

IBERO-AMERICAN PROGRAMME FOR THE
STRENGTHENING OF SOUTH-SOUTH COOPERATION

MANAGEMENT GUIDELINES

for implementing Triangular Cooperation in Ibero-America

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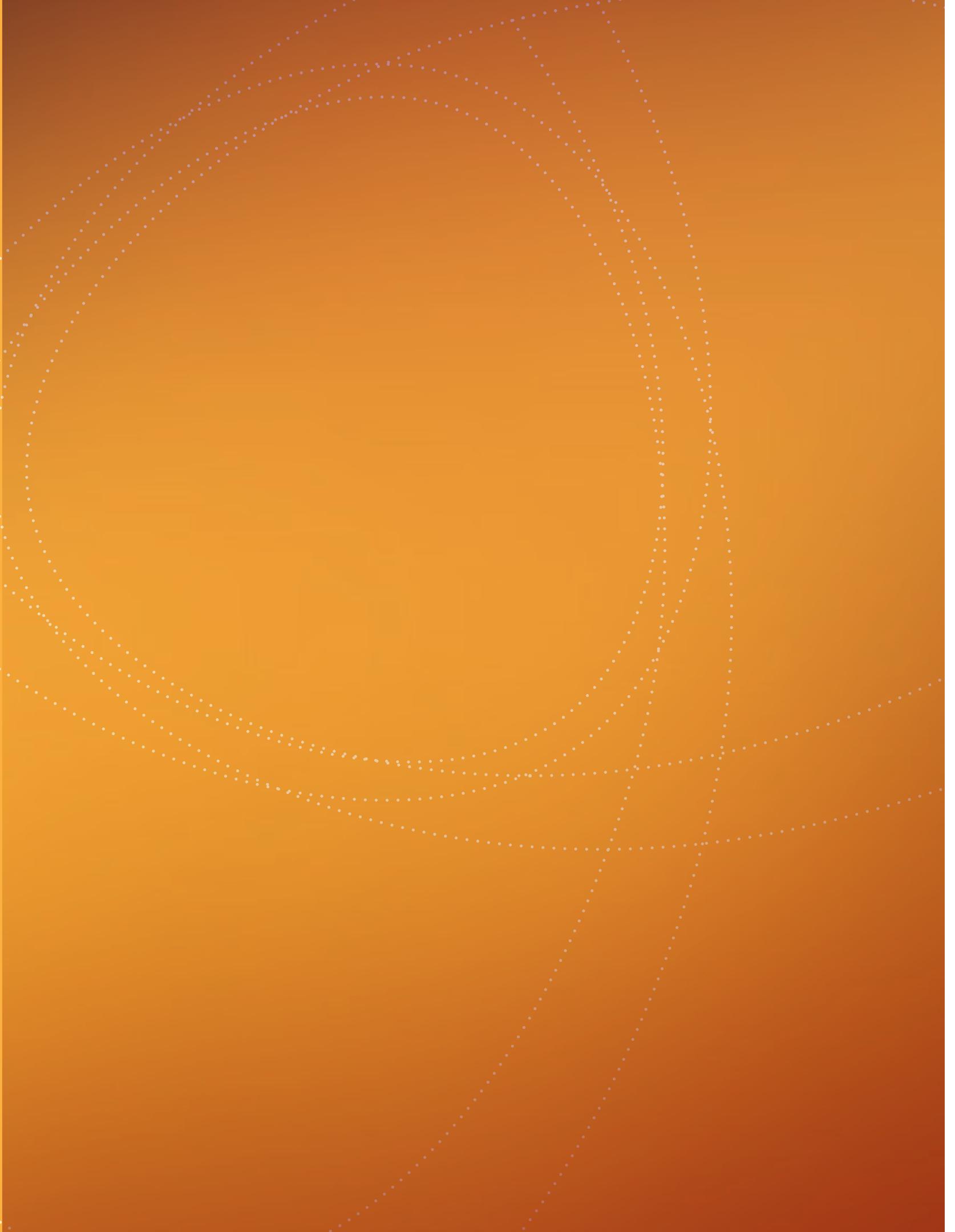
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Preface

Since its inception in 2008, the Ibero-American Program for the Strengthening of South-South Cooperation (PIFCSS for its acronym in Spanish) has been impelled to strengthening the cooperation of governing bodies in Ibero-America, by developing various actions with cooperation officials and Technical Unit teams of member countries¹, in order to strengthen the knowledge and management of South-South Cooperation initiatives.

Triangular Cooperation is one topic of great interest, under the support provided by the Program to its member countries, with a view to improving the capabilities of national agencies and Managerial Teams. That is why in recent years the PIFCSS has held several workshops and activities on the subject, mostly related to the need for a better understanding of the roles played by different actors involved in triangular formulas, and their need to carry out an effective project cycle development under this modality.

During the various meetings held by the PIFCSS it has become clear that there are heterogeneous positions regarding the conceptual definition of what triangular cooperation means for countries and the methodological development needs required to manage triangular cooperation. In response to these needs the Ibero-American Program, has provided exchange opportunities under its training work line, for countries to better understand the support actions of traditional major donors to the region (Dominican Republic, 2011)², and delve into triangular practices and patterns that countries in the region are running, extracting desirable elements for micro project management (El Salvador, 2012).³

Countries reached an agreement as a result of these discussions on the need for Management Guidelines to implement triangular cooperation in Ibero-America and drew a Roadmap to be implemented by a group of countries (Argentina, El Salvador, Spain, Honduras, Uruguay, and Colombia that was added later). This Guideline was started in 2014 and continued for a period of about five months. It included a systematization process and information gathering of data related to Ibero-American Triangular Cooperation and a description on how countries manage this.⁴

On the other hand, and considering the international context, it should be noted that the regulatory and institutional framework of Cooperation in Ibero-America portrays a plurality of political views, as well as a variety of complex and diverse institutional models which, in terms of triangular cooperation, translate into practices as diverse as possible. Triangular cooperation practices of different countries have been influenced (at least initially) by their relations with traditional development partners (and their respective North-South cooperation relationship), and most partners of the Development Assistance Committee of the Organization for Economic Cooperation and Development (OECD-DAC). However, over time these practices have gradually been shaped by south-south practices; although the multiple strategic and operational limitations faced by triangular cooperation in Ibero-America have not contributed to this process. Regarding the operational level, the biggest obstacle is the lack of approaches and methodologies implementing triangular cooperation. Therefore, there is a twofold need for regulatory and

institutional strengthening: strategic and operational. It is in this last area that this guideline is based on, to provide clear operational directives, while contributing to the generation of better management capabilities for a more effective triangular cooperation. Thus, the main motivations for developing this Guideline by the Ibero-American Program for the Strengthening of South-South Cooperation (PIFCSS) are to:

- Ensure common criteria for triangular cooperation, from the recognition of country diversity, to enable a more coordinated and harmonized management among all partners involved in triangular formulas.
- Promote the effectiveness of the proposed triangular initiatives.
- Promote leadership of the triangular initiatives by the recipient partner.
- Support development processes in a sustainable manner.
- Provide a referential framework to actual and potential partners that support triangular cooperation in the region.
- Encourage the scaling up of triangular cooperation

based on the principles agreed upon in the Ibero-America

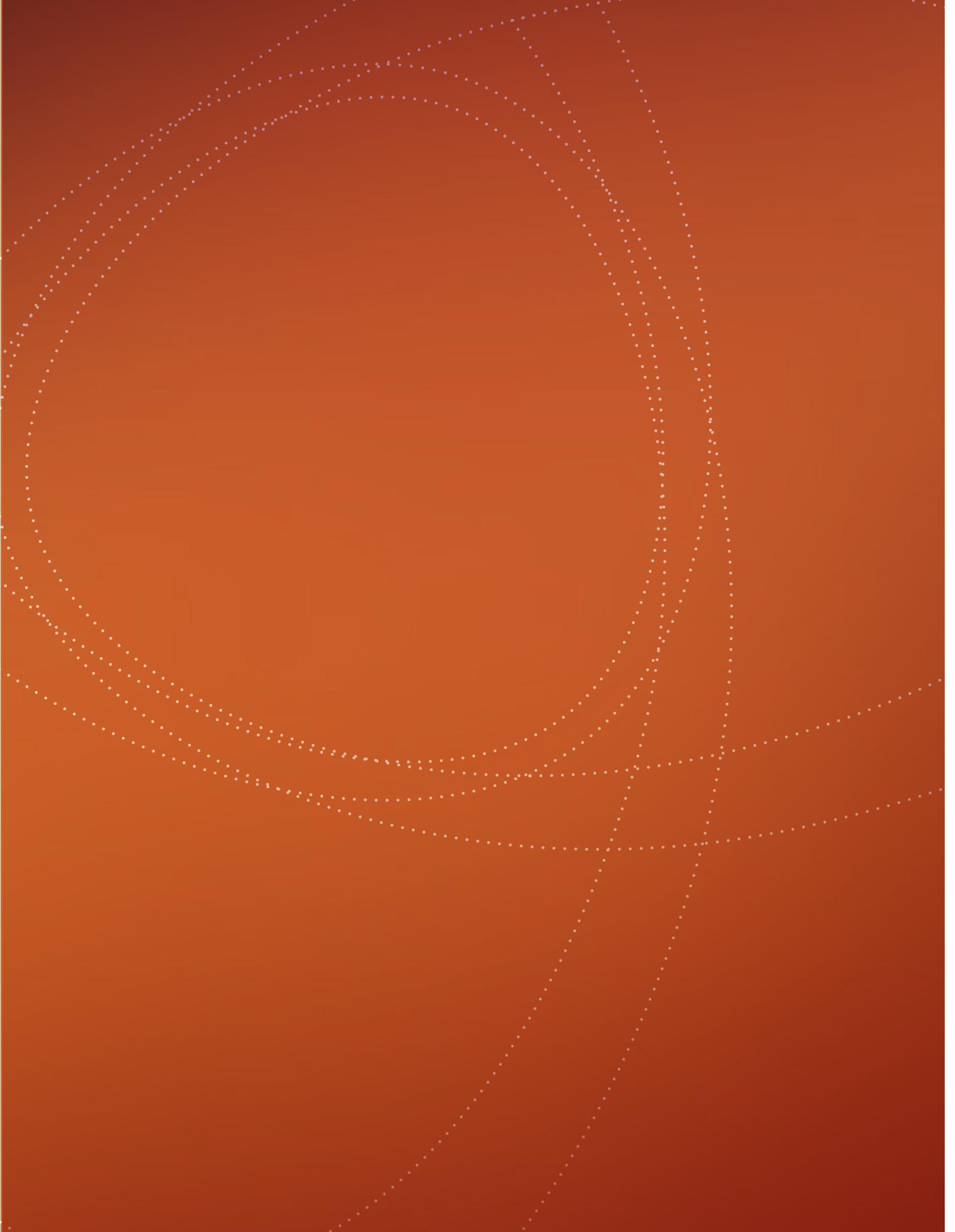
- Showcase the comparative advantages and added value of this type of cooperation.
- Bring traditional development partners close to south-south cooperation principles and their implementation.
- Improve understanding and dialogue among actors in the international cooperation system.

The ultimate goal of the Guide is to support and facilitate the work of PIFCSS countries, by providing operational guidelines for triangular cooperation management, collected country-based practices, with all their successes and weaknesses. In no case does it aim to become a single tool, a model to follow strictly, but rather a tool offering a range of possibilities that can be adapted to the context and particularities of each actor.

This guide is the product of the joint work of Ibero-American countries, which have mutually identified operational, practical and concrete tools for better Triangular Cooperation management criteria.

Antiguo Cuscatlán, August 2015

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1. Argentina, Bolivia, Brazil, Colombia, Costa Rica, Cuba, Chile, Ecuador, El Salvador, Spain, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Portugal, Dominican Republic and Uruguay.
 2. More details at http://www.cooperacionsursur.org/images/stories/descargas/agosto-17/Informe_Final_Triangulacion_-_Republica_Dominicana.pdf
 3. Further information on this event at <http://www.southsouth.info/profiles/blogs/gestionando-la-cooperacion-triangular - in-ibero-america>
 4. Annex I presents the details for the building of the Guide.



Introduction

The degree of maturity reached today by the South-South Cooperation (SSC), forces Ibero-American countries to face the inescapable challenge of growth: that of building bridges with traditional cooperation, without losing its characteristic and defining features. During these last decades since SSC took the first steps by providing isolated technical assistance and solidarity among developing countries, to this day, when the United Nations multilateral system focus its efforts to quantify, systematize and include it in the annual reports of their highest level bodies, southern countries have accumulated a wealth of experience, whose magnitude and impact gives them the possibility of establishing a peer to peer relationship with traditional actors of the international cooperation system.

The relevance acquired by regionalism in the last ten years, accounts for the shift of bilateral and multilateral external affairs to the south, and a different look from developed countries to developing countries, accompanying trade trends, investment and south-south exchanges.

All the countries that participate of the Ibero-American Program for the Strengthening of South-South Cooperation, are in turn part of regional contexts, which constitute privileged areas for the creation of triangular cooperation schemes. Some are integration mechanisms such as MERCOSUR, ALBA or the European Union; others are members of more political spaces as UNASUR, or of a trade nature as the Pacific Alliance. And there are also intergovernmental organizations that are more comprehensive bodies and inclusive in the historical, political, social, cultural and economic fields such as CELAC, which brings together the thirty-three countries in Latin America and the Caribbean. These initiatives have a natural support

based on the bonds of trust generated by the common technical and historical background, allowing members to be positively willing to share information, and systematize experiences.

Triangular Cooperation is no doubt a resource of Ibero-American countries to maximize their potential in the upcoming years. Its great versatility is both its major challenge and its greatest advantage, since it leaves a window open to multiple possibilities: a partnership among several developing countries or between two developing countries and one developed one or among several developing countries and regional or multilateral organizations, including civil society and private sector organizations.

Currently, the language and practice of the SSC are rooted and discussed at the international level, and build on the collection of multilateral and regional summit statements, and the statements of Presidents and Chancellors in addition to the reports and resolutions of the United Nations system and its specialized agencies. However, Triangular Cooperation as a phenomenon with its own distinctive characteristics, which includes features of two different paradigms for cooperation, has not been sufficiently addressed. As a region, it alludes to South-South Cooperation and Triangular Cooperation, but efforts have focused on the practice and conceptualization of the South-South modality.

The approach has not been systematic to date. This guide aims to show that triangular cooperation is more than just funding to execute major ongoing projects. It implies added value for both the developed countries and the developing world. It is a strategy that allows everyone to provide their contributions on an equal basis, harmonizing various bilateral procedures to adapt them to this logic of



“Triangular Cooperation is undoubtedly a resource of Ibero-American countries to maximize their potential in the coming years”

three or more partners.

