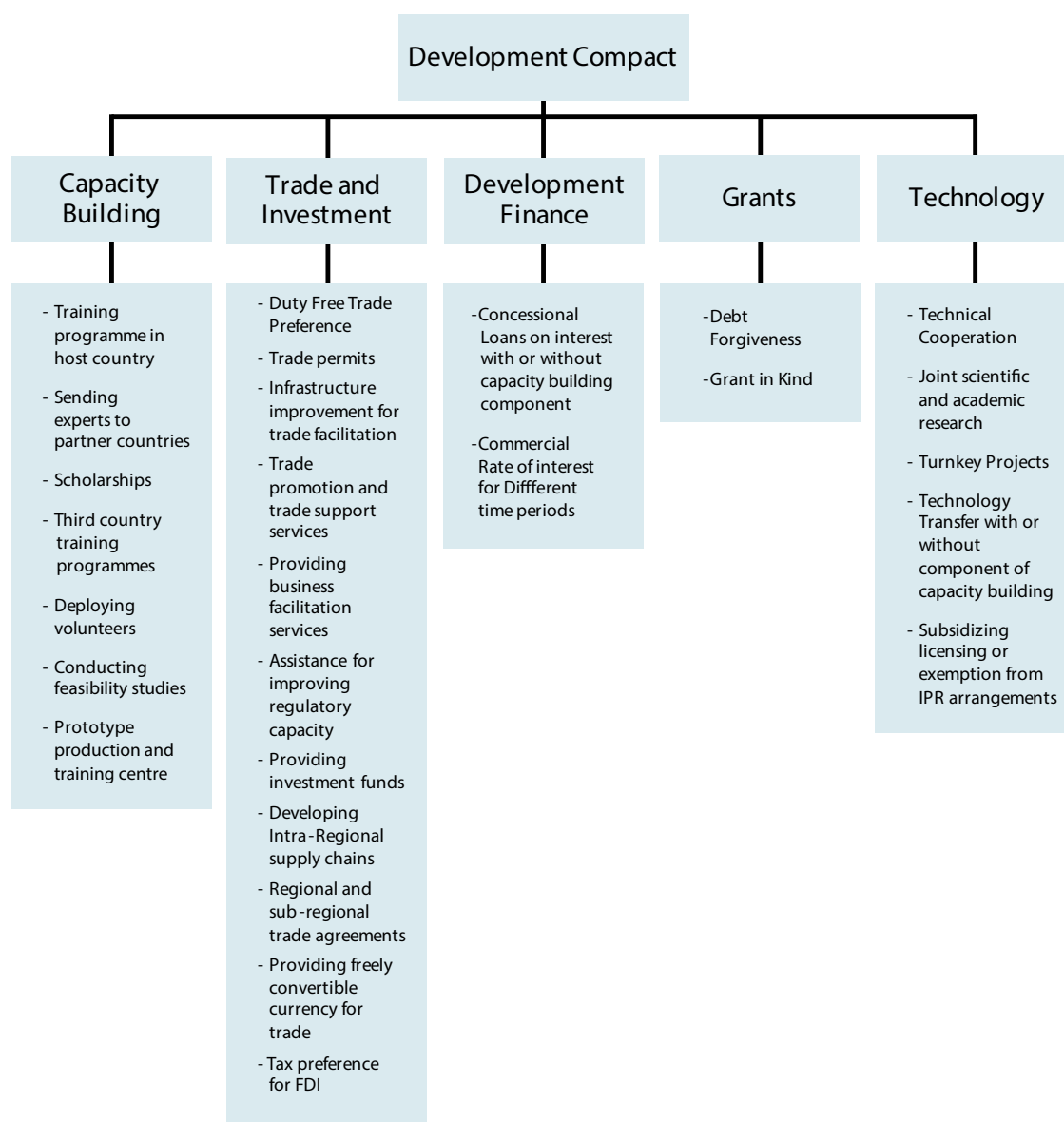
Below is a diagrammatic exposition of a development compact. For further details on the concept, the reader may refer to Chaturvedi (2016).

Although practitioners and academics across providers of SSC have recognized the need for better management of its various modalities, the challenge in establishing a single or multiple analytical framework(s) for assessment of SSC remains an ongoing quest, perhaps to be settled on the platform of BAPA+40. A more in-depth treatment of these issues is beyond the scope of the present study, even though the case studies from different countries suggest a possibility of developing multiple analytical frameworks depending upon the context and the deliverables.

We will find that the four case studies are replete with features involving plurality of modalities and heterogeneity in the economic status of partners. Consequently, the assessment structures are also not identical, even though they have many features in common. It is observed that the development supports provided under SSC in all the four cases follow the guiding principles for modalities identified under development compact and give some idea about the processes followed and results obtained.

Given this conceptual and policy background, the four sections that follow concentrate on the experiences from some selected SSC experiences and identify the heterogeneity and the plurality therein. However, it may be noted that the terms “evaluation” and “assessment” have been used interchangeably across these case studies. Now that the distinction between evaluation and assessment has been developed in this section, we will argue in the concluding chapter as to how all of them considered an approach to assessment in their analysis.

Figure 1 Development Compact



Source: Chaturvedi (2016)



Above is a diagrammatic exposition of a development compact. For further details on the concept, the reader may refer to Chaturvedi (2016).

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2. EVALUATING BRAZILIAN SOUTH-SOUTH COOPERATION FOR DEVELOPMENT: INSIGHTS FROM THE EXTERNAL EVALUATIONS OF THE COTTON-4 PROJECT AND OF THE CENTRE OF EXCELLENCE AGAINST HUNGER

2.1 Introduction: the concept and the principle of the framework

As SSC expands and enters a consolidation phase, increasing the general understanding of its contribution to regional and global development goals has become a central concern for development actors, both within major SSC providers as well as within the broader international development community. As a response, several initiatives to bridge those data and knowledge gaps have been put in place. A major effort towards this goal has been championed by a technical working group of think-tanks, research centres and non-governmental organisation in the South gathered under the umbrella

of Network of Southern Think Tanks (NeST)². NeST has been working to operationalize SSC principles into performance indicators to assess SSC initiatives in a series of major SSC providers. In 2015, NeST members have proposed a first conceptual framework for the development of SSC assessment frameworks (Besharati, Rawhani & Garellirios 2017), to be applied in a series of pilot case studies. Throughout the debates hosted by NeST, gathering experts from different Southern providers, it became clear that SSC conceptualization, as well as measurement, monitoring and assessment (or evaluation) were closely connected and inter-dependent issues.

As a member of NeST and of the secretariat of the Brazilian chapter, the South-South Cooperation Research and Policy Centre (ASUL) has significant experience in the field, through the development of research and policy advice but also as implementers of external evaluation initiatives and evaluability studies for SSC, particularly in Brazil. ASUL has been in a unique position for supporting the development of the SSC evaluation landscape in Brazil, having conducted several of those studies, since 2016. ASUL has published several policy briefs and technical studies on the subject of SSC assessment that are going to be referenced here³, but we focus on two particular initiatives where NeST evaluation framework served as an inspiration for developing assessment frameworks for two major Brazilian technical cooperation initiatives: the evaluation of the 2009-2013 project *“Supporting the Development of the Cotton Sector in the C4 countries”*⁴ (hereafter the Cotton 4 project) and the portfolio evaluation, between 2011-2016, of the SSC work conducted by the World Food Programme (WFP)-Brazil partnership Centre of Excellence against Hunger (CEAH)⁵. The Cotton 4 evaluation, in particular, is a major landmark since this agricultural technical cooperation initiative between Brazil, Burkina Faso, Benin, Chad and Mali was the first large Brazilian technical cooperation project and the first agricultural cooperation project subject to an external evaluation (Articulação Sul & Plan Políticas Publicas 2015)⁶. In this case study, we discuss both evaluations

2 In March 2015 a group of 25 prominent academics and development cooperation experts from the global South gathered in Midrand, South Africa to discuss a common analytical framework for South–South cooperation (SSC). This was the first technical workshop of the Network of Southern Think Tanks (NeST) and marked the beginning of a 20-month process of international technical working group discussions, stakeholder consultations and political gatherings of Southern partners in Johannesburg (September and November 2015), Geneva (December 2015), Xiamen (January 2016), Delhi (March 2016), Addis Ababa (June 2016), Mexico City (September 2016) and Beijing (November 2016). The NeST technical discussions benefitted from the contributions of representatives from Brazil, China, Colombia, India, Indonesia, Kenya, Malawi, Mexico, Mozambique, Nigeria, South Africa, Turkey, Uganda and Zimbabwe. The NeST discussions brought together a range of governmental, civil society, academic and multilateral stakeholders, to discuss key challenges, systematize knowledge, develop measurement systems and generate consensus around key themes within the SSC discourse and its contribution to the 2030 sustainable development agenda.

3 We will refer particularly to Paths for Developing South-South Cooperation Monitoring and Evaluation Systems and Building an agenda for the monitoring and evaluation of South-South cooperation for development. Complete references can be found in the bibliography.

4 See, <http://www.abc.gov.br/Projetos/CooperacaoSulSul/Cotton4>.

5 The Centre of Excellence Against Hunger (CEAH) is a trilateral arrangement between the Brazilian Government and the World Food Programme (WFP) to support partner countries in developing food security strategies. It is based in Brazil and was launched in 2011. More information at, <http://www1.wfp.org/centre-of-excellence-against-hunger>

6 ASUL was part of the consortium commissioned to conduct the evaluation. The final report was published in Portuguese, English and French.



as they feature among the first external evaluations commissioned by the Brazilian government on its SSC. Both cooperation initiatives involve partners in Africa and deal directly or indirectly with livelihoods and agriculture, and in both initiatives international organizations play a significant role – as we intend to demonstrate in the following sections. Lessons learnt from the ways in which those evaluations were conducted, the indicators and criteria mobilized, and the results identified are key contributions – from a Brazilian perspective – to the ongoing global efforts to strengthen both South-South and triangular cooperation.

Cotton and food and nutritional security-related SSC involve different dimensions of South-South relations: technical cooperation, global social policies and norms, multilateral trade. Those two initiatives exemplify an illustrative case of SSC complexity, diversity and multi-dimensionality and thus have demanded innovative assessment frameworks. This present case-study will draw upon our institutional experience in assessing South-South and triangular cooperation in the past few years, both as researchers and practitioners, whether within NeST or in partnership with other external institutions. We intend to make use of knowledge and insights from previous experiences on the ground and from collective discussion processes to update lessons learned and review recommendations for the assessment of other SSC initiatives.

2.2 Objectives of the Evaluation Framework

Over the past years, Brazil's role in SSC has featured in international development debates, particularly as the country expanded its technical cooperation with a range of Southern partners across the globe in policy areas as diverse as health, social protection, agriculture, public security, and vocational training, to name a few⁷. Brazilian policies and development solutions became widely discussed and started to be transferred to other countries; mostly through technical cooperation to support capacity development in and among partner countries. Political will to share, through field visits, field missions, policy dialogues, and technical cooperation preceded Brazilian governmental stakeholders (re)structuring of its own management structures, including those devoted to monitoring and assessing what cooperation looked like in the field, what results it was bringing about, and for whom.

Since 2013, the Brazilian government, particularly the Brazilian Cooperation Agency (ABC), has nonetheless invested time and resources in strengthening the management of its South-South technical cooperation, including through the adoption of a series of guidelines, for both technical cooperation and trilateral cooperation with Southern partners⁸. Evaluating Brazilian South-South technical cooperation became a need as internal pressure, sometimes combined with external pressure, started to mount on the Brazilian government to show results of its international development engagements and to be able to produce

7 For the most recent official accounts on the main development cooperation flows from Brazil to other Southern partners, see Instituto de Pesquisas Econômicas Aplicadas (IPEA) 2016 and Instituto de Pesquisas Econômicas Aplicadas (IPEA) 2018.

8 See, Ministério das Relações Exteriores 2013



evidence on its contributions in the areas of policy ideas, technical expertise and resource flows, to meet the challenges brought by new global development commitments, including the 2030 Agenda (Pomeroy, Waisbich & Lopes, 2017).

The evaluation frameworks developed to assess those two initiatives differ in some significant ways, due to the very nature of the initiatives under review, yet both aimed at making results visible, providing a formalized space for Brazilian coordination and implementing agencies and for its international partners to learn from design, implementation and monitoring and evaluation processes, and last but not least to measure their performance against SSC principles.

2.3 Evaluation Framework

As mentioned, rather than using only one evaluation framework, here we draw on two external evaluations, conducted by ASUL from 2015 to 2017, of Brazilian South-South technical cooperation. In the following paragraphs, we will discuss some of the main conclusions and recommendations from the evaluations of the Cotton 4 project, a regional cooperation project with Benin, Burkina Faso, Chad and Mali in the cotton sector, and CEAH, a partnership between the United Nations World Food Programme and the Brazilian government, to exchange ideas regarding policy solutions on school meals and food and nutrition security⁹. By bringing those two trends together, we hope to present what we learnt from operationalizing SSC principles in two Brazilian multi-country technical cooperation initiatives that can be used to develop an assessment framework for a broader sectoral, or cluster, cooperation, such as the one in the cotton sector.

Table 3, below, presents a brief summary of both evaluations, highlighting their main features.

Table 3 External evaluations of Brazilian South-South Cooperation initiatives

Evaluated initiative	Cotton-4	Centre of Excellence Against Hunger – CEAH
External evaluation team	ASUL and Plan Public Policies	ASUL and MOVE Social
Evaluation scope and timeframe	Project (2009-2013)	Portfolio (2011-2016)

⁹ See, Centre of Excellence Against Hunger 2017.



Evaluated initiative	Cotton-4	Centre of Excellence Against Hunger – CEAH
Evaluation approaches and research methods	<p>Evaluation approaches: Ex post evaluation based on the project’s initial log frame with added dimensions</p> <p>Research methods: Literature review and documental analysis, semi-structured interviews and in-country field missions (Brazil, Benin, Burkina Faso, Mali)</p> <p>Data collection in numbers: 85 interviews from the representatives from all C4 countries. 24 interviews in Brazil. Fieldwork in 4 countries (Benin, Brazil, Burkina Fasso, Mali).</p>	<p>Evaluation approaches: Theory of change, Evaluation Matrix</p> <p>Stakeholder engagement. Participatory validation of evaluation tools with CEAH (WFP and Brazilian government) and with partner/supported countries</p> <p>Research methods: literature review and documental analysis, survey, semi-structured interviews, events observation (Brazil, Ethiopia, Armenia)</p> <p>Data collection in numbers: 66 interviews, 2 workshops, 18 country survey responses. Inputs from 24 countries and 8 partner institutions.</p>
South-South and triangular cooperation principles operationalized	Horizontality; ownership and mutual benefits	Horizontality; ownership; mutual benefits, demand-driven, autonomy

From the analysis of Table 3, one can clearly identify the differences between the initiatives as well as in the evaluation approaches, which intentionally sought to respond to this very contextual variation¹⁰. Yet, some elements of this table deserve further explanation.

First, how the evaluation was carried out, including how the external evaluation teams were formed and the very methodologies and processes adopted. Aiming to fully engage with the challenge of evaluating SSC initiatives through approaches informed by SSC principles, evaluation consortia were formed gathering experts capable to combine expertise on Brazilian public policy evaluation and in-depth knowledge about Brazilian SSC. Likewise, in line with the horizontal and multi-stakeholder principles of SSC, ASUL (South-South Cooperation Research and Policy Centre) and its partners have proposed and carried out participatory approaches from the early stages of the evaluation framework building, data-gathering and/or dissemination activities. Stakeholder engagement was seen as a key opportunity to continue strengthening South-South partnerships through the entire evaluation exercise, while jointly developing SSC evaluation capacities in all partners.

