



Independent project evaluation

**Strengthening capacities of policy-makers to  
assess implications of non-tariff measures in  
international trade and formulate appropriate  
policy responses**

**Development Account Project 1415 N**

Evaluation and Monitoring Unit

May 2019

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This evaluation report was prepared by Alexandre Daoust, hereafter the evaluator.

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UNCTAD/OSG/INF/2019/4

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## ACRONYMS

<b>Acronyms</b>	<b>Definition</b>
AfDB	African Development Bank
CFTA	Continental Free Trade Area
COMESA	Common Market for Eastern and Southern Africa
DA	Development Account
DESA	UN department of Economic and Social Affairs
EA	Expected Accomplishment
EAC	East African Community
ECLAC	Economic Commission for Latin America and the Caribbean
EMU	Evaluation and Monitoring Unit
ESCAP	Economic and Social Commission for Asia and the Pacific
IADG	Internationally Agreed upon Development Goals
IR	Inception Report
IADB	Inter-American Development Bank
ITC	International Trade Centre
LAC	Latin America and the Caribbean
LM	Logical Framework
M&E	Monitoring and evaluation
NTBs	Non-tariff Barriers
NTMs	Non-tariff Measures
OECD/DAC	Organization for Economic Cooperation and Development/Development Assistance Committee
RBM	Results-Based Management
SADC	Southern African Development Community
ToRs	Terms of Reference
TRAINS	Trade Analysis and Information System
TRTA	Trade Related Technical Assistance
UN	United Nations
UNDA	UN Development Account
UNCTAD	UN Conference for Trade and Development
UNEG	UN Evaluation Group
USD	United States Dollar
WB	World Bank
WITS	World Integrated Trade Solution
WTO	World Trade Organisation

## EXECUTIVE SUMMARY

1. This evaluation report is prepared in the context of the evaluation of the project - "Strengthening capacities of policy-makers to assess implications of non-tariff measures (NTMs) in international trade and formulate appropriate policy responses" (hereafter called the project), that was supported by the United Nations Development Account (DA), and implemented by the United Nations Conference on Trade and Development's (UNCTAD). The evaluation was conducted by Alexandre Daoust, as commissioned by UNCTAD's Evaluation and Monitoring Unit (EMU).

### **THE PROJECT**

2. The general objective of the project was to contribute to the capacity of policymakers in developing countries to address issues related to NTMs, so as to ultimately improve access of developing country exports to international markets. With this in mind, at the end of the project, the main result was to be the "enhanced analytical capacity of national experts and policy-makers in developing countries to assess the impact of NTMs on international trade and development."

3. The project's two expected accomplishments (EAs) are:

- *EA1: "Enhanced availability of data on NTM for the use of country officials, researchers and institutions";*
- *EA2: "Enhanced awareness, knowledge and capacity of policy-makers in developing countries to analyze the effects of NTMs and to formulate effective policy responses using established NTM data platforms and improved analytical research and tools".*

4. The project targeted three regions (Africa, Asia and Latin America). Specific case studies were analyzed (e.g. Chile, Pakistan and China). Beneficiary countries are defined as those for which the project contributed to data collection, and case studies were conducted. In particular, 15 countries directly benefited from the project: Argentina, China, Pakistan, Chile, Brazil, South Africa, Australia, New Zealand, Russia, Japan, Peru, Thailand, Kenya, Vietnam and Cuba. However, as the information is available online at no cost, any country representative can access the database and the publications. In addition, data collection and verification effort in number of countries have been conducted including in Russia, Australia, Canada, China, Japan, New Zealand and, Vietnam.

5. This project aimed at strengthening the capacities of high- and medium-level national government officials working in NTM related ministries (e.g. Trade, Industry, Finance) as well as in other agencies promoting and dealing with trade issues. The main criterion determining who would be involved was to work with people involved in trade policymaking, trade negotiations, and assessment and monitoring of production, trade and investment developments. Researchers, academics and scholars were also involved intensively.

## ***THE METHODOLOGY***

6. The evaluation's findings and recommendations are based on data collected through document review; interviews in Geneva (stakeholders from UNCTAD and partner organizations) and through Skype/phone discussions with beneficiaries and partners; and surveys to which all stakeholders involved were invited to participate.

## ***FINDINGS***

7. The findings are presented using the logical structure of the evaluation criteria—relevance, effectiveness, efficiency, sustainability, human rights and gender aspects—and in order of the evaluation questions contained in the evaluation's terms of reference.

### *Relevance*

8. The project is considered relevant for the beneficiaries. Each output of the project had different levels of relevance for distinct types of beneficiaries.

### *Effectiveness*

9. As there are no targets against which to measure performance against each indicator under the EAs, it is difficult to assess to what extent the project has been effective. Clearly, the number of countries on which NTM data is available to potential users has increased and the evaluation respondents are satisfied with the progress made.

10. The collected data fed UNCTAD's database as well as others, which are now updated, and led to the publication of a theory manual which includes case studies. Both outputs attracted positive reactions from representatives consulted during the evaluation. Many mentioned they had used or will use the newly available data for their work and or research.

11. For now, the project has not contributed to the development of policy responses to NTMs. However, the project has contributed to enhancing the beneficiaries' awareness, knowledge and capacity to analyze the effects of NTMs using established NTM data platforms and improved analytical research and tools. To a certain extent, this is considered normal. Changing approaches in participants' daily work (in this case of developing sound policy responses to NTMs) takes time. Such results do not necessarily happen during the lifetime of a project.

12. To raise awareness and knowledge on NTMs or the capacity to analyse the effects of NTMs on the countries' economy, many respondents mentioned that the involvement of the private sector, to some extent, would have helped.

13. Unexpected results: Some of the countries where the NTM data were collected were initially not listed (e.g. Russia and Cuba) and two regional events were added to the list of activities.

### *Efficiency*

14. Overall efficiency has been deemed high for the project. The management team's size at UNCTAD was kept to a minimum, with the manager using most of his time on the project during the execution years and a colleague managing the data collection process. However, this fact is

also seen as a concern in terms of how DA projects are implemented in general: having small implementation teams normally means that those involve dedicate the majority of their time on execution.

15. In many cases, the events were organized in coordination with other organisations' initiatives. Working through this approach reduced the actual cost of organizing events. Additionally, the majority of respondents mentioned that the production and publication of the Book were accomplished at low cost, all the more considering the quality of the work done and the notability of the authors; some were actually quite impressed by what was accomplished with the available budget.

16. The project complied with the monitoring and evaluation (M&E) requirements of the UNDA. However, as already mentioned, it is hard to assess the level of progress the project made because there are no baseline or pre-set targets for the project's performance indicators.

### *Sustainability*

17. As the relevance of the project for beneficiaries has been demonstrated and as the fact that their awareness was raised on the importance of the subject above has been shown, it is logical that to some extent, the sustainability of the results is minimally ensured. Many respondents are of the opinion that there is a favorable context that will foster the implementation of actions similar to those undertaken in the project with other resources. However, from discussions, the question of who will finance the work in the future remains unanswered. In UNCTAD, there is interest for further financing of these types of activities. The reason for this optimism is the renewed interest of donors concerning NTMs, partly thanks to the project.

### *Gender and Human Rights Aspects*

18. The evaluation finds that the gender and human rights aspects of the project are those for which the management team faced the most challenges in integrating. Nearly half of survey respondents believe that equitable trade and gender sensitive trade policies were not relevant topics within this project (50-50 women and men). Among those who believe gender was a relevant issue to integrate in the project, 70% believe it was appropriately incorporated (26% of these responses were from women) and 30% believe it was not (50-50 women and men). All respondents mentioned integrating the human rights concept into the NTM realm is not an easy task.

### *Recommendations*

- i. It is recommended to multiply the channels of dissemination of the content of the present project's information and data as well as previously existing content. UNCTAD needs to ensure more awareness raising is done and mostly to make sure that the tools developed in the present project are understood by the main targeted beneficiaries; the policymakers.

In other words, future NTM projects need to continue making the project's content more accessible to more policy makers and other relevant policy makers.

- ii. It is recommended to involve the private sector in the events of future similar projects. Although other initiatives, such as ITC projects for example, work specifically with enterprises, introducing this type of actors in UNCTAD projects would have a great added value including in terms of diversifying the opinions shared during events' discussions. It will be important to define clearly what is understood as the private sector to make sure not only large exporting corporations are involved but also other, smaller businesses/cooperatives wanting to export also. In this same line of thought, it would also be interesting to augment the time destined for debates after events to stimulate the active involvement of participants in such contexts. As for data collection on NTMs, as the ITC collects data from the private sector, it is recommended to continue to reinforce the collaboration between the two organisations to ensure the two sets of NTM data remain complementary.
- iii. It is recommended to pay particular attention to the themes of gender equality and human rights in the development of NTM content analysis and studies in future similar projects. The present context in the international development field is insisting on the importance of addressing these themes in all sectors, whether directly or indirectly related. Although it is not always evident for example that gender can be an integral part of NTMs, the specific effects of some of these measures on women can be studied to find policy strategies that will allow governments to lower the impact of the negative consequences. As shown above, there are information and data gaps which hinders NTM stakeholders to better consider the gender elements in similar projects. The same can be said about human rights. Before the start of such projects, the links with cross-cutting themes such as gender and human rights need to be investigated and tested. They then need to be fully integrated in project designs.
- iv. It is recommended that UNCTAD ensures adequate allocation/designation of capacity for each DA project team. This will allow for involved implementers to also be available for other tasks. In addition, this might have the unexpected result of bringing new ideas to the table. A strict structure, division of tasks and role and responsibility definition would need to be organized as with such small projects, having more staff involved calls for coordination. Still, it can lead to good results in an efficient way.
- v. In the optic that further and permanent work in the field needs to be organized, it is recommended that a scoping assessment be conducted, to determine the next steps. A long term plan is needed to determine how all NTM initiatives can complement each other in different regions of the world. The project helped build a body of knowledge that is now available to present to donors to show what can be done. However, this content needs to be structured and has to be integrated in a structured approach. In the meantime, should UNCTAD keep taking the leadership in updating NTM databases, it is recommended that



tools to monitor usage of said databases are implemented so as to have tangible data on which to measure global interest for the issue and raise interest from donors.

- vi. As demonstrated above, in some cases, it was difficult for the evaluation to assess the performance of the project as there were no baseline data available nor clear targets. In this context, it is recommended that specific baseline data be collected on all DA project indicators on which targets would be set. This would hence allow for future similar evaluations to have benchmarks on which to rely for the assessment of such projects.

## INTRODUCTION

19. This final report is prepared in the context of the evaluation of the project - "Strengthening capacities of policy-makers to assess implications of non-tariff measures (NTMs) in international trade and formulate appropriate policy responses" (hereafter called the project) that was funded by the United Nations Development Account (UNDA), and implemented by the United Nations Conference on Trade and Development (UNCTAD). The evaluation is being carried out by Alexandre Daoust, as commissioned by UNCTAD's Evaluation and Monitoring Unit (EMU).

20. This section depicts general information on the project, examines the purpose and scope of the evaluation, and discusses key assessment questions and criteria.

### **BACKGROUND AND CONTEXT**

#### *1.1.1. The UNDA Context*

21. The Project was implemented using the Development Account (DA), which aims to support "...technical cooperation projects that benefit developing countries within the individual strategic priorities of the respective implementing entities<sup>1</sup>." The objectives of DA projects are also to support the advancement of Sustainable Development Goals (SDGs) and other outcomes of UN summits and conferences. Projects financed by the DA aim to build socio-economic capacity of individuals, organizations and the enabling environment of developing countries through collaboration at varying levels (national, sub-regional, regional and inter-regional).

22. The DA provides a mechanism for promoting the exchange and transfer of skills, knowledge and good practices among involved countries within and between different geographic regions and through the cooperation with a wide range of partners in the broader development assistance community. It provides a bridge between in-country capacity development actors, on the one hand, and UN Secretariat entities, on the other. The latter offers distinctive skills and competencies in a broad range of economic and social issues that are often only marginally dealt with by other development partners at country level. Funding for the DA is provided by the United Nations Secretariat's regular budget while overall management is provided by the UN Department of Economic and Social Affairs (DESA). Information on DA projects also points to the fact that the funded initiatives need to be well aligned with the beneficiary countries strategic priorities; in other words that the projects need to be demand driven. UNDA projects are also considered as seed financing; they help innovative idea become longer term solutions.

23. The Project has been selected in the context of the DA selection process and falls under the "International Trade" thematic cluster of UNDA projects.

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<sup>1</sup> UN. 2008. Guidelines for Joint Development Account Projects. P.3

### *1.1.2. Background<sup>2</sup>*

24. The general objective of the project was to contribute to the capacity of policymakers in developing countries to address issues related to NTMs, so as to ultimately improve access of developing country exports to international markets. With this in mind, at the end of the project, the main result was to be the “enhanced analytical capacity of national experts and policy-makers in developing countries to assess the impact of NTMs on international trade and development.” By reaching this target, the overall objective was to improve the effective participation and integration of developing countries in the global economy.

25. The design of the project was developed on the basic ideas of i) facilitating the collection and analysis of useful information and data on NTMs and their effect on trade to achieve Expected Accomplishment 1 (EA1): “Enhanced availability of data on NTM for the use of country officials, researchers and institutions”, following which such information, data and analysis is disseminated to all interested parties around the world to achieve Expected Accomplishment 2 (EA2): “Enhanced awareness, knowledge and capacity of policy-makers in developing countries to analyze the effects of NTMs and to formulate effective policy responses using established NTM data platforms and improved analytical research and tools”.

### *1.1.3. Details of the Project*

#### **Implementing Structure/ partners**

26. The primary implementing agency of the Project is UNCTAD. For a number of activities, implementation was to be coordinated with for example the UN International Trade Center (ITC), the World Bank and the African Development Bank (AFDB). In fact, the project was mainly implemented in coordination with the UN regional commissions and the Common Market for Eastern and Southern Africa (COMESA).

#### **Timeline and budget**

27. The Project started in 2014 and was to end in 2017 but a no-cost extension was granted until November 2018. Its duration was hence a little more than four years. The Project’s budget was 620,000 USD.