Incentives for a developed partner are several: reduction of the unavoidable institutionalization and bureaucratic costs of projects funded by official development assistance (ODA), since traditional donors may use human abilities, knowledge of local reality and shared idiosyncrasies of partner countries; reduction of the “tied aid” risks; knowledge of the southern technicians terrain, and existing cultural linkages, proven practical solutions developed locally.

The same way that the SSC has achieved sufficient maturity to be valued in various fields, triangular cooperation must reach a level of development that allows it to distance itself from the experimental stage, and place it as an equal partner, that in a clear remnant of north-south cooperation is still called “recipient” with the developing country, the developed one or the multilateral organization. This should be a process in which the debate and openness to new ideas play a fundamental role, and in which “seed projects” may generate more ambitious schemes, to gradually form a corpus of practices. Our experience has been that triangular cooperation is largely the result of successful bilateral projects, to which the triangular

partner adds itself.

Currently, the Ibero-American SSC is better prepared to work with the triangular partner, without losing the principles, criteria and values that have made it go its own way towards a path that makes it one of the regions with the greatest potential to address new efforts towards broadening and deepening these adaptive and innovative practices around combined and more complex schemes to address development challenges.

This “Management Guidelines to implement Triangular Cooperation in Ibero-America” is an observation effort of the practice among Ibero-American countries, not only to account for it, but to articulate a set of practical steps designed to facilitate and guide procedures, so that its values and principles transcend statements. It aims to fill a gap, particularly at the management level, while reflecting the rich network of trust among all partners. It established what to systematize and evaluate according to own rules, the information provided so that it is available and replicable with new partners, thus avoiding the “case by case” approach that increases transaction costs and favors political ties exclusively.⁵

⁵. This Introduction is based, in part, on Chapter 1 of the “2015 South-South Cooperation in Ibero-America Report”.



Triangular Cooperation promotes horizontal partnerships, based on Reciprocity and aimed at overcoming the traditional donor- recipient relationship, Recognizing the capacity of countries to contribute to the exchange of knowledge, not only South-South but also North-South and South-North.

CHAPTER I

Triangular Cooperation Criteria in Ibero-America

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The Ibero-American space is set in a privileged political dialogue and consensus-building context in the field of cooperation. Its success, and its greatest assets, have to do with the recognition and respect for the diversity of cooperation approaches and practices of the countries that comprise it.

Despite the heterogeneity of the countries that comprise Ibero-America, it has been building its own political positions on international cooperation in general, and on South-South Cooperation, in particular. These positions have seen the light through the various South-South Cooperation in Ibero-America

Reports published by the Ibero-American General Secretariat (SEGIB), and drafted together with the PIFCSS, as its 1st Chapter is dedicated to describe the consensus and common positions on different topics since the first edition. Therefore, when it comes to defining operational

(criteria) and strategic guidelines for managing Triangular Cooperation in Ibero-America, the SSC Report becomes an undeniable reference. The first reference to this end is found in the 2009 Report, since this was the first year that an entire chapter of the Report was dedicated to state a common position. Thus, a clear reference is found regarding what the politicians in charge on international cooperation in Ibero-America consider as the main strengths and criteria of South-South Cooperation, which is mainly taken from the Buenos Aires Action Plan (PABA, 1978). From this text, on table 1, we can identify concepts that are still used today: horizontality, mutual benefit, promotion of regional integration, centrality regarding capacity building, among other.

The 2010 South-South Cooperation in Ibero-America Report collects and summarizes some of these elements naming them criteria, noting that South-South cooperation:

Is a cooperation based on horizontality, solidarity and mutual interest and benefit, intended to jointly address development challenges and priorities of donors.

It is, therefore, an international cooperation for development in which knowledge exchange is above financial aspects. Thus, it covers a range of areas in accordance with the requirements of the participants through technical assistance and / or capacity building.

It establishes a relationship among donors that offer and demand actions according to their strengths and weaknesses, under conditions of reciprocity and the respect for sovereignty.

South-South Cooperation aims at the efficient use of resources.

It promotes relations among countries of the same region, fostering integration and the relationship with partner countries in other regions with which alliances can be built.

10**TABLE 1****PABA criteria retaken by the Ibero-American space**

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- 01** South-South cooperation is based on the solidarity for capacity expansion through technical cooperation. It is a voluntary commitment among countries that want to jointly address the challenges of development, poverty and inequality.
- 02** This cooperation is addressed to all required sectors and areas, under the basic principle of avoiding a vertical and paternalistic relationship to reach development, opting rather for the horizontal partnership among actors.
- 03** South-South cooperation does not replace the traditional North-South cooperation; it is neither its subsidiary or its instrument. It rather aspires to articulate, where possible, with North-South cooperation plans and programs, based on their own experience and aimed at achieving the best results in an efficient and solidary manner. The articulation is built from the demands of developing countries expressed in their national plans and priorities.
- 04** South-South cooperation is committed to a relationship among donors that demand and offer benefits on a reciprocal basis.
- 05** South-South cooperation is widely accepted, since it derives from agreements among countries that face similar development challenges at the local and global levels, which facilitates adapting actions to common needs and perspectives. This fact favors mutual understanding and allows sharing management models already implemented by the southern countries, where the successes, mistakes and lessons learned are taken into account.
- 06** South-South cooperation, as the PABA determined, develops its action in multiple sectors, with its main strength in the field of technical cooperation and capacity building. The experts offered in SSC are specialists and technicians with extensive experience in their respective sectors since they come from the ranks of their administrations; therefore, CSS experts involve a cost that should be recognized by other cooperation actors.
- 07** Developing countries, especially if located in the same region, share common experiences and cultural ties that facilitate mutual understanding and can improve the effectiveness of projects and cooperation programs.
- 08** Countries use technologies effectively within the South-South cooperation, since the technological resources of developing countries that offer cooperation are characterized for their adaptability to facilitate their use, maintenance and conservation.
- 09** South-South Cooperation seeks effectiveness and efficiency in the use of resources of any kind, limiting costs and contrasting experiences.
- 10** This cooperation mode favors relations among countries of the same region, promoting integration and good neighborly relations, and the relationship with partner countries in other regions with which alliances can be built.



(...)Public policy principles guide action; however, its operationalization always requires specific guidelines for action to make them a reality. Hence the importance of criteria to help us achieve this goal.

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These guidelines are valid and applicable to Triangular Cooperation, considering that under the South-South Cooperation in Ibero-America, triangular cooperation is considered as a kind of South-South Cooperation, calling it "Triangular South-South Cooperation".

Likewise, the Reports on South-South Cooperation in Ibero-America also include specific references to Triangular Cooperation issued by the Heads of Cooperation (RCs), as found in the 2012 Report, regarding the document prepared and adhered by the RCs in preparation for the IV HLF in Busan in 2011⁷ This text highlights, among other things.:

«Triangular Cooperation promotes horizontal relations, based on reciprocity and geared towards overcoming the traditional donor-recipient relationship, recognizing the capacity of developing countries to contribute to knowledge Exchange, not only South-South, but also North-South and South-North.»

Triangular Cooperation must be strengthened as a modality which promotes the establishment of bridges with North-South cooperation, especially if it is based on the leadership of applicant countries and if the specific features of the various forms and traditions are taken advantage of, to define responsibilities.»

In addition, and as a very important element, it clearly states the need for the leadership of the recipient in all initiatives and the necessary recognition of the contributions of all stakeholders and their responsibility for achieving results.

All the RCs efforts in the above texts and in subsequent years as well as the exercises performed by the technical teams responsible for cooperation in the countries can outline the agreements on triangular cooperation in Ibero-America.

However, remember that precisely the richness of this space lies in its diversity, and therefore it is not surprising that if countries are consulted bilaterally about the principles and criteria governing their triangular cooperation, each will provide its own description.

It is noteworthy, for example, that countries that participate mainly as recipients, designate recipient's leadership as a relevant principle (expressed by some as appropriation) as well as horizontality, from which derive criteria such as adaptability, demand driven approach, the absence of cooperation conditionality and consensus as a key piece of action.

Meanwhile, traditional partners (called "second partners" in the terminology of the Report on South-South Cooperation in Ibero-America) considered effectiveness, efficiency and transparency as important principles. Criteria such as sustainability of actions, proper use of resources, achievement of results, etc. derive from these.

Finally, countries that act as first partners are more concerned about Mutual Benefit and Mutual Responsibility although they coincide with recipient partners on the importance of leadership. Therefore, criteria such as recognition of the contributions of all parties, the clear definition of roles, coordination and visibility are often highlighted by them.

> Proposed Criteria

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A set of common minimum guiding principles and criteria were obtained from the combination of strategic and operational guidelines identified by the countries in the previous paragraph, and also on the consensus reached to date on the subject of the Ibero-American space, that could be welcomed by the countries of the Ibero-American program to Strengthen

South-South Cooperation, without coming into conflict with the consensus already attained on the subject.

The principles outlined below are some common minimum principles derived from those principles that the group of countries that make up the PIFCSS recognized to adopt as guidelines for their actions:⁸

Horizontality

As its name implies, it refers to the existence of cooperative relationships that are not vertical, that are established voluntarily without conditions or impositions of any kind. Decisions are made by consensus and actors articulate themselves to carry out the actions that are adapted to the reality of the recipient partner.

Mutual Benefit

Cooperative relations are supported on a formula in which all partners receive a benefit: they are strengthened, joint learning is favored, etc., and they all obtain the appropriate exposure. They pursue shared results, but clearly defining the roles to be played by each of the actors for the realization of these results.

Recipient Leadership

Cooperative relations find their origin in the cooperation demand of the recipient, who will lead the whole cooperation process with the support and the responsibility of other partners.

Effectiveness and efficiency

The effectiveness and sustainability of cooperation initiatives undertaken will be sought. And also the efficient use of resources allocated to them.

Mutual Accountability

The success of cooperation outcomes are the responsibility of all actors involved, and therefore, all must make joint efforts to achieve them, mutually recognizing the contributions of each party.

However, public policy principles guide the action, but, their operationalization always requires specific guidelines for action to make them a reality. Hence the importance of criteria that help attain this.

Consequently, in an effort undertaken jointly with member countries of the Ibero-American Program for Strengthening South-South Cooperation, 16 operational criteria were defined, based on the five principles above mentioned, which will allow

improving the approach and management of triangular cooperation (see page 18).

Table 2 shows the definition of agreed criteria, which refer almost exclusively to triangular projects⁹ since this is the tool of choice used in this type of initiative in Ibero-American countries. Although it is true that actions still carry an important weight, the desire of the countries is to drop this cooperation practice since they aspire to have longer term and sustainable initiatives.

FIGURE 1

Triangular Cooperation Principles and Criteria in Ibero-América



Even so, many of the criteria developed in this Guide could be perfectly applied to specific initiatives, as well as the programs and triangular cooperation funds. Political dialogue with traditional partners becomes absolutely necessary in the case of this last one.

It should be noted that the above-defined criteria have been worked in depth by the countries of the Ibero-American space, pointing out ideal practices for the application of criteria and modeling tool options for their implementation in triangular projects in each of the countries. See details in Annex II.

6. The Plan of Action of Buenos Aires is the outcome document of the United Nations Conference on Technical Cooperation among Developing Countries.
7. Under the Fourth High Level Forum on Aid Effectiveness, the Ibero American countries worked on the construction of a common position, which was finally adopted from a variety of positions by 19 countries and presented at the 2011 Forum in Busan.
8. Defined based on a survey rotated to PIFCSS countries in 2013 and based on the positions of the cooperation officials gathered in Chapter I of the reports on South-South Cooperation in Ibero America.
9. The projects, according to the definition given in the Ibero American space, are composed of a set of actions aimed at meeting a common goal to a specific recipient. In general, it is approved in a specific framework of cooperation (a joint committee, an interagency agreement, general cooperation agreement, or similar) and meets the following elements: - a defined period of execution, budgetary allocation, some expected results, and a mechanism for monitoring and evaluation.

16**TABLE 2****Triangular Cooperation Criteria in Ibero-America****01****Adaptability**

Initiatives are adapted to the context of the recipient partner, respecting the priorities, timing and cultural and institutional characteristics. It also requires administrative and financial flexibility by partners.

02**Articulation**

Actors involved in the project show convergence and relate to each other based on a formal framework and an (informal) interpersonal connection which are functionally positive for the project. To ensure the joint articulation to project stakeholders a governance structure was set, which promotes the interaction among partners and from where they jointly manage and decide on the development of the project.

03**Access to Information**

Triangular cooperation initiatives have a public nature. Within the project framework, partner countries must provide, as an individual responsibility and according to their national legislation, access to information on the development of activities, progress and contingencies raised, guaranteeing the respect for the sovereignty of each partner without interference in national accounts.

04**Contributions of all parties**

All partners contribute to projects through resources and means available to each, thus generating ownership. Such contributions are recognized by all partners regardless of their nature (economic, technical, in kind, etc.)

05**Joint Management Learning**

Partners involved recognize a clear benefit offered by the project, it generates a specific value for them as well. The sharing of lessons learned and management experience is a relevant and specific outcome of the initiatives all expect to see.

06**No Conditions**

Triangular cooperation is a voluntary commitment among countries and other cooperation actors. It will be an agreement among three or more partners, free of conditions and impositions of any nature.

07**Consensus building communication**

Decisions are taken by mutual agreement among all partners. Projects have established clear channels that indicate how and among who the communication among actors will take place within each country. These channels are used to formalize agreements.

08**Clear definition of roles**

The projects include a detailed definition of the players involved in a project as well as the roles and functions to be played by each of them. This definition will reflect an agreement among the parties.

09**Effectiveness of initiatives**

Projects include results, agreed upon processes and mechanisms that lead to the effective fulfillment of the objectives set by the three partners.

10**Efficient use of resources**

All partners promote and have made available the agreed upon necessary measures to achieve the results set with the minimum possible resources, and without restricting the scope of projects.

11**Demand driven approach**

Cooperation is established in a voluntarily way through the explicit request of the recipient partner, in accordance with national priorities thereof.

12**Shared management by results**

Projects are not limited to the implementation of actions but are designed towards obtaining results that impact on the objectives, providing real support to the receiving partner.

13**Recipient Leadership**

The projects are led by the recipient partner. The other partners recognize and support this leadership steadily, showing co-responsibility.

14**Shared Results**

Results are established by agreement and with the direct involvement of all partners to achieve them, even if such involvement occurs at different levels.

15**Sustainability of Actions**

Projects leave installed capacities in the recipient partner, who must show commitment and the pursuance of means to continue with the results achieved.

16**Visibility**

The participation of all partners involved in the project is recognized and they must reach consensus as far as the way in which project results will be shared.



It is impossible to carry out a successful initiative where the recipient partner has no clear ownership of the project.”