Another key element for both the Cotton 4 and the CEAH evaluations was the undertaking to develop context-specific assessment frameworks – based on the nature of the intervention and the human, financial, and informational inputs available for the evaluation - allowing for meaningful value-based

¹⁰ For a recent comparative reflection between both assessment exercises, see Pomeroy, M & Waisbich, L 2018.

judgements of Brazilian capacity development-focused cooperation initiatives. To this end, each evaluation sought to develop its own evaluation framework, combining three evaluative dimensions: performance or quality of interventions, results in capacity development, and operationalisation of SSC principles. In that sense, while in the Cotton 4 evaluation the key capacity development in question referred to knowledge and technology transfers and their adoption by partner countries, in the case of the CEAH, the focus was to understand how the Centre was contributing to organisational and interinstitutional capacities in partner countries in order to find their own intersectoral policy solutions for hunger.

Importantly, when it came to operationalizing SSC principles, both evaluations attempted to assess how and whether a set of SSC principles and ways of working had been conducive to development results. As such, SSC principles were not taken *ex ante* as conducive to successful initiatives, they were tested in both cases, leading to findings such as the “inspirational role” of the CEAH, based on the Brazilian experience with school feeding and social protection, fostering policy dialogue with and in Africa or the “mutual respect” found in Cotton 4 exchanges, jointly developing and adapting protocols with partner countries. Likewise, both evaluations have sought to advance - in their own ways - what it means to evaluate results in SSC, for the Brazilian government and for the partners (both implementing partners and governmental partners with whom Brazil cooperates). In other words, what has been Brazilian SSC contribution to policy changes and developmental outcomes elsewhere, how to measure it from a contribution perspective, and what is left to be assessed by partner countries themselves, through other ongoing national development policy evaluation efforts (BRICS Policy Center (BPC), South-South Cooperation Research and Policy Centre (Articulação Sul) & Brazilian Agency of Cooperation (ABC) 2017). These are not trivial questions and they remain at the very core of the 2030 Agenda, as well as of global dialogues such as the BAPA+40 conference.

Finally, considering that those two evaluations have been among the first structured efforts to externally evaluate Brazilian structuring cooperation¹¹ initiatives they were also able to capture what can be called a “window of opportunity” for developing capacities for evaluating SSC – in Brazil and in other Southern partners. Those include the need to continue to invest time and resources in internal and external evaluation processes – diversifying methodologies, sectors and approaches or focusing on strategic regional or sectoral clusters - and in baselines and information systems for ABC and key-Brazilian implementing agencies. Investing in monitoring is thus key for future evaluation initiatives. The widely recognized, and well-praised, Brazilian demand-driven flexible approach to technical cooperation should not prevent governmental institutions from integrating monitoring and evaluation (M&E) instruments with effect from the project design and throughout implementation¹². There is room for learning and innovating in evaluating SSC, as the next section will discuss.

11 Structuring cooperation is a concept used by ABC to describe technical cooperation initiatives focused on capacity-building in key development areas, as demanded by partner countries. see, <http://www.abc.gov.br/Gestao/ProjetosEstruturantes>

12 See a more detailed discussion in Pomeroy & Waisbich 2018.



2.4 Profiles of the selected cases in Case Study

THE COTTON-RELATED COOPERATION

Despite not being a food crop, cotton is a crucial source of cash income for millions of rural people in several Sub-Saharan African countries and therefore plays a critical role in food security and poverty alleviation. Cotton is an important commodity in some developed and emerging countries as well and, in the early 2000s, it was a central subject of the multilateral trade agenda (Articulação Sul & Plan Políticas Publicas 2015)¹³. In 2002, Brazil, one of the five biggest global cotton producers, initiated a WTO dispute settlement case (WT/DS267) against the United States for the use of national subsidies that created unfair trade barriers in the international cotton market.

The lengthy dispute settlement ended in 2014, with a bilateral agreement that included the payment of US\$ 300 million to Brazil, which in its turn agreed not to motion new WTO retaliatory sanctions against U.S. cotton programs. In this context, the Brazilian Cotton Institute – IBA, a non-for-profit civil society organisation, was created in 2010 to manage funds from the Brazil-United States of America cotton-dispute. Although IBA was created with the main objective of developing and strengthening *Brazilian* cotton culture, the Brazil-United States of America memorandum of understanding also allowed for the provision of technical cooperation. In this sense, a formal agreement among IBA and the ABC dedicated ten percent of the amount received by IBA to be used to finance technical cooperation and capacity-building in the cotton industry in Sub-Saharan Africa and Latin American countries¹⁴.

The C4 cooperation project, the first regional approach to Brazilian cotton-related cooperation and the first *structuring project* (i.e., key project) coordinated by the ABC in the sector, was carried out against this background. Today, it has become a central feature of Brazilian SSC: the country is currently developing cotton-related cooperation in fourteen African countries and seven from Latin America and the Caribbean¹⁵. Resources from IBA are currently funding several SSC initiatives with African and Latin American countries, not only in the field of food and agriculture but also within the decent work agenda (Table 4).

13 Given the importance of the cotton sector in the C4 countries and Brazil and the challenges posed by the introduction of agricultural subsidies in developed countries, Brazil, Mali, Burkina Faso, Benin and Chad began a dialogue which led to the emergence of the Cotton 4 project. During the Fifth World Trade Organization (WTO) Ministerial Conference held in Cancun in 2003, these countries proposed an end to subsidies. Instead of joining Brazil in a formal WTO dispute against subsidies provided by the United States to their cotton farmers, these African nations proposed an initiative within the WTO Agriculture Committee; hence the group became known as the Cotton 4.

14 See, Brazilian Cooperation Agency (ABC), Brazilian technical cotton-related cooperation, <http://www.abc.gov.br/imprensa/mostrarconteudo/660>

15 IBIDEM

Table 4 Brazilian cotton-related cooperation under implementation in 2018

	Main Initiatives	Partner countries/ regions	International organizations	Total estimated budget	Implementation
FOOD AND AGRICULTURE	+Cotton: Support to project management in cotton-related SSC	C4 + Togo Africa Latin America and Caribbean	UNDP FAO	US\$ 19.84 mi	2012-2022
	Alternatives for the disposal of cotton and accessory cultures products and by-products in Africa	Africa and Latin America	WFP	US\$ 7.24 mi	2017-2021
DECENT WORK	South-South cooperation for the promotion of decent work in cotton-producing countries (2015-2019)	Paraguay, Peru, Mali, Mozambique and Tanzania	ILO	US\$ 3.43 mi	2015-2019

Source: Brazilian Cotton Institute - IBA

This recent boost in SSC initiatives that aim at contributing to change in the cotton value-chain encourages the revisit of the Cotton 4 evaluation framework, as well as other similar evaluation experiences, and deepens the debate on SSC assessment frameworks. Besides the external evaluation of the Cotton 4 project previously described, Embrapa, the government-owned Brazilian agricultural research company and main implementing institution for this project, also conducted an internal evaluation process. The main objective of this initiative was to identify lessons learned that could improve project management and effectiveness, and also to inform the design of a second phase, the *Cotton4 + Togo*. EMBRAPA has a well-structured practice of evaluation of national programmes, but they have to be adapted to international cooperation initiatives which require strong institutional coordination. In this sense, there is a consistent demand for dialogue and capacity-building among cooperating institutions in order to develop a SSC evaluation framework that contemplates sectoral expertise with SSC principles (BUENO, 2018).

2.5 Lessons learned and challenges ahead

The development of assessment frameworks for SSC has become a main issue among researchers and practitioners as a way to demonstrate its contribution to global development challenges, particularly to the 2030 Agenda. Recent surveys taken amongst key Brazilian stakeholders (mainly governmental) offer a challenging perspective: The National School for Public Administration -- ENAP-- has carried out a survey



among federal employees in which more than 25% of the respondents were largely unaware of the SDGs agenda (ENAP 2018).

A consultation to key authorities and practitioners (again, mainly governmental) from Brazilian organisations engaged in international cooperation evidences that, although there is significant awareness of the relevance of SSC evaluation frameworks and methodologies, there are also important challenges to address (Costa et al. 2018). These can be divided into two main categories: capacity-building and visibility.

The demand for capacity-building for evaluation becomes evident in both surveys, but the one more focused on SSC evaluation underlines the interest from participants in sharing experiences with national and international counterparts to explore new approaches and innovative methodologies.

Evaluating public policies is seen as a risk for policy-makers and other engaged partners, especially in highly politicised matters. Although respondents do consider evaluation as a tool for management, policy learning and effectiveness, they argue that decision-makers are concerned with political reputation and dissemination of best practices and less prone to engage in critical debates about what they do and why.

Both Brazilian development practitioners and researchers now have practical experience and scientific knowledge that validates the need to invest more time and resources in SSC assessment frameworks. What might be missing is a more proactive approach to creating the environments for engaging in dialogue and learning from each other – domestically – as well as learning from other agencies both in terms of creating institutional cultures and trusted spaces for evaluation and learning and innovative methodologies to deal with complex interventions, for instance those seeking to enhance partners' capacities to autonomously develop and carry out developmental policies. What other partners can help Brazil with, particularly those who have been testing and adjusting evaluation frameworks for longer, is to think about creating the right incentives for domestic practitioners to engage in personal and institutional evaluation exercises.

Assessing complex SSC interventions, such as Brazilian cotton-related technical cooperation initiatives, call for a more sustained collective reflection on how to judge the results, and impacts, of global and national advocacy processes. Such a cluster-based evaluation of SSC, which combines multi-level and multi-layered policy actions nationally, as well as internationally, for instance in multilateral trade negotiation fora, can be one way to move the discussion forward in a comprehensive, yet feasible way.

The lack of a consensual understanding of SSC – or rather the general conception that considers SSC to be any relation among countries from the South – makes it difficult for countries to agree on reporting methodologies. In this regard, we believe that using a *cluster* approach¹⁶ can facilitate sectoral comparability

16 We refer to “cluster approach” to comprehend the different sectors in which cotton-related cooperation is implemented in Brazilian SSC, which includes not only agriculture but also food and nutrition, decent labour, trade etc.

and encourage coordination. The case of cotton could mobilize key Southern providers to agree upon an assessment framework to allow for comparison, fostering the sharing of information and improving impact in partner countries.

3. CASE STUDY ON CHINA-THE UNITED REPUBLIC OF TANZANIA COOPERATION¹⁷

3.1 Introduction

As the largest SSC provider in the world, China has accumulated many useful experience and lessons in practice. However, it still has a long way to go to translate these lessons into development knowledge due to the lack of a platform for systematic information and knowledge-sharing. This fact not only hinders international understanding on China's efforts in development cooperation, but also imposes barriers for China to share its valuable experience with development cooperation practitioners. Of course, the academics sometimes could not provide good policy recommendations due to lack of reliable information. The government was thus unable to obtain first-hand information on the ground in order to grasp the dynamism of development cooperation project implementation. Therefore, to develop a framework that can measure, report, and monitor China's SSC based on China's own practice will not only promote China's development cooperation information and knowledge sharing, but also contribute to the enhancement of global development knowledge, while providing input for China's future development cooperation practice.

However, how to establish a SSC framework suitable for China's own context is still a new area in China. As the leading research institute in development studies, the China Agricultural University team designed a SSC framework and tested its applicability in the context of China-Tanzania cooperation in agriculture.

3.2 The evaluation framework

According to the United Nations operational definition of SSC,

South-South cooperation is a broad framework for collaboration among countries of the South in the political, economic, social, cultural, environmental and technical domains. Involving two or more developing countries, it can take place on a bilateral, regional, sub-regional or interregional basis. Developing countries share knowledge, skills, expertise and resources to meet their

¹⁷ This case study is an excerpt of a wider research titled 'An SSC Evaluation Framework from China's Perspective and Case Studies on China-Tanzania Cooperation'.



development goals through concerted efforts. Recent developments in South-South cooperation have taken the form of increased volume of South-South trade, South-South flows of foreign direct investment, movements towards regional integration, technology transfers, sharing of solutions and experts, and other forms of exchanges. (UNOSSC 2017).

It also says that the SSC agenda and SSC initiatives must be determined by the countries of the South, guided by the principles of respect for national sovereignty, national ownership and independence, equality, non-conditionality, non-interference in domestic affairs and mutual benefit. The framework proposed by our team is expected to meet both the principles and practicability/flexibility of SSC.

Two specific purposes are to be achieved through this monitoring and evaluation process:

1. To provide the situated information of China's SSC projects in the partner country so the Chinese public will know what China is doing in other developing countries and the partner country will also be informed about the logic of project implementation from the Chinese perspective. By doing so, the mutual understanding will be promoted;
2. To analyze the output, outcome and impact of Chinese projects from partner countries' perspective so that the policy-makers and project implementers from China will learn the relevant lessons and design improved actions in the future.

In a word, the fundamental aim of the evaluation is to enhance mutual understanding and mutual learning.

Based on the above-mentioned concepts, guiding principles and objectives, the framework proposed in this case study contains 9 guiding principles of SSC, and 15 measurable indicators. The details about the framework are shown in the following Table 5.

Table 5 The Evaluation Framework for China’s SSC*

Principles	Measurable indicators	Data source	Evaluation methods
1. Mutual respect 2. Equality 3. Non-conditionality 4. Non-interference	1. Percentage of SSC projects based on partner country's needs; 2. Percentage of SSC projects based on mutual agreement; 3. Number of projects based on joint decision-making and project implementation; 4. Number of projects reflecting both sides' strategies	Provider and partner countries	Process evaluation
5. Mutual benefit 6. Efficiency	5. Percentage of local procurement (including materials and service) 6. Percentage of local human resources 7. Percentage of local financing 8. Proportion of the project income going to local stakeholders (dividends reinvestment, etc.) 9. The gap between Southern/Northern funded projects in terms of time, cost and output	Partner country	Process evaluation
7. Equality and justice	10. Project's contribution to poverty reduction, especially the enhancement of vocational skills of the occupational poor, such as the number of local trainees, the volume of technical transfer and the number of specialists from the provider country 11. Number of vulnerable/marginalised people (those living under the poverty line, especially women and youth) benefiting from the project	Partner country	Impact evaluation
8. Sustainability	12. Is the project providing input for national policies and strategies for environmental sustainability of the partner country?	Partner country	Process evaluation
9. Capacity development	13. Total budget for the technology transfer 14. Number of people trained by the project 15. Number of shared useful experiences	Provider and partner countries	Process evaluation

*Note: This assessment framework may be used to get project-level data as well as the overall picture of SSC between China and partner countries. The qualitative approaches may be used to obtain micro level field data about the projects and their impacts and the descriptive mapping data could be collected to obtain the macro view of the whole engagement.

3.3 Evaluation Methods

SSC, unlike North-South cooperation especially for the Organisation for Economic Cooperation and Development (OECD) DAC countries, at macro-level, faces the problem of the fragmentation of information and data due to a lack of manpower, capital and materials. Under the guidance of the above-mentioned assessment framework, focusing primarily on qualitative data analysis, supplemented by quantitative



data, this paper aims to establish the best practice and share development experience. The reasons for focusing on a qualitative case study are twofold. On the one hand, it is almost impossible to obtain a complete dataset on SSC at present, as most SSC countries do not have systematic data. On the other hand, a qualitative case study can put SSC against a macroscopic historical background and can help to better understand the cooperation process and impact.