#### **Beneficiary Countries**

28. The project targeted three regions (Africa, Asia and Latin America). Beneficiary countries are defined as those for which the project contributed to data collection, and case studies were conducted. In particular, 15 countries directly benefited from the project: Argentina, China, Pakistan, Chile, Brazil, South Africa, Australia, New Zealand, Russia, Japan, Peru, Thailand, Kenya, Vietnam and Cuba. However,

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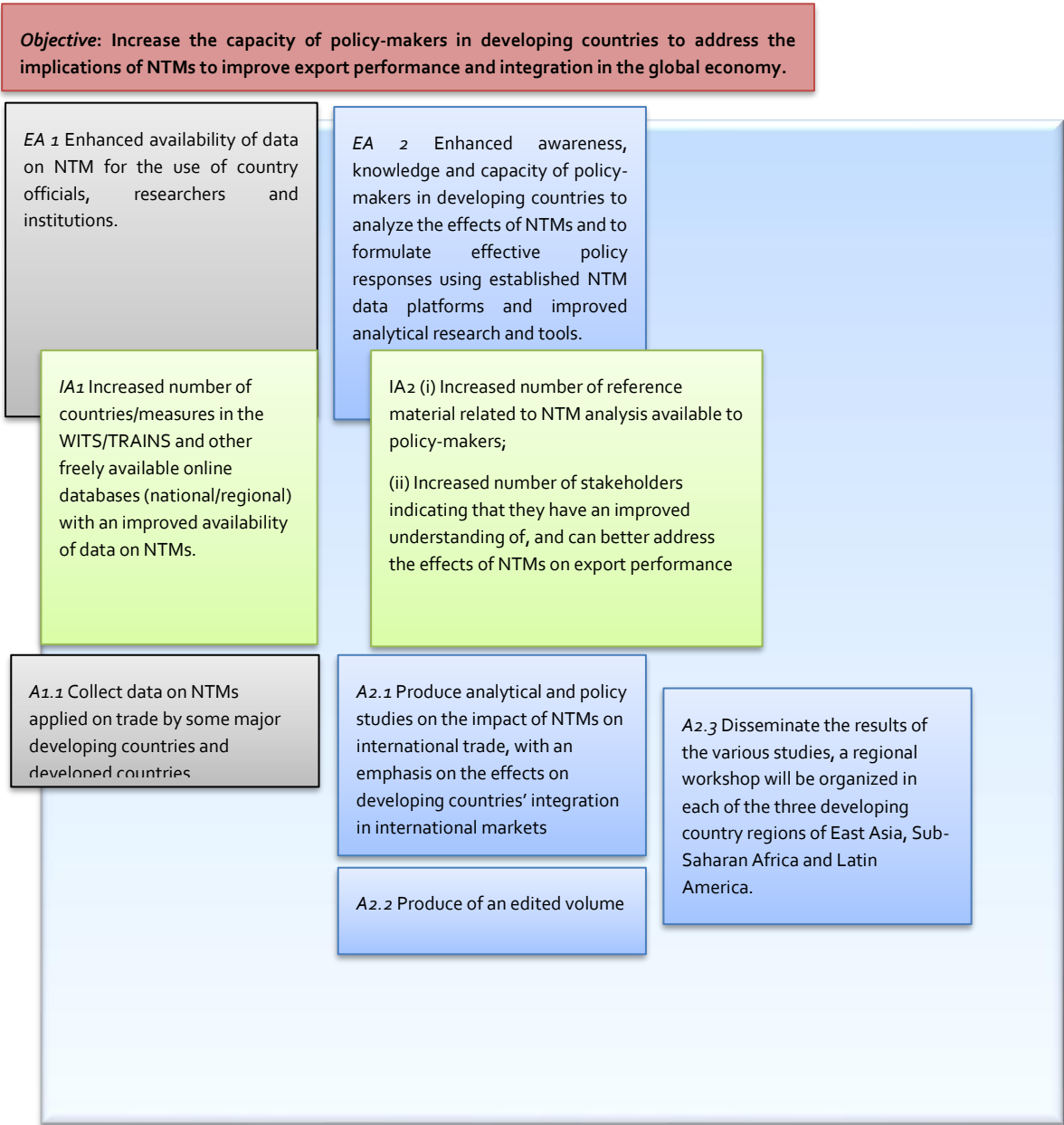
<sup>2</sup> The Project document was used to develop the basis of this sub-section with additional sources explicitly mentioned in the text.

as the information is available online at no cost, any country representative can access the database and the publications. In addition, data collection and verification efforts in a number of countries have been conducted including in Russia, Australia, Canada, China, Japan, New Zealand and, Vietnam, while specific case studies were analyzed (e.g. Chile, Pakistan and China).

**Logical Framework**

29. The project’s objective and Expected Accomplishments (EAs), accomplishment indicators (IAs), and supporting activities are presented in Figure 1:

**Figure 1 Logical Framework of the Project**



30. Generally speaking, to reach the EAs, the project management team hired international, regional and national consultants from the market and beneficiary countries to collect data as well as conduct studies and research. UNCTAD staff provided expertise, conducted research, coordinated the publication of the studies and also participated in the delivery of the workshops organized in the context of the project with the consultants.

31. An UNCTAD NTM database was enriched by the work of the project (<http://trains.unctad.org>). This database on NTM contains freely accessible information on the imposition of NTMs for more than 100 countries.

32. Four regional workshops and additional workshops in Cuba, Russia, UN Headquarters in New York and the World Bank Headquarters in Washington DC were conducted to disseminate the data collected and the studies on NTMs. Also, a publication (also referred to as the Book) has been put together addressing specific case studies.

### **Direct and Indirect Beneficiaries**

33. This project aimed at strengthening the capacities of high- and medium-level national government officials working in NTM related ministries (e.g. Trade, Industry, Finance) as well as in other agencies promoting and dealing with trade issues. The main criterion determining who would be involved was to work with people involved in trade policymaking, trade negotiations, and assessment and monitoring of production, trade and investment developments. Researchers, academics and scholars were also involved intensively.

### **EVALUATION PURPOSE AND SCOPE**

34. This sub-section summarizes, on the basis of the Terms of Reference (ToRs), the purpose/objective, scope, questions and criteria of the evaluation.

#### *1.1.4. Purpose and Audience*

35. Theoretically, the purpose of an evaluation is determined by answering the following questions: "...why [is] the evaluation [...] being undertaken at this particular point in time, why and for whom it is undertaken, and how [is] the evaluation [...] to be used for learning and/or accountability functions<sup>3</sup>."

36. As indicated in the ToRs developed by UNCTAD, in terms of timing, as the project has recently come to an end, undertaking its end-of-cycle evaluation at this moment is in compliance with the requirements of the UNDA.

37. The main reason why the assessment is being undertaken is to "assess project design, project management, and project performance."

38. As for the primary audience, the evaluation provides credible, useful, and practical information to, and make constructive and forward-looking recommendations to inform and provide accountability for

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<sup>3</sup> OECD/DAC. 2010. *Quality Standards for Development Evaluation (DAC Guidelines and Reference Series)*. P.8

“UNCTAD management, the Capacity Development Office/Development Account of DESA, project stakeholders, as well as UNCTAD's member States with whom the final evaluation report will be shared.”

39. As indicated by the sustainability questions in the ToR, for UNCTAD itself, the evaluation should be used to eventually help the organization replicate similar projects elsewhere and improve the design and implementation of future similar projects.

#### 1.1.5. Scope

40. In terms of scope, the evaluation covers the full duration of the project (2014 – 2018).

41. In summary, the elements covered in the evaluation include:

- Actual progress made towards project objectives.
- The extent to which the project has contributed to outcomes, whether intended or unintended.
- The efficiency with which outputs were delivered.
- The strengths and weaknesses of project implementation on the basis of the available elements of the Logical Framework (objectives, results, etc.) contained in the project document
- The validity of the strategy and partnership arrangements.
- The extent to which the project was designed and implemented to facilitate the attainment of the goals.
- Relevance of the project's activities and outputs towards the needs of Member States, the needs of the regions and the mandates and programme of work of UNCTAD.
- The extent to which the project mainstreamed gender equality and human rights.
- The extent to which the project activities and outputs been designed and implemented in such a way to ensure maximum sustainability of the project's impact.

42. The evaluation's scope was also determined by its timeline, the geographical areas it covers, the targeted groups involved, as well as the evaluation criteria, questions and methodology used<sup>4</sup>.

#### **Timeline and dissemination**

43. The evaluation officially started in mid-November 2018 and was finalized in May 2019. The final report will be submitted to UNDA and published on the UNCTAD website following the completion of the exercise.

#### **Geographical Areas**

44. The project officially covered 15 countries, but the results reach all interested countries. The evaluation budget covered a limited number of interviews with different types of stakeholders. The evaluation's survey reached out to stakeholders from all countries involved.

#### **Targeted Groups Involved**

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<sup>4</sup> OECD/DAC. 2010. *Quality Standards for Development Evaluation (DAC Guidelines and Reference Series)*. P.8 The methodology that will be used for the evaluation is described in section 2.

45. The evaluation consultant undertook the assignment in a fully *participatory* manner, making this approach a central principle of the process. Indeed, the consultant fully adhered to the United Nations Evaluation Group (UNEG) guidelines stating that: "...evaluations should be carried out in a participatory and ethical manner..." In that sense, the consultant endeavoured to involve as many of the key stakeholders linked in one way or another to the project as possible. However, as the project is global and officially covered 15 countries, it was obviously difficult to make sure *all* stakeholders voiced their opinions and recommendations. As the data collection for the evaluation drew from many lines of inquiry—including the survey, which allowed reaching many beneficiaries—the evaluation interviewed, through Skype/phone, a sample of six stakeholders from some of the countries.

46. To be in line with the participatory approach mentioned above, the evaluation’s lines of inquiry targeted representatives from organizations in some countries involved, including, but not limited to:

- |                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                     |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> <li>• UNCTAD representatives in Geneva;</li> <li>• Beneficiary national institutions’ representatives;</li> <li>• Consultants hired in the context of the Project;</li> <li>• Representatives from the academic sector</li> </ul> | <ul style="list-style-type: none"> <li>• Partner international/ regional institutions’ representatives; and</li> <li>• Other donors/implementers representatives (if considered useful).</li> </ul> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

**Evaluation Criteria and Questions**

47. To assess the project’s performance, the consultant used the pre-defined results presented in the project’s Logical Framework to compare the actual achievements with the planned EAs. In addition, all evaluation questions presented in the ToR, categorized as usual by the four standard evaluation criteria—i.e., relevance, effectiveness, efficiency, and sustainability—were linked to sub-questions when necessary, indicators, data collection methods and data sources. Here is how the Organisation for Economic Cooperation and Development/Development Assistance Committee (OECD-DAC) defines the evaluation criteria:

**Table 1. Definitions of the OECD-DAC Evaluation Criteria**

<b>Question 1: What has been achieved? (re. development results)</b>	
Relevance	The extent to which the objectives of the development intervention are consistent with beneficiaries' requirements, country needs, global priorities, and partners' and donors' policies. The appropriateness of development interventions in a given sector, region or country
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance
Sustainability	The continuation of the benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time
<b>Question 2: How and why were the intended results achieved or not? (re. management factors)</b>	
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc) are converted to results in a timely manner. Given that cost-efficiency and cost-effectiveness may be complex and difficult to assess, the assessment will mainly focus on the timely delivery of the activities and outputs, coordination and collaboration mechanism as well as flexible and efficient management.

Notes:  
1. Source: OECD-DAC, 2002-2008. *Glossary of Key Terms in Evaluation and Results Based Management*.  
2. Source: OECD-DAC. 2007. *Promoting Pro-Poor Growth: Practical Guide to Ex Ante Poverty Impact Assessment*.

48. The evaluation questions categorized by evaluation criteria are as follows:

**Table 2. Assessment Questions by Evaluation Criteria**

<b>Questions</b>
<b>Relevance</b>
Did the project design, choice of activities and deliverables properly reflect and address the primary development needs of developing countries, taking into account UNCTAD's mandates, and alignment with the objectives of the UNDA?
Were the actual activities and outputs of the project consistent with the overall goals and intended outcomes?
What is UNCTAD's comparative advantage in this area and to what extent did this project maximize it?
<b>Effectiveness</b>
Have the activities achieved, or are likely to achieve, planned objectives and outcomes as enunciated in the project document?
To what extent are project beneficiaries satisfied with the activities organized by the project and the quality of the outputs?
Is there evidence that the beneficiaries' knowledge, understanding and capacity to carry out analysis of trade policy (non-tariff measures) on socio-economic development have been improved?
How have the different activities complemented each other in the capacity building of the project beneficiaries?
What are the lessons learned or best practices for similar future interventions?
<b>Efficiency</b>
Have project implementation modalities, and internal monitoring and control been adequate in ensuring the achievement of the expected outcomes in a timely and cost-effective manner?
Has the project leveraged in-house expertise, previous research and technical cooperation outcomes, existing databases, and other internal resources of UNCTAD and/or external collaboration from international development partners and mechanisms?
Has the project timeline been affected by possible constraints/problems? If so, how have these affected project objectives and have they been addressed in an appropriate manner?
<b>Sustainability</b>
Is there evidence that national counterparts and regional partners are committed to continue working towards the project objectives beyond the end of the project? To what extent have project beneficiaries' institutional capacities been enhanced?



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**Questions**

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Have the activities and outputs have been designed and implemented in such a way to ensure maximum sustainability of the project's impact? For instance, to what extent did the beneficiary country stakeholders have strong sense of ownership?

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Have efforts been made to sustain the knowledge and capacity gained in the project for future similar interventions to be carried out by UNCTAD?

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**Gender and human rights**

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To what extent the design and implementation of the project incorporated gender mainstreaming considerations, and can evidence be identified in this regard?

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How have the beneficiaries been sensitized on the gender dimension of trade policy and non-tariff measures and their impact on gender equality?

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To what extent does the project advance UNCTAD's efforts to promote equitable trade and sustainable development?

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**Partnerships and synergies (optional)**

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How has the project advanced partnerships with national and regional counterparts, the civil society and/or the private sector?

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## Evaluation Methodology

49. The second section of the report describes the evaluation strategy, data gathering and analysis tools and the assignment's potential challenges and limitations.