CHAPTER II

Criteria and Practices in Triangular Cooperation Projects

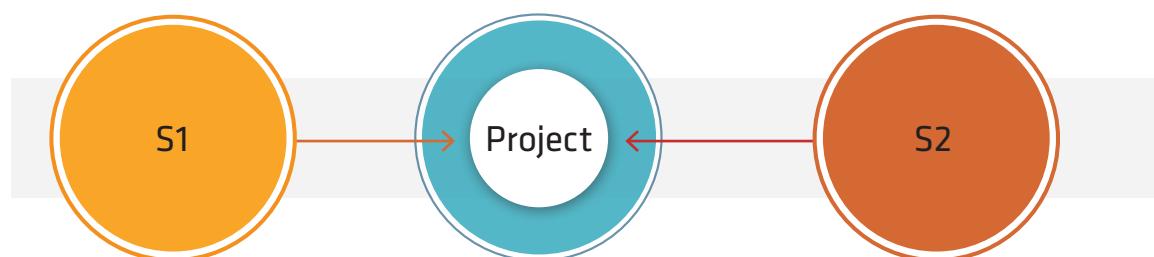
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In the Ibero-American context, specifically within the Report on South-South Cooperation in Ibero-America, it is understood that Triangular Cooperation¹⁰ is:

"South-South Cooperation modality by which a group of actors that can realize different types of inputs (technical, financial or other), divide the exercise in three roles: the so-called first partner and recipient (one or more developing countries, in each case), and the second partner

(developing country, developed country, regional or multilateral organization, or any combination thereof). The distinguishing feature is determined by the role of the first partner, which is pivotal for capacity building."

For the sake of convenience in this paper, the following roles and terminology will be understood: First Partner or Partner 1 (S1), Second partner or partner (S2), Recipient or Beneficiary Partner.



First Partner (S1)

One or several developing countries

Country or countries playing the role of the first partner acting as main responsible for capacity-building (provides technical assistance required), but can also make any other contributions.

Recipient partner

One or several developing countries

One or several developing countries on which rests capacity strengthening (receive technical assistance), but can also perform different types of contributions to the project.

Second Partner (S2)

Developing country, developed country regional or multilateral organization

Country /countries or organization / that play the role of a second partner and provide support (technical, financial and / or otherwise) in the capacity building process.

> Translating Triangular Cooperation Project Criteria



Demand Driven Approach

This approach derives from the principle of ownership and is directly related to the leadership of the recipient, who should ideally be home to the triangular cooperation formula through a demand specifically on the basis of their own needs.

It is therefore essential that the recipient have established its needs for technical assistance and cooperation in the framework of its National Development Plan and sectoral policies. It will also be necessary to know the best practices of other countries that can be shared and that could be relevant to their identified needs.

In line with the above, having an updated available inventory of technical support capabilities, through capability catalogs or other similar from S1, is essential. It is also useful for S1 to have rapid consultation mechanisms with its sectoral agencies to determine possible matching of the demands expressed by the recipient.

Although projects find their origin in the specific demands of the recipient partner, this does not preclude possible general cooperation agreements between S1 and S2 or between S2 and recipient partners to work in a particular region or specific sector. It is advisable to keep this in mind especially in the identification and negotiation stages.

Adaptation to the context

It is often said that one of the benefits of South-South cooperation is that it is carried out under similar development contexts. However, Ibero-American countries show relative differences in their political and economic contexts as well as in institutional and capacity building; hence the wealth of the region.

These differences among countries force to contextualize cooperation initiatives adapted to the needs and context of the recipient partner. Good

practices worthwhile sharing will be relevant only if this adaptation process is exhausted.

Adapting to the context of the recipient involves knowing the context of that country, but also understanding the development framework and specific sectoral policies in which the technical assistance provided will be inserted, understanding what specific needs the cooperation offered will respond to.

This adaptation to the context should stem from a quick scan the first time the initiative is brought to the table, is during the identification process, which can imply identification missions or other specific tools for this purpose. The most precise elements of adaptation are advisable during the project formulation stage, where such technical elements are contemplated and to which the recipient should provide as much information as it has available.

Adaptation does not only refer to the content of the initiative itself, but also to its embodiment, where cultural and institutional elements of the recipient will be considered and also during planning since it is desirable that it respond to the timing needs of the cooperation requesting partner as much as possible.

Stakeholder Articulation

One of the outstanding features of triangular cooperation is the high complexity of relations required to manage initiatives effectively without forgetting the participatory element. Coordination among multiple partners is complex. If we add to this the number and diversity of actors that add themselves to each actor, we have a challenge that requires to be managed.

That is why it is vital to promote stakeholder's articulation as a criterion present throughout project cycle. At each stage this articulation will require different mechanisms, possibly involving different actors who require different levels of articulation (political level, leadership level, execution level, etc.). Articulation mechanisms needed to formulate will not be the same as those used to monitor or evaluate. What is common is the need to define the mechanisms that allow to articulate and which should be established through formal agreements, although later they work more or less informally.



In a second momentum, during the implementation / execution stage, the contributions of all partners can become visible, giving equal value to resources regardless of their nature”

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For articulation to translate into concrete mechanisms it will be necessary to define the roles and functions of the various actors involved in the project as well as the elements that will require decision making to reach agreements at different levels throughout the project.

Access to information

Cooperation is by nature public and therefore in the framework of projects, it should be ensured that there is an effective access to information on the basis of the national legislation of each participating country. In the case of triangular cooperation projects, this information refers to the objectives, activities and agreements contained in each, and the level of progress and achievements attained as a result thereof.

This criterion should prevail throughout the project cycle. All the above without prejudicing national sovereignty of each partner.

Partner Contributions

It is commonly thought that the contributions to a project relate mainly to economic resources and therefore there is a tendency to highlight and draw attention to the contributions of S2 (second partner usually makes financial contributions), when in fact in triangular projects all partners involved contribute in the initiatives, either by providing human resources, in kind or of another nature; where they are not always quantified and therefore do not become visible. Regarding the quantification of the technical assistance provided by the SI, there is an open debate; however, monetization is not necessary for it to be recognized by the other partners.

It is important that all resources (financial, human and in-kind) that are made available to the project be taken into account in the negotiations and in the formulation

of the initiative so that they can be planned and compromised by the corresponding partner, through budgetary provisions and other specific mechanisms. These provisions are relevant to ensure compliance with the decisions made by each actor.

Budgetary provisions, in the case of the country providing technical assistance, are crucial since hired experts do not perform this service but rather officials provided by the institutions of the country and, therefore, there is a dependence on the responsiveness and commitment to cooperation of this person.

In the case of the resources provided by the recipient, they usually refer to facilities, resources for transfers, to organize training courses or meetings, persons dedicated to the Project or an amount for infrastructure which are not normally accounted for in the institutional plans or work, nor under a specific category of expenditure for cooperation or counterparties on their own budgets, but are collected within general areas of strengthening activities and current expenditures, which might be affected by unforeseen events, cuts and the prioritization of other needs. Hence early provisions regarding the quality of matching funds is very useful.

In a second stage, implementation / execution, the contributions of all partners can make themselves visible, giving equal value to resources regardless of their nature. This will favor the appropriation of actors.

Learning Jointly about Management

Triangular cooperation projects are very enriching in terms of project management since they involve a mixture of interests and ways of doing things by various actors, becoming an ideal place to generate learning and to foster a dynamic of continuous improvement.

To do this, however, there needs to be systematization mechanisms that allow generating findings throughout the project and lessons learned, that can be corrected over the initiative or to better guide subsequent initiatives. This criterion is key when proposing monitoring and evaluation mechanisms, so that they are not seen only as control elements but rather as lifelong learning products and where their results are integrated into subsequent managements.

The lessons learned under the project are subject to exchange with other actors and partners and, in aggregate, can help infer best practices. Communities of practice and the use of platforms are very useful for these purposes. The South-South Cooperation Report in Ibero-America itself performs this task well.

Celebrating a cooperation without conditions

Since the first South-South Cooperation Reports published by the SEGIB, regional cooperation authorities indicated that cooperation in this realm is a voluntary exercise among parties and is characterized by the absence of conditions of any kind (political, economic, commercial and / or otherwise), particularly towards the beneficiary partner. In this case, triangular cooperation should be vigilant to avoid these situations, and clarify them in the project negotiation and formulation stages.

In any case, the projects will result from pressures or impositions of the recipient partner. To do this, leadership and good negotiation skills should be demonstrated. On the partners side, respect and compliance with the principles of horizontality underlying these forms of cooperation shall be shown.

Since triangular cooperation is based on the South-South spirit of cooperation it should therefore favor the exchange among Southern countries, the technical assistance of the second partner (S2) must be provided under the project, only in cases where required by the recipient partner and where it generates added value for project objectives.

Consensus driven communication

Communication among partners is not sufficient for the implementation of triangular projects; consensus should be the fuel for their approval and therefore

communication should be directed at all times to achieving goals, ensuring the effective participation of all actors.

Guaranteeing this criterion requires the establishment of effective communication mechanisms in each project cycle phase and the relevant channels for reaching agreements by consensus. Communication channels should not be only among partners, but also with their sectoral and regional actors, as appropriate. They can be varied, from very formal in cases of large initiatives where the partners do not have much previous work experience or more informal and expeditious, in cases where a prior relationship exists of working together.

The criterion of communication will be closely linked to the definition of articulation of the project, taking into account the roles of each partner.

Roles of Partners

The complexity of triangular cooperation partners has been already discussed as far as the articulation of partners involved, by the multiplicity of actors and the difficulty of combining interests and practices.

Hence it is so important to define the roles and functions of all stakeholders and to concretize this in the project paper for the formulation stage. It is commonly easy to distinguish two major roles in triangular projects. A driving role that is responsible for the negotiation and major project decisions throughout all project phases, and normally corresponds to the cooperation governing body within each partner (also called focal point). And an enforcement role, understood as the party responsible for ensuring the implementation and monitoring of the project that is in charge of sector entities (who execute activities) and the cooperation governing body (that follows up on implementation). There may be other roles that are important to be defined among partners, such as the role of project coordinator, if this figure is considered necessary.

The duties distributed among partners in the framework of triangular projects may vary in each case, depending on the particularities of each initiative and the number of actors involved, therefore these must be determined at the formulation stage, defining who will exercise these



(...) during implementation it is pertinent to provide a budgetary and financial follow up throughout the general resource and implementation planning.

• • •

duties, how, at what times and how to report them to the remaining members. In this regard the annual operating plans and results framework should clearly define responsibilities. One exercise that is useful for this criterion is to establish maps of actors and functions in phases, as contained in Annex III.

A commitment towards the effectiveness of initiatives

It is increasingly essential, in the framework of cooperation in Ibero-America, to demonstrate that initiatives undertaken are really effective both in their implementation strategy and in achieving development objectives set, thus contributing decisively to regional development processes.

This purpose has not been easy, since it involves acquiring institutional capacities and resources needed to fulfill the commitments undertaken in the various triangular projects and ensuring human resources for cooperation tasks necessary for triangular cooperation scaling up, the establishment of methodologies, procedures and administrative and financial frameworks that facilitate project development.

Micro project management can contribute to project effectiveness, by devoting more time and resources in designing initiatives and mechanisms for their implementation, so as to ensure that the proposed actions will lead to the fulfillment of expected objectives. It is also important to anticipate possible threats / contingency factors that may affect normal project development. Regarding the latter, we must provide warning mechanisms and contexts to agree on corrective measures or reorientations. In short, the most affected phases by this criterion will be the formulation and implementation stages.

Efficient use of resources

South-South Cooperation is recognized for being capable of reaching results without incurring into high costs. While this is a widespread statement, the

efficiency of the statement is yet to be proven and would involve, among other factors, accounting for S2 resources, the valuation of S1 technical assistance and Recipient partner human and in-kind contributions versus results.

Today triangular cooperation has been taking advantage mechanisms that do not require higher resources for certain activities : discussions and communication Informal for identification, negotiations virtual , non-contact design, mechanisms follow through embassies , etc. Generally these are good practices if they are given a certain rigor methodological .

Notwithstanding the foregoing, the actual enforcement of the efficiency criterion should lead to ensure the proper use of resources, seeking to maximize them. But also to a formula in which project financial management eliminates current high transaction costs and for which new funding instruments are required as well as more flexible management standards.

Regarding project management it is necessary to define the resources committed by each partner during the negotiation stage. In the formulation stage these commitments can be concreted in a transparent plan for the allocation of resources associated with the activities planned, where the budget is included but also the contributions agreed by the partners.

During the formulation stage it is also important to define clear administrative and financial rules for the implementation of the project's financial resources and associated procedures.

Later during implementation, a budgetary and financial monitoring is crucial along the planning and implementation of overall resources committed by partners, evaluating levels of compliance and enforcement.

Towards a shared management driven by results

The quest for results and their visibility is essential to ensure legitimacy and promote triangular cooperation growth over time. However, it has not been an easy task since South-South cooperation planning exercises have been limited largely to the timing of activities and actions which even under strict compliance standards not always lead to the achievement of the objectives set; therefore, the RDM approach was established, with the aim of triangular cooperation to gradually begin generating sufficient evidence of its benefits. The Results Driven Management starts with the corresponding negotiation-formulation process where not only the objectives sought by the initiative are established but also the concrete achievements expected. The planning process will be guided by these accomplishments / results planned throughout time, and all activities and resources committed should correspond directly to any of the scheduled results.

Results are expressed in measurable actions and therefore indicators and verification sources are established, which may preferably be those used by the recipient partner to measure the furtherance of its own policies. To measure the progress of results it is essential to carry out the complementary monitoring during the implementation phase.

Recipient's necessary leadership

It is impossible to carry out a successful initiative where the recipient partner has no clear ownership of the project. The leadership of this partner is key to the success in all phases of the project cycle. Leadership

must be reflected not only in the clarity to require the necessary cooperation, but also in the command over the entire life cycle of the initiative, always helped by all partners involved. It is not realistic to expect that the recipient partner will have all the capacities installed to negotiate, formulate, evaluate, etc. Therefore, the remaining partners will have the shared responsibility in conducting the project and will support the recipient partner as much as possible in its leading task.

The S2 can support by providing technical assistance to strengthen the management capabilities of the recipient partner and the sharing of its accumulated cooperation experience.

Seeking shared results

This criterion is in line with the responsibility indicated in the previous issue, in the sense that all partners will be responsible for the results obtained by the initiative developed.

Each member may set its own goals for the initiative to be achieved by the project framework: receive technical assistance.

The idea is to make visible a practice originally promoted by one partner at an international level, strengthen a particular policy, etc. Results shared should match specific project objectives and clearly attribute them to the implementation of the agreements by each party and their collaborative relationship. This should be a criterion strongly implemented in the formulation and evaluation phases.