This paper has chosen China-Tanzania cooperation as its case study due to the following reasons: 1) Among African countries, Tanzania is one of China's closest partners, receiving a significant amount of Chinese aid since the 1960s. The construction of the Tanzania-Zambia Railway in the 1970s was a milestone aid project, making Tanzania an important partner country for China in its conducting of SSC. 2) Tanzania shares historical similarities with China both politically and economically, and both China and Tanzania are heavily driven by agriculture. 3) Comparatively speaking, China-Tanzania cooperation, especially in the agricultural sector, has experienced a long historical trajectory, although it is still facing various uncertain factors under the current situation. 4) There is no ready-made theoretical guidance or framework for evaluation and even implementation of China's cooperation projects in Tanzania. As one Chinese entrepreneur who has been working in Tanzania said, "We are still feeling the stones while crossing the river. We can only rely on ourselves."

Against this backdrop, it is really difficult to judge whether the project is successful or not as there is no systematic information and the evaluation process is not thorough. We selected two ongoing development projects in agriculture to reflect the up-to-date feature of China's SSC in Africa. And the objective of the evaluation is to enhance mutual learning and experience-sharing.

3.4 China-Tanzania Cooperation in Agriculture

The problem of food security in Tanzania is the result of its "low input, low output"-farming model of the small-scale agricultural production system in Africa. The per unit food yield is about 22% of that in China and is lower than that of some neighboring countries like Ethiopia, Zambia and Uganda. In 2014, for example, the corn yields in Ethiopia, Zambia and Uganda reached 34210 kg/ha, 27802 kg/ha and 25005 kg/ha respectively, but this figure in Tanzania was only 16250 kg/ha (Table 6). The low efficiency of agricultural production, especially the low yield, is one of the main reasons for Tanzania's food security problem.

A serious shortage of investment in seeds, fertilizer and irrigation is a significant cause of low agricultural productivity in Tanzania. Rural households that use improved crop varieties account for no more than 20% of the total, while 70% of rural households have never used chemical fertilizer. Furthermore, arable land equipped with irrigation facilities accounts for only 1.69% of the total arable land. The most significant shortcoming though is that farmers lack farming technology and labor input is relatively low. Meanwhile, the Tanzanian government's fiscal expenditure on agriculture is relatively low also.

Table 6 Comparison of corn yields in Tanzania and neighboring or nearby countries (Unit: kg/ha)

Year	2012	2013	2014
Ethiopia	30592	32542	34210
Kenya	17366	16922	16602
Malawi	21932	21708	16563
Uganda	24991	24959	25005
Zambia	26545	25382	27802
Zimbabwe	7799	7362	6375
Tanzania	12395	13000	16250

Source: FAO data.

The China-Tanzania agricultural cooperation has been long-standing and extensive, featuring technology transfer through aid and investment. Its history can be traced back to 1960s, covering multiple projects such as financing state farms and building training centres. In 1964, the Chinese government dispatched agricultural experts to help Tanzania build the Ruvu farm and the Upenja farm in Zanzibar. In 1970, China started to provide foreign assistance to Tanzania in the form of complete projects, among which the Mbarali Rice Farm was the largest foreign aid agricultural project at the time and achieved remarkable results. Until now, rice at Mbarali Farm has become one of the most well-known brands in Tanzania. In addition to providing technology, China also shared its experience in agricultural production systems with Tanzania. In the 1970s, China dispatched agricultural experts to directly participate in the construction of the Ujama village in Tanzania, instructing villagers to carry out agricultural planting activities and helping them train and use livestock to expand the cultivation area. China also built Mahonda State Sugar Cane Farm and Processing Factory in Zanzibar in 1974 but it was shut down due to some operational problems. During this period, China also built at least three Agricultural Extension and Farmer Training Stations in Morogoro, Dodoma and Mbeya regions.

Since the 1980s, China's foreign aid system has been reformed, but agricultural aid to Tanzania has continued. It has begun to reduce aid to small-scale projects and support for small farmers, helping the original farms to resume production; followed by investment in commercial activities and agriculture in the 1990s, shifting the efforts from aid to investment projects and emphasizing more sustainability and the commercial interests of the projects. In 2006, after the Beijing Summit of the Forum on China-Africa Cooperation, China dispatched senior agricultural experts to Tanzania to provide policy and planning advice, theoretical guidance and specific technical training in areas such as agriculture, agronomy and agricultural policy analysis; and China's aid to Tanzania's agricultural production sector has extended from farming, to animal husbandry, irrigation, sanitary and phytosanitary measures, food safety and disease prevention. In 2009, China increased its cooperation in food production, agricultural infrastructure, technology transfer, aquaculture and processing, storage and transportation of agricultural products.



In October 2009, the agricultural technology demonstration center (ATDC) was built through grant assistance to carry out trials, demonstrations and technical training of agricultural technology in Tanzania.

Since the turn of the century, private enterprises have gradually become involved in China's agricultural engagement in Tanzania, mainly being involved in the processing of sunflower seeds, cashew nuts, and cotton. Currently, Tanzania is promoting the development of industrialization according to its Second Five-Year Development Plan (2015/2016-2020). Agricultural processing has become an important field in terms of attracting foreign investment.

3.5 Profiles of the selected cases in Agriculture Sector

3.5.1 *Aid Project: Agricultural Technology Demonstration Centre*

In November 2006, at the Beijing Summit of the Forum on China-Africa Cooperation, China promised to take eight measures to support Africa, one of which was to construct a "distinctive agricultural technology demonstration centre" in 14 African countries. Tanzanian government was one of the 14 African governments to make the request to Chinese government to host the Centre. The mission of the Centre was to strengthen Tanzania's agricultural production capacity and increase its crop yields through introducing China's agricultural technology to Tanzania.

The Centre is located in the main agricultural production area in Morogoro. The site is 225 km from Dar es Salaam, the capital of Tanzania, and is easily accessible by road. The ATDC covers a total area of 62 hectares, comprising 12 hectares of core demonstration area and 50 hectares of production exhibition area¹⁸. The core demonstration area is composed of three parts: the office and training area; the test and exhibition area; and the production and demonstration area, including the experts' residential area, offices, conference rooms, dining room, and trainees' dormitory. The ATDC has three main functions: testing and research; technical training; and demonstration, including field crop testing, tissue culture technology training, breeding demonstration, processing demonstration and agricultural machinery display.

3.5.2 *Private Investment Project: Sunshine Group*

As a private investor, Sunshine Group initiated its investment plan in Tanzania in 2011 and its Tanzanian Branch was officially established in 2012. From 2013 to 2014, Sunshine Group (Tanzania Branch) was very active, including the establishment of Sunshine Industrial Ltd in 2013. From 2015 to 2016, Sunshine Group began to make good use of its advantages in terms of business innovation and transfer, and agricultural processing, especially cashew nut processing and oil sunflower processing which became an important part of its business. After three years, Sunshine Group had grown into a corporation providing investment

18 Some of the area is for vegetable growing tests and demonstrations. The Tanzania government once promised to construction supporting water conservation facilities but has not launched the work, so not all the area outside the yard of the center is well used.

and extensive business activities, covering mining, exploration, smelting, processing, sales and exporting of bulk agricultural and side-line products, high-tech business card printing, building materials and equipment manufacturing, warehousing and logistics services.

From a geographical point of view, Sunshine Group's business covers all provinces and counties in Tanzania. So far, its total investment in Tanzania exceeds US\$100 million, and it has nearly 2000 employees. Sunshine Group plans to create an agricultural product processing and clean energy recycling industry chain with Dodoma as the main market, with the aim of growing into a demonstration corporation for sustainable development in Tanzania.

3.6 Evaluation results of the two cases

3.6.1 *The China-Tanzania Agricultural Technology Demonstration Centre*

ATDC is an aid project in the form of complete project sponsored by grant assistance, similar to the BOT (build, operate, transfer). After learning the pronouncement of the Chinese government at FOCAC Beijing Summit, the Tanzanian government made a request to the Chinese embassy in Tanzania about the establishment of the ATDC project in Tanzania. After receiving the request, Chinese government released the call for bidding for this project to Chinese enterprises. Proposed by the Chongqing municipal government and approved by the Ministry of Commerce of China, the agricultural technology demonstration centre in Tanzania was finally contracted to Chongqing Zhongyi Seed Industry Ltd., which is affiliated to the Chongqing Academy of Agricultural Sciences, and constructed by Chongqing Sino-Tanzania Agricultural Development Co., Ltd. After being approved by the Ministry of Commerce in 2007, the project was launched on October 16, 2009. The main project passed the interim acceptance of the Ministry of Commerce in May 2010, passed the final acceptance of the Ministry of Commerce in October of the same year, and passed the final acceptance of the Tanzanian Department of Agriculture in November of the same year. In December 2010, the contracting company began to dispatch technical experts to the demonstration centre for testing, demonstration and training work.

In March 2012, 11 agricultural technology experts were dispatched to the centre, including three rice experts, three corn experts, two vegetable experts, two experts in tissue culture and one expert in chicken breeding. In April 2011, a formal transfer and technological cooperation ceremony was held, and the project was officially transferred to the Tanzanian government and entered the stage of technical cooperation. After the technical cooperation stage, in May 2015 the project entered the stage of withdrawal (business operation) when Chinese government stopped the direct financial support to the project. The operator of the project had to find its own way to be self-sustained.

One of tasks of the Centre is to strengthen agricultural production capacity. Most Tanzanian rural households still use a traditional mode of production, so the crop yield was relatively low: the average rice yield per hectare was only 2 tons per year. After adopting Chinese planting technology, however, the rice yield per



hectare increased to more than 6 tons. In July 2016, the rice yield of a 4.8-mu field in the demonstration centre was 660 kg / mu (10 tons / hectare). In practice, if the Tanzanian farmers use Chinese rice varieties and adopt Chinese planting technology, the output will reach 9-12 tons / hectare. An employee of the ATDC said, "if the water conservation facilities are improved, the rice planting area in Tanzania will increase to one million hectares and the annual output will reach 6 million tons. According to this figure, Tanzania will become an exporter of rice and the African granary."

During the technical cooperation stage, multi-disciplinary joint experiments, talent training and Chinese advanced technology demonstration were carried out and disseminated under the aegis of the Ministry of Agriculture and scientific research institutions in Tanzania to solve the technical bottleneck of increasing grain production. As Mr. Chen, the former director of the Centre put it; "We did a good job in improving the level of agricultural production, guiding farmers to increase production and income. We also did a good job of demonstrating models and cultivating talents for modern agricultural development, which is highly recognized by the Tanzanian government and people. From the technical cooperation to date, more than 280 new varieties have been tested, 17 new varieties of crops that can be promoted locally have been selected, and 7 varieties of banana virus-free seedlings have been cultivated. The Centre has maintained more than 10,000 laying hens; the number of trained technicians has reached 2,750. We have also trained and mentored more than 3,050 farmers and carried out more than 80 international exchanges. Through the integration of local culture, various types of training were carried out, and rice high-yield cultivation techniques were demonstrated and promoted in six provinces, local planting techniques were improved, and demonstration farmers increased their production and income. At the same time, a number of Chinese-funded enterprises have engaged in agricultural development in Tanzania through the platform of the Centre."

Today, the centre plays an active role as a platform for Chinese agricultural enterprises to "go global", attracting more Chinese enterprises to invest in Tanzanian agriculture. The company itself also established "China Agricultural Products Tanzania Exhibition Centre" to help Chinese enterprises build African markets and establish an integrated service platform for Tanzanian agricultural development.

3.6.2 *The Sunshine Group*

The Tanzanian economy has long been dominated by agriculture, and industrial production technology is at a low ebb. So many foods and daily consumer goods need to be imported. For example, Tanzania has abundant sunflower seeds and cashew nuts, but the sunflower oil sold in the Tanzanian market is all imported. For the production of cashew nuts, all raw materials are exported. Due to a lack of funds and technology, cashew nuts are, in the form of raw materials, mainly exported to India and Myanmar for processing.

In only two years, the agricultural processing business of Sunshine Group witnessed rapid development. Its sunflower oil accounts for half of the local supermarket sales and 20% of the wholesale market, and Sunshine Group has set up an outstanding sales team composed of more than 50 people, one of the company's biggest assets.

At present, through the establishment of the Sunshine Dodoma Sunflower Oil Processing Plant and Lynndie Cashew Processing Factory, since August 2015, the Tanzanian people have been able to buy and eat locally made high-quality sunflower oil. Indeed, the annual production capacity of sunflower seeds (oil refining) reached 50,000 tons. Since 2013, the cashew nuts factory has achieved an annual output of 500 tons and an annual output value of more than US\$3 million. All of these developments have resulted from Sunshine Group's abundant capital and sophisticated technologies. By using advanced fully automatic pressing equipment introduced from China and Tanzania's only refining equipment for dephosphorization, deacidification, decolorisation, deodorisation, dehydration and dewaxing, Sunshine Group has a designed daily processing capacity of 300 tons of oil sunflower, an annual cold pressing of 30,000 tons of finished sunflower oil in line with the most popular international concept, and an annual output of 60,000 tons of seedcake. Such technology has, on the one hand, strengthened the export of China's advanced capacity and, combined with the rich natural resources in Tanzania, created benefits for both sides and promoted the development of the Fast-Moving Consumer Goods (FMCG) industry. The general manager of Sunshine Group said: "we have long-term planning for 10-20 years in Tanzania. Through training and cooperation provided, we will leave Tanzania with sophisticated technologies and equipment."

At the same time, the development of the processing and manufacturing industry has promoted the planting of cash crops and research and development of high-yield technology. In a local newspaper in 2016, the General Manager of Sunshine Group said: "Our company purchases more than 30 tons of palm oil and legumes for edible oil production every day, but it still cannot meet the production needs local farmers engaged in vegetable oil crop growing should seize the opportunity and plant more such plants to increase their income", he encourages. The rising business interest led Sunshine Group to demand more raw materials—sunflower seeds from local farmers. At the same time, the company also encouraged the procurement of locally produced sunflower oil rather than imported products. Moreover, the company also sent out a signal to the relevant domestic departments: "The oil yield rate of local oil sunflower in Tanzania is 10% lower than that of China, and the yield per mu in China is twice that in Tanzania, which is the bottleneck for local farmers and sunflower oil enterprises to increase income. We hope that the Chinese expert group will give more guidance and help to the local farmers and introduce domestic high-quality oil sunflower seeds to win good reputation and strong support in the process of boosting local economic development, which will significantly promote further cooperation between China and Tanzania." Through the processing and manufacturing industry, Sunshine Group has found a local need for agricultural technology, which has become a new priority of China-Tanzania cooperation in the agricultural industry. Work in this regard is timely, effective and sensitive to the market demand.

The Sunshine Industrial attaches great importance to training, including soft skills training and hard skills training. English is the working language for Tanzanian workers, but it is also important that local workers learn basic Chinese and that Chinese workers learn some Swahili to enhance mutual communication and understanding. In addition, unlike many other companies, Sunshine Industrial provides professional training for all new employees in order to ensure proper compliance of the rules and regulations of the



company. Sunshine Industrial pays significant attention to the construction of corporate culture. According to the Chinese Manager, “the company is not profitable yet. After we obtain some profit, we’ll gradually hold trainings and construct our company’s culture. We’ll work together to solve the employees’ family difficulties and technical problems. Our company will become an industrial demonstration point.”

In addition to language and value identity, another important service provided by Sunshine Industrial is technical training. According to a Chinese technical expert of Dodoma Sunflower Oil Processing Plant, the machines had to be adjusted before the installation and operation of the sunflower oil mill in January 2015, but he found there were few qualified electricians in the local area. He said, “We hired 8-9 people at the beginning, but only six of them were proven to be qualified. We solved the simplest problems first, starting from the circuit diagram drawing. They had just learned the relevant theories and never seen components of electrical appliances. In addition, the Chinese electronic products are constantly updated. After discussion, we decided to hold additional trainings so that they can go back home after work. Later, in the production stage after the machinery ran properly, we taught them skills in various ways. For example, we set up groups of two members, one of the members pointed out the machinery failure, and the other was responsible for repair. After six months of such training from January to June 2015, all six people became backbone technicians of our team and even skilled technicians in the local area. Later, however, for seasonal reasons, they gradually left and got highly-paid jobs in other companies.”