50. **Evaluation Strategy:** The evaluation strategy used allowed for the evaluation questions presented in the ToR to be fully addressed in a timely manner. By adopting this strategy, an independent, participatory and professional approach was ensured. The methodological principles below guided the evaluation throughout the process described in the following pages.

51. **Triangulation of Observations and Findings:** The evaluation applied the information and data triangulation method to answer the evaluation questions raised.

52. **Participative and Iterative Management:** To ensure the assignment runs smoothly and within proposed timeline, the consultant used a flexible approach to the management of the evaluation process and took into consideration the points of views of all stakeholders *directly* involved in the management of the mandate. This entailed working in cooperation with the EMU but also with the project managers. The draft Inception Report and the draft evaluation report are sent to these relevant stakeholders for questions, comments and suggestions.

53. **Application of knowledge:** Throughout the mandate, the consultant profitably employed its theoretical and practical knowledge in the areas of evaluation, NTMs and trade policies, and national institution trade related technical assistance, qualitative and quantitative data collection methodologies, Results-Based Management (RBM), UNCTAD as an institution, report writing and all domains considered relevant.

### ***EVALUATION APPROACH, DATA GATHERING AND ANALYSIS STEPS***

54. The methodology adopted for this evaluation was designed to meet the requirements and expectations set out in the ToR. There were several steps in the data collection, analysis, and reporting methodology for the evaluation.

55. Generally speaking, the present evaluation combined *elements* from the Goal Free (exploring expected and unexpected results), Theory Based (based on pre-defined log frames) and Collaborative (fostering large participation) approaches<sup>5</sup>. Together, these approaches ensured the assessment process respected the UNEG ethical principles, guidelines, standards and norms (cited in the ToRs), as well as UNCTAD's Evaluation Policy and paves the way to the production of evidence based and useful findings for UNCTAD.

56. To support the consultant's work in the use of these approaches, the project manager provided the project's Logical Framework. The Logical Framework clearly states the EAs and their respective performance indicator. The consultant used this information to strengthen the methodology of the evaluation; indeed, the Logical Framework served to develop and strengthen the evaluation matrix accordingly (see annex 1 below) and during the full evaluation process, it nourished the consultant's ability to measure performance of the Project (please see "step 2" below).

57. Below are the main structuring elements of the data collection and analysis process that were the basis of the work plan.

### **1) Inception phase**

#### *Step 1: Preliminary Document and Literature Review*

58. The purpose of this phase was to familiarize the consultant with the project, the main stakeholders and partners, the beneficiaries and the results achieved to date. Files, reports and other documents provided by project managers were reviewed by the consultant during the first month of the assessment to inform the IR.

#### *Step 2: IR and Development of Data Collection Tools*

59. The IR was provided to and agreed on by the EMU as an important building block for the assignment. In order to facilitate a rigorous and independent evaluation approach and in accordance with the ToRs, the consultant proposed the development and use of an evaluation matrix.

60. Based on the evaluation matrix, data gathering tools were developed: i) a document review data collection matrix (internal document used by the consultant); ii) customized interview protocols, as well as iii) survey questionnaires that will be used with respondents and beneficiaries. All tools focused on the essential issues pertaining to the evaluation exercise and allowed the respondents to define, inform and/or validate them.

61. The IR and its content were submitted for validation. The corroboration of the evaluation matrix and data gathering tools by UNCTAD intended to facilitate the participation of relevant stakeholders in the evaluation process. This represented an opportunity to collectively question the logic and the viability of the process.

62. UNCTAD's comments on the draft IR allowed for the consultant to finalize, fine-tune and polish the evaluation matrix and data collection tools leading to a final version of the document. Once approved,

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<sup>5</sup> See KAHAN, Barbara. 2008. *Excerpts from Review of Evaluation Frameworks*, Saskatchewan, Ministry of Education, 67 pages.

this IR became the road map for the rest of the assignment and the working document from which decisions are taken.

## **2) Data Collection Phase**

### *Step 3: In-depth Desk Review*

63. The in-depth desk review allowed for data to be collected prior to interviews conducted by Skype/phone. This data was systematically classified in the document review data collection matrix by relevant indicator.

### *Step 4: Interviews (Face to face, Skype, phone) and Surveys with Key Stakeholders and Beneficiaries*

64. After invitations to participate in the evaluation were sent by UNCTAD, the consultant conducted face to face and Skype/phone interviews with 12 relevant respondents. The semi-structured interviews were conducted face-to-face in Geneva with project managers and all available, relevant UNCTAD staff and virtually with general stakeholders and beneficiaries (see sub-section 1.2 above). The latter interviews lasted between from 30 to 60 minutes, depending on the category of the interviewee and the nature of their involvement with the project. During these interviews, the questions and indicators presented in the evaluation matrix were addressed—each with the relevant respondents.

65. The e-surveys targeted as many beneficiaries from the project as possible based on UNCTAD's datasets. In other words, the full list of all stakeholder involved one way or another in the project was used to send the invites. It was sent through the online survey platform to 187 potential respondents and only two emails bounced. The survey received 57 responses (52 complete). The response rate is of 27.8%. This response rate is considered sufficient and even good compared to other survey processes the evaluator has conducted in other DA evaluations in the past. The survey data is hence considered representative and useful for the analysis.

66. The e-survey was mainly used to obtain quantitative data and to a certain extent, qualitative information. It was kept voluntarily short to ensure a high rate of response (see annexe 3 below). The consultant considered the electronic survey as the most relevant way to 1) reach as many of the potential respondents as possible with a limited level of effort; 2) generate a large quantity of quantitative data that will be used to triangulate qualitative information collected through other lines of inquiries (document review and interviews); and 3) create a context in which the potential respondents are ensured 100% confidentiality.

## **3) Reporting Phase**

### *Step 5: Data Analysis*

67. Once data was collected through document review, interviews and e-survey, it was analyzed using the triangulation method as described above. The triangulation process was of utmost importance for

the evaluation and was the node in which all information was translated into significant findings which then lead to conclusions and recommendations.

*Step 6: Draft and Final Report*

68. On the basis of the analysis described above, a draft evaluation report was developed through which the consultant shares the initial findings—backed by evidence—conclusions, recommendations and lessons learned with UNCTAD representatives for feedback. As the assessment questions and matrix were structured around the evaluation criteria, this logical and simple sequence, i.e. relevance, effectiveness, efficiency and sustainability, also forms the basic structure of the report itself.

69. The content of the evaluation report is presented to UNCTAD for questions, fact check and comments. The qualitative data collected as supporting evidence to the findings is presented using a simple, straightforward and efficient benchmark:

- All respondents said...;
- The majority of respondents said... (~ more than 75%);
- Many respondents said... (~ more than 50%),
- Some respondents said... (~between 25 and 50%),
- A few said... (~ less than 25%); and
- One respondent said...

## Evaluation Findings

### **RELEVANCE**

#### **Do the Project design and the choice of activities and deliverables properly reflect and address the needs of the beneficiaries?**

70. The project is considered relevant for the beneficiaries as described above. Each output of the project had different levels of relevance for distinct types of beneficiaries.

##### *1.1.6. Needs*

71. All information collected through the evaluation points to the fact that **there is a need for NTM data in developing countries** (specifically targeted by the project and beyond). The effects of actual tariffs on trade are now much lower than before. It is now NTMs that affect these countries' trade. Some respondents say it is now the greatest obstacle to trade around the world. NTMs influence developing countries' capability to access international markets; this situation was central to the project and the problematic it was trying to solve.

#### **Databases and Availability of Data**

72. To make sure relevant stakeholders can understand how these measures work and how they can manage them through trade policies, data and information on them need to be available. Some databases already exist, including UNCTAD's Trade Analysis and Information System (TRAINS), but they are not systematically updated. Hence, **the project's EAs** i) to enhance availability of data on NTM and ii) make sure the existence of the information is made known to beneficiaries, **are aligned with this need**. Originally, TRAINS informed users on the notifications of changes in NTMs. However, this was the most basic denominator and the lack of updates rendered TRAINS less pertinent. One of the objectives of this project, as well as other similar UNCTAD initiatives, was to enhance the database to go beyond notifications and continuously rendering it more detailed and informative.

73. **The data collection on NTMs** to feed UNCTAD's TRAINS database—and hence through the World Bank's (WB) World Integrated Trade Solution (WITS) software application, as both these elements are connected—is **useful for all categories of beneficiaries**: national policymakers, senior government officials, trade negotiators, researchers, analysts and other trade policy practitioners, as well as research and academic institutions' representatives. All respondents mentioned that NTM databases in general and UNCTAD's TRAINS in specific are useful—when they are up to date—as normally, data on NTMs are available but scattered either on the internet or in national documents. The project in that sense aimed at both collecting the dispersed information and updating the databases which become quickly obsolete; NTMs evolve rapidly and new ones are added, and others are removed.

## The Book and Events

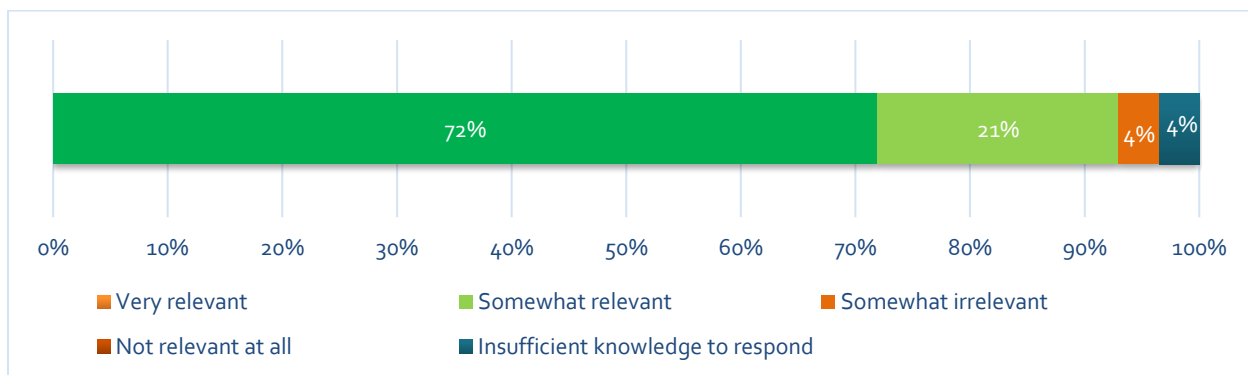
74. **The studies produced and gathered in a book** called “Non-Tariff Measures: Economic Assessment and Policy Options for Development<sup>6</sup>” (herein referred to as the Book) **are technical and academic** which makes them more pertinent for analysts and researchers than government staff. The latter usually have less time to dedicate to actual analysis and will rely on advice produced by their teams. This, in itself, does not reduce the relevance of the project. Policymakers usually function this way; they ask their academic teams, national think tanks and universities for guidance.

75. Nevertheless, in this context, **the events** that were organized to disseminate and render the content of the Book more accessible, among other objectives, **were considered to be a convenient way to mitigate the challenge of communicating the findings** in a more “digestible” manner.

76. The evaluation notes that **the private sector is not represented much in the project**. Obviously, it is not considered as a central beneficiary and was not described as such in the project document. Yet, generally speaking, its actors could use the outputs of the project and they could bring added value to these outputs.

77. As shown below in Figure 2, the survey respondents—in accordance with the interview respondents—have answered positively to the relevance question. Above 90% of them mentioned the project activities, studies and publications were “very relevant” (72%) or “somewhat relevant” (21%) to the context of your country or region.

**Figure 2. To what extent were the project activities, studies and publications relevant to the context of your country or region?**



78. All qualitative comments received were from respondents with positive views on the project. The main explanations of respondents responding “somewhat relevant” were that the project was:

- Useful for an ongoing research project;
- Useful for general awareness about NTM;
- Relevant for Latin America and the Caribbean (LAC) trade dynamics; and
- Interest expressed by SME promoters.

<sup>6</sup> UNCTAD, 2018. Non-Tariff Measures: Economic Assessment and Policy Options for Development. 435 p.

79. A few respondents mentioned that a wider access to primary data would be useful. However, many interviewees mentioned that much primary information on NTMs is actually available online. The project's objective was to gather this data, categorise it and make it easily available in one place. In addition, for the information that is not readily accessible online, the project's consultants were hired to find it and summarize it, again to update TRAINS.

80. The main explanations of respondents responding "very relevant" were:

- Several mentions by respondents of the project being relevant to understand NTM dynamics in specific countries. This can help exporting developing countries to either reverse trends of declining market access or to support growing access to markets;
- Several mentions by respondents of the NTM knowledge acquired being useful for the development of trade policies or for ongoing work on trade agreements; and
- Some mentions by respondents about the information being relevant to ongoing research.

81. **Many respondents**, whether from the survey or the interviews, **mention that the project contributed more generally to awareness raising and understanding** of the issues related to NTMs and that this type of specific information is useful. In turn, this should then foster motivation to find ways of making sure the data remains up to date in the future and even potentially securing funding for the continuous data collection process as this is really the most important need identified by respondents.

### **Design and the choice of activities and deliverables**

82. As UNCTAD is a knowledge generating organization/ think tank on international trade, **the work accomplished through the project is fully aligned with its institutional mandate**. In addition, the organization has been at the centre of previous NTM data collection processes, going as far back as the 1980s, all through the 1990s and up to 2012<sup>7</sup>. TRAINS is the result of these previous efforts. Between 2012 and 2014, the database was not updated as frequently and with the support of the DA project's seed money, UNCTAD was able to reactivate the work.

83. As for UNCTAD's comparative advantage compared to other organizations such as the ITC, the WB and the WTO, **within the specific work accomplished through this project** (collecting data on NTMs at policy level, populating a database and analysing this data), **UNCTAD is better positioned** than the other three (and others). In fact, the other organizations conduct different but complementary tasks to enhance the availability of overall NTM data. However, UNCTAD, with its pre-existing database; academic oriented reputation and staff; as well as a wealth of connections with professors, students and academic consultants, has the convenient human resources at hand and is thus best placed to conduct this endeavour.

84. Specifically, the project is aligned with "the scope and proprieties of the proposed strategic framework for the period 2014/2015, Programme 10 United Nations Conference on Trade and

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<sup>7</sup> UNCTAD, 2014. Project Document Development Account 9<sup>th</sup> Tranche: Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses. P. 4

Development, sub-program 3 (International trade), which includes the following: *Addressing the trade and development impacts of non-tariff measures, particularly through comprehensive research and analysis, partnerships with other related international organizations on data collection on non-tariff measures and designing innovative methods of quantifying impacts of non-tariff measures on international trade*<sup>8</sup>."