10. In this Guideline, whenever "triangular cooperation" is mentioned it refers to what is called, in the framework of the South-South Cooperation Report in Ibero-America as "South-South triangular cooperation".

Sustainability of initiatives

Minimum sustainability of initiatives will be sought to promote the incorporation of capabilities / strengthened experiences in the host country's own policies, in addition to the future valuation of a cooperation initiative among larger scale partners based on the results of the first phase (when applicable).

Some elements that help achieve this sustainability are first the ownership of the initiative by the recipient (expressed for example in the political support for the initiative), its alignment with the times and dynamics of the recipient (adaptation), the technical soundness of the proposal, the output of visible results (benefits), the broad participation of beneficiaries, among others. All these must be considered from the identification phase.

Visibility

Frequently, when we talk about this issue within the framework of cooperation, only the visibility of actors comes to mind. However, although this approach recognizes the importance of making visible the contributions of all partners in a given initiative, it mainly refers to the need for project results and cooperation among partners to be revealed to relevant stakeholders, and particularly in the context of the recipient partner.

However, visibility measures and channels should be agreed. The best time to establish these elements is during the negotiation phase.



**(...) the active participation of the
recipient partner is crucial to ensure
project success.**

CHAPTER III

Applying criteria to Project cycle phases.

.....

Four phases (4) are recognized in the Ibero-American context, in the planning and management of triangular project cycle, which are:



Phase 1: Identification

This is the stage in which partners identify cooperation needs and opportunities and, jointly carry out an initial analysis of potential cooperation.



Phase 2: Negotiation and Formulation

The stage in which the cooperation formula is debated and formalized and agreements are reached to govern the relationship among partners. This is the stage where the project's planning matrix is developed based on the results expected; activities and resources of a potential operational plan are also designed.

Articulation and communication mechanisms are agreed upon in this phase the same as Project agreements, and other elements considered relevant for its success.

Negotiation and Formulation are two differentiated steps within the development framework of a triangular Project, both with respect to the actions included as well as the actors that participate in them, which are not the same in all cases. Within the Ibero-American context they are treated in one same phase, given their coincidence in time, but respecting their own characteristics.



Phase 3: Implementation

It is related to the technical execution of projects based on the project agreement paper. The complementary monitoring action is executed during this phase.



Phase 4: Evaluation

Project valuation is carried out at this phase on the bases of previously defined criteria and goals, all parties involved in the Project carry out this assessment.



FIGURE 2

Follow up and Monitoring complement these four phases, differentiating:



Follow up

Is the continuous and systematic process for obtaining information on the progress of a Project, adapt strategies and sustain the decisions reached. Therefore, monitoring is an action that each partner carries out through the whole cycle of a Project. Once the Project is formulated, its joint monitoring parameters and mechanisms can be defined for certain aspects deemed relevant. This action in itself requires other no less important actions such as information systematization.

Monitoring

Is a systematic action by which data is compiled and analyzed allowing establishing compliance with results versus scheduled goals. It assists in identifying trends and patterns and to shift actions if deemed necessary. Monitoring is essentially executed during the implementation phase, although its mechanisms and parameters (indicators) are established during Project formulation and must be shared by all partners.

Both follow up and monitoring are essential to ensure the effective management of triangular cooperation, in order to account for its results and to learn lessons from it.

Triangular initiatives contained in the South-South Cooperation Reports to date demonstrate a high heterogeneity in addressing the different phases, among other factors, due to the absence of common parameters in Ibero-America.

Undoubtedly, each phase requires a differentiated treatment with specific actions and tools to ensure proper development, reason why it is necessary to recognize the key elements of each and how they should be linked to the various actors involved.

It is clear that the participation of all partners in the various stages of project cycle is essential; however, the active participation of the recipient partner is recognized as key to ensuring the success of the project.

specific practices and specific tools that will insure that the practice will be enforced.

Two examples for the articulation of criteria and the demand-driven approach are presented. Practices and tools outlined (one for each criterion) correspond to the formulation and negotiation phases respectively, and are just one of the many practices and tools that can be used.

In the example used, it is noted that associated to the articulation criteria, it can be proposed for the formulation phase:

A concrete practice: under the leadership of the recipient partner, the project was formulated by consensus, with the participation and support of all partners and stakeholders.

A tool that enables this practice: The existence of a tripartite body for formulating, and which may have one or more levels of performance.



How are the 16 criteria applied to the various phases of the project cycle?

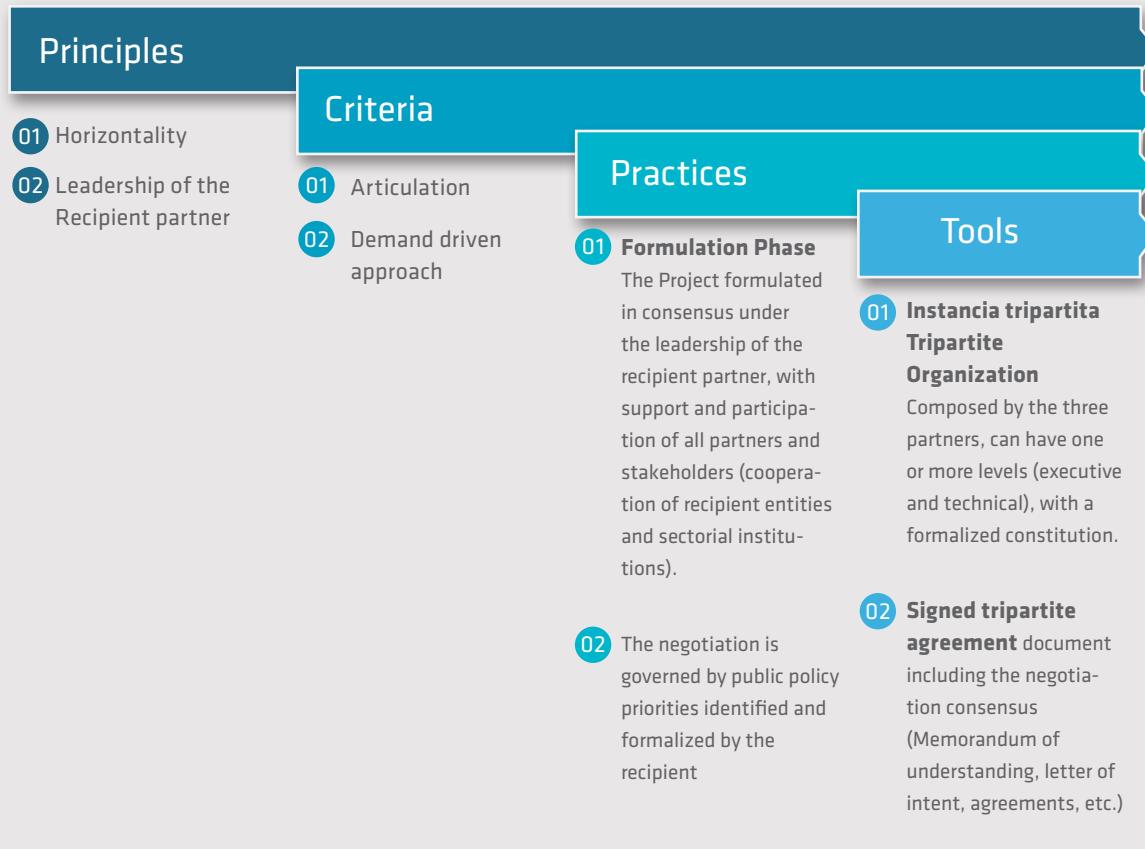
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These criteria are guidelines for action that are applied to the entire project cycle. Criteria will be transformed into

In addition to practices, a range of possible tools to be used are offered to execute practices, which have been classified into three types: project governance tools, procedures tools and instruments tools.

FIGURE 3

Example of the translation of triangular cooperation criteria into practices and tools



Tools for Project Governance: These are the necessary structures to steer the Project and ensure its governance. They determine the strategies, resources, decision making, etc. Examples include a Negotiation Committee, Follow-up Committee, Evaluation Tripartite Organization, etc.



Procedures: Makes reference to the forms and procedures that are necessary to ensure ideal proposals, as is the case of meetings between partners, reach agreements on diverse aspects of the project, etc.



Instruments: Makes reference to the instruments that provide support or those used to execute the proposed practices. Some examples include the project document, terms of reference to evaluate the project, the administrative and financial specifications of the project, etc.

The criteria described in the previous section will now be applied to each phase of the Project, emphasizing the ideal practices associated to the criteria and the tools required to bring them to fruition, with the clarification that the following will not constitute a finished list, but rather a summary of those that are considered most relevant for countries that make up the PIFCSS.



Phase 1: Identification

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As previously mentioned, this is the phase in which partners identify cooperation needs and opportunities and jointly make an initial analysis of the possible cooperation.

To facilitate the identification process, recipient partners need to have identified their strengthening and technical assistance needs within their development policy framework, ensuring that these respond to their National Development Plans and corresponding sectoral policies. Partners 1 and 2 can facilitate this step, providing recipient partners their updated cooperation capacities. Access to information by the recipient partner is of utmost importance so that it may request an informed cooperation application.

The partner's request has to be clear and concrete once the identification process has initiated. This will then be conveyed through the official channels established for this purpose and will be respectfully received by

the S1 and S2, with which there will be constant candid communication.

Communication channels and mechanisms will be established among partners to allow for an open exchange of information in order to analyze the initiatives. The mechanism of each partner with their sectoral organizations should also be included so as to contemplate the technical specifications of each sector that may entail an action.

During this phase it is recommended to identify needs as well as the capacities of the recipient partner to understand the cooperation received and include the sustainability criteria from the onset of the project. With the initial feasibility agreement on a given initiative, partners will move to the next phase. Figure 4 on the following page depicts the set of practices and tools related to identification.

The main tools for the identification phase are:



Tools related to the Identification Phase

Governance

- **Without a specific structure.** A specific governance structure was not identified in this phase, since the initiative does not exist yet and the actors involved can be of different types. Nevertheless all partners should participate actively in this phase, stressing mainly on the recipient partner.

Procedures

- **Work meeting among partners.** Meetings among the three partners can be in person and virtual, to jointly identify initiatives and analyze their pertinence and viability.
- **Articulation mechanisms with sectors.** The mechanism (rounds for consultation, meetings) should be established between the cooperation leading body and the sector institutions of the recipient country, to identify cooperation demands and strategic actions for the furtherance of the goals set in a given Project.

Instruments

- **Sector plans of the recipient sector.** In order for the demand to be aligned to the needs of the recipient partner the latter must have its sector Plan or a map of the technical assistance required in line with the National Development Plan. These papers are the foundation for a timely demand.
- **Official Demand of the recipient partner.** This document renders the demand of the recipient partner official, and clearly recollects the initiative requested.

FIGURE 4

Practices and Tools related to the Identification Phase





Phase 2: Negotiation and Formulation

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a) Negotiation

The stage in which cooperation is discussed and formalized and the agreements that regulate the relationship among partners are established. This step generally generates a Document of Agreement among partners, which can have several names and formats depending on the participants (Memorandum of Understanding, Cooperation Agreement, Letter of Intent, etc.).

These documents are key since they compile objectives, scope and resources available to the project. They also regulate sensitive aspects such as absence of conditions laid, access to information and visibility of the project.

It is worth mentioning that in many cases there are bilateral framework treaties or agreements between first and second partners. These are usually broad in nature and in some cases define large work sectors

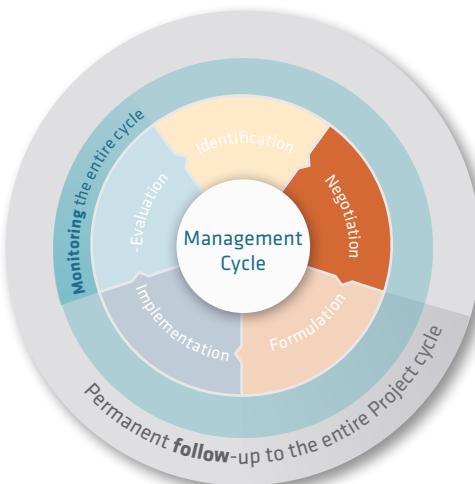
and geographic regions to undertake triangular formulas. In these cases the negotiation of each project will have these frameworks as reference, although in no case will they be determining the actions, but rather negotiating each action based on the demand presented by the recipient.

The former implies that the negotiation needs to be a process in which all partners participate with equal opportunities and the recipient partner is capable of setting up an agenda and leading the process, supported by the rest of the partners. It is important to have a clear concept of the cooperation demand and shared objectives to negotiate.

The negotiation must have at least a small structure to ensure effective communication among all partners. This structure is generally integrated by high/mid-level cooperation representatives of the governing bodies from each partner, who generally take over the negotiation competencies during the cooperation in each country. This structure will define its own official or accepted negotiation channels.

The aforementioned structure can coincide in some cases with the one established to draft the Project, which is a process that generally occurs parallel to the negotiation. In those cases in which it doesn't coincide, the competent drafting stakeholders as well as the governance structure for each Project cycle are defined during the negotiation phase. It is advisable for every case to precisely document the results of each negotiation phase to capture the agreements reached.

The main tools used during the Negotiation Phase are the following:



Tools Associated with Negotiation

Governance

- **Tripartite Organization.** Ensures equal negotiation conditions for all partners. This organization is normally constituted by mid to high level representatives of each partner's cooperation governing bodies and plays a key role, since the triangular cooperation must take into account all interests and realities of each country/organization.

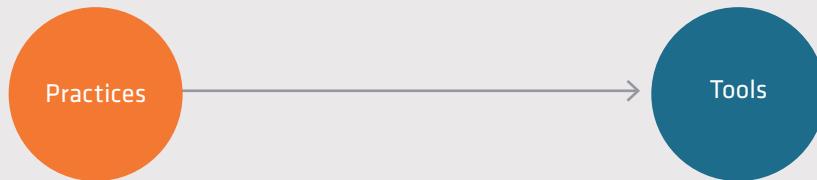
Procedures

- **Effective negotiation mechanisms among partners.** It is necessary to establish communication mechanisms among all partners to guarantee participation in the negotiation of cooperation governing bodies (focal national points) as well as regional and sectoral organizations (when deemed necessary).
- **Communication channels to ensure agreements.** Establish communication channels among all three partners to negotiate the agreements through established official channels and define next steps. Actions taken outside the official channels will not be accepted as negotiated actions.

Instruments

- **Official document containing the negotiation agreement.** Tripartite agreement document signed by all partners, compiling the consensus derived from the negotiations (memorandum of understanding, Letter of intent, Cooperation agreement, etc.) It can annex the project document, or mention that the document will be drafted at a later date.

Figure 5 summarizes practices and tools related to this phase, highlighting the main tools in bold. It is worth mentioning that the following practices and tools listed for the Negotiation Phase have certain limitations, especially when dealing with projects presented to Funds or other pre-existing instruments which provide limited negotiation capabilities.