Although adjustments were made through the development stages, the enterprise overall hired more than 2000 local workers, and the ratio of Chinese employees to Tanzanian employees was 1:40. As a locally registered brand, Sunshine Group has regarded itself as made in Tanzania, and used local HR consulting firms for its daily operations as much as possible. At the same time, through its sales team of 50 people across the country, the company also undertook the task of selling products via local small brands. This has allowed local people to know about the Sunshine brand and provides an impetus for the company’s long-term development. At the same time, this development is conducive to the development of local brands, fully reflecting the win-win situation often realized by SSC.

In addition to increasing national revenue and promoting employment, Sunshine Group’s business of agricultural processing is a priority area of Tanzania’s industrialization strategy, in line with the country’s second five-year development plan. At the same time, through its local branch, Sunshine Group has vigorously promoted the establishment of local brands in Tanzania and has supported the new presidential initiatives of “manufacturing in Tanzania” and “buying local goods of Tanzania to enhance people’s confidence in local brands” as expressed in the media regularly, which has enhanced Tanzanian people’s confidence in local brands and products to a large extent. This trend is conducive to national construction. In the case of infrastructure construction, the library project and its supporting technical personnel training programme have promoted the implementation of the country’s second five-year development plan. Specifically, this has entailed the training of personnel needed for industrialization and the infrastructure construction.

3.7 Conclusions

China's engagement with Tanzania has transcended traditional hard facilities such as infrastructure construction. The "Soft" cooperation projects like technology transfer and experience-sharing are also important. From a political perspective, China's SSC is more driven by the demand of partner countries and can better feed into their national policies and strategies. From an economic perspective, China's SSC is more efficient as it brings work ethics of provider countries to the projects and emphasizes training and capacity-building of the local workers. A key feature of SSC projects is that a large proportion of material procurements are from provider countries, especially aid projects. But this situation is changing as partner countries are starting to dominate the process of the mutual interaction in aid and investment projects. From social and environmental perspectives, the impact of SSC on local employment and poverty reduction is obvious and the local regulation on foreign projects arouses the awareness of SSC projects on environmental sustainability. Last but not least, China's SSC emphasizes mutual learning and experience sharing.

All in all, for the past 60 years, SSC has evolved from "political solidarity" among southern countries to a comprehensive cooperation in the form of trade, investment and development cooperation. Traditional principles such as mutual respect, equality and non-interference make SSC enjoy a more horizontal relationship that is more sustainable and welcomed by disadvantaged countries. It has also proved to be a more feasible and efficient framework of cooperation compared with traditional donor-recipient paradigms. In the future, the unique features of SSC should be sustained and diversification of evaluation framework should be encouraged, as each southern country is different from the others with its own historical, cultural, developmental background. The purpose of SSC evaluation is not to make international comparison but to enhance mutual learning and experience-sharing.

4. CASE STUDY ON INDIA AND MOZAMBIQUE: SOLAR TECHNOLOGY

4.1. Assessment Framework

The case study being presented in this section evidences the structure of assessment framework vis-à-vis India's perspective on SSC. Needless to say, it is in its evolutionary phase. Efforts are being made to evolve such a framework only after long deliberations among policy-makers and practitioners, distinguishing evaluation from assessment. Initial exercises have been initiated to assess some of India's development partnership experiences in the light of the assessment framework that is gradually evolving and becoming implemented through the process. From a conceptual perspective, the assessment framework is being aligned with the key principles of SSC, components of development compact i.e. SSC modalities, processes during implementation & achieved results. The key dimensions and indicators



against which the case study will be qualitatively assessed are as follows:¹⁹

Table 7 – Assessment Framework for Mozambique Case Study

Dimension	Indicators
Principles of SSC	National sovereignty and demand-driven National ownership and Independence Equality Non-conditionality & Non-Interference in domestic affairs Mutual benefit
Development Compact	Transfer of Technology Development Finance Capacity building Trade & investment Grant
Process	Stakeholders' participation in project design Timeliness - extent of designed timelines achieved Capacity building during the implementation of the project
Results	Output Outcome Impact

There are four dimensions and sixteen indicators against which Indian case study will be qualitatively assessed. Each of these is explained below.

FIRST DIMENSION – PRINCIPLES OF SSC

The dimension focuses on national sovereignty and is demand-driven (indicator 1) due to the expectation that SSC is mainly based on the demand-driven approach and responds to the development priorities of the partner countries. It is multi-faceted and strongly informed by the notion of developing the South through equitable access to trade, investment and technology within an institutional framework. SSC aims to discover and use complementarities in production, consumption, trade, investment, technology, and development cooperation. Therefore, national ownership and independence (indicator 2) helps in creating an environment where the countries are able to address their own development issues, thereby enhancing their capacities. It also helps the development partners by providing them with opportunities to collectively work for attaining the common goal of sustainable development. In the framework of SSC, there is no distinction between the donor and the recipient countries. All the countries engaged have something to offer and benefit from each other. They participate as partners who are involved in sharing the development burden of each other, resulting in a horizontal cooperation or equality between the

¹⁹ The UN General Assembly Resolution 64/222 adopted on 21 December 2009 as the Nairobi outcome document of the High-level United Nations Conference on South-South Cooperation

partners (indicator 3). Therefore, the process of SSC gives equal chances to them to participate and make their voices heard in global fora. One of the main reasons, for the SSC gaining more attention is its nature of non-interference & non-conditionality (indicator 4) for providing assistance. This approach does not hinder the development priorities and policies of the partner countries in any manner and non-interference in internal affairs. By not imposing any conditionality, SSC gives the power of independent decision-making to the partner countries, keeping in mind their aspirations and special values. Furthermore, in the case of SSC, the fundamental idea is to assist each other for a win-win partnership. The concept of mutually beneficial partnership based on the principle of mutual respect (indicator 5) is important for the long-term sustainability of the engagement. Finally, building a technology and knowledge base (indicator 6) is an important emerging area of engagement for the South. The similarity between them in stages of development and the context of adaptation makes diffusion and adaption a relatively successful exercise

SECOND DIMENSION – DEVELOPMENT COMPACT

The larger framework of Indian development assistance could be best understood through the concept of 'Development Compact'. The new development compact is between actors of the South, rather than the North-South exchange that characterized earlier arrangements.

Building a technology and knowledge base is an important emerging area of engagement for the South. The similarity between them in stages of development and context of adaptation makes diffusion and adaption a relatively successful exercise. Southern partners have engaged in transfer of technology (indicator 6) for several years, largely as a means of achieving self-reliance. As an instrument for supporting partner countries, development finance (indicator 7) has existed since the late 1940s and has found general acceptance in the South. Goods, services (including consultancy services), machinery and equipment are exported to partner countries under an agreement generally supported by the respective Exim banks. Furthermore, capacity- building (indicator 8) is the 1st pillar of development compact in which almost all participants in SSC have involved themselves to some extent as providers of, or partners in training programmes. There are various modalities within this category. Most countries have relied on dedicated programmes in different areas of work in their own territories, while inviting partners to nominate participants for courses they can offer. In several cases, these programmes have continued for years. Some trading arrangements between Southern economies have proved far more rewarding than those with the North. Their advantage lies in the circumstance that South-South trade differs in the sense that much of it is found to be investment-promotional trade (indicator 9), with implications for technology transfer and capacity-building. Grants (indicator 10) are an established practice at both bilateral and multilateral levels. Initially the amounts were quite small but have increased over time. At some point, grants were extended totally in kind, but provider countries have now arrived at a point where even cash is being extended. The engagement of emerging economies with other Southern countries has provided a major pull factor for wider engagement across these five elements, which emphasizes the comprehensive support for economic development



THIRD DIMENSION- PROCESS

It has three indicators. Stakeholder's participation i.e. the extent of participation of the stakeholders during the designing of the project (indicator 11). Timeliness i.e. extent of designated timelines achieved (indicator 12). The extent of capacity- building ensured during the implementation of the project (indicator 13).

FOURTH DIMENSION –RESULTS

It also has three indicators. The extent of output i.e. products, capital goods and services which result from the SSC activity (indicator 14); the extent of the outcome i.e. short or medium term effects of the SSC activity achieved (indicator 15); and the positive or negative long term effect due to a SSC activity (indicator 16)

4.2 India – Mozambique Development Partnership

Since 1979 India has supported Mozambique in strengthening its railway infrastructure when 49 Indian railway personnel were deputed to work with their Mozambique counterparts (MEA 1979, p. 22). The twin areas of involvement that have since emerged are – once again – capacity-building and infrastructural improvement. The pace of the partnership greatly expanded in 2003 when India signed a bilateral inter-governmental Science & Technology agreement with Mozambique under which India extended US\$ 200,000 annually for five years for specific projects and also provided a US\$ 20 million LoC from the US\$ 200 million Special Africa Fund (MEA 2004, p. 62).

During the 1970s and 1980s, programmes were undertaken to build capacity across various economic sectors and in the present century several new areas were added to that portfolio. Through its Ministry of Labour, India provided support to employment and vocational training, and the management of social security and labour statistics. Under the ITEC/SCAAP programme, total training slots for Mozambique have risen from 2 to 41 over the period 1996-2012; in addition, 15 scholarships are offered under ICCR's General Cultural Scholarship Scheme (GCSS) every year, as are 12 Ayush scholarships for the study of Indian traditional medicine. Mozambique also received two slots under the IORA scholarship scheme for postgraduate studies in India (excluding medicine, dentistry and nursing) for the academic session 2013-2014. As a result of decisions at the IAFS, the Indian government also offers training slots for short-term capacity-building courses, while eight new scholarships are offered under the C V Raman Fellowship programme.

One noteworthy aspect of India's engagement is its generous grant provisions for training programmes. India has made some grants to assist in Mozambique's development efforts; for example, in 2008 Delhi gave US\$ 1 million to set up a vocational training centre in Machava²⁰ on the outskirts of Maputo and the following year provided US\$ 1 million for smallholder cotton value addition and establishing a knowledge transfer centre in Chokwe in Gaza province, about 250 km from Maputo. In 2010 it supplied US\$ 5 million to set up community competencies development centres across four villages in Mozambique.

20 Personal communication with High Commission of India, Maputo.

4.3 Profiles of the selected cases in India – Mozambique Case Study

THE SOLAR TECHNOLOGY SECTOR PROJECT THROUGH LINES OF CREDIT

Mozambique is a tropical country in the southern Africa region that has a high potential for solar energy resources. However, the energy needs of Mozambique have traditionally been satisfied by fuel wood and fossil fuels. At the time of project proposal, only a few solar thermal systems were in operation, largely installed in well-off households. FUNAE undertook a pilot project to install the first system at Mochungue Rural Hospital located in Mochungue district, and subsequently, with the help of the World Bank, installed the solar thermal systems in Namaacha (8 units), Chimoio (50 units), Lichinga (30 units), Mueda (20 units), Ulongue (16 units) and Gurue (22 units) (Arthur, Cumbe, Nhumaio & Saide 2015). However, it was also noticed that there was no local producer/ manufacturers of solar thermal system and these systems were imported. The constraints were identified as following (Arthur, Cumbe, Nhumaio & Saide 2015):

1. Low capacity for local manufacturing
2. Financial constrains such as initial cost, the financial, technological and performance risks, and
3. The scarcity of investment capital.

Also, Photovoltaic (PV) technology was rapidly advancing and was increasingly regarded as a viable, innovative source of renewable energy. Mozambique has huge and virtually unexploited solar potential. Its annual incident solar radiation, distributed evenly across the country, was about 1.49 million GWh – thousands of times more than the country's energy demand in 2009.

In this context; a request was made by the Government of Mozambique to the Government of India to set up a Solar Module Manufacturing Plant through lines of credit. The broad guidelines and procedures for the Govt. of India in supporting lines of credit are as follows²¹

The Government of India, in 2003-04, formulated the India Development Initiative (IDI), now known as Indian Development and Economic Assistance Scheme (IDEAS) – with the objective of sharing India's development experience through

- (a) Capacity-building and skills transfer,
- (b) Trade, and
- (c) Infrastructure development,

by extending concessional Lines of Credit (LOCs) routed through Exim Bank, to developing partner

²¹ See, <https://www.eximbankindia.in/assets/pdf/loc/loc-english.pdf>

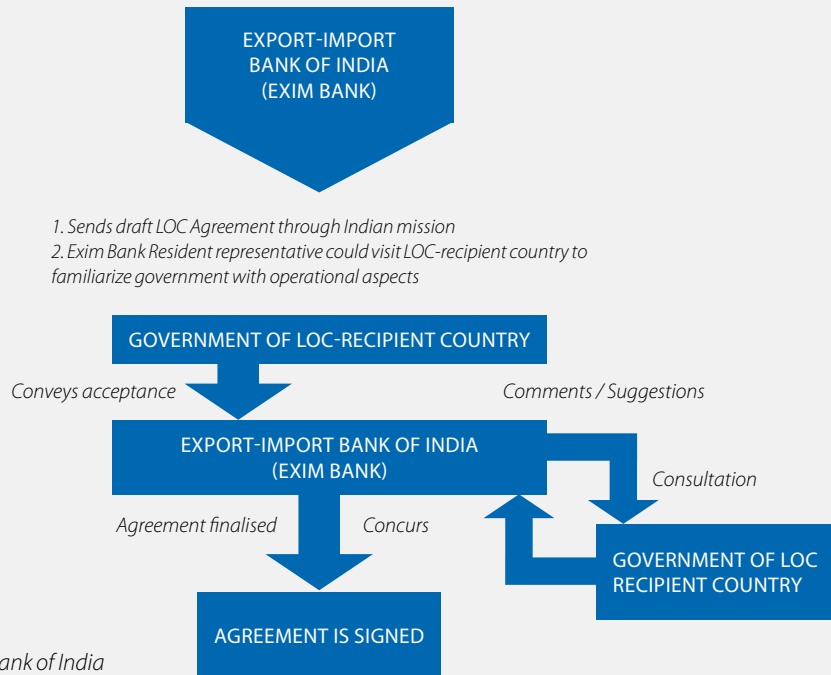


countries, towards creating socio-economic benefits in the partner country. Recently, the Ministry of External Affairs (MEA) has set up the Development Partnership Administration (DPA) Division to deal with India's development assistance programmes abroad, including LOCs routed through Exim Bank. These LOCs are now increasingly being extended to partner countries for large-scale and complex projects (project exports from India).

Bilateral or multilateral assistance, through Lines of Credit, typically follows a sequence of standard procedures, viz.