85. Looking at the present situation, within its Division of International Trade and Commodities, UNCTAD has a programme called Non-Tariff Measures in World Trade. The NTM Hub as it is called, defines the organization's approach to NTMs<sup>9</sup>. The latter is presented below with an analysis of how it is aligned with the project (in fact, the project was designed based on the approach) with some minor challenges with the SDGs:

- Classification: this classification was done before the project's start<sup>10</sup>;
- Data Collection: this step is directly linked to EA1, A1.1;
- Data dissemination: this step is directly linked to EA2, A2.3;
- Analysis and research: this step is directly linked to EA2, A2.1 and A2.1
- Policy support: although this is not an integral part of the project, through the analysis, research and dissemination of the data, there is some sort of indirect policy support in the project;
- NTM & SDGs: this link between NTMs and SDGs is not so well integrated in the project. The SDGs are mentioned once in the project document<sup>11</sup>. However, it is to be noted that the SDGs were officially adopted in September 2015<sup>12</sup>. Still, no further mention of them is made in the documents shared with the evaluator.

86. **The technical assistance aspect of the Project surely is well aligned with the DA's objectives** which is to fund "...technical cooperation projects that benefit developing countries within the individual strategic priorities of the respective implementing entities<sup>13</sup>." The DA projects' objectives also point to the fact that the funded initiatives need to be well aligned with the beneficiary countries strategic priorities; in other words that the projects need to be demand driven. As demonstrated above, such is the case in the NTM project.

87. In addition, **DA projects are usually conceived to finance initiatives that need "seed money"**. **This aligns well with the objective of the present project which was to 'jump-start' the data-collection and updating of databases** on NTMs. This type of work is very labour intensive. With the results of the project, they can now prove to donors the usefulness of the products and hence potentially

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<sup>8</sup> Ibid. P. 5

<sup>9</sup> <https://unctad.org/en/Pages/DITC/Trade-Analysis/Non-Tariff-Measures.aspx>

<sup>10</sup> UNCTAD, 2015. *International Classification of Non-Tariff Measures*. 52 p.

<sup>11</sup> UNCTAD, 2014. *Project Document Development Account 9<sup>th</sup> Tranche: Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses*. P. 8

<sup>12</sup> <https://sustainabledevelopment.un.org/?menu=1300>

<sup>13</sup> UN. 2008. *Guidelines for Joint Development Account Projects*. P.3



increase funding for the needed work. Within the participating countries, although the project was able to spur enthusiasm and attract attention to the NTMs and their effect on trade, the evaluation found only limited evidence that the trade policy makers and their government are willing to directly fund further data collection and analysis on NTMs. Those examples that were discussed concerns mainly middle-income countries (e.g. Chile). It also seems that there might be more willingness to do so in Asia where from evaluation data collected, there seems to be a particular interest in the subject in comparison to other regions of the world. Poorer countries and LDCs seem not to have sufficient funds to finance such work.

88. **The logic** linking the activities to the outputs (EAs) and the latter to the objective was tested by the evaluator and **is overall considered good** with a minor disconnect concerning EA2. The project itself is simple in its nature and the Logical Framework reflects this. However, **there is a slight jump between the combination of the activities and the EA 2**. Indeed, it is not clear that collecting data, producing analytical and policy studies based on the data, producing a book gathering these studies and disseminating the results of the studies and the Book actually enhance beneficiaries' *capacity* in the way the project intended it to. The Logical Framework is designed does not actually fully reflect this. *Theoretically*, the activities do not clearly point to actual capacity building events.

89. On the other hand, the two EAs are complementary one another. TRAINS, as a database, is a "picture" of what is going on with NTMs (meaning in the short term, it is stagnant in its form and needs to be frequently updates. The Book however, is a "live document" in the sense that as stakeholders use it, they can generate information and knowledge through time and different places. These are two pieces of a strong solution to challenges being face by developing countries which want to increase trade. To implement the Book's methodologies, users need up to date data on NTMs. The Book and its content hence generates more needs for renewed data.

## **EFFECTIVENESS**

Activities leading to planned objectives

EA1: Enhanced availability of data on NTM for the use of country officials, researchers and institutions.

*Outputs*

90. The project hired consultants to collect data from lead importing markets to render their NTMs' data available for developing countries' officials and researchers. These consultants were trained to collect data in a harmonized manner, using UNCTAD's approach. The countries in which data was collected were Australia, Canada, China, Japan, New Zealand, Russia, and Vietnam. As there are no targets against which to measure the EA's indicator<sup>14</sup> (Increased number of countries/measures in the WITS/TRAINS and other freely available online databases (national/regional) with an improved availability of data on NTMs) it is

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<sup>14</sup> Whether this one of the others.

difficult to assess to what extent the project has been effective. Clearly, the number of countries on which NTM data is available to potential users has increased. From data collected through the available documents<sup>15</sup>, the survey and the interviews, respondents and stakeholders are satisfied with the progress made. It has been brought to the attention of the evaluator that there were some difficulties and bottlenecks in China which somewhat hindered the capacity of the project to collect a fully satisfying set of NTM data. As mentioned during interviews as well as in the project's final report, some "[l]ocal consultants were not able to perform their tasks and deliver data of sufficient quality..." The project hence contracted "Chinese nationals to work in UNCTAD HQ. This approach allowed a closer monitor of the work of the consultants and ultimately improve the quality of the data collected"<sup>16</sup>.

91. Otherwise, this collected data fed TRAINS which is now updated in terms of available data on the abovementioned countries' NTMs. In addition, the 400+ pages Book, containing 12 chapters of NTM related analysis and case studies, has been produced through the project. The chapters of the Book are considered to be linked to the indicator "Increased number of reference material related to NTM analysis available to policy-makers." This indicator has been achieved. The first part of the Book contains introductory chapters and describes the methodologies and approaches that are used in the case studies and elsewhere. This initial section of the Book is meant to inspire targeted actors in potential replication of the case studies in other countries and contexts. The case studies themselves are the result of the research work conducted by academic professors and students as well as high profile consultants hired by the project. They are meant to present data for actual use in the assessed regions and countries. They also aim at demonstrating the extent of the impact of NTMs on trade. Finally, they exemplify what the use of the methodologies and approaches presented in the first part can lead to, in the hope that it will generate demand for such case studies in other regions and countries.

"As a university professor, during the next semester, I will use the Book and its content, as well as TRAINS in my master's level classes. This will provide my students with updated information and replicable formulas." A university professor

*Use of the Outputs*

92. The use of TRAINS is not simple to assess as there is no online traffic tracking system available to calculate how many users enter the database and where these users are from. This is due to the fact that the database is housed on a non-UNCTAD server. In the survey data analysis below, some examples of actual use of the data is presented.

<sup>15</sup> Mainly: UNCTAD, February 2019. *Final Report: Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses*. P.3

<sup>16</sup> Ibid, p. 7

93. As for the Book, although for some interviewees, its content is relatively basic, the majority of them mentioned that the Book's methodological content is quite academic and specialized. In this context, it seems more likely the book will be used by the academic communities than by political spheres'

"The majority of respondents mentioned that the tenacious work of the project manager was one of the strong success factors of the project. He was able to motivate all stakeholders involved and coordinate all efforts."

stakeholders. The scheme would thus be, as mentioned above, that the policy makers would ask researchers to use the Book for NTM studies to then rely on their analysis of their contents to make decisions; in a way, a replication of the project's approach. From data collected, there as been a few replications of the methodologies presented in the Book.

94. The Book is publicly available and online. The UNCTAD webpage on which the Book is presented was visited 711 times.

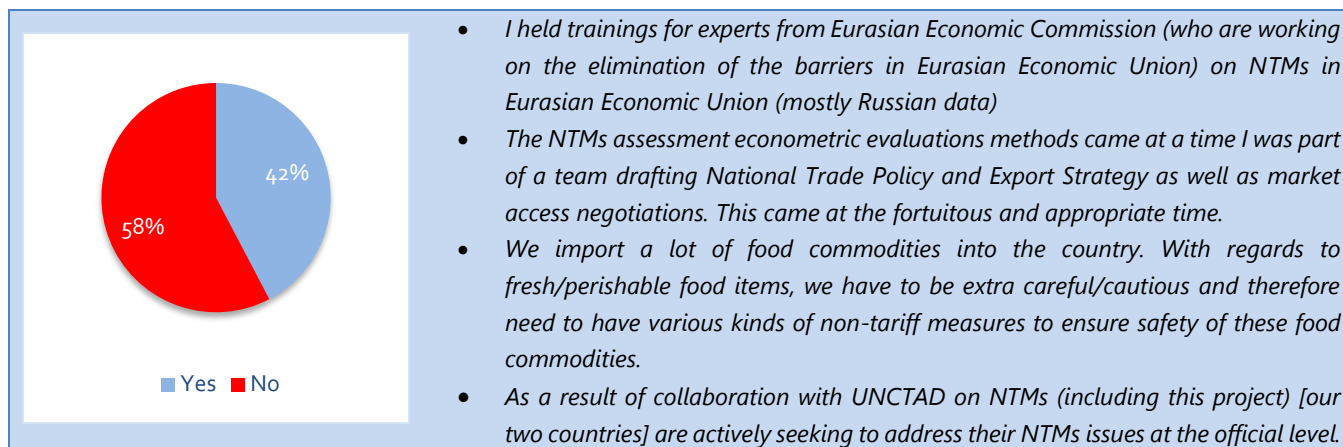
Visits directly to the Book total 2,950 from June 2018, the date of its publications to December 2018. Seven hundred printed copies of the Book have been for the most part distributed. In other words, more than 3,500 copies of the Book have been disseminated in seven months. Although there is no specific benchmark with which to compare this data, the evaluation finds this situation as a success, all the more considering the budget available.

95. Another way of evaluating whether the publication is being used is to trace the number of references made to its content. However, the Book has only just recently been published. It will take time before further research is conducted using the methodologies, approaches and contents of the Book, logically leading to its referencing. However, it has been brought to the attention of the evaluation that the Book has been presented in an event in Florence, outside the context of the project, by a university professor.

96. From survey data, 58% of the respondents consider that the project has not contributed to the "development of policy responses or other tangible measures to address NTM issues." What is more, among those that answered positively to the question below, only a few of them provided justifications for their quantitative answers; a summary of these justifications is made below (see

97. **Figure 3** below). These anecdotal elements describe some contribution of the project to the actual development of policy response—with one more concretely than the others. Yet the information rather refers to the timeliness of this project (and others) with regards to the work they are presently doing.

**Figure 3. Are you aware of the project having contributed to the development of any policy response or other tangible measure to address non-tariff measures issues?**



EA2: Enhanced awareness, knowledge and capacity of policy-makers in developing countries to analyze the effects of NTMs and to formulate effective policy responses using established NTM data platforms and improved analytical research and tools.

### Better Understanding of NTMs

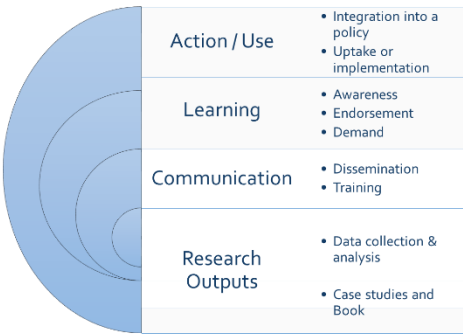
98. The indicator for this EA is “Increased number of stakeholders indicating that they have an improved understanding of and can better address the effects of NTMs on export performance.” Overall, **results for EA2 are achieved and respondents are satisfied with the project’s contribution.** The policy-makers that have participated in the events and/or have read the Book have for the large majority confirmed that they are more aware of the importance of NTMs and of their effect on trade. A similar proportion have increased their knowledge on the subject as well. Survey data shows that more than 90% of respondents mention that **the project has contributed (above 40% Contributed a lot) to enhancing their awareness, knowledge and capacity to analyze** the effects of NTMs using established NTM data platforms and improved analytical research and tools.<sup>17</sup> In terms of **enhancing their capacity to formulate effective policy responses, this is somewhat less clear.**

99. The policy-makers are more aware of the challenges they face linked to NTMs and they are more inclined to search for data on NTM databases such as TRAINS to better understand these challenges. However, from data collected, they would tend to ask think tanks and universities to conduct the analysis of the data, using for example the methodologies presented in the Book, when they need it. They normally do not themselves assess the data to understand the effects the NTMs have on their economies. This is demonstrated, in a visual way, in the figure below. 98% of respondents affirm that the project contributed (63% “contributed a lot”) to the first statement in the figure which concerns the level of awareness and

<sup>17</sup> Respondents (95%) both participated in at least 1 activity and acceded the Book. The answers provided are hence representative of both these aspects of the project.

knowledge on NTMs. Although responses remain positive, as the statements start addressing the “capacity” elements of the project, the percentages related to the answer “contributed a lot” drop. It can also be noted that the percentage of answers such as “contributed little” or “Did not contribute” increase. If we see the possible answers as a continuum (from awareness, to capacity to use data on NTMs, to capacity to formulate policy responses), effectiveness is very high on the 1st stage, then decreases. Indeed, 43% of respondents stated that the project contributed a lot to their capacity to formulate effective policy responses to non-tariff measures, and 35% stated that it contributed. The overall positive percentage is hence of 78% but this is quite lower than the 98% of the first statement. This data reflects individual perception on the question and needs to be triangulated with interview information. The latter shows there are not many examples of the project specifically affecting concrete policies for the moment.