FIGURE 5**Practices and Tools Associated with the Identification Phase**

- 01** The negotiation is governed by the priorities identified and formalized by the recipient partner, which will have to clearly establish the objectives to be included in the initiative. The result of the negotiation will be to clearly establish the agreed objectives.
- 02** The cooperation negotiation competencies are defined within each country. In any case, cooperation governing bodies from all three partners will participate in the negotiations.
- 03** The recipient partner has the capacity to lead the negotiation (formalizes the request, organizes the meetings, establishes the topics, sets times and routes), and the rest of the partners support this leadership.
- 04** Once the request has been formalized, all three partners participate in the negotiation process under equal conditions, deciding jointly the results of the project.
- 05** All three partners maintain constant communication through the official channels established to negotiate, reaching agreements and defining work sectors and areas according to the recipient partner's priorities.
- 06** There is a political commitment from the recipient partner to undertake the Project and from the partners to provide their support.
- 07** A governance/implementation mechanism is established for all phases of the Project as well as the mechanisms to access information in a consensual manner and under equal conditions for all partners.
- 08** Partners formalize the concrete contributions that each one will provide to the project and estimate the internal resources (technical, human, financial) according to the agreement, to guarantee that they will be available for an effective execution of the project.
- 09** There are no commercial, financial political or other conditions in the initiatives that favor the S1 and S2.
- 10** As per agreement, the S2 can provide technical assistance if the other partners have a specific need and if it generates value added to the project.
- 11** Consensus will be reached by all stakeholders once the criteria, channels and resources have been established for visibility.

Governance

- Tripartite organization that ensures equal negotiation conditions for all partners.

Procedures

- Communication mechanisms for all three partners guaranteeing participation of cooperation governing bodies in the negotiation (national focus points) and complement them with regional and sectoral entities (when deemed necessary).
- Recipient partner creates a proposed agenda for the negotiation process, including the official communication channels.
- Holds meetings or other information exchange mechanisms between each partner and their sectoral organizations to share advances and results from the negotiation.
- Deny any action negotiated or preceded outside the official channels.

Instruments

- Signed tripartite agreement document, including all consensus resulting from the negotiation (memorandum of understanding, letter of intent, cooperation agreement, etc.).
- Opt-out clause for conditioning of any nature that may condition the recipient partner.
- National regulation determining the competency of the cooperation negotiation, including the identification of focal points of the different ministries/regions/ states and provinces.

b) Formulation

This phase generally takes place parallel to the Negotiation phase, complementing each other, since Project planning allows specifying the requirements and conditions, to have a more sound negotiation. In addition, the agreements of the negotiation serve as a guide for the scope under which to formulate.

The Project document and planning matrix are created during the formulation of the logical framework based on the previously established results. All the technical aspects related to the project need to be defined during this phase.

It is necessary for the sectoral organizations of the recipient partner and first partner (S1) to participate actively in the formulation process to obtain pertinent results, since they are the ones that have the specific sectoral knowledge and that ultimately execute the projects.

The roles of each partner need to be clearly defined after the formulation is concluded, especially the

degree and type of involvement of the second partner. The second partner's assistance will only be provided if the recipient partner requests it and as long as it generates added value to the project.

The results matrix with indicators and means of verification derives from the agreements from all three partners. It is preferable for these indicators to be based on the goals established under the policies of the recipient partner. It is beneficial to foresee potential Project risk and sustainability factors besides the results.

Administrative and financial elements of the project such as procedures, administrative framework, budget, contributions from all partners, financial follow-up, etc. should be defined additionally to the technical elements during the formulation phase.

The main tools proposed for the formulation phase are the following:



Tools associated to the **Formulation** phase

Governance

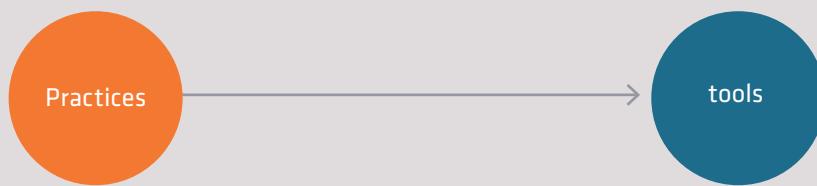
- **Tripartite organization leading Formulation.** Tripartite organization integrated by all three partners that can have one or more levels (leadership and technical), depending on what the partners define during the negotiation. Its constitution should be formalized in the Tripartite Agreement or in the Project Document. It is convenient to include the participation of the cooperation governing body of each country and the corresponding sectoral (executing) institutions. This organization is not necessarily the same one that negotiates the project and will vary from case to case. It is the organization in charge of organizing the project's management.

Procedures

- Work meetings among all partners to formulate. The complexity of the roles and stakeholders is one of the characteristics of the triangular cooperation as well as being a factor that brings challenges at the time it enriches formulation. For this reason it is necessary to establish in-person or virtual work meetings with all stakeholders (meetings, workshops, formal exchange of communications), leaving evidence of all agreements reached in order to be clear on the initiative and define the role of each stakeholder.

Instruments

- **Project document.** Vouched by all partners, and containing all relevant aspects to ensure an effective initiative: results planning matrix, agreements, indicators, monitoring mechanisms, roles of partners, stakeholders, management and follow-up mechanisms, communication among parties, contingency mechanisms, timeline of activities, budget and contribution breakdown (human and in-kind resources), risk factors, information access mechanisms, visibility strategy, systematization mechanisms, monitoring and follow-up missions.

FIGURE 6**Formulation Phase**

- 01** The Project is formulated through consensus with the participation of all partners and actors (cooperation governing bodies and sectoral institutions) and under the leadership of the recipient partner.
- 02** The formula and plan are elaborated aiming at reaching the results agreed and establishing the indicators based on the national plans and priorities of the recipient partner.
- 03** There is a clear understanding of the roles performed by each partner, as well as the level of involvement of the S2, executing organizations and cooperation governing bodies.
- 04** All management procedures (technical, financial, human resources) are considered and agreed upon among all three partners when formulating the initiatives, in order to fulfill the objectives established in the initiative.
- 05** Logical and administrative frameworks for all three partners are clear and agreements are made on which ones will be used, adapting them to the reality of the work conditions.
- 06** Monitoring and follow-up mechanisms and indicators are established to measure each result, as well as mechanisms to share information.
- 07** A resources and budget program is defined with clear and agreed deadlines and responsibilities for all stakeholders, as well as actions aimed at allowing for maximization of resources.
- 08** Each partner should foresee internal actions to ensure that the contributions it has committed to deliver in the framework of the project are executed.
- 09** Clear administrative and financial norms are established. As well as the parties responsible for program follow-up, human resources, technical and financial phases, and communication mechanisms, have all been established.
- 10** Risk factors that may affect the project's sustainability have been contemplated and decision-making, lessons learned and dispute settlement mechanisms have been established.

Governance

- Tripartite organization ensuring that the negotiation takes place under equal opportunities for all partners, integrated by all three partners that may have one or more levels (leadership and technical), with an official constitution. The governing body from each country and corresponding sectoral (executing) institutions participate in this organization.

Procedures

- Hold in-person or virtual formulation meetings with all stakeholders (meetings, workshops, formal exchange of communications), keeping evidence of all agreements reached.
- Establish communication channels at a formal and technical level amongst partners as well as between each partner and their sectoral organizations.
- Develop forecasts of necessary resources (financial, human, in-kind) to guarantee a successful execution of the project.
- Agree on the criteria and mechanisms for joint follow-up and monitoring activities.

Instruments

- Project document containing all relevant aspects to effectively execute the initiative is vouched by all partners.
- POA is approved with budgetary provisions.
- Procedures document as well as administrative and financial specifications can be annexed to the Project document.
- Commitment letters from sectoral ministries committing their human resources and/or in-kind contributions to the project.
- Recipient partner's sectoral base lines and indicators to monitor results.



Phase 3: Implementation

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As previously stated, the execution of the project takes place during this phase, up keeping the terms agreed upon during the formulation phase, which ideally should be included in the Project Document. Changes can be made if the project requires it or based on a recipient partner's request, as long as there's a formal agreement among all partners.

As for the rest of the phases, the leadership of the recipient partner is key, for this reason it is necessary for said partner to have the capacities required to perform this role. It is also key to designate an implementation team including the governing body as well as the sectoral (executing) organizations. Participation needs to translate into serious involvement that includes executing organizations that will ensure the sustainability of the actions undertaken and leave installed capacity in this partner.

The rest of the partners have shared responsibility in the success of the Project and will have to provide support to the recipient partner whenever it may be necessary, while simultaneously executing the previously agreed roles and responsibilities, including execution of activities as well as joint follow-up and monitoring of the results proposed for the project.

The implementation phase will be guided by the agreement set forth in the Project document, and more specifically, in the POA or Plan of Action (as determined in each case). These documents gather not only the proposed results, but also activity planning and financial execution of the associated resources which should be followed-up by all partners.

Another key element will be to verify that proposed activities (follow-up) are carried out according to plan in order to make adjustments to actions if necessary. Equally important is systematically verifying results so as to ensure that the established Project objectives are being reached (monitoring).

Partners will ensure to obtain the necessary learning elements from both follow-up and monitoring processes for future initiatives. The quality of available information used to evaluate will depend on the systematization of these two processes.

It is convenient to share results as they begin to emerge as agreed among partners. It is particularly relevant for the recipient partner so as to promote ownership amongst beneficiaries and a certain level of political commitment.

The main tools proposed for the implementation phase are the following:



Tools associated with the Implementation Phase

Governance

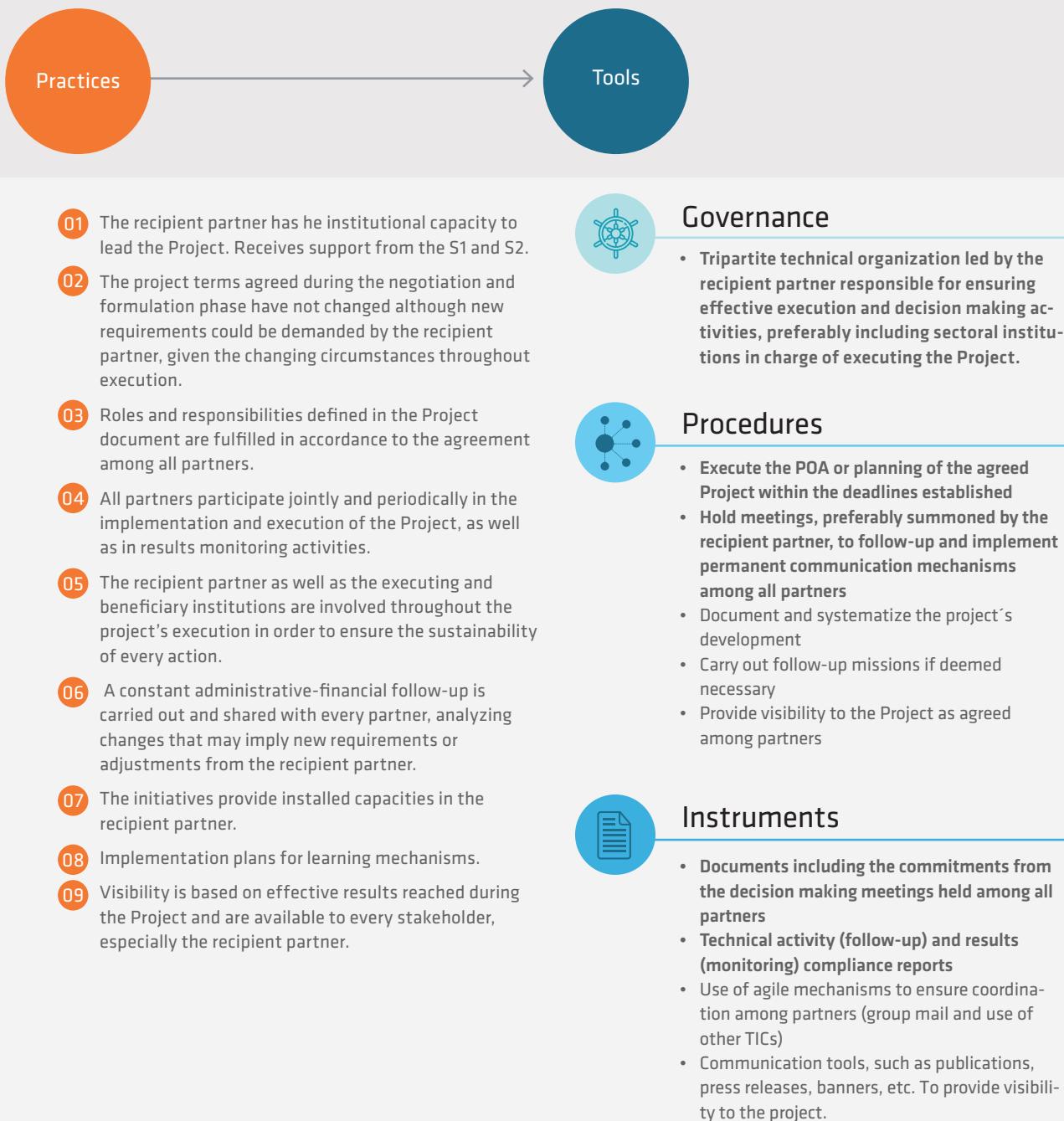
- **Technical tripartite organization.** Lead by the recipient partner, ensuring execution, follow-up and decision-making, preferably including sectoral project-executing organizations. This organization is purely technical in nature and is in charge of the day to day activities of the Project, taking advantage mainly of formal and informal communication/coordination meetings. This organization can report to a superior decision-making organization if deemed necessary.

Procedures

- **Executing the plan.** Execute the Project plan (POA or Plan of Action) agreed among partners within the established deadlines. This document can be part of the Project Document or derive from it afterwards. In any case, it contains the specific scheduling of activities and results over time, as well as the plan of all the necessary resources to ensure project completion. The project may have a one year term depending on its scope and may execute more than one during the project's lifecycle.
- **Follow-up organizations.** Hold meetings, preferably summoned by the recipient partner to follow-up and implement permanent communication mechanisms among all partners. An important part of the implementation is verifying if the agreements were accomplished, which can be done through follow-up (programmed activities) and monitoring (achievement of results). The verification parameters are set forth in the Project framework during the formulation phase. The partners will carry out agreed upon joint follow-up and monitoring actions during implementation, through the establishment of specific communication mechanisms and meetings as deemed necessary, all of which will be set forth in the project document.

Instruments

- **Agreement documents.** These include the commitments agreed by all partners deriving from each decision making meeting. These documents will be generated from the meetings held by the Tripartite Committee and will include all of their discussions.
- **Technical activity (follow-up) and results (monitoring) compliance reports.** These reports will provide information on the Project's progress and will allow for re-directing efforts if necessary. When preparing these reports, it is necessary to have common parameters, formats and methodologies to simplify the work and provide a shared view to all partners. It is also advisable to reach agreements on division of labor for this task.