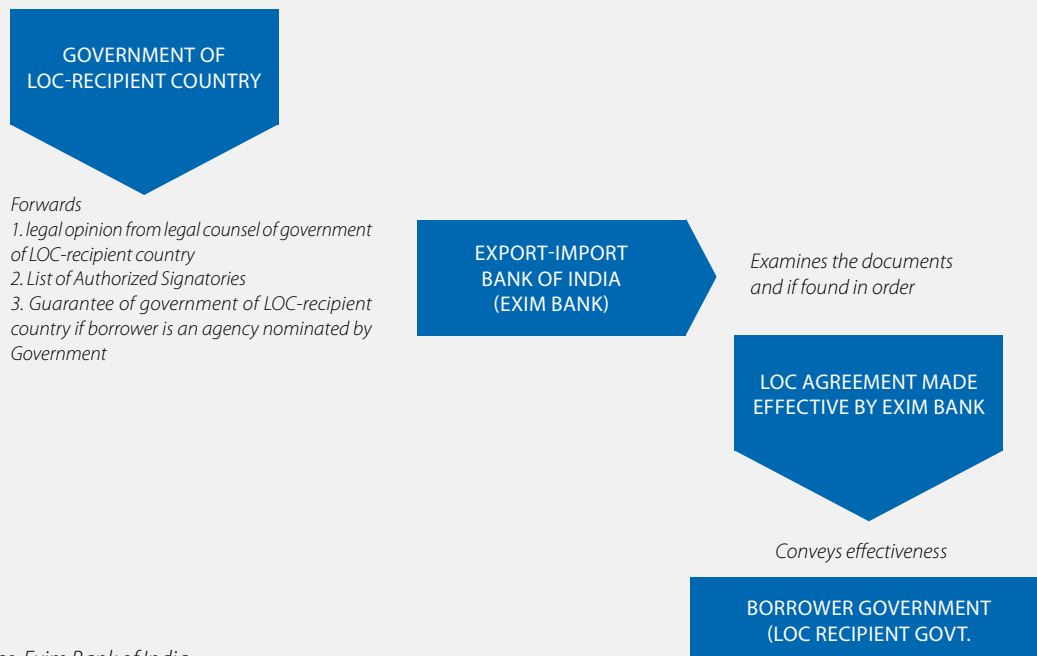
- (a) Project identification and preparation of Detailed Project Report
- (b) Review and approval of the project proposal,
- (c) Offer of the loan, acceptance and execution of loan agreement,
- (d) Preparation of the Detailed Project Report (DPR), prequalification of Indian companies, selection of the Indian contractor through bidding process by the LOC Recipient and coverage of contract under the LOC,
- (e) Project implementation, monitoring and supervision,
- (f) Socio-economic impact assessment after project completion. The lessons learnt from the impact assessment / evaluation act as a feedback to the preparation, review and implementation of future projects. This process forms the 'project cycle.'

Figure 3 Signing of the LOC



Source: Exim Bank of India

Figure 4 Operationalization of the LOC



Source: Exim Bank of India

4.4 Results against assessment framework

The result against assessment framework was based on interviews with government officials and project managers as well as desk review of secondary documents and public information.

Table 8 Key Findings

Dimensions	Assessment criteria	Assessment Findings
SSC Principles	National sovereignty and demand driven	Maintained
	National ownership and independence	Ensured
	Equality	Ensured
	Non-conditionality & non-interference in domestic affairs	Followed
	Mutual benefit	Realized
Development compact	Transfer of Technology	Yes
	Development Finance	Yes
	Capacity Building	Yes
	Trade & Investment	Yes
	Grants	No
Processes	Stakeholders' participation in project design	Yes
	Timeliness - extent of designed timelines achieved	Yes
	Capacity building during the implementation of the project	Yes
Results	Output	Yes – technology transferred
	Outcome	Yes – independent certification as a centre of excellence
	Impact	Reduction of import and increased export opportunity Use of solar power to charge irrigation pumps jeopardizing the ground water level



DIMENSION 1 – PRINCIPLES OF SSC

INDICATOR 1 - NATIONAL SOVEREIGNTY AND DEMAND-DRIVEN:

The Govt. of India entered into partnership with the core belief of SSC that the partner countries themselves initiate, organize and manage SSC activities and the Govt. of India shall respond to the demand-driven process whereby Mozambique determined its own development priorities. The Govt. of India responded to this demand by extending a line of credit for a Turnkey project for setting up a Solar Photo Voltaic Modules Manufacturing Plant of 5 MWp/year capacity

INDICATOR 2 NATIONAL OWNERSHIP AND INDEPENDENCE -

With the international certification (TÜV) integration, the photovoltaic modules produced in this plant meet the quality requirements, allowing its commercialisation in the international market, besides contributing to the expansion of electricity in the country through alternative and clean sources. The factory is expected to greatly reduce the cost of importing solar panels, some US\$ 5 million -6 million annually.²² The domestic requirement, as well as expansion in international markets, was going to be met by this complete independence and national ownership and autonomy of commercialisation.

INDICATOR 3 EQUALITY

The Government of Mozambique provided Land whereas development finance, capacity building and technology transfer was India's contribution, emphasizing a spirit of equity in participation.

INDICATOR 4 NON-CONDITIONALITY & NON-INTERFERENCE IN DOMESTIC AFFAIRS

The procurement guideline to select Indian companies totally rested with the Mozambique authorities. Indian companies have had to meet strict requirements to qualify for the contract. The conditions included having been in the business of power development for at least 10 years. The companies must also have had a minimum net asset value of US\$ 30 million and an annual turnover of US\$ 100 million over the past three years. They should also have had a US\$ 100 million credit line available from commercial banks and must have been working in Africa for at least five years, three of which must be in Mozambique. The non-interference in public procurement demonstrated the principle of non-interference in domestic affairs.

INDICATOR 5 MUTUAL RESPECT & MUTUAL BENEFIT

The project was targeted to contribute to Mozambique's commercialization effort to export solar panels in international market. The project was also to substantially reduce the solar equipment imports, most of which have been sourced from India. This demonstrates the extent of mutual benefit derived out of mutual respect in this engagement.

22 Personal communication with Ms. Miquelina Menezes on July 25th, 2013.

DIMENSION 2 COMPONENTS OF DEVELOPMENT FINANCE

INDICATOR 6 TECHNOLOGY TRANSFER

For FUNAE, a Founding member of ALER and the entity responsible for rural electrification in Mozambique, the modules produced in the first Mozambique Solar Panel Factory following the financing agreement between the Government of Mozambique and the Government of India, became the cornerstone of its commercialization effort to export solar panels in international markets.

INDICATOR 7 DEVELOPMENT FINANCE

A US\$ 13 billion LOC to set up a solar photovoltaic manufacturing plant was used as development finance modality. The criteria that are normally applied to such a line of credits are the creditworthiness of the partner country; whether or not it could repay in hard currency; and the likelihood that the project concerned will generate sufficient resources for repayment. India also explored the project's domestic supply capacity and its ability to create future trade for mutual interest.

INDICATOR 8 CAPACITY-BUILDING

Capacity-building arrangements were made at the request of the partner country, to meet specific projects or tasks. This modality is mainly used for skill-intensive areas, especially when technical assistance in installing plant or machinery is involved, and the provision was made in the project.

INDICATOR 9 TRADE AND INVESTMENT:

The low capacity for local manufacturing, financial constraints like initial cost, the financial, technological and performance risks, as well as the scarcity of investment capital were the reasons that there was no local producer/ manufacturer of solar thermal system in Mozambique and these systems were imported. Building a technology and knowledge base has always been an important emerging area of engagement for the South, and it is in this context that the initiative was taken. India as a Southern partner has been engaged in these exchanges for several years, largely as a means of achieving self-reliance.

The new factory was expected to manufacture flat-plate PV panels and was expected to be expanded in future to manufacture concentrator PV (CPV) panels. The project was to substantially reduce solar equipment imports by the Southern African country, most of which have been sourced from India. Mozambique spends an average of US\$ 5 million to US\$ 6 million every year on importing panels for the nascent solar energy sector and is expected to make savings on this import (Oirere 2012).

INDICATOR 10 GRANTS:

No Grant component was observed during the implementation of this initiative.



DIMENSION 3 PROCESSES

INDICATOR 11 STAKEHOLDERS' PARTICIPATION IN PROJECT DESIGN

It was observed that Electronics Corporation of India Ltd, a government entity that falls under India's Department of Atomic Energy, was technical partner for the project. The contract was signed in September 2011 with the Mozambican government National Energy Fund (Funae) under a US\$ 13 million LoC, which became effective in April 2012.²³

INDICATOR 12 TIMELINESS

The solar panel factory is exceptional in several ways, not least because it was finished one month ahead of its October 2013 deadline. Our extensive research did not reveal a single part of the project that had missed a deadline, making it a silver lining in terms of scheduling. Inaugurating the factory –sited within Maputo's Beluluane Industrial Park–in November 2013, Mozambique's President Armando Guebuza pointed out that timely completion of the project would provide a major boost to a solar panel programme.

INDICATOR 13 CAPACITY-BUILDING DURING THE IMPLEMENTATION OF THE PROJECT

The success of the project has also demonstrated a level of technical excellence to which several Indian public sector enterprises have contributed. Central Electronics Limited (CEL), which played a key role in the programme, has developed projects of similar magnitude in countries such as Syria and Sudan. In this case, CEL not only provided production technology but also trained 17 Mozambican scientists nominated by Funae, to run the plant, a long-term gain for Mozambique in terms of skills acquisition. The 'supervision, monitoring and validation of the technical components of the training actions for the production, maintenance and quality control technicians of the plant was carried out at CELO in Sahibabad, India'²⁴. Two technicians from the Solar and Wind Systems Department participated at different times in training courses in India on the development of the renewable sector. The first one, Felisberto Uissitomo, took part in the training organized by the Ministry of Renewable Energies of that country, where topics related to solar photovoltaic and solar thermal systems, as well as biomass, were discussed. Another FUNAE technician was Hermínio Massingue who participated in the training on Wind Turbine Technology and Application in order to obtain knowledge about the application of wind turbine projects' (FUNAE 2012).

DIMENSION 4 RESULTS

INDICATOR 14 OUTPUT

The criteria was used to assess the extent of output i.e. products, capital goods and services that resulted from the SSC activity. The construction of the factory created some 780 jobs and when fully operational the unit was expected to employ 70 people. Furthermore, in 2016, the factory was planned to double

²³ Based on concessional terms with repayment to be spread over 20 years with a five-year grace period.

²⁴ See, L2M Project at <http://l2m.com.pt/?projetos-solar-panel-factory>

production and expected to produce 10,000 solar panels of different sizes (Embassy of the Federal Republic of Germany 2016). The solar panels produced at the plant are used in several rural electricity projects for villages, schools and hospitals in Mozambique while additional output is expected to be exported to other African countries. Overall, the immediate output of the technology transfer was achieved.

INDICATOR 15 OUTCOME

The indicator was used to assess the extent of the outcome i.e. short- or medium-term effects of the SSC activity achieved. The issue at the end of the project delivery was how far the plant would have operated in the face of impending global competition, which may challenge its very survival. The Singapore-based company Fosera Lighting Pte was already in the market with its own production line in Mozambique while at the global level dumping solar panels is still a major issue. This did not, however, diminish Mozambique's impressive accomplishment in acquiring the technical capacity for producing previously imported PV instruments. The 'Solar Panel Factory, launched on November 2013, has received the TÜV International Certification issued by TÜV Rheinland, a German institution, global market leader in testing and certification of PV modules. This is a certification made according to the IEC (Independent Electrical Commission) 61215 (validating photovoltaic modules) and IEC 61730 (photovoltaic modules safety) standards. For FUNAE, a Founding member of ALER and the entity responsible for rural electrification in Mozambique, this international certification acknowledges the quality of the modules produced in the first of Mozambique's Solar Panel Factory following the financing agreement between the Government of Mozambique and the Government of India. With the international certification (TÜV) integration, the photovoltaic modules produced in this plant meet the quality requirements, allowing its commercialisation in the international market, besides contributing to the expansion of electricity in the country through alternative and clean sources' (ALER 2017).

INDICATOR 16 IMPACT

The indicator was used to assess the positive or negative long-term effect due to the SSC activity. The two aspects of impact could be observed. One, the reduction of import of solar equipment and increased export due to commercialisation in the international market is expected to take place. Second, the use of charge of irrigation pumps was observed to be jeopardising the ground water level.

4.5 Key points of the India – Mozambique Assessment Framework

The key points of India-Mozambique Assessment Framework are its three dimensions i.e. principles of SSC, process during the project implementation and assessing the benefits at the partners' end.

The case study demonstrates the interplay of various pillars of Development Compact in practice. Development Compact in a comprehensive form responded to the constraints of low local manufacturing capacity, financial constraints such as initial cost to take into account the financial, technological and performance risks, along with the scarcity of investment capital. The Indian Development and Economic



Assistance Scheme (IDEAS) extended concessional Lines of Credit (LoCs) routed through Exim Bank, with the objective of sharing India's development experience through capacity-building and skills transfer, trade, and infrastructure development. Although the project may be apparently viewed through the lens of 'Development Finance' (section 4.3.3), it equally could be seen from other pillars like Capacity- Building (section 4.3.1), Trade & Investment in terms of infrastructure improvement for trade facilitation (section 4.3.2), sharing of Technology with exemption from Intellectual Property Rights (IPR) (section 4.3.5).

As argued earlier, SSC does not consider achievement of pre-contracted results at the end of the activity. Consequently, evaluation is not a suitable exercise for finding out if the intervention contributed to the well-being of both of the partner countries engaged in the process. Given the interplay of different modalities at any point of time while the activities are ongoing, the supports may often be sequential, determined in the midst of the activities.

5. CASE STUDY ON SOUTH AFRICA AND THE DEMOCRATIC REPUBLIC OF THE CONGO: EVALUATING A SOUTH-SOUTH PARTNERSHIP FOR PEACE, GOVERNANCE AND DEVELOPMENT

5.1 Introduction: The concept and principles of the framework

This case study was implemented within the research agenda and framework of the NeST Africa chapter, which over the course of three years brought together a number of scholars from the Global South to develop a framework to assess the quality of SSC, based on the principles espoused in key political conferences of the South such as Bandung (1955), Buenos Aires (1978), Nairobi (2009), Bogota (2010) and Delhi (2103).

The technical working group tried to operationalize some of these Southern principles into performance indicators. Each indicator would be accompanied by guiding questions and suggestions for data collection methods and potential sources of information. The framework would rely on data collected and triangulated from interviews with a diversity of stakeholders from both 'provider' and 'recipient' countries, through documentary analysis. It would also use experiential observations from field-based research. The table of indicators was expected to be a flexible and adaptable tool that different countries and research teams could use as a reference for their own specific needs and national contexts.

The framework was designed for the evaluation of SSC initiatives at both the project and the country (aggregate of all SSC projects) level. It was more effectively used in the assessment of bilateral cooperation between two partner countries, typically a larger Southern provider (such as China or India) and a smaller Southern recipient (such as the Democratic Republic of the Congo or Burundi), but in some cases it was



CASE STUDY ON SOUTH AFRICA AND THE DEMOCRATIC REPUBLIC OF THE CONGO

also used to assess regional and international SSC initiatives (such as Brazil and India's SSC in education and skill development in Africa) (Vazquez & Lucey 2016).

The initial framework, developed through various expert group meetings in 2015, 2016 and 2017, sought to unpack and operationalize conceptual issues that assisted in the measurement and accounting of SSC. It provided a set of 20 indicators organized in 6 dimensions, to assess the quality of South-South partnerships (Besharati, Moilwa, Khunou & Garelli Rios 2015). These indicators were used to assess the South Africa-Democratic Republic of Congo partnership, the Turkey-Somalia partnership, Mexico-El Salvador, and a paper that looked at SSC in the education and skills development field.

The case study below was used to evaluate South Africa's cooperation with the Democratic Republic of the Congo,²⁵ which focused largely on governance and post-conflict reconstruction. Much of South Africa's activity in SSC focuses on peace and security as based on its own experience of peaceful transition and reconciliation. Although peace and security is not a traditional focus of SSC, it does characterise much of what South Africa has undertaken since 1994.