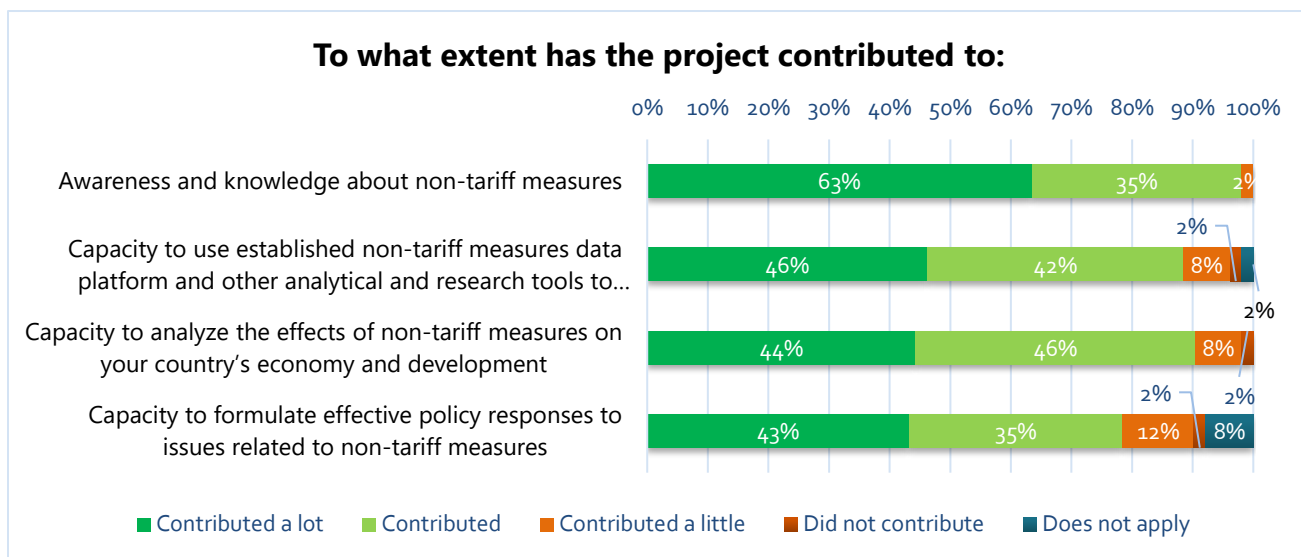
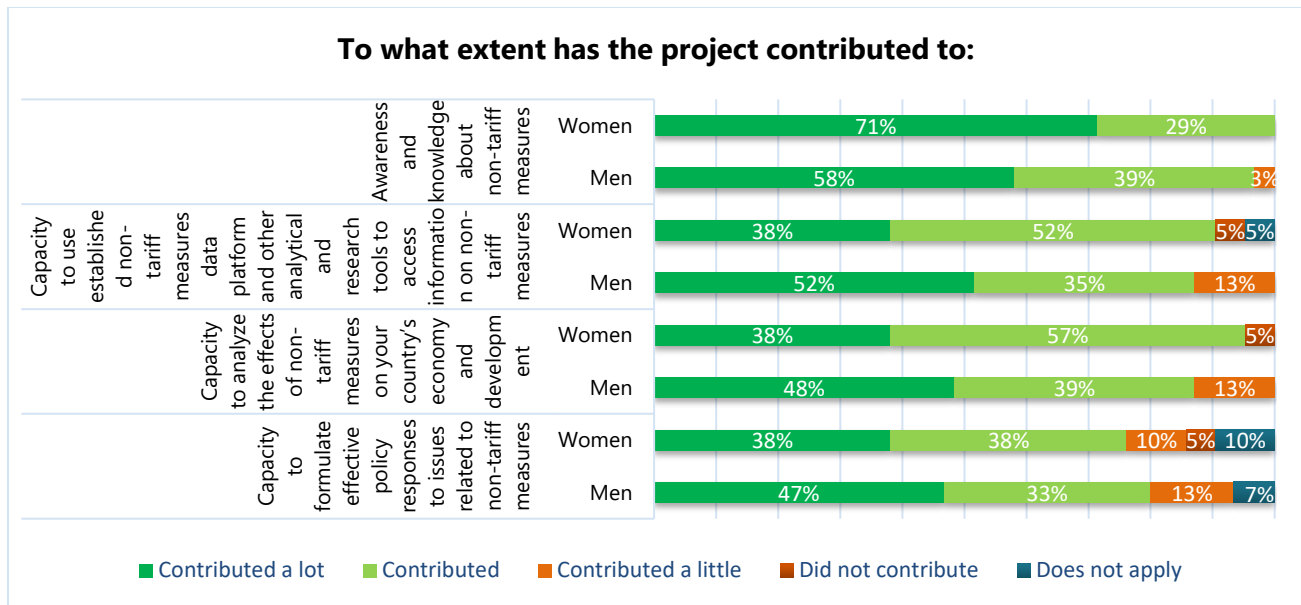
100. Using the Theory of Change on how projects can lead to actual capacity building for the benefit



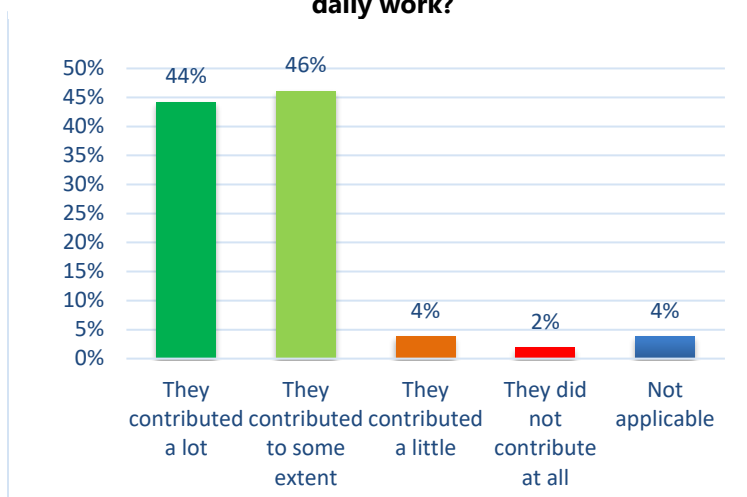
of the participants, presented to the left, the evaluation shows the project clearly reached the third level called “learning”. The survey data is less positive for the level four result, “integration into a policy and uptake or implementation, was only, by the evaluation” as demonstrated above. Additionally, the evaluation noted **only a limited number of occurrences, if not only one, in which respondents’ actual refer to the project having contributed to policy development.** To a certain extent, this is considered normal.

Changing approaches in participants’ daily work takes time and convincing efforts. Such results do not necessarily happen during the lifetime of a project. The three first levels, which have been achieved by the project, set the context to eventually have participants put into practice what they have learned. More reinforcement of the message and training sessions now need to follow. Looking at gender-disaggregated data, it appears that the project was most beneficial to raise women’s awareness and knowledge about NTMs, but that the proportion of women that believe the project contributed a lot to raising their capacities is consistently lower than men’s. Nonetheless, there is no significant difference in the proportion in which the project contributed to the capacities of women and men.

**Figure 4. Contribution of the project to the EA 2**



**Figure 5. To what extent have the project activity(ies), studies, and publications contributed to improving your daily work?**

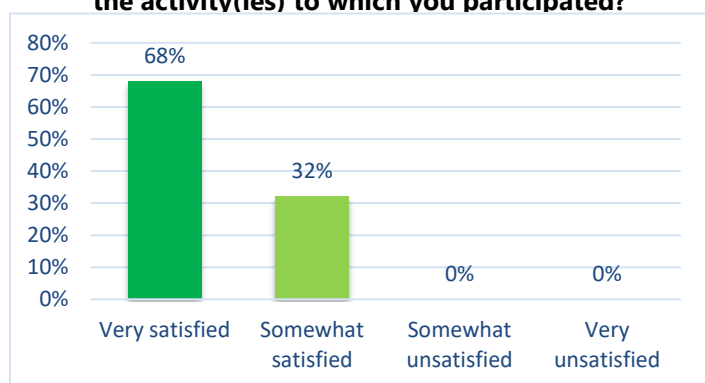


their daily work. Only 6% of respondents feel that the project has contributed a little or not at all to their work.

### Activities organized by the project and the quality of the outputs

103. **100% of respondents who participated in events organized by the project are satisfied with the activities**, with 68% being very satisfied. Some respondents provided comments on their answers. Here is a summary of the main reasons why they enjoyed the trainings:

**Figure 6. What is your general level of satisfaction with the activity(ies) to which you participated?**



- The possibility of exchanging with other participants was also appreciated.

104. The survey respondents also mentioned that the following aspects were particularly interesting to them:

- The presenters' familiarity with software, their explanations about construction of database;

101. Some interviewees mentioned that to contribute to these elements, the involvement of the private sector, to some extent, would have helped; for example, to raise awareness and knowledge on NTMs or the capacity to analyse the effects of NTMs on the countries' economy.

102. At a more practical level, it is interesting to see how respondents view the effects of having participated in the project on their approach to actual concrete work operations. As shown in figure 4, the project contributed to the work of 90% of respondents. 44% even indicate that the project has contributed a lot to improving

- For the quality and quantity of information: Information was described as good, "objective", comprehensive;
- For the usefulness of the training: they were described as "useful", helpful, valuable, relevant, systematic, accessible and straightforward;
- For the learning experience: it contributed to increase knowledge of participants;
- For the delivery: trainings provided clear explanations, were well-organized, were practical;
- The presenters were appreciated and helpful;

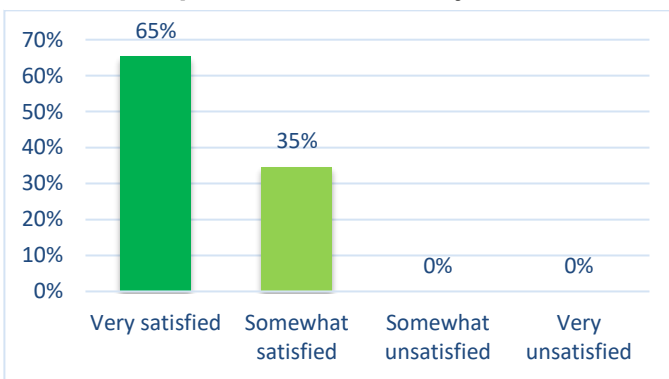


- The quantity and quality of research methodologies as well information collection and analysis presented;
- The explanations on how to measure NTMs;
- The details about the case studies

105. Survey respondents also pointed out the following elements that could be strengthened:

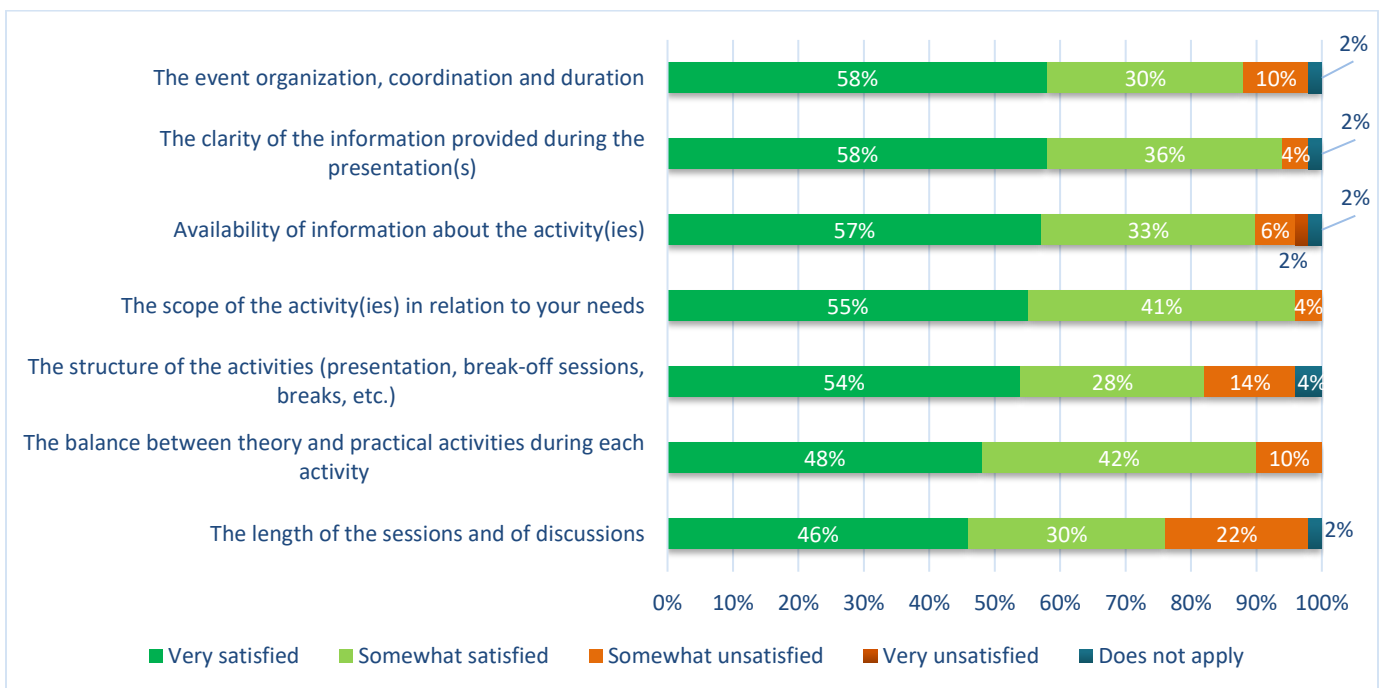
- There is a need for more sharing on the processes of database development, processing and how to use the models;
- As in many cases in successful events, the events were considered as not long enough;
- Given the complexity of the topics, it is considered that smaller groups for the events would have been preferable.

**Figure 7. What is your level of satisfaction with the studies and publications to which you had access?**



106. Among respondents, there is a 100% satisfaction rate with the publication(s). From the comments that were received, the publications (the Book) are described as informative, accessible, clear, useful and sufficient “to have a general understanding of NTMs”.

**Figure 8. Level of satisfaction for each of the following aspects of activities**



107. The above figure presents responses to the survey concerning their levels of satisfaction for certain aspects of the events organized during the project. These are generally good. On average, 53.7% of respondents are "very satisfied" and 34.2% are "somewhat satisfied" (87.9% satisfied in total). 10% are "somewhat unsatisfied" and less than 1% are "very unsatisfied".

108. The aspects about which the most people were very satisfied are:

- The clarity of the information provided during the presentation(s) (58%)
- The event organization, coordination and duration (58%)
- the availability of information about the activity(ies) (57%)

109. But the scope and the structure of activities come closely behind (respectively 55% and 54%).

110. Overall, the greatest rates of satisfaction (including both "satisfied" and "very satisfied" responses) are with the following aspects of the events:

- The scope of the activity(ies) in relation to the respondents needs (96%)
- The clarity of the information provided during the presentation(s) (94%)
- The availability of information about the activity(ies) (90%)

111. Nonetheless, it is interesting to observe that this 4<sup>th</sup> aspect (The balance between theory and practical activities during each activity) has an almost equal share of respondents who are very satisfied (48%) and somewhat satisfied (42%). Among the comments received, some pointed out the need for more practical activities.