FIGURE 7**Practices and Tools Associated to the Implementation Phase**

Phase 4: Evaluation

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The evaluation is the least practiced phase in triangular cooperation; therefore there aren't many methodological references to carry out this process. Nevertheless, the evaluation phase is key not only to reveal the achieved results, but also to use it as a learning and continuous improvement tool in cooperation management.

Triangular cooperation formulas don't always become medium or large projects, quite the opposite, they are usually limited initiatives in terms of time, scope and resources, but this doesn't mean they are excluded from evaluation, what will vary is the type of evaluation performed based on the resources and time available. Therefore, evaluation resources should be planned for during the formulation phase.

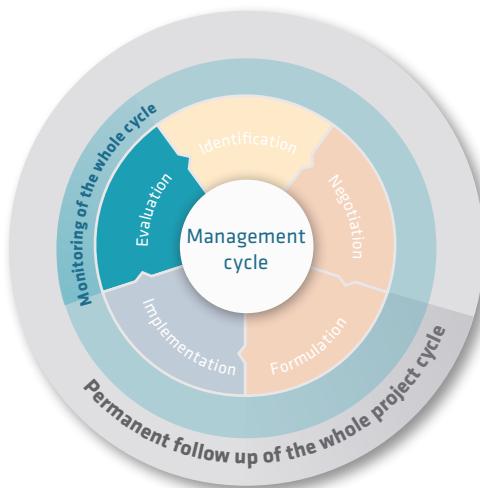
The size and availability of resources will also define if an external evaluation will be performed or not. Peer reviews may be a good practice when existing resources are scarce to carry out an evaluation.

In any case, what is certain is that it requires all partners to have minimum structures to evaluate units or individuals that meet this function, and have, therefore, the skills and competences required for these structures. Even in cases of external evaluations, it is necessary to define the terms of reference and follow-up evaluation, which always involve specific evaluation knowledge and therefore require qualified personnel.

In a triangular cooperation project, it is desirable that the partners agree on various aspects related to the evaluation process, particularly the most important like the criteria and scope of the evaluation. Generally, evaluations tend to review the compliance with results, however, the implementation of agreements, the relevance of the management mechanisms used, the effective use of the resources provided for project implementation compared to those scheduled, project sustainability, lessons learned and good / bad practices could also be reviewed by the three partners on project management, etc.

In any case, partners should define these evaluation criteria together and clarify them before starting an internal or external process. In the case of self-assessments they must be very rigorous and also agree on a methodology to carry out the exercise.

Regardless whether we are dealing with external evaluations, or an internal process, the information available to carry out the evaluation is key in the process, since it is the basic input for the evaluator. Such information is normally generated automatically from the follow-up and monitoring phases and that is why these two are so relevant. When follow-up and monitoring were not considered and included, the evaluation task was virtually impossible since there was no systematic information on the project. In some cases evaluation exercises were conducted without orderly information, which translated into high economic and time costs.



Tools associated to the Evaluation Phase

Governance

- Tripartite entity (among the three partners) responsible for reaching consensus on the definition of the evaluation process for the project and for accompanying the project through all phases This entity can validate the evaluation team, the methodology, work plan, partial and final results papers that are produced during the evaluation exercise.
- Skills and resources for evaluation within each partner. An evaluation unit or entity within the cooperation governing bodies of each partner that assumes evaluation duties. An ad-hoc entity may assume this competition or staff dedicated to other tasks that can assume the evaluation functions and be totally capable of doing so. Having such instances is key because an evaluation is usually a highly technical and very specific task and therefore capacities must be installed in institutions, even to monitor external evaluations.

Procedure

- Define the scope and criteria of the evaluation to be conducted. Partners must mutually agree on the most relevant parameters of the evaluation that are normally the scope and criteria of the evaluation, which in turn will be included in a terms of reference document. Throughout the evaluation process, findings might arise that suggest the need to incorporate new elements into the evaluation and which can be duly considered by the partners. The scope of the assessment will also be determined by the resources and time available.
- Active participation of all partners in the various stages of evaluation. Partners will ensure their participation throughout the evaluation process, provide inputs that might be required from them and commit the time necessary to participate in the activities of the exercise and to validate the documents generated thereof.

Instrument

- Terms of reference document of the evaluation agreed among partners. This document is the basis for the evaluation methodological design. The achievement of the expected results of the evaluation process depends on the quality of the terms of reference to be developed. It is important to remember that evaluation is not only a quality control / results parameter, but also and above all, a tool for learning and improving, so its design must be as diligent as possible. It is desirable that the terms of reference document contain clear objectives, criteria, deadlines and expected products depending on the extent agreed among partners.

FIGURE 8**Practices and Tools Associated to the Evaluation Phase**



Follow up and monitoring

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a) Follow up

Follow up is an activity that each partner (cooperation lead agency) conducts on a permanent base and individually throughout the project cycle, using parameters and procedures. However, it is possible to reach agreements among the partners to carry out a common follow-up on certain aspects that are relevant to both parties. This is the shared follow up that is referred to in this guideline.

This follow up may include aspects such as: compliance with activities, the performance of the roles of each partner, financial implementation, application of procedures, articulation of actors, visibility of results, the sustainability of actions, etc. Some of the following practices are associated with these actions:

- Partners agree on the aspects that they will follow up jointly.
- Partners exchange information constantly during the life cycle of the project including a periodic review of the progress and status of the project.
- Joint reports are available that reflect the participation and involvement of participating actors and institutions.
- The bodies responsible for project implementation exchange activity reports with the agency / body responsible for cooperation. These reports will be the main inputs for decision-making.
- There is a tripartite body that, based on the follow up reports issued, take measures to shift the various aspects of the project and its compliance.
- Periodic follow up meetings are held as well as special meetings when requested by any of the partners.
- The three partners share their experiences in the integrated project follow up.

No specific tools have been developed linked to these practices, since the former will depend on the specific agreements regarding which aspects will be followed up in a joint fashion.

b) Monitoring

Monitoring, unlike follow up, occurs only during the implementation stage and must be necessarily common to all partners, since it is based on the achievement of the jointly proposed results.

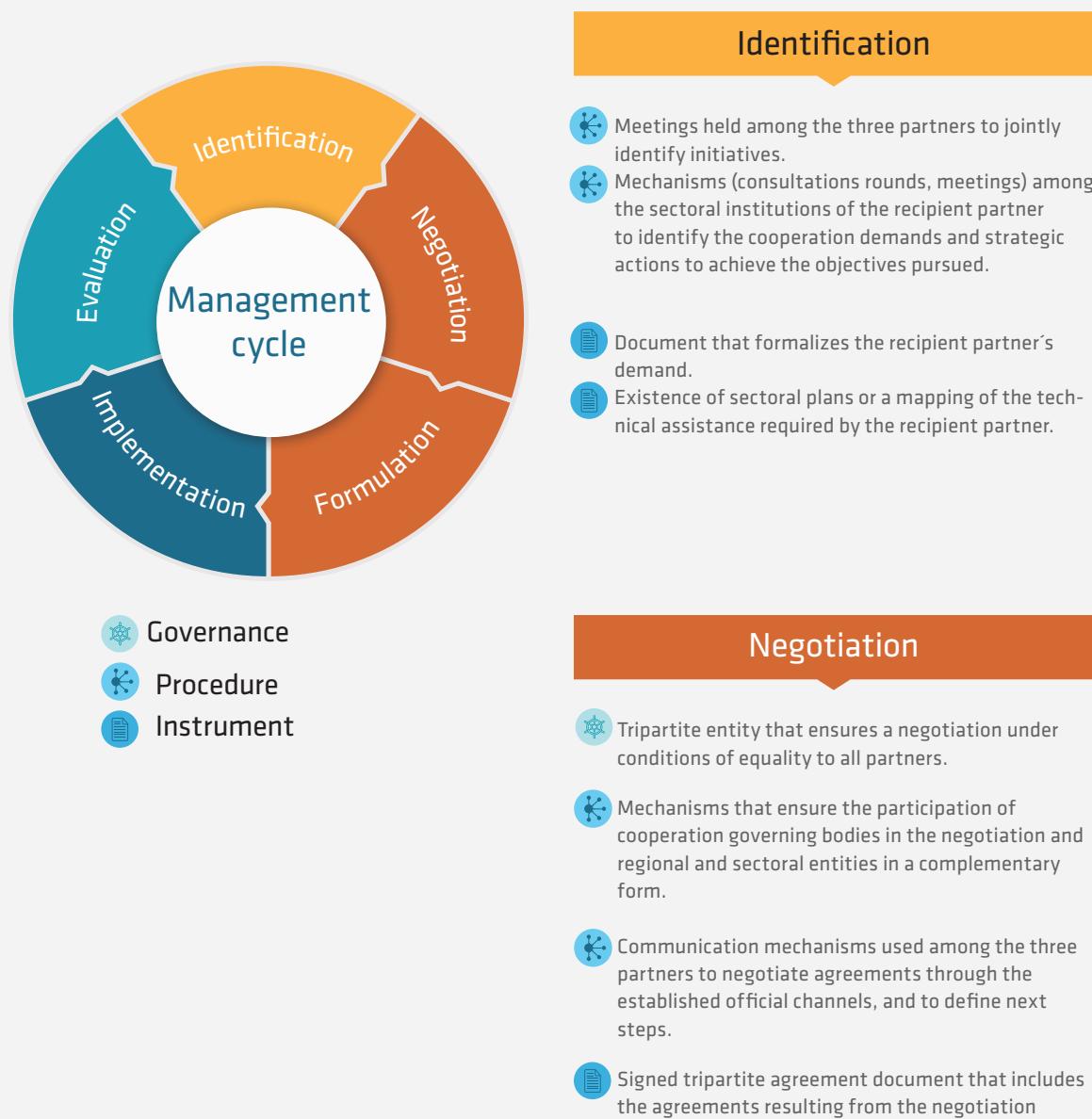
Monitoring is conducted by verifying the sources that allow measuring the performance indicators set for each result. It is recommended that the recipient partner propose such indicators based on the goals of its own policies.

Some of the suggested practices for monitoring include:

- Partners design monitoring mechanisms and reporting forms for their joint report
- All partners are jointly involved in monitoring the results and in preparing the respective reports
- Partners S1 and S2 may decide at any given moment to perform verification missions to verify the achievement of results and objectives

During the monitoring phase some of the tools used could refer to the development of baselines, the design of reports, the agreement on the results matrix with its respective indicators, etc.

¹¹ The term cooperation capabilities refers to different technical strengths and expertise that countries have and they can offer and share as technical assistance to their partners .

FIGURE 9**Summary of the main tools identified**

Formulation

-  Formalized tripartite entity composed of the three partners, which may have one or more levels.
-  Hold in person or virtual work meetings with all stakeholders (meetings, workshops, formal exchange of communications, etc.), keeping a record of the agreements reached
-  Project document containing all relevant aspects and endorsed by all partners for the effectiveness of the initiative.

Evaluation

-  Tripartite entity responsible for defining the evaluation methodology by consensus that accompanies the whole process.
-  Evaluation unit or entity within the cooperation governing bodies that assumes evaluation functions.
-  Define the scope and criteria of the evaluation to be performed
-  Active participation of all partners in the different stages of evaluation
-  Evaluation terms of reference document agreed among partners, which includes the scope and criteria of the evaluation exercise.
-  Final evaluation report document with findings and recommendations, endorsed by the three partners.

Implementation

-  Tripartite technical body led by the recipient partner which ensures implementation, monitoring and decision making, and preferably includes the sector institutions that will implement the project.
-  Implement the POA or project planning agreed among partners at the scheduled times.
-  Hold meetings, preferably convened by the recipient partner to follow up and implement permanent communication mechanisms among all partners.
-  Documents reflecting the commitments of decision-making bodies of all partners.
-  Activity compliance technical reports (follow up) and results (monitoring)



ANNEXES

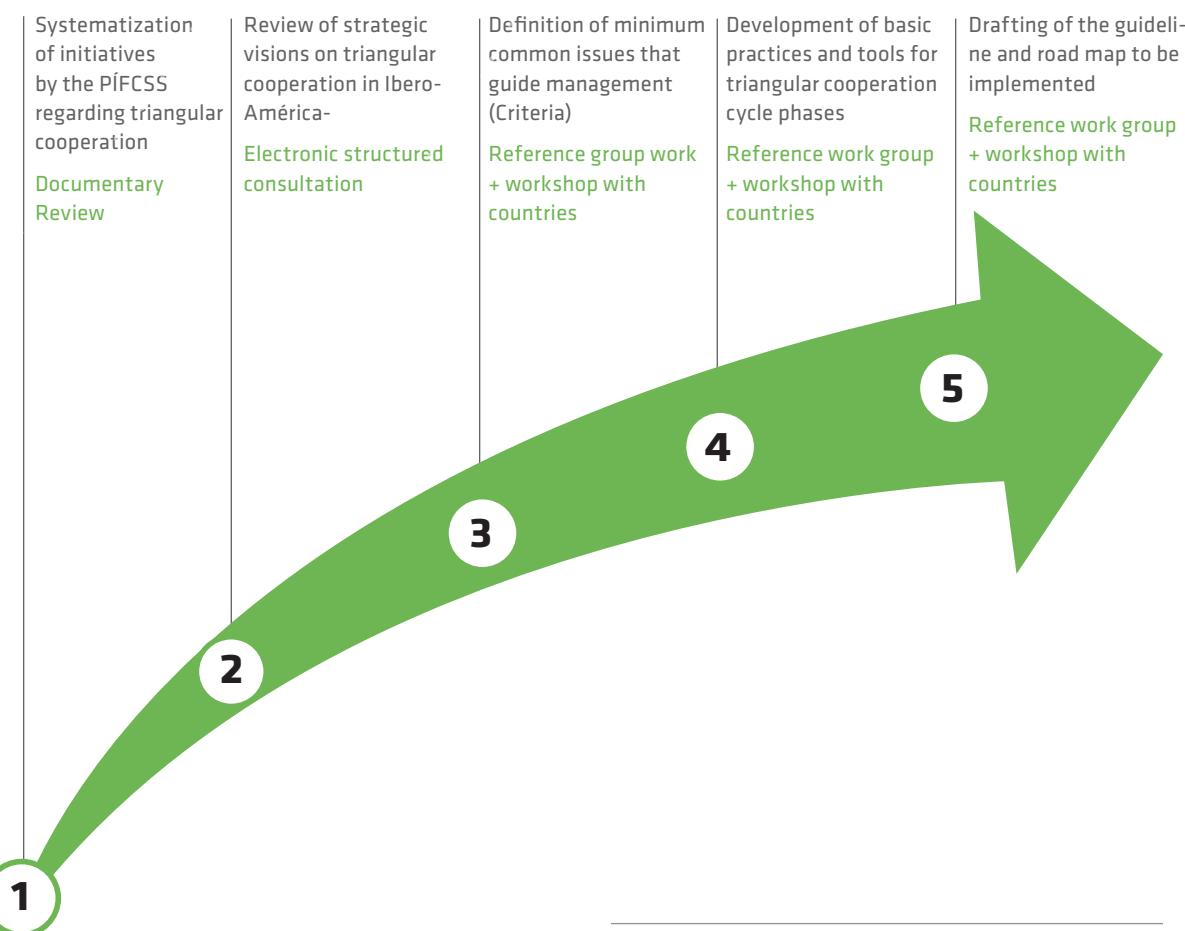
> Annex 1

Guideline Drafting Process

The drafting process of this Guideline was conducted over a five month period, which included various activities undertaken by an international consultant, among which the following can be highlighted: (a) consultation structured for PIFCSS member countries, on strategic and institutional

frameworks with which triangular cooperation is managed, and (b) holding two workshops (Bogota, July 2014; San Salvador, August 2014),¹³ in which the countries discussed and defined the criteria for triangular cooperation in this area, outlining concrete steps for the implementation of the guideline.