South Africa's cooperation with the Democratic Republic of the Congo has taken place through a number of mechanisms and the case study's analysis focused on the period from the early 2000s. The first of these mechanisms has been the cooperation carried out through the African Renaissance and International Cooperation Fund (ARF) mechanism, and specifically in the period 2005–2015. The ARF mechanism falls under the Department of International Relations and Cooperation (DIRCO). However, apart from DIRCO, a number of South African government line ministries were also directly involved in cooperation with the Democratic Republic of the Congo from the early 2000s. South Africa has also provided government subsidies to students from the Democratic Republic of the Congo. Cooperation with the Democratic Republic of the Congo has also been undertaken via trilateral co-operation.

Following the case study, the framework was reviewed and refined further. The updated framework is presented at the end of this paper.

5.2 Objectives of the evaluation framework

The case study was evaluated through an analytical framework developed by the Africa chapter of the Network of Southern Think Tanks (NeST).²⁶ The South Africa–Democratic Republic of the Congo development partnership was qualitatively assessed against that framework.

²⁵ This case study is an excerpt of a wider research titled 'South Africa & the Democratic Republic of the Congo: Evaluating South-South Partnership for Peace'.

²⁶ See, SAIIA, NeST, www.saiia.org.za/nest.



5.2.1 Evaluation Framework

The initial evaluation framework developed by a group of Southern scholars at workshops led by the NeST Africa chapter was based on 6 dimensions and 20 indicators. The case study was then qualitatively assessed against each of these indicators, which means how effective it was on the basis of indicators below. Each of these is explained below.

Table 9 NeST Africa indicators to assess quality of SSC

National Ownership Demand-driven co-operation Alignment to national priorities Non-conditionality/ respect for sovereignty	Accountability and transparency Data management & M&E (Monitoring and Evaluation) systems Publishing & open access to information Mutual accountability & joint reviews
Horizontality and equality Mutual benefit Shared decisions and resources Reciprocity, trust and international alliances	Inclusive participation Platforms for multi-stakeholder dialogue Active engagement in programme cycle Protection of people & environment
Self-reliance and sustainability Capacity-building Knowledge & technology transfer Untying of aid Use of local systems & resources	Development effectiveness Flexibility & adaptation to local context Time and cost efficiency Co-ordination & complementarity Policy coherence for development

FIRST DIMENSION

National ownership: This dimension focuses on the sustained leadership shown by the recipient country in setting priorities, directing policy and shaping co-operation processes. Such a dimension is based on the expectation that SSC needs to be demand-driven (indicator 1), involving projects that are based on requests from the recipient country and in which the recipient is not only a stakeholder but also in the driving seat of the development initiatives. SSC is thus expected to be aligned to national priorities (indicator 2) and be in line with the recipient country's stated results-based development strategy. The principle of national ownership incorporates the idea that SSC should be non-conditional in that it respects national sovereignty (indicator 3) and that projects agreed between both countries should be free of implied or tacit conditions (Besharati, Moilwa, Khunou & Garelli Rios 2015).

SECOND DIMENSION – HORIZONTALITY AND EQUALITY:

Based on the mutually beneficial nature of SSC, this dimension implies relationships that are more horizontal, viewing countries as equal partners rather than as donors and recipients. The understanding that SSC is for mutual benefit (indicator 4) is evidenced by SSC agreements that explicitly state the benefits and gains that will accrue to each partner in the context of these partnerships. Shared decision-making and shared resources (indicator 5) are also an important contributor to horizontality, and are evidenced by

good joint management apparatus, as well as the proportion of human and financial resources invested by each partner in SSC. The foundation of this dimension lies in ‘reciprocal trust’ (indicator 6), which is assessed in a proxy manner by the frequency and quality of communication between the two countries, the length of the bilateral partnership and collaboration in multilateral spaces.

THIRD DIMENSION - SELF-RELIANCE AND SUSTAINABILITY

This dimension refers to the principle that SSC should promote reduced external dependency through a steady increase in local capacity. There must be an exit strategy rather than unending aid to the recipient country. As such, capacity-building (indicator 7) forms an integral part of SSC and is evidenced both by efforts to build capacity and by noticeable changes as a result of such efforts. Part of this capacity-building consists of knowledge and technology transfers (indicator 8) in terms of tools and systems that are adopted by partner countries as a result of the SSC activities, as well as the strengthening of national capacities. Untying aid (indicator 9) and using local systems and resources (indicator 10) are central to the capacity development of the recipient country. In principle, Southern countries disapprove of tied aid; however, ‘mutual benefit’ implies an element of benefit for both sides, which may mean preferential access for one nation’s companies, for example (Besharati 2013a; Besharati, Moilwa, Khunou & Garelli Rios 2015).

FOURTH DIMENSION – ACCOUNTABILITY AND TRANSPARENCY

The principles of accountability and transparency²⁷ should also characterise the sharing of information on SSC initiatives. Good data management and M&E systems (indicator 11) are crucial to the realisation of this dimension, so that every phase of the project cycle can be reviewed and evaluated. Partners should use this information to inform decision-making and improve SSC. Publishing and providing open access to SSC information is central to the process (indicator 12); data should be compiled and made accessible to the public, and internal and external stakeholders. Mutual accountability and peer reviews (indicator 13) are also important, as partner countries need to jointly and regularly take stock of their activities and put in place mechanisms for reciprocal accountability (Besharati, Moilwa, Khunou & Garelli Rios 2015).

FIFTH DIMENSION - MULTI-STAKEHOLDER PARTICIPATION

This dimension stems from the Nairobi (2009) principle that SSC should be an exercise in broad-based participation (United Nations General Assembly 2009) rather than token engagement of non-state actors. This manifest itself in platforms for multi-stakeholder dialogues (indicator 14), which are rich in both the number and range of stakeholders, allowing for a consultative environment throughout all stages of the developmental co-operation process. Active engagement in the programme cycle (indicator 15) is operationalized with avenues for participation for non-state actors that are empowering and inclusive. Within the spirit of inclusive partnerships, the expectation is for SSC to protect people and the environment (indicator 16) through its consideration of labour, land and safety regulations in both of the SSC partner countries (Besharati, Moilwa, Khunou & Garelli Rios 2015).

SIXTH DIMENSION - DEVELOPMENT EFFECTIVENESS

27 Highlighted in the Nairobi Conference on South–South Cooperation Outcome Document (United Nations General Assembly 2009).



This dimension refers to the effectiveness of SSC in achieving development results. The first indicator is that SSC should be flexible and adaptable to the local context (indicator 17). Time and cost efficiency (indicator 18) in the delivery of development projects is one of the assumed SSC strengths (UNDESA 2010). Effective SSC requires co-ordination and complementarity among the provider's internal delivery agencies as well as with external development partners operating in the recipient country (indicator 19). Lastly, policy coherence for development (PCD) (indicator 20) is important, to ensure that the foreign and domestic policies of the SSC provider do not negatively affect other developing countries (Besharati, Moilwa, Khunou & Garelli Rios 2015).

5.3 Components of SSC monitoring and evaluation

While the quality of the cooperation can be assessed in terms of the dimensions set out above, quantification is more difficult. Like its counterparts in the global South, Pretoria defines its development co-operation quite broadly to include a wide set of activities that promote regional development. Under the traditional official development assistance (ODA) definition, some of South Africa's defence and security expenditures in the Democratic Republic of the Congo might have been excluded from the accounting of its developmental co-operation. However, from an African point of view, a peaceful Democratic Republic of the Congo is an essential precondition for a stable and prosperous Great Lakes region.

The activities of South Africa in the Democratic Republic of the Congo are both official and private, bilateral and plurilateral, financial and technical in nature, and involve a range of actors, such as the government, parastatals, civil society and business. The conceptual framework for SSC that was used for this study reflects two definitions offered by DIRCO, which has described SSC as,

Co-operation amongst countries and/or groupings in the global South aimed at addressing and developing a common stance on political, economic, social and human rights issues (all of which are often termed developmental issues, or issues which must be addressed in order to overcome the historical legacy of marginalisation faced by these countries. (DIRCO 2015).

And,

Co-operation between countries in the field of aid, trade, security and politics to promote economic and social well-being in developing countries. (DIRCO 2011).

Most of the partnership activities undertaken in the Democratic Republic of the Congo by South Africa, including peace and security, governance, logistics and capacity development activities were aimed at promoting long-term stability and development in the Democratic Republic of the Congo and the region. Therefore, these activities are generally acceptable, even in the current updated ODA definition of the DAC (Development Assistance Committee) (Anders 2016; OECD 2016).

However, categorising economic co-operation between South Africa and the Democratic Republic of the

Congo becomes more difficult. The billions of rands (GCIS 2013; SA News 2015) (often quoted by Pretoria) in investment and trade between South Africa and the Democratic Republic of the Congo (which certainly may have important developmental benefits) should rather be kept separate from reports on South Africa's development cooperation, except where South African public financing is involved. Although it would be desirable to have more information on development financing stemming from South Africa's private sector, it would be too difficult to capture all such flows, as this exercise is challenging even for OECD countries. The study thus quantified simply the 'official' South–South development co-operation,²⁸ that is what is initiated by public institutions.

The developmental loans provided by South African parastatals such as the Development Bank of Southern Africa (DBSA) and the Industrial Development Corporation (IDC) had previously not met the DAC standards of concessionality to be classified as ODA. These institutions, in fact, while offering more flexible terms than commercial banks, do not offer better rates and more 'grant element' than their competitors among the bigger international financial institutions, the European development banks (such as the European Investment Bank, Agence Française de Développement and the German KfW) or the Asian EXIM banks (India and China). Although the South African development finance institutions operate in a semi-commercial manner and raise their funds in capital markets, they are still state-owned enterprises reporting to government ministries (such as the National Treasury and Department for Economic Development) and are consequently aligned to South Africa's domestic and foreign policies. These institutions are instrumental in promoting regional integration and building much-needed infrastructure for economic growth. The activities of the DBSA and IDC often pave the way for greater regional trade, private investment (which ultimately promotes employment), small and medium enterprise development, and local revenue generation (OECD 2013; DIRCO ((Department of International Relations and Cooperation)) 2015). This paper considers development loans provided by the IDC and DBSA as part of South Africa's development co-operation on the continent.²⁹

The case study revealed that between 2001 and 2015 South Africa spent at least ZAR8.5 billion on the Democratic Republic of the Congo-related SSC through various government departments and public entities. In its peak year, 2008, South Africa's development cooperation was nearly ZAR1.5bn, making it the third largest development partner in absolute terms.

28 Some scholars prefer to use the term 'South–South development cooperation'; others such as DIRCO (2011; 2015) consider all SSC activities to be 'developmental'. This paper will thus continue to refer to SSC as general co-operation between Southern countries for the purpose of development. See further discussion in Besharati Moilwa, Khunou & Garelli Rios 2015.

29 This was also based on a proposal put forward by a DBSA official at the Institute for Global Dialogue seminar on 'South Africa's Development Diplomacy', Cape Town, February 2016.



5.4 An overview of South African cooperation with the Democratic Republic of the Congo

South Africa, initially under president Nelson Mandela and then under president Thabo Mbeki, played a central role in bringing the Democratic Republic of the Congo into SADC in 1997 and later facilitating the SADC-led political mediation processes in the conflict-affected region. Following the outbreak of the second Congo War and the assassination of Laurent Kabila, Mbeki hosted 300 representatives of the Congolese militia, political parties, government and civil society in peace talks at the Sun City casino resort (and later in Pretoria) for several months in 2002. This led to the resolution of the hostilities and transitional power-sharing arrangements that would pave the way for the first democratic elections since the 1960s, in 2006.

After this political mediation, South Africa's involvement has extended to the broader objective of peacebuilding. South Africa was one of the first African states to deploy peacekeepers in 1999, in 2001 and in 2003 when it undertook an emergency deployment under Operation Mistral to the Mission de Nations Unies au Congo (MONUC). Since the UN Stabilisation Mission in the Congo (MONUSCO) was established in 2010, South Africa has been the largest African contributor to the multilateral peacekeeping operation. Over the years, South African troops deployed in the Democratic Republic of the Congo have numbered between 1 200 and 1 500, including infantry battalions and aviation regiments.

In 2016, the South African military command took over the UN peacekeeping mission in the Democratic Republic of the Congo from the Brazilians. South African, Malawian and Tanzanian troops also comprise the Force Intervention Brigade, a special African peacekeeping unit within MONUSCO and among the first UN-mandated offensive missions (Chapter VII of the UN Charter) aimed at fighting rebel groups in the east of the country.

South Africa played a crucial support role in the 2006 and 2011 elections in the Democratic Republic of the Congo through its own Independent Electoral Commission (IEC), which worked closely with the Democratic Republic of the Congo's Commission Électorale Nationale Indépendante. The IEC's assistance included training electoral personnel, providing technical assistance before, during and after the elections, monitoring the elections and providing communications equipment and information and communications technology experts.

After the 2006 election, the South African Police Service (SAPS) implemented a capacity-building programme for the Congolese police through specialized training and the provision of technical equipment. The SAPS programme was implemented in collaboration with the Institute for Democracy in Africa (IDASA), which was responsible for the civic engagement of the South Africa–Democratic Republic of the Congo security sector reform programme. In addition to this development, the South African Department of Defence (DoD) provided bilateral support through strategy development, continuous knowledge exchange and the training of three Congolese battalions involved in peacekeeping operations in the east of the country.

In many ways, South Africa's support for the Congolese transition was a 'whole-of government' process of state building and PCRD. Under the rubric of public sector reform, a range of South African departments assisted their Congolese counterparts in strengthening crucial state institutions. The Department of Cooperative Governance and Traditional Affairs (COGTA) assisted the Democratic Republic of the Congo with its organic law and legislative framework for decentralised governance. The Department of Public Service and Administration (DPSA) assisted the government authorities in their effort to roll out a massive civil servant census to identify the numerous 'ghost workers' and establish biometric identity cards and a clear pay-roll and pension system for retired public servants. The DPSA also provided the Democratic Republic of the Congo with technical assistance on its anti-corruption legislation. The South African Management Development Institute (SAMDI)³³ assisted in the establishment of the Ecole Nationale d'Administration (ENA).

Through the Spatial Development Initiative, the Department of Trade and Industry (dti) provided support for feasibility studies for the industrial development of the Bas Congo corridor, which links Kinshasa to the western ports of Boma and Banana. The IDC and the DBSA provided financing for many infrastructure projects, particularly in Katanga province, which has long-held mining links with South Africa. The DBSA has also supported the restructuring of the Kasumbalesa (Democratic Republic of the Congo–Zambia) border post to free up congestion at an important trade junction for goods entering and leaving the Democratic Republic of the Congo.

5.5 Results against assessment framework

5.5.1 *Quality of South Africa – Democratic Republic of the Congo partnership on national ownership dimension*

While the government of the Democratic Republic of the Congo has developed a number of national development plans and growth and poverty reduction strategies in the post-2006 era, as per the requirements of the IMF, World Bank and OECD donors, (Natalie 2007; Ministère du Plan 2009; OECD 2010; IMF 2013) the development assistance provided by South Africa has been less explicitly (though not intentionally) aligned to these donor frameworks. South Africa's activities in the Democratic Republic of the Congo have been conducted on a completely demand-driven basis: development projects and co-operation activities between ministries often came about after presidential visits or ministerial meetings between the two countries. During the course of the study the researchers came across formal correspondence and internal co-operation agreements between South African and Congolese institutions, which further confirmed the demand-driven nature of the development support provided by South Africa.