112. The length of the sessions and of discussions is the single aspect with the highest dissatisfaction rate, with 22% of respondents considering themselves as "somehow unsatisfied" (and none as "very unsatisfied"). Based on the comments received, three of which concern the length of the sessions, participants would have preferred longer sessions, even one more day of activities to cover particular topics better, and the participation of the private sector.

113. The structure of the activities received the second highest number of "somewhat unsatisfied" ratings, at 14%. No specific comments are provided to clarify the quantitative trends.

#### *1.1.7. Unexpected Results*

114. There were a few unexpected results: **Some of the countries where the NTM data were collected were initially not listed (e.g. Russia and Cuba)** and they were added to the project thanks to personal contacts and mainly because there was a demand for this kind of assistance. In the same line of thought, two regional events were added to the list of activities: World Bank headquarters in Washington DC and UN HQ in New York. As stated in the final report, "this was instrumental to present the findings of the publication and to transfer some of the knowledge generated by the DA project to UN delegates

and World Bank staff so for them to use in their own activities in support of developing countries integration in the global economy<sup>18</sup>.”

## **EFFICIENCY**

### **Monitoring and Evaluation**

115. **The project complied with the monitoring and evaluation (M&E) UNDA requirements** by producing progress reports regularly. In terms of result-based management (RBM) requirements, the project document clearly assesses the problem UNCTAD is trying to address; stakeholder analysis is strong, and the logical framework is well established. However, as already mentioned, it is hard to actual assess the level of progress the project made because there are no **baseline or pre-set targets for the project’s performance indicators**. Apart from these issues, the indicators were useful although in pure RBM theory, they have another issue: the indicator statements show a direction—they start by ‘increased number’ where they should only state ‘number’ because indicators normally remain neutral. The result statement demonstrate the way it is supposed to go and the baseline and target data indicate to what extent it is supposed to go in that direction.

### **Implementation**

116. **Overall efficiency has been deemed high for the project.** The management team’s size at UNCTAD was kept to a minimum, with the manager using most of his time on the project during the execution years and a colleague managing the data collection process. However, this fact is also seen as a concern in terms of how DA projects are implemented in general: **having small implementation teams normally means that those involve dedicate the majority of their time on execution**. Some consider this as being too much pressure on staff. This creates a situation where there is very limited flexibility among UNCTAD’s staff to contribute to wider projects. Here is a specific example from this project to demonstrate the challenge: during the second year of the project, the XIV UNCTAD Conference was taking place and the institution was requesting that their teams work extensively on the preparation of the international event.

### **Costs and Budget Lines**

117. The administrative costs to support the project implementation (e.g. event organization) was somewhat high compared to other DA projects assessed by the evaluator in the past (around 12%). However, this does not exceed the DA’s and UNCTAD’s limits and the budget and its changes were approved from the beginning and over time. An explanation for the expensive administrative work is the Geneva region labour market which has raised the charges on the project because of high salaries.

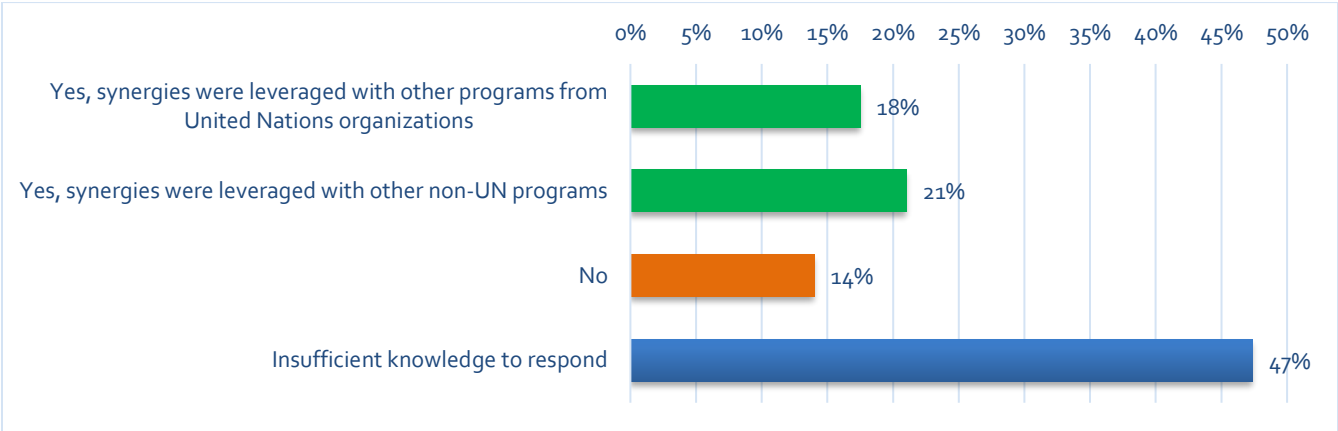
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<sup>18</sup> UNCTAD, February 2019. Final Report: Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses. P.7

118. The “Consultants and Experts” budget line was the highest of the project (37%). Looking at the implementation structure, this seems logical. A lean UNCTAD staff dedicating much of its time to the implementation and coordination of the project activities with consultants collecting data for TRAINS and academic authors writing-up the methodological and case study chapters of the Book. UNCTAD staff was still quite involved in all steps of the project which also explains that the second largest budget line is “Travel of staff”, representing 19% of the whole budget. This contributed to ensure smooth implementation of events (and thus to overall satisfaction with the project and ensured the contribution of UNCTAD to these activities was visible to all stakeholders.

119. In many cases, the events were organized in coordination with other organisations’ initiatives. For example, the project worked with Economic Commission for Latin America and the Caribbean (ECLAC)/ Inter-American Development Bank (IADB), Economic and Social Commission for Asia and the Pacific (ESCAP), COMESA and Economic and Social Commission for Western Asia (ESCWA). Working through this approach reduced the actual cost of organizing events sensitively. Additionally, the majority of respondents mentioned that the production and publication of the Book were accomplished at low cost, all the more considering the quality of the work done and the notability of the authors; some were actually quite impressed by what was accomplished with the available budget. Indeed, 700 Books were published and the cost for the publication itself was only 2.7% of the budget. The authors were paid a reasonable amount for their work, but the real “reward” for some of the respondents was to publish in an UNCTAD research piece, “a renowned institution”.

**Figure 9. Did the project activities complement other related programs or initiatives that were implemented in your country?**



120. As usual in such evaluations, many project stakeholders and beneficiaries do not feel sufficiently informed to express opinions on the efficiency of such project (47%). Among the respondents that considered having the knowledge to respond to this question:

- 33% considered that synergies were leveraged with other programs from United Nations organizations
- 40% considered that synergies were leveraged with other non-UN programs; and

- 27% considered that no synergies were leveraged with other programs or initiatives.

121. Beyond the synergies with regional UN regional commissions to integrate its events in other initiatives, the project was also indirectly complementary to other similar endeavours. For example, the International Trade Centre (ITC) has an NTM programme based on the use of surveys to collect data from private sector enterprises. The latter share what types of NTMs they face by responding to the surveys and the programme stocks the answers in a database. In the same line of thought, the World Trade Organisation (WTO) is also working on aggregating complaints on NTMs as well as non-tariffs barriers (NTBs). UNCTAD’s work is based on research activities looking for detailed NTM information. For a stakeholder, together, these three databases provide a wealth of data.

122. It is important to note here that one reason why the supplemental events were conducted by the project (i.e. the Cuban, Russian as well as the UN and World Bank headquarters’ events), beyond those mentioned above, was that there was sufficient budget left over to conduct them.

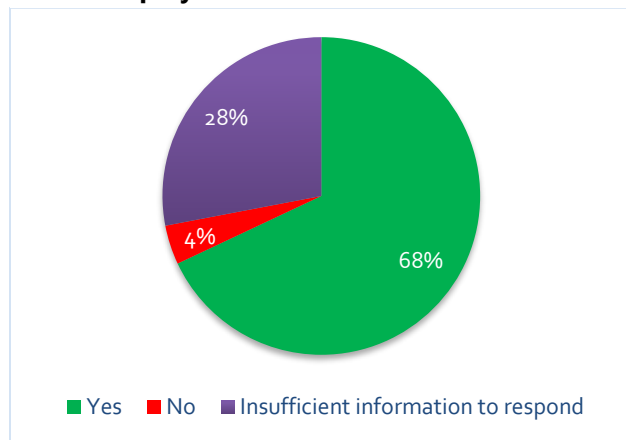
### Project timeline

123. When discussed with interviewees, some respondents mentioned that there were a few complications in event organizing, date changes and other issues. However, these were not considered as being worst in quantity or potential negative effects on the timeline than other similar projects. This, and other causes (e.g. the deployment of UMOJA, difficulties with a small number of consultants and some staff turnover), did affect the timeline and the manager was obligated to ask for an 11 month no-cost extension which was approved by the UN DESA office. Overall, the project has accomplished what it had set out to do in the renewed timeline and close to 99% of the budget was spent.

### SUSTAINABILITY

124. Figure 10 below shows that respondents have positive opinion on the sustainability of the project’s results. Although many consider not having sufficient information on the subject to respond (28%), the large majority of those that do, are of the opinion that there is a favorable context that will foster the implementation of actions similar to those undertaken in the project with other resources.

**Figure 10. Is there an interest and a favorable context that would foster the implementation of actions similar to those undertaken through this project with other resources?**



Although many consider not having sufficient information on the subject to respond (28%), the large majority of those that do, are of the opinion that there is a favorable context that will foster the implementation of actions similar to those undertaken in the project with other resources.

125. Of the comments received, respondents mention contextual elements in their respective countries that explain the *need* for further work on NTMs to keep filling information gaps. In other words, there is interest in continuing the work on NTMs because there is a need to do so. As the relevance of the project for beneficiaries has been demonstrated and as the fact that their awareness was raised on the

importance of the subject above has been shown, it is logical that to some extent, the sustainability of the results is minimally ensured. From survey data, respondents from South-East Asia have most strongly emphasized the importance of continuing the work on NTMs for their economies' sake. As for sectors, those most mentioned include the garment and agricultural sectors and exports.

126. Respondents point out the value of understanding NTMs to foster economic development for their own country. Others mentioned the importance of access to data and of regularly updating data. The access to and regularity of updates on NTM data are the central elements that were discussed with interviewees. There is a cost to the continuous and regular data collection to renew databases and the questions are hence: "who will pay for this work?" "Where will these databases be housed?" "Which organization will administer the databases?" TRAINS (and WITS) seems like an agreed upon "space" to feed new data recurrently. The International Trade Center's (ITC) also has potential database that could be sustained and has been mentioned during interviews. However, from discussions, the question of who will finance the work in the future remains unanswered. In the past, the AfDB has financed similar work to develop for example an econometric model (Ad-Valorem) linked to NTM. Some respondents have mentioned that besides the least-developed countries (LDCs), the exporting countries should (partly at least) finance the work of data collection on NTMs because of the value for them of the products and tools developed by such initiatives.

127. In UNCTAD, there is interest for further financing of these types of activities. The reason for this optimism is the renewed interest of donors concerning NTMs, partly thanks to the project. The medium and long term-plans are not yet specified concerning how this would unfold—except a concrete project that could be financed by the German government—but it has been confirmed that the possibilities of something taking form soon are high<sup>19</sup>. The project potentially financed by the German government would be similar to the present project but specifically oriented toward African countries. The idea would be to collect more data for the use of the targeted countries—in coordination with ECOWAS and the Tripartite structure (COMESA, East African Community [EAC] and Southern African Development Community [SADC])—with a special focus on the Continental Free Trade Area (CFTA) negotiation process. At the moment, the Tripartite structure has an online reporting mechanism on NTBs and NTMs. There is now a need to train consultants for data collection, which has already been financed by some donor governments, and which should continue.

128. UNCTAD uses (and is planning to increase its use) of the contents of TRAINS and the Book in its other initiatives such as virtual and face to face trainings (Virtual Institute, TRAPCA (<http://trapca.org/>) or the P166 initiative).

*Beneficiary country stakeholders actively involved in the initiation, design and implementation of the project*

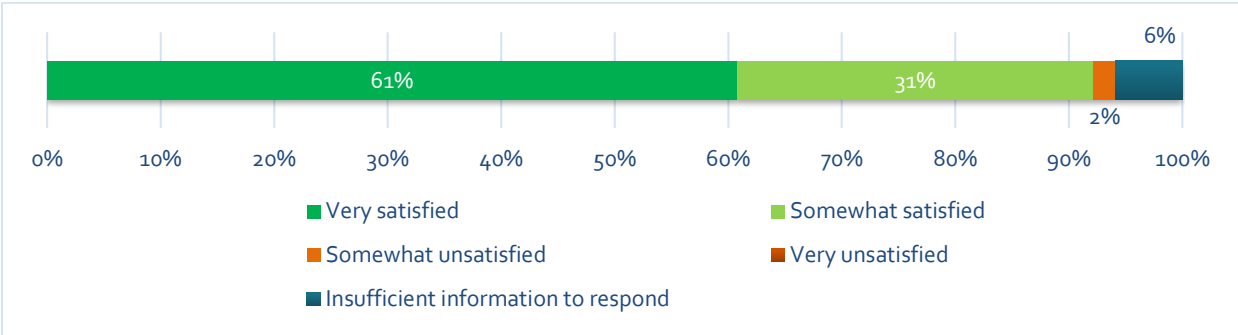
129. Concerning the design of the project, although there seems to have been no specific consultations with stakeholders during the planning phase, discussions have taken place and the understanding of the needs arose from many past works with concerned actors.

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<sup>19</sup> There are regional workshops that are already planned for example in Asia.