Actions developed during the construction of the Guide



¹³ The reports of Workshops are available on the PIFCSS Web Page <http://www.cooperacionsursur.org>

> Annex 2

Development of criteria according to project cycle phases

ADAPTABILITY

Initiatives are adapted to the context of the recipient partner, respecting the priorities, times, cultural and institutional characteristics thereof. It also requires administrative and financial flexibility by partners.

Examples of tools that allow the implementation of practices

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> There is an analysis of whether the initiative can be adapted to the reality of the recipient partner. The structured cooperation supply of S1, support opportunities of S2 and technical assistance needs of recipients are public knowledge. 	<ul style="list-style-type: none"> Feasibility study or diagnostic mission to determine a possible adaptation of the initiative. Mapping of technical assistance required by recipients. Updated cooperation offer between the other two actors (S1 and S2), surpassing tools like catalogs
Negotiation	<ul style="list-style-type: none"> The negotiation process ensures that the initiative developed and supported is adapted to the needs and reality of the recipient 	<ul style="list-style-type: none"> A document is developed that reflects the commitment to adapt. Eg. Letter of commitment signed by the three parties
Formulation	<ul style="list-style-type: none"> Initiatives are formulated and planned adapting themselves to the appropriate time of the recipient There is clarity of legal and administrative frameworks of the three countries and agreements are reached regarding which will be used. The procedures to be followed by the project are adapted. 	<ul style="list-style-type: none"> A governance structure composed of the three partners that agree on times, legal and administrative frameworks is developed Commitment signed to ensure the implementation of the project within the schedule financial administrative rules agreed by the three partners.
Implementation	<ul style="list-style-type: none"> The three partners seek flexible cooperation frameworks, especially concerning administrative issues The three partners have the flexibility to adapt to changing circumstances throughout execution. Sectoral institutions implementing the project play an active role in the project, since they largely mark the technical adaptability of the project to the reality of the recipient. 	<ul style="list-style-type: none"> Follow up reports on the implementation of the project. Agreed decision making spaces for possible adjustments. Contingency strategies allowing to readapt if necessary. Articulation spaces within the S1 and the recipient that allows for a fluid communication with the sectors.
Evaluation	<ul style="list-style-type: none"> Flexible mechanisms exist to adapt the evaluation criteria to new circumstances. 	<ul style="list-style-type: none"> Follow-up reports and monitoring results are used for possible adjustments to evaluation TORs.

ARTICULATION

The actors involved in the project show convergence and are related to each other based on a formal framework and an (informal) interpersonal connection that are functionally positive for the project. To ensure this articulation, the actors of a project must establish a governance structure, which promotes the interaction among partners and from where to jointly lead and decide on project development.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> Define the cooperation governing body of each partner Partner 1 and the recipient have internal mechanisms in each country that allow them to identify the suitable counterparts for each project 	<ul style="list-style-type: none"> Cooperation governance is regulated within each country Establish a mechanism to ensure the identification of focal points in the various ministries and Regions / States / Provinces that report to the National Focal Point
Negotiation	<ul style="list-style-type: none"> Existence of a project governing body and a negotiation and formulation leadership process in which the three partners participate in a coordinated manner 	<ul style="list-style-type: none"> Tripartite Committee or another governance and leadership structure that can contemplate one or more levels
Formulation	<ul style="list-style-type: none"> The time frames and internal communication channels of each partner will be taken into account. Decision making mechanisms are established as well as for dispute settlement 	<ul style="list-style-type: none"> Schedule of activities in the project document that reflects the appropriate execution times, in particular those of the recipient. Tripartite Committee for decision-making and dispute settlement
Implementation	<ul style="list-style-type: none"> Regular meetings are held to reach agreements Activities are carried out with the knowledge of all stakeholders 	<ul style="list-style-type: none"> Video conferences Communication for activity initiation through notes or other formal mechanisms
Evaluation	<ul style="list-style-type: none"> No evaluations are charged or implemented without the explicit agreement of the three parties The aspects to be evaluated are agreed and also the manner to carry them out jointly 	<ul style="list-style-type: none"> Preparation of TDR with a detail of what is going to be evaluated. Trained technical resources of the three partners to carry out a self-evaluation (if applicable)

CONTRIBUTIONS OF ALL PARTIES

All partners contribute to projects through their available resources and means, creating ownership. Such contributions are recognized by all partners regardless of their nature (economic, technical, in kind, etc.)

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> The three partners conceived the project as a space for mutual exchange and learning and consider, from the outset, the specific contributions they will make. 	<ul style="list-style-type: none"> Letter of intent signed by the three parties
Negotiation	<ul style="list-style-type: none"> Formalized specific contributions that each partner will contribute to the project All contributions are recognized by all partners 	<ul style="list-style-type: none"> Tripartite agreement where the governance scheme is developed and the contributions of the three parties are agreed Design forms and the formulation document of the project incorporates the specific definition of the contributions that each partner will make regardless of their nature (inputs, technical, financial, in-kind)
Formulation	<ul style="list-style-type: none"> Each partner foresees internal actions to ensure that each partner complies with the contributions committed 	<ul style="list-style-type: none"> Budgetary forecasts and letters of commitment of the ministries, engaging human resources for the project Advanced Programming of in-kind contributions in the planning of sector ministries Contingency item in case of problems or changes agreed by all parties Valuation of the technical assistance and in-kind contributions
Implementation	<ul style="list-style-type: none"> During project implementation the review of compliance with the contributions committed by each partner is performed 	<ul style="list-style-type: none"> Progress reports on compliance collect the contributions committed
Evaluation	<ul style="list-style-type: none"> Evaluations collect the compliance with the agreement, including the contributions made by each partner 	<ul style="list-style-type: none"> Establish compliance with agreements as a criterion in evaluation methodologies

JOINT MANAGEMENT LEARNING

Partners involved recognize a clear benefit of the project in that it gives them a specific value for themselves. Sharing management learning's and experiences is seen as a relevant and specific outcome of the initiatives.

	Ideal practices that allow for the application of the criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> New initiatives in the light of the experiences gained are analyzed The new programs are designed taking into account the review of previous programs. 	<ul style="list-style-type: none"> Digital tool to collect good and bad practices Review bodies of triangular programs involving the three partners
Negotiation	<ul style="list-style-type: none"> There is consensus to review the negotiation and formulation process at the end of the phase, as a key element in the definition of projects and programs, highlighting strengths and weaknesses of the process 	<ul style="list-style-type: none"> Executive document agreed among the parties to ensure joint management learning, and include it in the Agreement where commitments among the parties are established Reports collecting lessons learned, good and bad practices of the process Create opportunities to exchange learning and errors that occurred during the negotiation process
Formulation	<ul style="list-style-type: none"> The project document includes mechanisms to review learnings throughout the project The formulation of projects that are a continuation of another will include aspects mentioned in the evaluations of earlier stages (where applicable) 	<ul style="list-style-type: none"> Common analysis methodology agreed among stakeholders for learning, with guidelines on what will be reviewed
Implementation	<ul style="list-style-type: none"> The project goes through a regular progress and status review, including analysis and exchange on the participation and involvement of actors and institutions participating in project implementation Management reports include an analytical component (and not only descriptive), based on the methodology designed by the partners to allow the evaluation of joint management learnings 	<ul style="list-style-type: none"> Follow up committees with defined mechanisms to exchange on process learning included in monitoring reports
Evaluation	<ul style="list-style-type: none"> The terms of reference of the evaluation address the lessons learned and good / bad practices on project management by the three partners All the inputs of the project cycle are in place, including the ones necessary for project evaluation The three partners provide structures and minimum human resources to evaluate projects 	<ul style="list-style-type: none"> Development of common criteria for the evaluation methodology. Execution or follow up reports, monitoring results, systematization of various levels In the case of very important programs or projects resources are reserved to conduct an evaluation in accordance with previously established criteria and the manner in which results are communicated are agreed Having units / departments to assess the capabilities within agencies

CONSENSUS DRIVEN COMMUNICATION

Decisions are reached by mutual agreement among all partners. For them, projects have clear channels established that indicate how communication among actors will take place within each country and among partners. Decision making and agreements are reached through these channels.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> The three partners exchange information on cooperation demands and establish agreements under the leadership of recipient 	<ul style="list-style-type: none"> Online database of CT supply and demand Single file for CT project submission Strategy that defines the communication path and networks of interaction and information exchange
Negotiation	<ul style="list-style-type: none"> The three partners meet, maintain a fluid communication through the established official channels, reaching agreements and next steps 	<ul style="list-style-type: none"> Standardize first “meeting, workshop” where the three partners meet in the process of consensus-driven communication Document of Commitments that establishes official communication channels, indicating the official communication links among the three partners Not accepting as negotiated actions those transacted outside official channels
Formulation	<ul style="list-style-type: none"> Under the leadership of the recipient, the project is formulated by consensus with the participation of the three partners 	<ul style="list-style-type: none"> Creating a tripartite or management or coordination committee Formulation Workshop where all institutions and liaisons responsible for cooperation of the three partners are involved Project document and POA are agreed among all partners and are accompanied by an operating agreement that includes communication mechanisms and channels among the three partners (meetings, videoconferences, email, official communications) and communication at the national level, especially S1 and recipient partner
Implementation	<ul style="list-style-type: none"> The three partners involved are informed and follow up project implementation under the leadership of the recipient partner 	<ul style="list-style-type: none"> Creating a mail group for the project, which includes all stakeholders Implement the rule of keeping aids memoirs, or agreement documents of the meetings Follow up reports
Evaluation	<ul style="list-style-type: none"> There are criteria and processes defined by consensus to evaluate and communicate the results 	<ul style="list-style-type: none"> Agreed upon evaluation methodologies Defined evaluation process among the three partners Terms of Reference agreed among the three partners for project evaluation Evaluation report

CLEAR DEFINITION OF ROLES

The projects include a detailed definition of the players involved in a project as well as the roles and functions to be played by each of them. This definition will reflect an agreement among parties.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> The role of the recipient is recognized as the first resort demander 	<ul style="list-style-type: none"> Official Manifestation of a demand as the starting point for any project
Negotiation	<ul style="list-style-type: none"> The three partners comply a negotiation role defining in each case who formalizes the request and through which pathway The entity in charge of the negotiation is defined within each country 	<ul style="list-style-type: none"> Development of regulatory frameworks that govern the negotiating role for cooperation within the countries
Formulation	<ul style="list-style-type: none"> The project document includes the roles to be played by each partner, and the level of involvement of S2 The project document presents the definition of the roles of executive institutions and focal points within each of the partners (coordination and implementation roles) There is a technical and political commitment by all three parties to assume the role agreed 	<ul style="list-style-type: none"> Endorsed document signed by all partners and implementation agreements or other Project document with a clear definition of roles accompanied by a more specific document defining the roles and responsibilities as may be agreed among all parties Communication channels established at the formal level and technical level among the three partners
Implementation	<ul style="list-style-type: none"> The roles defined in the project document are fully complied with No coordination roles are assumed by execution entities or vice versa 	<ul style="list-style-type: none"> Follow up, tripartite or other committees involving all participating actors and institutions Execution review entity, role playing compliance, monitor whether roles are met
Evaluation	<ul style="list-style-type: none"> Evaluation Tof R reflect the form of participation of each of the partners in the evaluation process 	<ul style="list-style-type: none"> TdR worked, jointly defining participation

INITIATIVE EFFECTIVENESS

The projects include results, agreed processes and mechanisms that lead to the effective fulfillment of the objectives set by the three partners.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> The three partners are involved from the beginning in identifying initiatives in order to have a clear demand with well-defined objectives The recipient shows political and technical clarity for the definition of cooperation demands or requirements Flexibility in the time given to the recipient partner to define its cooperation demands and capability assessment 	<ul style="list-style-type: none"> Working meetings among the three partners to jointly identify initiatives Mechanisms (rounds of consultations, meetings) among sectoral partner institutions of the recipient to identify cooperation demands and strategic actions to achieve objectives Mapping of the recipient's technical assistance Analytical document verifying capabilities of the recipient (prefeasibility)
Negotiation	<ul style="list-style-type: none"> The three partners involved in the whole negotiation process on an equal play field In the negotiation phase the recipient (and its respective institutions) state clearly their objectives and demands to meet with the initiative Cooperation governing institutions in charge of negotiations of the three partners, that have the global vision of cooperation in each one of the countries 	<ul style="list-style-type: none"> Conduct working and exchange meetings within each partner, involving the Foreign Ministry, cooperation focal points and institutions of the sector so that all actors know what is being negotiated and under which terms and sectors
Formulation	<ul style="list-style-type: none"> The recipient partner leads the initiative formulation process, clearly indicating its demand for cooperation The cooperation governing bodies and sectoral institutions with expertise in the field (mainly the recipient partner) involved, participate in the formulation process. In formulating initiatives all procedures and management arrangements (both technical, and financial and human resources) are considered and agreed upon among the three partners in order to achieve the objectives outlined in the initiative 	<ul style="list-style-type: none"> Face to face and virtual meetings for discussion and exchange on the initiative to be formulated with the participation of the sectoral entities of each partner led by the recipient partner Project documents that address all aspects relevant to the effectiveness of the initiatives (expected results, partner roles, mechanisms and instruments for management and monitoring, communication among the parties, contingency mechanisms)

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Implementation	<ul style="list-style-type: none"> Collaboration and support by partners 1 and 2 so that the recipient can lead the process and thus respond to their requests for cooperation There are flexible mechanisms allowing for the implementation of initiatives, to adjust them, adapt projects to possible changes in the demands of the recipient partner. There is a permanent follow up of activity implementation and monitoring on the implementation of results 	<ul style="list-style-type: none"> Project documents which clearly specify the goals and demands of the recipient partner, and activities to be implemented for achieving goals. Management and / or monitoring committees, which meet periodically (either in person or virtually) to monitor the implementation of activities and make changes in them, if fluid and clear communication are necessary, using ICTs, among partners, to disseminate information relevant to the achievement of objectives. An agile mechanism to agree on contingency measures
Evaluation	<ul style="list-style-type: none"> Evaluations take into account not only the compliance with results but also with activities, management mechanisms used, the role of actors and their compliance / recognition etc. 	<ul style="list-style-type: none"> Methodology defined and agreed among the parties to evaluate not only the implementation of activities / indicators but also all phases of the project in terms of management mechanisms, involvement and participation of partners, their roles and compliance methodology, etc.