South Africa was referred to as a 'passive partner, responding often in an ad hoc manner to the various requests coming from Kinshasa'.³⁰ While different South African agencies have diligently provided demand-

³⁰ Comments from numerous South African officials engaged in co-operation activities with the Democratic Republic of the Congo.



driven assistance to their Congolese counterparts, this has resulted in South Africa's development co-operation lacking overall co-ordination, coherence and strategic direction.³¹

South Africa has also followed the Southern principles of non-conditionality, non-interference and respect for sovereignty, often to the point of contradicting its own constitutional values. During the period when it seemed that President Joseph Kabila was considering amending the constitution to stand for an unconstitutional third term, South Africa avoided making any direct public remarks.³² More recently, South Africa's (and Angola's) quiet diplomacy was credited with persuading Kabila to step down in advance of the election in December 2018.

5.5.2 Quality of South Africa – Democratic Republic of the Congo partnership on horizontality and equality dimension

In the various field interviews, representatives of the South African and Democratic Republic of the Congo governments repeatedly claimed to have a true partnership among equals. In reality, while there are clear gains for the Democratic Republic of the Congo in South African development activities, the degree to which South Africa benefits from the co-operation is questionable. A number of officials involved in areas from public sector reform to infrastructure development have commented that³³ contrary to most other development partners operating in the Democratic Republic of the Congo [the Bretton Woods institutions, and European and Asian donors], South Africa lacked clear strategic focus of what it wanted to gain out of the co-operation activities.

The articulation of South Africa's foreign policy has lofty and idealistic dimensions. Its aspirations for the Democratic Republic of the Congo are the promotion of a peaceful, stable and prosperous Democratic Republic of the Congo for a better-integrated region. Even in practice the drive behind Pretoria's development assistance appeared to be solidarity and ubuntu,³⁴ which South African development practitioners and academics often criticize for being a naïve approach to its foreign policy.³⁵ While South African stakeholders have stated that 'there is a general lack of a South African economic diplomacy strategy and commercial benefits for South African businesses are often an after-thought',³⁶ the main strategic driver of Pretoria's engagement in the Democratic Republic of the Congo in the last decade was the energy potential that the Inga dam could provide for South Africa and the region (Maupin 2015, p. 53). The desire of South Africa and the Democratic Republic of the Congo to engage with one another on the

31 Discussed at greater length in Besharati 2013b.

32 Although not addressing Kabila specifically, last year at the 25th World Economic Forum plenary session President Jacob Zuma mentioned that the issue of third termism should stop, as it was causing problems in Africa. See, Ferreira 2015; Ngemi 2015.

33 Personal interview.

34 Ubuntu, a Zulu term, means 'I am a person through other people', or that each person's humanity is tied to the others.

35 Based on various discussions and interviews with South African foreign policy and development experts in Johannesburg, Pretoria and Cape Town in 2015 and 2016.

36 Personal interview.

basis of equal partnership is reflected in the reciprocal engagements of political and technical personnel in the planning and review processes of their 36 joint development projects. However, at the implementation level, because of its stronger economic capacity, South Africa is always expected to contribute most of the financial resources to cover the costs of development co-operation activities with its Congolese counterparts.

Although it does not possess the financial capacity of other donors, such as China, SA is considered by Congolese officials as a preferred development partner and an honest broker. Because of the history of conflict affecting the region, the Kinshasa government trusts Pretoria more than it does its immediate neighbours.³⁷ The biannual co-operation meetings between South Africa and the Democratic Republic of the Congo are among the few that engage the heads of state but have also included up to 18 ministers on both sides, as was the case in the first BNC (Binational National Commission) in 2004.

5.5.3 Quality of South Africa – Democratic Republic of the Congo partnership on self-reliance and sustainability

In line with promoting state building in the Democratic Republic of the Congo, South Africa invested over ZAR 4.3 billion (over \$500 million) between 2001 and 2015 in various capacity development activities and in strengthening Congolese public systems. South Africa also provided its aid untied and did not insist on the specific use of South African contractors, material or personnel. Nonetheless, much of the equipment and expertise required in the technical co-operation with South Africa (or even other development partners) is more easily and cheaply procured in and mobilized from South Africa.

To encourage self-reliance and sustainability, South African government departments committed themselves to capacity development and knowledge and technology transfers, particularly in the area of governance and public service. Aside from the extensive work undertaken by PALAMA (Public Administration Leadership and Management Academy), other South African capacity-building efforts included DIRCO's training of over 1 000 Congolese diplomats; the SAPS's training of the Police Nationale Congolaise; the South African Reserve Bank's provision of technical assistance to the Democratic Republic of the Congo's Central Bank; and the Department of Home Affairs support to update the Democratic Republic of the Congo's population registry and provide computerised equipment and training to Congolese customs and immigration officials.

Unfortunately, political instability and the continuous turnover of personnel has limited the impact of these initiatives (Muthayan 2015). South African officials³⁸ also reported that diplomatic training in Pretoria and Kinshasa, which ran from 2005 onwards, was eventually put on hold because the newly trained Congolese diplomats were never deployed to the field.

37 Since 1998 Rwanda, Uganda and Burundi have played a role in destabilising the Great Lakes region and supporting rebel groups in the eastern part of the Democratic Republic of the Congo. See more in Prunier 2011.

38 Based on several interviews in Kinshasa and Pretoria between October and November 2015.



South Africa is not the only country conducting capacity development in the Democratic Republic of the Congo. As a result, it is difficult to attribute or isolate the impact produced by South African training from the myriad capacity-building programmes run by other development partners in the country.³⁹

5.5.4 Quality of South Africa – Democratic Republic of the Congo partnership on accountability and transparency dimension

The South African and Democratic Republic of the Congo governments conducted annual joint reviews at both the technical and political level to discuss progress in their collaborative activities, thus encouraging a certain degree of 'mutual accountability'. However, insufficient evidence to inform the discussions around the impact of the initiatives at the Binational National Commission (BNC) was a challenge.⁷⁰ This is due in great part to the lack of proper M&E systems on both sides. South African diplomats and cooperation officials have explained:⁴⁰

Our co-operation activities mainly revolve around meetings and events; not much happens in-between ... then suddenly a few weeks before the BNC we all are trying to scramble together whatever little information we have on the progress of our various joint projects and commitments.

Some of the monitoring and evaluation challenges stem from the lack of a central development cooperation information hub, which is what the South African Development Partnership Agency (once established) was expected to be (Besharati 2013b)

Retrieving information on development financing in the Democratic Republic of the Congo is a complex and difficult task. In a country notorious for its corruption,⁴¹ patronage system and political divisions, 'information is power; therefore, a culture of secrecy and distrust dominate the Congolese public system', as reported by several South African development practitioners implementing projects in the Democratic Republic of the Congo. They further stated, 'the governance challenges, along with the technical capacity limitations, make the exercise of gathering development co-operation information from Congolese authorities a near impossible task.'⁴²

39 The only area where there may be scope for future comparative impact assessments is the analysis of the strength of the different Congolese army units, which, according to the MONUSCO delivery approach, were trained by different countries.

40 Personal interview.

41 Transparency International has rated the Democratic Republic of the Congo in the bottom 10 group of the most corrupt countries in the world. See, Transparency International 2015.

42 Personal interview.

5.5.5 Quality of South Africa – Democratic Republic of the Congo partnership on multi-stakeholder participation dimension

SSC is normally dominated by government-to-government relations, and this has also been the case in the South Africa–Democratic Republic of the Congo partnership. The South African private sector has also had a significant engagement in the Democratic Republic of the Congo; however, this has been largely independent from the PCRDR (Post conflict reconstruction and development) efforts of the South African government.

Representatives of South African civil society highlight that there are no appropriate structures and systems to allow civic engagement in development co-operation activities (South African Reference Group 2015). Nonetheless, in the case of the Democratic Republic of the Congo, several South African non-governmental organisations (NGOs) were involved in the implementation of South Africa–Democratic Republic of the Congo peace and development initiatives. These organisations included the Institute for Security Studies, the African Centre for the Constructive Resolution of Disputes, South African Women in Dialogue, the Open Society Initiative for Southern Africa, the Electoral Institute for Sustainable Democracy in Africa and Pax Africa. One of the key South African NGOs that was at the heart of the security sector reform programme was IDASA. It played an important role in mobilising Congolese civil society in order to influence police reform in the Democratic Republic of the Congo.

Building on its progressive constitution and its history of reconciliation, peaceful transition and democracy, South Africa tried to play a role in addressing justice, governance and the rule of law in the Democratic Republic of the Congo. It also made a concerted effort to ensure that the public sphere in the Democratic Republic of the Congo is diverse and representative, particularly in terms of gender parity (Dlomo 2010, p. 110).

While generally upholding the importance of justice, the rule of law and respect for human rights, South Africa's engagement has not been without its negative elements. UN reports confirmed that in 2013 there were at least 23 cases of rape and sexual assault involving South African National Defence Force soldiers serving in MONUSCO (Patel 2013).

5.5.6 Quality of South Africa – Democratic Republic of the Congo partnership on Development Effectiveness dimension

The lessons of the experience of the Democratic Republic of the Congo are that the outcomes of South Africa's interventions are mixed and depend on the context and the personality and skills of the project managers (champions), as is the case with all development assistance programmes (Muthayan 2015).

The absence of an institutionalized aid provision system meant that South Africa could be fairly flexible and adaptable to the specific conditions it faced in the Democratic Republic of the Congo. Due to its experience with conflict mediation, political transition, poverty and inequality, it could adapt fairly well



to the Congolese context, and political, social and economic conditions. Senior Congolese army officials, for instance, commented in an interview in Kinshasa, 'We appreciate learning from the "South African military doctrine" ... the "black and white" racial nature of South Africa's technical assistance is a good bridge between the African and the European realities.'⁴³

On the other hand, South Africa's 'African comparative advantage' must not be overemphasized, as its limitations in engaging in a French-speaking environment are a serious handicap. Furthermore, the implementation of a public sector reform programme in a country which has modelled its public administration after the French and Belgian models rather than the British one was also challenging.

South Africa had a logistical advantage, as Gauteng is an important logistics hub for Democratic Republic of the Congo support activities. Many of the experts, materials and services procured by development partners operating in the Democratic Republic of the Congo were more easily available and more quickly deployable from South Africa.

This advantage was offset by what is considered by many to be the 'slow and inefficient bureaucracy' that characterises the country's development programmes. The African Renaissance Fund (the primary tool of South Africa's development co-operation, jointly managed by DIRCO and the Treasury) suffers from operational bottlenecks (Besharati 2013b). South Africa also lacked internal co-ordination among its various departments and agencies, thus making its development interventions fragmented, ad hoc and ineffective. For example, the ENA lobbied for many years for a new building. However, due to bureaucratic delays and poor co-ordination in Pretoria, PALAMA and the Department of Public Works were unable to implement the required renovation work requested by the Congolese government, which ended up being funded instead by the EU and the World Bank in 2011.⁴⁴

When it comes to co-ordination and complementarity with external actors, South Africa was the only SSC partner that attended the 'international contact group' meetings, the donor co-ordination meetings in Kinshasa and sector working groups in which it was active. A South African official who attends these meetings explained:

I often feel uneasy and unprepared to be part of the discussions of a group of donor countries with very well-established development agencies, with large pools of financial resources and specialized personnel in many fields, which South Africa is far from matching.⁴⁵

This also resonated with DIRCO's ideological orientation, which, like other SSC providers, is uncomfortable

43 Personal interview.

44 Based on interviews with officials in Pretoria and Kinshasa involved in the project in 2015; World Bank 2011.

45 Personal interview.

operating in the DAC-like co-ordination forums and systems established by traditional donors (Besharati 2013a). While Kabila's government would certainly prefer to deal with South Africa and other donors bilaterally, the international and local development community expects South Africa to act as a bridge between Kinshasa, Northern donors and the other emerging economies.⁴⁶

With regard to indicator 20 (PCD), while South Africa has promoted a strong foreign policy favouring African integration, this is sometimes at odds with some of its domestic policies, such as immigration. An estimated 500 000 Congolese migrants (students, doctors, teachers, businesspeople and members of the clergy) are present in South Africa. Movement between the Democratic Republic of the Congo and South Africa is becoming increasingly restricted because of the tightening of visas and permits by South Africa. This incoherence has a negative effect on the scope and quality of SSC and regional co-operation. Furthermore, the xenophobic outbreaks in SA over the past few years have seen many Congolese casualties and have impacted negatively on relations between South Africa and the Democratic Republic of the Congo.

5.6 Key points of the South Africa-Democratic Republic of the Congo Evaluation Framework

This case study on peace, governance and development partnership between South Africa and the Democratic Republic of the Congo is one of the first pilot studies where the NeST (framework and methodology to measure SSC) has been tested. It includes a financial analysis of South Africa's different official development flows to the Democratic Republic of the Congo, as well as a qualitative analysis of the development processes and relationship between the two countries, utilising the SSC dimensions and indicators developed by the Africa chapter of NeST.

While most of the dimensions of the framework could effectively be assessed at either project or country level, some of the indicators that go beyond the analysis of the bilateral relationship, such as 'international alliances' and 'policy coherence for development', may need to be incorporated under new dimensions or placed within other analytical instruments used in studies with a broader ambit. The evidence and documentation stemming from SSC is meagre, as SSC still lacks the advanced information management, monitoring and reporting systems that are available to seasoned OECD donors. Basic baseline data to conduct pre- and post- impact evaluations are simply not available.

Nonetheless, the above analysis of SSC (South-South Cooperation) between South Africa and the Democratic Republic of the Congo has provided a practical illustration of how the NeST framework can be utilized, contextually adapted and eventually refined for other research cases. This SSC analytical framework also provides a good foundation for the development and strengthening of the M&E and data management systems of the South African Development Partnership Agency (SADPA) and other Southern

⁴⁶ Comments made by a number of diplomats and UN officials interviewed in the course of the fieldwork undertaken in Kinshasa and Lubumbashi, October 2015.



development agencies in the making.

The study highlighted that the analysis of SSC still relies on qualitative methods and interviews with stakeholders. In using qualitative methods, the risks of subjectivity can be neutralized through field-based experiential research, use of triangulation methods and interviews with stakeholders from government, civil society, private sector, academia, legislators and external actors on both sides of the development partnership.

Quantitative analysis of SSC flows is a useful complement to research but is more challenging, as it requires an agreed definition on what to include or exclude in the calculation of SSC. Building consensus around a common conceptual framework for SSC is important in order to allow for consistent reporting, better accountability to domestic and external stakeholders, and comparative analysis between different SSC partners. This study has proposed a working definition for SSC not too distant from the revised ODA (Official Development Assistance) and Total Official Support for Sustainable Development (TOSSD) definitions currently discussed in the DAC. The definition used in this study has worked in the accounting of South Africa's development co-operation and can be debated in future SSC forums, such as NeST, where conceptual issues around SSC continue to be discussed.

A SSC definition needs to expand its purview to include broader interventions in the arena of peace, governance and state building, which are prerequisites for sustainable development. The diverse lending instruments currently offered by development finance institutions in the global South need to be carefully analysed with regard to concessionality and intent, and the contribution they make to infrastructure and economic development, particularly of the least-developed partner countries. In South Africa's accounting of its development co-operation, a deeper assessment is required of the nature of the development loans provided by the DBSA and IDC to other African countries. Similarly, trade, investment and other activities of the private sector need to be examined to assess the degree to which they contribute to 'development outcomes' and 'public goods'. Monetising technical co-operation, knowledge sharing and other forms of in-kind support remains a challenging exercise in the process of accounting SSC flows, but can benefit from closer collaboration between development finance, statistics and foreign policy experts.