130. To further answer this evaluation question, the evaluation looks at the level of participation in events. 72% of respondents participated in one event. 16% participated in two events and 7% in three or more events. As already mentioned, the level of satisfaction with these events is high. In terms of satisfaction levels with participation of national counterparts in the activities of the project, the numbers are similar: 92% respondents are satisfied (61% “very satisfied”). The comments also reflect a strong interest in further regional and possibly national-level activities. Other comments also expressed satisfaction with the diversity of the attendance to the events. However, it was noted by some respondents (including interviewees) that the actors from the private sector were not present.

**Figure 11. To what extent are you satisfied with the participation of national counterparts (including yourself) in the activities proposed by the project?**



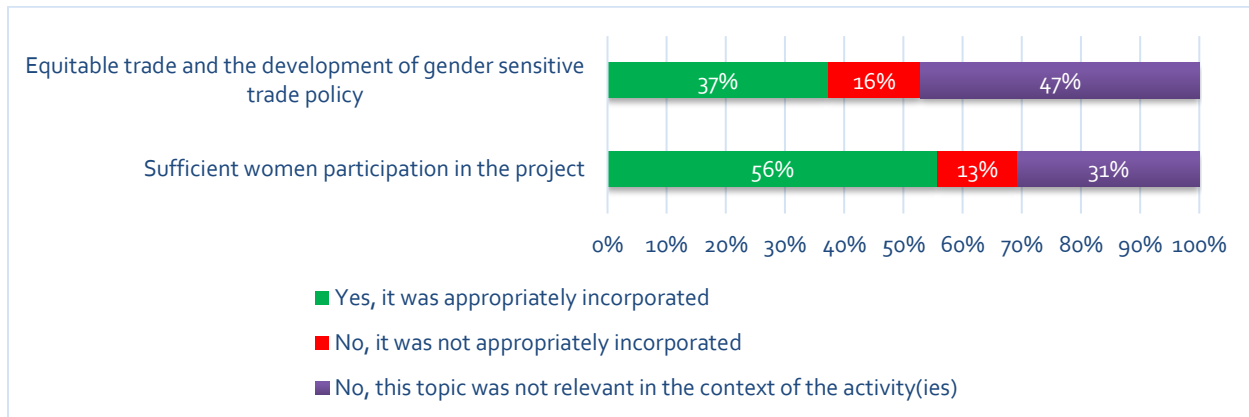
**GENDER AND HUMAN RIGHTS ASPECTS**

*To what extent the design and implementation of the project incorporated gender concerns, and can outcomes be identified in this regard?*

131. After the analysis of all the data, the evaluation finds that the gender and human rights aspects of the project are those for which the management team faced the most challenges in integrating. Some respondents pointed to the fact that these themes are not easily linked to NTMs. However, after open discussions, the majority admitted that there are points of entry that the project did not sufficiently “use”. As some interviewees noticed, the Book does not mention very much the gender nor human rights components of trade policies and NTMs. It is important to mention that when sending invitations for the events, the messages mentioned the importance of making sure women participated in an equitable manner.

132. The survey data in figure 12 below also validates this finding, all the more considering the high levels of positive responses to other questions.

**Figure 12. Did the activities and/or the studies appropriately incorporate issues related to gender?**



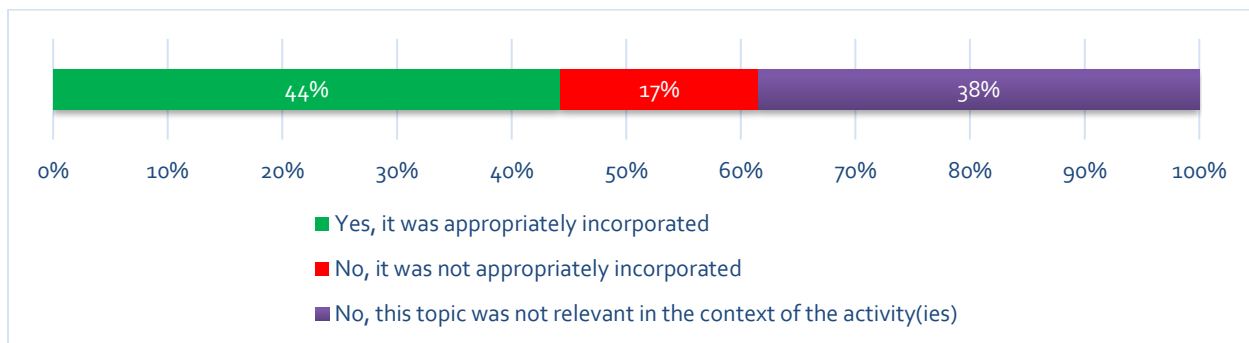
**Gender**

133. Nearly half of respondents believe that equitable trade and gender sensitive trade policies were not relevant topics within this project (50-50 women and men). However, examples do exist. Here is how this can be demonstrated: With trade policies that help attain clothing NTM requirements in a certain market, there is a high possibility that the textile sector in an exporting country will benefit and because of the structure of the labour market in many of these countries, women will be inclined to find more work.

134. Among those who believe gender was a relevant issue to integrate in the project, 70% believe it was appropriately incorporated (26% of these responses were from women) and 30% believe it was not (50-50 women and men). Although the majority answered positively, compared to all other percentages of negative percentages of responses, 30% is considered quite high.

135. With regards to women participation in the project, 31% of respondents believe it is not a relevant topic (31% female, 69% male). For the rest, the responses are mainly positive although the proportional analysis of the negative responses above also applies for this statement. Among the respondents who believe the topic to be relevant (44% female, 56% male), 81% believe there is sufficient women participation in the project.

**Figure 23. Did the activities and/or the studies appropriately incorporate issues related to equitable and inclusive trade?**





## **Human Rights**

136. 38% of respondents believe equitable and inclusive trade not to be relevant topics for this project. Among those who consider them relevant, 72% (35% female, 65% male) consider they have been appropriately incorporated.

137. All respondents during the interviews mentioned integrating the human rights concept into the NTM realm is not an easy task. They had no real idea or opinion as to how this process could unfold. None of the documents related to the project discuss or even mention human rights.

## **PARTNERSHIPS AND SYNERGIES**

138. The partnerships and synergies themes have been discussed in the efficiency section above.

## Conclusions

139. In conclusion, the evaluation found that the project:

- was relevant for stakeholders in differentiated forms;
- reached its targets—although these were not specifically defined;
- had difficulties in integrating the gender and human rights themes whether in events or in the Book;
- was efficient in planning and executing all its activities—with minor complications in some cases concerning logistics; and
- seems to have been able to set a context in which the sustainability of the results achieved could be maintained over time as interest in NTMs has been sparked by the project among many stakeholders, including donors.

140. As shown in sub-section 3.1, policymakers need accessible/user-friendly information on how databases work and how to understand and demonstrate the effect NTMs have on trade. Now that useful academic methodologies and approaches have been developed, it could be interesting to further render the content accessible to non-academic stakeholders. This has been done in the project, but a similar future project could singularly focus on this objective.

141. As discussed in the report above, to increase the effectiveness of the project, involving the private sector would have been a success factor. Its actors' views on the subject would have enhanced the experiences of the beneficiaries as it would have brought a new dimension to the discussion. These actors were not specifically involved in the project because they were not defined as direct or indirect beneficiaries. Still, it could be interesting to have them present in events.

142. One of the main reasons why gender and human rights components have been difficult to integrate in the project is the fact that there is a lack of information on how to do so. This gap could be filled by new research on the subject. This would stimulate innovation on the subject and would allow for future similar project to become more gender and human rights sensitive. Nonetheless, the project missed on the opportunity to specifically address these important themes which are central to DA

endeavours. There are no mentions of the human rights aspect in any of the project documentation and gender is mentioned only in the project document. There were no follow-up on what the design phase set out to do in terms of gender: "...the output of the project will also contribute to inform the discussion on the links between trade and gender."

143. The fact that the project worked with developing countries provides an indirect link with the human rights theme. The logic is: as the project's objective is to foster international inclusive trade, the populations of the developing countries involved will benefit from better living conditions, partly thanks to their governments. In this sense, marginalized people benefit from wealth redistribution and their right to better lives is respected. However, the evaluation considers this logic as artificial in the present case. There was no intent to achieve this. Future similar projects should.

144. Efficiency was attained by achieving a lot with little. However, in terms of the management team, there might be another approach that would reach the same level of efficiency all the while involving more UNCTAD staff beyond the branch in which it was housed. This would allow the UNCTAD to respect timelines without monopolising the time of certain staff for long periods of time.

145. Sustainability of results is supported by the overall agreed-upon need for continuous updating of the available information on NTMs. However, the fact remains that there is a cost to this work, and it is not known exactly how much this endeavour would cost. In fact, there is no clear scope of what precisely is needed and for whom. The need is important and so it is vital to analyse where to begin, who will be involved (implementers and beneficiaries) and what needs to be done. The present DA project was relatively focused in terms of countries involved. Based on this, a larger scheme needs to be developed. In the same line of thought, it will be important to continue determining who is doing what in terms of NTM database development (i.e. ITC, UNCTAD, WB, WTO, etc.) and see how the different "assembly lines" of data can complement each other, which data is for who, how much each initiative cost and determine if there is duplication. This endeavour is already taking place (e.g. sharing of data between organisations) but further, more in-depth activities need to take place to render the whole process more effective and efficient.

## Recommendations

1. It is recommended to multiply the channels of dissemination of the content of the present project's information and data as well as previously existing content. UNCTAD needs to ensure more awareness raising is done and mostly to make sure that the tools developed in the present project are understood by the main targeted beneficiaries; the policymakers. In other words, future NTM projects need to continue making the project's content more accessible to more policy makers and other relevant policy makers.
2. It is recommended to involve the private sector in the events of future similar projects. Although other initiatives, such as ITC projects for example, work specifically with enterprises, introducing this type of actors in UNCTAD projects would have a great added value including in terms of diversifying the opinions shared during events' discussions. It will be important to define clearly what is understood

as the private sector to make sure not only large exporting corporations are involved but also other, smaller businesses/ cooperatives wanting to export also. In this same line of thought, it would also be interesting to augment the time destined for debates after events to stimulate the active involvement of participants in such contexts. As for data collection on NTMs, as the ITC collects data from the private sector, it is recommended to continue and reinforce the collaboration between the two organisations to ensure the two sets of NTM data remain complementary.

3. It is recommended to pay particular attention to the themes of gender equality and human rights in the development of NTM content analysis and studies in future similar projects. The present context in the international development field is insisting on the importance of addressing these themes in all sectors, whether directly or indirectly related. Although it is not always evident for example that gender can be an integral part of NTMs, the specific effects of some of these measures on women can be studied to find policy strategies that will allow governments to lower the impact of the negative consequences. As shown above, there are information and data gaps which hinders NTM stakeholders to better consider the gender elements in similar projects. The same can be said about human rights. Before the start of such projects, the links with cross-cutting themes such as gender and human rights need to be investigated and tested. They then need to be fully integrated in project designs.
4. It is recommended that UNCTAD ensures adequate allocation/designation of capacity for each DA project team. This will allow for involved implementers to also be available for other tasks. In addition, this might have the unexpected result of bringing new ideas to the table. A strict structure, division of tasks and role and responsibility definition would need to be organized as with such small projects, having more staff involve calls for coordination. Still, it can lead to good results in an efficient way.
5. In the optic that further and permanent work in the field needs to be organized, it is recommended that a scoping assessment be conducted, to determine the next steps. A long-term plan is needed to determine how all NTM initiatives can complement each other in different regions of the world. The project helped build a body of knowledge that is now available to present to donors to show what can be done. However, this content needs to be structured and has to be integrated in a structured approach. In the meantime, should UNCTAD keep taking the leadership in updating NTM databases, it is recommended that tools to monitor usage of said databases are implemented so as to have tangible data on which to measure global interest for the issue and raise interest from donors.
6. As demonstrated above, in some cases, it was difficult for the evaluation to really assess the progress of the project as there were no baseline data available nor clear targets. In this context, it is recommended that specific baseline data be collected on all DA project indicators on which targets would be set. This would hence allow for future similar evaluations to have benchmarks on which to rely for the assessment of such projects.

## Lessons Learned

146. Based on all the above data and its analysis, here is a summary of the main lessons learned:

- In complicated political contexts, it is important to plan mitigation strategies to lower the risks of consultants facing challenges to collect NTM data.
- One point that was noted by many respondents is that having data collection consultants that were in a position of eventually using the actual data really increased the dedication to the work and the quality of the final results linked to these efforts. Such examples of PhD students generating great data were reported to the evaluators.
- The consultants collecting data on NTMs need to make sure that the details aggregated on the subjects need to be at the level some call “the golden middle”. In other words, it is important to make sure that the consultant does not get lost in detail and collects the most important information. All this to be efficient, all the while collecting useful data. Convincing countries to update their NTM data was more demanding than the team initially thought. The process of updating them was also in itself more complicated than planned. More time was needed to structure the data and make sure it was harmonized with the other existing data. This is the main added-value of the collecting of data by the project.

## ANNEX I: Terms of Reference of the Evaluation

**CONFÉRENCE DES NATIONS UNIES SUR  
LE COMMERCE ET LE  
DÉVELOPPEMENT**



**UNITED NATIONS CONFERENCE  
ON TRADE AND DEVELOPMENT**

### **Terms of Reference (TOR)**

#### **Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses**

##### **1. Introduction and Purpose**

This document outlines the Terms of Reference (TOR) for the final independent project evaluation for the United Nations Development Account (UNDA) funded project titled “Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses”

The UNCTAD Evaluation and Monitoring Unit (EMU), in close collaboration with the Division on International Trade in Goods and Services, and Commodities, will undertake this evaluation.

This evaluation exercise is meant to ensure ownership, result-based orientation, cost-effectiveness and quality of UNCTAD assistance. By carrying out this evaluation, UNCTAD plans to assess its work, to learn lessons, to receive feedback, appraisal and recognition, as well as to mobilize resources by showing the possible attribution of achievements to the programme.

The evaluation will systematically and objectively assess project design, project management, and project performance. The evaluation will provide assessments that are credible and useful, and also include practical and constructive recommendations, in order to enhance the work of UNCTAD in this area.

The evaluation will provide accountability to UNCTAD management, the Capacity Development Office/Development Account of DESA, project stakeholders, as well as UNCTAD's member States with whom the final evaluation report will be shared.