EFFICIENT USE OF RESOURCES

All partners promote and have available by consensus the necessary measures to achieve agreed results with the minimum possible resources, without restricting the scope of projects.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> The partner with the most experience or political / technical proximity to the recipient) serves as facilitator to the recipient to identify their needs and potential resources available within the framework of a triangulation 	<ul style="list-style-type: none"> Legal tripartite instrument that establishes governance of a triangular formula with clear roles, technical, administrative and financial resources, availability of human and in kind resources, among others Budget Plan and / or project resources, which make visible the financial, technical, in kind and / or human resources to be allocated by the three actors in the initiative and define runtimes, monitoring and evaluation as well as those responsible for roles Have standard formats in which the design of the project budget is considered, reflecting the financial, human and in-kind resources for their implementation
Negotiation	<ul style="list-style-type: none"> All partners must determine the necessary resources to be used in the comprehensive implementation of project resources, as embodied in the joint drafting of the requirements document that includes human and in-kind resources Partners make an internal forecast of resources as agreed and committed by agreement to ensure them for the effective implementation of the project 	<ul style="list-style-type: none"> Generation of a minimum protocol for action by partners for the optimal and transparent negotiation and formulation of triangular cooperation projects (with emphasis on substantive aspects and programming that enables the contributions of parties in both their technical financial, human and in-kind) dimensions. Commitment letter signed by all parties
Formulation	<ul style="list-style-type: none"> The project document agreed by all partners involved contains the programming budget and other resources with deadlines and clear responsibilities. The project document promotes formulas for maximizing available resources for activities There are clear established administrative and financial rules. There are also those responsible for follow up of the program's implementation phase and human, technical and financial resources of the project and the mechanisms for sharing information There are internal control standards that promote transparency There is an unforeseen item in the case of changes to the project or unforeseen new requirements and mechanisms for joint decision-making on this item. 	<ul style="list-style-type: none"> Establishment of technical and policy bodies among partners, to respond to administrative and financial problems of the project in its implementation / performance stage Clear budget and resource programming properly revealed to all parties Project document is accompanied by a document containing the administrative and financial arrangements A contingency item in the project's Budget Tripartite Committee or other decision-maker of a financial nature

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Implementation	<ul style="list-style-type: none"> Constant financial administrative monitoring is performed which is known by all partners Meetings are held to analyze changes involving new requirements in the project or adjustments to resource scheduling There is enough maturity among the three partners to discuss the normal or not so normal development of administrative, technical and financial aspects of a project. 	<ul style="list-style-type: none"> Policy body that ensures the implementation process of the project, considering possible unforeseen limitations in terms of resources and budget planning of the initiative. Establish technical and financial monitoring mechanisms for the triangular cooperation project resources, to verify compliance of scheduled items over executed ones to attain goals Systematization of good practices at the time of implementation / execution of the project within its financial and technical administrative levels.
Evaluation	<ul style="list-style-type: none"> Partners have a joint evaluation mechanism, which reflects the effective use of resources expected from the timely implementation of the project. In turn, the evaluation mechanism or body allows partners to have tools that enable them to measure the degree of compliance of scheduled items over those executed in a triangular cooperation, in substantive terms. 	<ul style="list-style-type: none"> Construction of a joint evaluation mechanism, which should consider substantial aspects that the parties involved can contribute to the project at that stage. In turn, at this stage there should be the collaboration of an external entity, which can provide neutral elements so that the parties to the initiative can systematize Project evaluation report approved and agreed upon, which provides a substantive description of the role and performance elements of each partner and their compliance with it during the implementation process of the total Triangular Cooperation project cycle

DEMAND DRIVEN APPROACH

Cooperation is established voluntarily at the explicit request of the recipient, in accordance with national priorities thereof.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> The recipient has identified the areas requiring technical assistance The recipient's demands are clear and communicated opportunely The S1 and S2 base the process of identifying the needs communicated by the recipients The S1 has plans or sectoral information that enables it to carry out an effective analysis of demands received 	<ul style="list-style-type: none"> Mapping of the technical assistance required Knowledge of the technical capabilities of the other partners. Need of an upgradeable platform or other means Sector identification round table in which it is determined how the sector is working based on country priorities
Negotiation	<ul style="list-style-type: none"> Negotiation is based on the identification and formalization by the recipient that communicates it clearly. 	<ul style="list-style-type: none"> Exchange of formal communications among the three partners that reflects the demand of the recipient.
Formulation	<ul style="list-style-type: none"> The final formulation document is aligned and has the official validation of the cooperation governing body of the recipient. 	<ul style="list-style-type: none"> Official validation letter accompanying the final project document
Implementation	<ul style="list-style-type: none"> The beneficiary country has institutional capacities to lead the project The project terms agreed in the negotiation and formulation stage are kept, but can be considered New requirements demanded by the recipient 	<ul style="list-style-type: none"> The team of the recipient country is responsible for management to ensure implementation Capacity building, technical assistance, transfer of officials in the recipient country, etc. Commitment signed to ensure the implementation of the project as was agreed
Evaluation	<ul style="list-style-type: none"> The recipient has the capacity to actively participate in the evaluation. The aspects proposed by the recipient that require to be evaluated are taken into account, in particular, and included in the agreement on evaluation scope and criteria 	<ul style="list-style-type: none"> Technical assistance and training to the recipient on evaluation capacity building

SHARED MANAGEMENT BY RESULTS

The projects are not limited to the implementation of actions but designed to obtain results that impact on the objectives set, providing real support to the recipient.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> The beneficiary country is clear regarding the results desired with a particular initiative and the policy to strengthen with this initiative 	<ul style="list-style-type: none"> Clear and defined development policy and sectoral policies in recipient partners
Negotiation	<ul style="list-style-type: none"> Negotiation is governed by public policy priorities identified by the recipient country Agreement on the results-and results based management for the entire project cycle 	<ul style="list-style-type: none"> Agreement document among all parties containing the results pursued.
Formulation	<ul style="list-style-type: none"> Results driven planning and based on national plans and priorities of the recipient partner, using government statistics for the definition of the baselines, whenever possible 	<ul style="list-style-type: none"> Project document with a planning matrix by results with accountabilities Agreement of indicators and development of baselines Development of methodologies for monitoring Triangular Cooperation results
Implementation	<ul style="list-style-type: none"> All partners are jointly involved in the implementation and execution of project monitoring, project implementation, by monitoring and conducting missions to review results 	<ul style="list-style-type: none"> Joint monitoring reports Monitoring Committee that verifies compliance with which to evaluate results Follow-up meetings to review the results, so as to allow to reformulate if necessary Use of ICT available to facilitate the reporting and monitoring processes
Evaluation	<ul style="list-style-type: none"> Evaluate among other things, compliance with the proposed results Evaluations are conducive to displaying the relevance of the project for the public policies of the recipient partner 	<ul style="list-style-type: none"> Evaluation ToF R include the analysis of results The results of the evaluation are included in the final report of the project

LEADERSHIP OF THE RECIPIENT

The projects are led by the recipient country. The other partners steadily recognize and support this leadership, showing shared responsibility.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> The initiatives are born from a need identified by the recipient partner 	<ul style="list-style-type: none"> The recipient has sectoral development plans Mapping of the required technical assistance on the technical and institutional capacity building for the recipient
Negotiation	<ul style="list-style-type: none"> The recipient has the ability to lead negotiations (organizing meetings, establishing the topics, marking the times and routes) and other partners provide support. There is evidence of political commitment by the recipient to carry out the project and other partners for support 	<ul style="list-style-type: none"> Letter of commitment for project implementation Technical Assistance in negotiating issues
Formulation	<ul style="list-style-type: none"> Under the leadership of the recipient, formulation is carried out with the support of all stakeholders . 	<ul style="list-style-type: none"> Strengthening of technical and institutional capacities for project formulation
Implementation	<ul style="list-style-type: none"> The recipient has a dedicated and permanent team responsible for leading the implementation of the Project Partners 1 and 2 foster and value the active role of recipients 	<ul style="list-style-type: none"> Active participation of recipient, presiding / coordinating the Tripartite Committee for Leadership and Monitoring, as appropriate, in accordance with the procedural manual, project implementation, standardized performance protocols in which the liability is determined for each of the partners
Evaluation	<ul style="list-style-type: none"> The recipient assumes a key role in the evaluation process, actively participating and validating the results reflected in the evaluation 	<ul style="list-style-type: none"> Evaluation Work Plan clearly reflects the role of the recipient in the evaluation Letter validating the results of the evaluation by the recipient

SHARED RESULTS

Initiatives are of a public nature. The actors involved in the project agree to ensure the dissemination of results to all relevant stakeholders.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> Regardless of the results that can be achieved with the development of the project, the particular results for each partner are established upon project termination 	<ul style="list-style-type: none"> Document setting out the results for each particular partner.
Negotiation	<ul style="list-style-type: none"> The objectives and results of the project are negotiated and agreed by consensus among all actors, placing the responsibilities of each partner to achieve them 	<ul style="list-style-type: none"> Charter or implementation agreement
Formulation	<ul style="list-style-type: none"> Monitoring mechanisms and performance indicators for each outcome are established 	<ul style="list-style-type: none"> The project document establishes mechanisms for monitoring and compliance with results with those responsible for implementation The project document establishes clear roles to ensure the involvement and recognition of all actors
Implementation	<ul style="list-style-type: none"> The three partners share the experience and results under equal terms, from a coordinated and collective work during execution A joint monitoring is carried out regarding agreed results 	<ul style="list-style-type: none"> The tripartite committee sets meeting places to share partial results throughout implementation Monitoring system that measures compliance with results
Evaluation	<ul style="list-style-type: none"> The three partners and implementing institutions are responsible for the goals accomplished, and those not reached The evaluation of results is established as a criterion indicating an analysis of the level of fulfillment of the responsibilities by each partner. 	<ul style="list-style-type: none"> Develop a simple publication that contains information about the development of the project and the results achieved Consider entities for sharing the results achieved with project beneficiaries

SUSTAINABILITY OF ACTIONS

Projects leave installed capacities in the recipient country that must show its commitment and seeks the means to continue with the results.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification	<ul style="list-style-type: none"> The initiatives required are a real need in the framework of national priorities 	<ul style="list-style-type: none"> The existence of a national development plan that clearly defines national priorities Diagnosis of institutional capacities to develop strategies that seek the sustainability of actions Knowledge of the technical offer of countries Communication mechanisms between cooperation governing institutions and sectoral institutions
Negotiation	<ul style="list-style-type: none"> There is political commitment by the recipient to give continuity to the initiative or to institutionalize the measures proposed by the project The recipient has a clear objective 	<ul style="list-style-type: none"> Agreement or commitment letter
Formulation	<ul style="list-style-type: none"> Projects are linked to public policies of the recipient country and its priorities in a realistic manner Participation and involvement of the executive institutions (beneficiaries) is ensured during the formulation process Risk factors that may affect the sustainability of the project are considered 	<ul style="list-style-type: none"> Working meetings and consultation with all stakeholders Tripartite or management committees for the formulation where executing agencies are involved The project document has an array of risk factors
Implementation	<ul style="list-style-type: none"> The recipient partner and its executing and beneficiary agencies must have a real involvement during project implementation, to ensure the sustainability of actions The activities included in the project are incorporated in the programming of implementing institutions and good practices are institutionalized The project leaves installed capacities 	<ul style="list-style-type: none"> That project documents are standardized according to Logic frameworks (including, for example risk factors) Follow-up of actions and results based on the project document and the POA established Sectoral Documents that include the project or its actions as part of its measures
Evaluation	<ul style="list-style-type: none"> The evaluation shall verify whether the project included criteria for sustainability Disseminate information on the results and achievements of the project, as a tool for empowerment, allowing to mobilize key stakeholders that may have an impact on political levels to ensure conditions for continuity 	<ul style="list-style-type: none"> Evaluation criteria defined to verify the sustainability of actions Systematization and dissemination of project results, using printed or electronic media , etc.

VISIBILITY OF ALL PARTIES

The participation of all partners is recognized and known to all parties in the project, and the way in which the results will be shared is agreed upon as well.

	Ideal practices that allow for the application of criteria	Examples of tools that allow the implementation of practices
Identification		<ul style="list-style-type: none"> No visibility action is carried out by any partner until there is a negotiation on the project to be implemented, its objectives and mechanisms for visibility
Negotiation	<ul style="list-style-type: none"> channels and resources for visibility are negotiated 	<ul style="list-style-type: none"> Stipulate in the MOU or commitment document all the actors involved. Also, insure that this document is signed by all players (even observers)
Formulation	<ul style="list-style-type: none"> The elements of visibility towards “external actors” as the target population are agreed 	<ul style="list-style-type: none"> Establish a visibility protocol in which all the partners agree on aspects of the project that will be given visibility and which are authorized to do so
Implementation	<ul style="list-style-type: none"> Visibility will be based on actual results achieved by the project and will be used by all the players but particularly by the recipient partner 	<ul style="list-style-type: none"> Working Group within the recipient (beneficiary) with all stakeholders; and delegates from partners 1 and 2 that participate in the meetings. Use of relevant / political spaces to give visibility to the triangular project, as agreed among partners
Evaluation	<ul style="list-style-type: none"> Mechanisms defined to give visibility to the results of the evaluations and the good practices survey. The above by mutual agreement among all partners 	<ul style="list-style-type: none"> Evaluation documents that include visibility of the results

> Annex 3

Chart of roles/actors

 Leadership
 Participation

ACTORS	IDENTIFICATION	NEGOTIATION	FORMULATION	IMPLEMENTATION	FOLLOW UP	MONITORING	EVALUATION
Cooperation Governing body S1							
Cooperation Governing body S2							
Cooperation Governing Recipient Partner							
Sectoral Institution S1							
Sectoral Institution S2							
Sectoral Institution Recipient Partner							
Offices of S1 and S2 within the recipient partner							