The quantification exercise that the study undertook revealed that between 2001 and 2015 South Africa contributed over \$1 billion⁴⁷ in ODA-like co-operation activities in the Democratic Republic of the Congo, peaking at \$181 million in 2008, which made South Africa the third biggest development partner to the Democratic Republic of the Congo that year. South Africa is also a pivotal partner in trilateral co-operation and implementing initiatives by other traditional donors and multilateral organisations. The Democratic Republic of the Congo has been by all accounts the biggest recipient of South African foreign assistance

47 ZAR 8.5 billion based on the total sum arrived at as seen in the tables in Appendix 1, converted to US dollars based on a weighted average exchange rate for the years in question (calculated at 8.40 ZAR to 1 US\$ using <http://www.usforex.com/forex-tools/historical-rate-tools/yearly-average-rates>).

for the past 20 years. South Africa brings a unique brand to the international development architecture. As an African developing country, it better understands and appreciates local political, economic and cultural realities, and is therefore able to more effectively conduct peace-making and governance reform in complex environments such as the Democratic Republic of the Congo. The francophone modus operandi of the Congolese public system, however, does pose practical challenges to South Africa's intervention. The unstable political situation and high turnover in the Democratic Republic of the Congo civil service also pose major threats to the sustainability of South Africa's capacity-building efforts. Nonetheless, Kinshasa considers Pretoria a trusted, reliable and honest partner, and consequently South Africa is an important bridge between the Democratic Republic of the Congo and other African, Southern and Northern countries.

Overall South Africa's development partnership with the Democratic Republic of the Congo is a good example of SSC, where principles of national ownership, self-reliance, capacity development, respect for sovereignty, trust and demand-driven assistance have been translated from rhetoric into practice. Pretoria's approach to peace-building and development co-operation is clearly different from that of traditional donors. However, the answer to the question of whether SSC is more effective than North-South cooperation in fragile environments is still inconclusive, due to the limited data and lack of credible outcome evaluations of South Africa's state-building interventions. The situation in the Congo today, which is still politically unstable, points to the limits of external support in post-conflict reconstruction in such a complex country. South Africa has always been careful to avoid undertaking initiatives that may be construed in such politically fragile contexts as an infringement of sovereignty, a key principle of SSC; at the same time, it has sometimes chosen to use quiet diplomacy to influence outcomes in the interests of governance and respect for constitutional norms. Such an approach is not a quick fix and requires South Africa to stay the course in order to achieve the desired outcome. However, this further shows that the principle of non-interference does not have to imply that Southern countries neglect governance issues at the national level.

While the supposedly horizontal relationship has brought numerous benefits to the Democratic Republic of the Congo, it has not always been clear what South Africa gains from the large investments it has made in the country. South Africa will need to define more clearly its strategic intent and its approach to 'development diplomacy' on the continent.

South Africa can improve further in the development of a coherent, co-ordinated and unified approach to its development co-operation. It provides development aid in a fragmented way through a range of different government departments and agencies, as well as non-state and private actors. Reporting on South African development assistance to other countries lacks consistency and M&E systems are extremely weak; consequently, very little information on South Africa's SSC is available to policymakers, parliamentarians, researchers and the public at large. This limits accountability to domestic constituents, partners and recipients of foreign assistance. Most importantly, it limits the extent to which South Africa can use its 'soft power' in regional and global development platforms.



This case study once again highlights that as Southern development partners increase their activities in SSC and these become more complex and involve multiple actors, so the institutions have to evolve to tackle new imperatives such as coordination, proper longer-term planning, the implementation of which can be monitored and subsequently evaluated. In the case of SA, this means that the establishment of a South African Development Partnership Agency would help facilitate the overcoming of some of these challenges.

The case study also highlighted a few barriers to a unified South-South approach to assessing cooperation. The demand-driven assistance and responses to requests in an ad hoc manner are often inimical to a unified framework, and they make overall coordination, coherence and direction difficult. It is also important to recognize that while the South shares a common historical narrative that is embedded in solidarity, there are often many linguistic and cultural barriers, which create barriers to more effective cooperation.

Based on this work, the NeST-Africa framework was further revised. The points that had been raised by researchers in the field was that the framework needed to be simplified into a clearer and more concise table of indicators that was more easily accessible to different national stakeholders. In discussions held in Mexico in September 2016 with a number of scholars from the Global South, a new set of indicators organized in five dimensions were adopted. These were (1) inclusive national ownership; (2) horizontality, (3) self-reliance and sustainability, (4) accountability and transparency, and (5) development efficiency. (Besharati, Rawhani & Garelli Rios 2017).

Table 10 Indicators to measure the quality of SSC

	Inclusive National ownership	Horizontality	Self-reliance & sustainability	Accountability & transparency	Development Efficiency
Dimensions	Multi-stakeholder partnerships	Mutual benefit	Capacity building	Data management & reporting	Flexibility & adaptation
	People-centred inclusivity	Shared decisions & resources	Knowledge & technology transfer	M&E systems	Time & cost-efficiency
Indicators	Deamand-driven	Trust & solidarity	Use country systems & human resources	Transparency & access to information	Internal & external coordination
	Non-conditionaly	Global political coalitions	Domestic revenue generation	Mutual accountability & joint reviews	Policy coherende for development

Source: Besharati, Rawhani & Garelli Rios 2017.

The five dimensions have incorporated the original 'national ownership' and 'inclusive participation' into a new dimension 'inclusive national ownership'. At the core of the notion of inclusive national ownership is the expectation that SSC needs to be demand-driven, involving projects that are based on requests

from the recipient country and in which the recipient is not only a stakeholder but also in the driving seat of the development initiatives. Furthermore, it integrates the notion that no one should be left behind in development and peace-building processes, and that the entire population should benefit from peace and development dividends.

Horizontality and equality became 'horizontal', which referred to shared responsibility, management and implementation in all phases of the programme cycle. The third dimension of 'self-reliance and sustainability' remains the same. The indicators, however, have been amended, with untying aid being replaced by domestic revenue generation. The often-difficult issue of tied aid, which the initial framework had set out as a separate indicator, was incorporated into the indicator on the use of country systems and human resources. The fourth dimension of 'Accountability and transparency' also remained the same but the indicators were unpacked and the importance of monitoring and evaluation for learning was added. The fifth dimension was changed from development effectiveness to development efficiency, as 'effectiveness' evokes OECD-DAC processes.

This NeST-Africa framework is driven by more qualitative approaches. A proposal has been made to use a balanced scoring system to rate not only each indicator but also the overall dimension characterising the quality of SSC. The caveat that has been expressed in this regard though is that measurement is very much at the core of the OECD-DAC processes and has been contrary to the original principles of SSC.

6. CONCLUSION

The concluding section revisits the key arguments made in the introductory section and analyse the common features across all the four country case studies, before setting up the recommendations for future action.

In the introductory section, it was argued that assessment is the term that captures the efficacy of SSC. A process that does not involve comparison against time and actors is a better alternative mechanism to comment on the impact of a particular SSC activity. Therefore, it calls for an emphasis on assessment that is an absolute appraisal of a process, non-judgemental, but rather formative, process-oriented and reflective. Furthermore, assessment, being non-comparative, captures the spirit of cooperation rather than that of competition. Even though the terms "evaluation" and "assessment" have often been used interchangeably, it has been clearly demonstrated that they have been necessarily exercises in assessment, rather than being evaluative. The country case studies also reflected the same spirit.



6.1 County Case Studies: Convergence & Divergence

To summarize, the four case studies revealed some interesting commonalities. Although the dimensions, principles and indicators were independently chosen by respective researchers, the guiding principles of SSC are reflected in all the individual case studies. The principles of mutual benefit and equality are the criteria upon which Chinese, Indian, Brazilian and South African case studies have converged. Although, the equality criteria as term of assessment was explicitly used in three case studies (China, India and South Africa), a closer scrutiny reflects that the Brazil case study also included the nomenclature of 'horizontal'. The principles of respect for national sovereignty, non-conditionality and non-interference in domestic affairs were used as assessment criteria in Chinese, Indian and South African case studies. The principle of national ownership and independence was explicitly visible in Brazilian, Indian and South African case studies. Even though the demand-driven criteria was explicitly used as one of the dimensions in three case studies (South Africa, India, Brazil), a closer inspection bears out that the Chinese case study also considered the criterion of demand-driven assistance in terms of a measurable indicator i.e. 'percentage of SSC projects based on partner country's needs'.

The modalities as identified under 'development compact' pillars are capacity-building, trade and investment, development finance, grants & technology. Incidentally, the idea of modalities under development compact is reflected in, some way or other, across all the cases. There are examples of capacity-building and technology transfer in all four cases. Trade and investment as a modality was observed in Chinese, Indian and South African cases, whereas, grant as a modality was found in SSC activities carried out by Brazil, China and South Africa as per the description of the respective cases. Development finance in the form of concessional loans was observed in the Indian and South African experiences. It is important to note that the presence of all five modalities in the South African case was due to the fact that the case study looked into South African cooperation with the Democratic Republic of the Congo between 2001 and 2015 and took into account the development cooperation of the entire country portfolio during this period. In the case of Brazil and China, the case study focused on two projects and the Indian case study was based on one project. Therefore, it suggests that more than one of the modalities could or could not be observed in a single project; however, at the country level, the interplay of all modalities was visible.

Optimum utilisation of resources, both in terms of their quantity and quality, is an established and well-recognized process followed in SSC (Kumar, 1987). Consequently, the matrix below captures cost-efficient delivery as an indicator of assessing the process involved in SSC activities. Although, the efficiency criteria was used by Chinese, Indian and South African case studies, the reasons for it being included in respective frameworks suggests diversity in understanding of this criteria. On the one hand, the Chinese case study used it to assess the gap between Southern and Northern funded projects in terms of time, cost and output. And, on the other hand, the South African case study considered this indicator i.e. time and cost efficiency (indicator 18 in section 5, Table 11) in the delivery of development projects on the assumptions that it is one of the SSC strengths.

The results dimension i.e. output, outcome and impact were explicitly mentioned in the Indian case study, whereas, the overall objective of the Chinese case study was to analyse the output, outcome and impact of Chinese projects from the partner countries' perspective. Sustainability was explicitly identified in Chinese and South African case studies.

Let us now look at the individual case studies in greater detail.

The contribution from Brazil analyses experiences of two case studies. The analytical framework for the Brazilian case study combines five dimensions i.e. horizontality, ownership, mutual benefits, demand-driven and autonomy, in tune with the guiding principles of the SSC. It is further observed that cooperation evolved around multiple modalities of SSC. They were contracted between ABC and IBA, both of these being Brazilian entities. The case studies, did not elaborate either on the processes or on the results – output, outcome and impact—of the interventions.

The contribution from China also analyses experiences of two projects. The analytical framework proposed in the Chinese case study contains five dimensions. using nine guiding principles of SSC, and fifteen indicators. It is further observed that the cooperation evolved around at least four SSC modalities, namely, capacity-building, trade & investment, grant and technology. The framework presented identifies a good number of indicators that facilitate the assessment of the processes involved throughout their SSC activity. The case study explicitly mentioned that one of the objectives of the exercise was to analyse the output, outcome and impact of Chinese projects from partner countries' perspective so that policy-makers and project implementers from China will learn the relevant lessons and act upon these with improved actions in the future.

The contribution from India analyses experiences of one project in the case study. The analytical framework contains all the seven dimensions of SSC principles. It is further observed that the cooperation evolved around at least four SSC modalities, namely, development finance, capacity-building, trade & investment and technology. There has been an explicit mention of three dimensions of process as well as results i.e. output, outcome and sustainability at the receiving partner country level.

The case study from South Africa has taken countrywide cooperation activities between South Africa and Democratic Republic of the Congo focused on the period from the early 2000s. The cooperation carried out through the ARF mechanism (DIRCO) for the period between 2005 and 2015, cooperation originating from line ministries apart from DIRCO and triangular activities, were the focus of the case study. It is further observed that the cooperation evolved around all five SSC modalities. Results of the activities were mentioned, even though no indicators were identified to distinguish among output, outcome and impact. Going beyond articulating the results, the case study explicitly identifies time & cost efficiency as an assessment criterion.

The findings from the case studies are captured in Table 11. It is evident, in lieu of the arguments put forward in chapter 1 and the analysis of the case studies provided in this chapter, that Table 11 is good enough as a framework of assessment of SSC with all the scopes for capturing plurality in modalities and conforming



to non-negotiable principles of SSC. A close look at the matrix also reveals that an assessment of an SSC experience initiated by a particular country need not necessarily fill up all the cells given therein. Each partner engaging in SSC will be at freedom to assess the modalities, processes, and results. However, it is desirable that all the cells under SSC principles are ticked in.

Therefore, we would argue that the framework of assessment of SSC would have two components. While the first component, comprising of non-negotiable SSC principles, would be common across all the SSC partners, the second component comprising the rest of the dimensions would be context-specific.

Table 11 Convergence and Divergence Matrix of Country Case Studies

Dimensions	Assessment criteria	Brazil case study	China case study	India case study	South Africa case study
SSC Principles	Respect for national sovereignty		✓	✓	✓
	National ownership and independence	✓		✓	✓
	Equality	✓	✓	✓	✓
	Non-conditionality		✓	✓	✓
	Non-interference in domestic affairs		✓	✓	✓
	Mutual benefit	✓	✓	✓	✓
	Demand driven	✓	✓	✓	✓
Modalities	Capacity building	✓	✓	✓	✓
	Trade & Investment		✓	✓	✓
	Development Finance			✓	✓
	Grants	✓	✓		✓
	Technology	✓	✓	✓	✓
Processes	Cost efficient delivery		✓	✓	✓
Results	Output		✓	✓	
	Outcome		✓	✓	
	Impact		✓	✓	
	Sustainability		✓		✓

6.2 Recommendations

There is no denying the fact that being involved in development cooperation from one developing country to another, SSC cannot be devoid of an understanding of the intrinsic merit of the activities involved. Constituting an effort to enhance the level of solidarity among the Southern nations, Southern partners also have the responsibility to share the impacts –positive or otherwise – of this exercise to the rest of the Southern countries so as to help them identify best practices that may be implemented with necessary adjustments to contribute to their developmental aspirations. Under such circumstances, it is desirable that SSC is assessed, the better not only to facilitate improvements in future performance, but also ascertain the extent of mutual benefit flowing to partner countries. Such an objective could be undertaken through an exercise that involves both parties to determine the criteria for assessment with the assessee in control of the assessment process so that it may utilize the feedback for its benefit. Therefore, SSC must develop a mutually agreeable method of assessment of “mutual benefits”.

In the future, the unique features of SSC should be sustained and diversification of assessment frameworks should be encouraged, as each southern country is different from each other, with its own historical, cultural, developmental background. The purpose of SSC assessment is not to make international comparison in a competitive spirit but to enhance mutual learning and experience-sharing. Furthermore, being pluralistic in nature, SSC activities cannot be assessed using a common template. The four case studies presented in this study also attest to such observation.

The aim of developing such a framework is to contribute to establishing a globally-recognized collective choice framework for assessing SSC. In the long term, this is possible as most southern countries have already realized that the voice of Global South would be loud enough through knowledge-generation from the South. All of these developments will push forward the actions for evidence-based SSC assessment with the goal of experience-sharing and mutual learning. This is further required in order to achieve sustainable development goals (SDGs).

In winding up, it may be proposed that the collective choice level assessment framework is to be provided based on the “fundamental guiding principles” of SSC (the first component of the matrix given in Table 11) as they emerged through consultations and discussions among the Southern partners, which may be considered as a common component of the assessment template. However, the operational choice level framework (second part of the matrix given in Table 11) of assessment need not conform to any fixed structure. Diversity in approaches to and modalities of SSC – the real strength of Southern solidarity – need not be compromised on the altar of “standardisation” of institutional arrangements.



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