##### **2. Project Background**

This project contributed to the effective participation and integration of developing countries in the global economy. Effective participation in the global economy increasingly depends not only on lower tariffs and supportive policies but requires policy responses to various forms of complex non-tariff measures (NTMs) such as standards, sanitary and phytosanitary requirements, and behind the border regulations. In spite of the relevance of these NTMs, there is still a large information and knowledge gap on their uses and effects. This project filled some of these gaps by providing information on various forms of NTMs and by generating knowledge on the implications of these measures for international trade and market access. In particular, the project focused on: a) collecting and classifying accurate, comprehensive and up-to-date NTMs data; b) translate such data into analytical research, policy messages and recommendations; c) to disseminate such information and knowledge to policy-makers and other relevant

stakeholders; ensuring data, information and analysis on NTMs is readily available in all developing countries.

The outcome of the project also has a multiplier effects as it also contributes to enhance the capabilities of local NTMs database management and researches to conduct further analysis so as to better understand and analyse the implication of NTMs on their domestic economies; encouraging collaboration between domestic researches and government officials; and providing a platform for South-South knowledge and experience sharing.

### **3. Scope of the Evaluation**

The evaluation will cover the duration of the project from November 2014 to November 2018.

The evaluation is expected to deal with the following questions under the below criteria:

#### **a) Relevance**

- Did the project design, choice of activities and deliverables properly reflect and address the primary development needs of developing countries, taking into account UNCTAD's mandates, and alignment with the objectives of the UNDA?
- Were the actual activities and outputs of the project consistent with the overall goals and intended outcomes?
- What is UNCTAD's comparative advantage in this area and to what extent did this project maximize it?

#### **b) Effectiveness**

- Have the activities achieved, or are likely to achieve, planned objectives and outcomes as enunciated in the project document?
- To what extent are project beneficiaries satisfied with the activities organized by the project and the quality of the outputs?
- Is there evidence that the beneficiaries' knowledge, understanding and capacity to carry out analysis of trade policy (non-tariff measures) on socio-economic development have been improved?
- How have the different activities complemented each other in the capacity building of the project beneficiaries?
- What are the lessons learned or best practices for similar future interventions?

#### **c) Efficiency**

- Have project implementation modalities, and internal monitoring and control been adequate in ensuring the achievement of the expected outcomes in a timely and cost-effective manner?
- Has the project leveraged in-house expertise, previous research and technical cooperation outcomes, existing databases, and other internal resources of UNCTAD and/or external collaboration from international development partners and mechanisms?
- Has the project timeline been affected by possible constraints/problems? If so, how have these affected project objectives and have they been addressed in an appropriate manner?

#### **d) Sustainability**

- Is there evidence that national counterparts and regional partners are committed to continue working towards the project objectives beyond the end of the project? To what extent have project beneficiaries' institutional capacities been enhanced?
- Have the activities and outputs have been designed and implemented in such a way to ensure maximum sustainability of the project's impact? For instance, to what extent did the beneficiary country stakeholders have strong sense of ownership?

- Have efforts been made to sustain the knowledge and capacity gained in the project for future similar interventions to be carried out by UNCTAD?

**e) Gender and human rights**

- To what extent the design and implementation of the project incorporated gender mainstreaming considerations, and can evidence be identified in this regard?
- How have the beneficiaries been sensitized on the gender dimension of trade policy and non-tariff measures and their impact on gender equality?
- To what extent does the project advance UNCTAD's efforts to promote equitable trade and sustainable development?

**f) Partnerships and synergies (optional)**

- How has the project advanced partnerships with national and regional counterparts, the civil society and/or the private sector?

**4. Deliverables and Expected Outputs**

The evaluation, on the basis of its findings and assessments made on the above criteria, should draw conclusions, make recommendations and identify lessons learned from the implementation of the project.

More specifically, the evaluation should:

- Highlight what has been successful and can be replicated elsewhere;
- Indicate shortcomings and constraints in the implementation of the project while, at the same time, identifying the remaining challenges, gaps and needs for future courses of action;
- Make pragmatic recommendations to suggest how UNCTAD's work in this area can be strengthened in order to deliver better results in addressing beneficiaries' needs and create synergies through collaboration with other UNCTAD divisions, international organizations and development partners, and other international forums;
- Draw lessons of wider application for the replication of the experience gained in this project in other projects/countries;

Three deliverables are expected out of this evaluation (following EMU templates):

- 1) An inception report<sup>20</sup>;
- 2) A draft evaluation report; and
- 3) The final evaluation report<sup>21</sup>

The inception report should summarize the desk review and specify the evaluation methodology, determining thereby the exact focus and scope of the exercise, including the evaluation questions, the sampling strategy and the data collection instruments.

The final report of the evaluation must be composed of the following key elements:

- 1) Executive summary;
- 2) Introduction of the evaluation, a brief description of the projects, the scope of the evaluation and a clear

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<sup>20</sup> Quality of the inception report should meet those set out in UNEG Quality Checklist for Evaluation Terms of Reference and Inception Reports: [http://www.uneval.org/papersandpubs/documentdetail.jsp?doc\\_id=608](http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=608)

<sup>21</sup> Quality of the evaluation report should meet those set out in UNEG Quality Checklist for Evaluation Reports: <http://www.uneval.org/document/detail/607>

description of the methodology used;

3) Findings and assessments according to the criteria listed in Section 3 of this ToR, with a comparison table of planned and implemented project activities and outputs; and

4) Conclusions and recommendations drawn from the assessments.

All the evaluation assessments must be supported by facts and findings, direct or indirect evidence, and well-substantiated logic. It follows that proposed recommendations must be supported by the findings and be relevant, specific, practical, actionable, and time-bound recommendations.

## **5. Methodology**

The evaluation will be undertaken through a triangulation exercise of all available data to draw conclusions and findings. The evaluation methodology includes, but is not limited to, the following:

- Desk review of project documents and relevant materials;
- Face-to-face interview and/ or telephone interviews with relevant UNCTAD staff;
- Online surveys of beneficiaries of the project, and other stakeholders, as may be required\*; conduct follow-up interviews as may be necessary; and
- Telephone/skype interviews with a balanced sample of project participants, project partners and other relevant stakeholders.

As part of the desk review, which will lead to an Inception Report, the evaluator will use the project document as well as additional documents such as mission reports; progress reports, financial reports, publications, studies - both produced under the project as well as received from national and regional counterparts. An exhaustive list of donors, project beneficiaries as well as other partners and counterparts involved in the project will be provided to the evaluator.

The evaluator will further elaborate on the evaluation methodology in an Inception Report, determining thereby the exact focus and approach for the exercise, including developing tailor made questions that target different stakeholders (based on a stakeholder analysis), and developing the sampling strategy and identifying the sources and methods for data collection. The methodology should follow the UNCTAD Inception Report Guidelines.

The evaluator is required to submit a separate final list of those interviewed in the Annex of the evaluation report. The evaluator is ensure a wide representation of stakeholders, bearing in mind the need to include those in a disadvantaged or minority position as appropriate.

## **6. Description of Duties**

The evaluator reports to the Chief of EMU. S/he will undertake the evaluation exercise under the guidance of the EMU and in coordination with the project manager. The evaluator is responsible for the evaluation design, data collection, analysis and reporting as provided in this TOR. The evaluator will submit a copy-edited final report to UNCTAD.

The evaluator shall act independently, in line with United Nations Evaluation Group (UNEG) Ethical Guidelines and in her/his capacities and not as a representative of any government or organisation that may present a conflict of interest. S/he will have no previous experience of working with the project or of working in any capacity linked with it.



The evaluator should observe the UNEG guidelines, standards<sup>22</sup>, and norms<sup>23</sup> for evaluations in the UN system, as well as UNCTAD's Evaluation Policy<sup>24</sup>, in the conduct of this assignment. The evaluator needs to integrate human rights and gender equality in evaluations to the extent possible.<sup>25</sup> The evaluator needs to ensure a complete, fair, engaging, unreserved, and unbiased assessment. In case of difficulties, uncertainties or concern in the conduct of the evaluation, the evaluator needs to report immediately to the Chief of EMU to seek guidance or clarification.

The project team will support the evaluation, by providing desk review documents (following EMU desk review documents guidelines), contact details of project stakeholders as well as any additional documents that the evaluator requests. It is the responsibility of the project manager to ensure senior management engagement throughout the evaluation and timely feedback in the quality assurance and factual clarification process coordinated by the EMU. The project team will review and provide comments on the inception, draft and final reports with a view on quality assurance and factual accuracies.

The EMU acts as clearing entity during the main steps of this evaluation. It endorses the TOR and approves the selection of the proposed evaluator. EMU reviews the evaluation methodology, clears the draft report, performs quality assurance of the final report and participates in disseminating the final report to stakeholders within and outside of UNCTAD. EMU engages the project manager throughout the evaluation process in supporting the evaluation and validating the reports.

## **7. Timetable**

The total duration of the evaluation is equivalent to 22 days of work and will take place from December to February 2019.

## **8. Monitoring and Progress Control**

The evaluator must keep the EMU informed of the progress made in the evaluation on a regular basis.

The evaluator will submit the inception report on December 10<sup>th</sup>, 2018.

The evaluator will also present the draft report to the EMU and the project manager before the final submission, giving sufficient time for the verification of factual findings as well as its compliance with the ToR (approximately 2 weeks). To this end, a draft of the report must be presented by February 1, 2019 for quality assurance by the EMU and factual clarification by the project manager, before submission of the final report.

The deadline for submission of the final report will be February 28<sup>th</sup>, 2019.

The contract concludes, and payment issued, upon satisfactory receipt of the final report.

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<sup>22</sup> "Standards for Evaluation in the UN System" by UNEG, UNEG/FN/Standards (2005); [http://www.uneval.org/papersandpubs/documentdetail.jsp?doc\\_id=22](http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=22);

<sup>23</sup> "Norms for Evaluation in the UN System" by UNEG, UNEG/FN/Norms (2005); [http://www.uneval.org/papersandpubs/documentdetail.jsp?doc\\_id=21](http://www.uneval.org/papersandpubs/documentdetail.jsp?doc_id=21);

<sup>24</sup> "Evaluation Policy" of the United Nations Conference on Trade and Development (UNCTAD), December 2011. December 2011, [http://unctad.org/Sections/edm\\_dir/docs/osg\\_EvaluationPolicy2011\\_en.pdf](http://unctad.org/Sections/edm_dir/docs/osg_EvaluationPolicy2011_en.pdf).

<sup>25</sup> "Integrating human rights and gender equality in evaluations" by UNEG, UNEG Guidance Document (2014); <http://www.unevaluation.org/document/detail/1616>. The UNEG Handbook on "Integrating human rights and gender equality in evaluations: Towards UNEG Guidance" by UNEG, UNEG Guidance Document (2011): <http://www.uneval.org/document/detail/980>.

## 9. Qualifications and Experience<sup>26</sup>

- **Education:** Advanced university degree in economics, trade, development, public administration or related field.
- **Experience:** At least 5 years of experience in conducting evaluations, preferably on interventions in the areas of trade and/or non-tariff measures. Demonstrated knowledge of trade policy is required. Experience in gender and human rights mainstreaming is desirable.
- **Language:** Fluency in oral and written English. Ability to communicate in official languages of beneficiary countries and regions of the project under evaluation is an advantage, in particular Spanish.

## 10. Conditions of Service

The evaluator will serve under a consultancy contract as detailed in the applicable United Nations rules and regulations. The evaluator will not be considered as staff member or official of the United Nations, but shall abide by the relevant standards of conduct. The United Nations is entitled to all intellectual property and other proprietary rights deriving from this exercise.

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<sup>26</sup> The United Nations shall place no restrictions on the eligibility of men and women to participate in any capacity and under conditions of equality in its principal and subsidiary organs.

## ANNEX II: Evaluation Tools

### ***Evaluation Matrix***

<b>Questions and sub-questions</b>	<b>Indicators</b>	<b>Data Collection Methods</b>	<b>Information and Data Sources</b>
<b>RELEVANCE</b>			
<ul style="list-style-type: none"> <li>Do the Project design and the choice of activities and deliverables properly reflect and address the needs of the beneficiaries?               <ul style="list-style-type: none"> <li>Is there a correlation link between the Project's design, activities and deliverables and the needs of the beneficiaries?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Level of knowledge of the beneficiaries of the Project</li> <li>Level of satisfaction of the beneficiaries with the Project design</li> <li>Level of satisfaction of the beneficiaries with the Project's design (activities and deliverables)</li> <li>Perception of Project managers</li> <li>Number of occasions during which the beneficiaries were able to express their needs during project implementation</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> <li>Survey</li> <li>Document review</li> <li>Interviews</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiaries</li> <li>Project managers</li> <li>Progress reports</li> <li>Project document</li> <li>Beneficiaries</li> <li>Project managers</li> </ul>
<ul style="list-style-type: none"> <li>Do the project design and the choice of activities and deliverables take into account UNCTAD's mandates?               <ul style="list-style-type: none"> <li>What is UNCTAD's comparative advantage in this area and to what extent did this project maximize it?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Correlation between the project design and UNCTAD's mandates</li> <li>Correlation between selected activities with UNCTAD's mandates</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>The "Book"</li> <li>UNCTAD general documentation<sup>27</sup></li> <li>Beneficiaries</li> <li>Project managers</li> <li>Other UNCTAD representatives</li> </ul>
<ul style="list-style-type: none"> <li>Are the project design and the choice of activities and deliverables aligned with the objectives of Development Account?</li> </ul>	<ul style="list-style-type: none"> <li>Correlation between the project design and the objectives of Development Account</li> <li>Correlation between the selected activities and the objectives of Development Account</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>DA general documentation</li> <li>Project managers</li> <li>Other UNCTAD representatives</li> </ul>
<ul style="list-style-type: none"> <li>Were the actual activities and outputs of the project consistent with the overall goals and the intended outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Correlation between the activities and outputs and intended outcomes</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>Progress reports</li> <li>Beneficiaries</li> <li>Project managers</li> <li>Other UNCTAD representatives</li> </ul>
<b>EFFECTIVENESS</b>			
<ul style="list-style-type: none"> <li>Have the activities achieved or are they likely to achieve planned objectives as enunciated in the project's logframe and produced</li> </ul>	<ul style="list-style-type: none"> <li>Increased number of countries/measures in the WITS/TRAINS and other freely available online</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> </ul>	<ul style="list-style-type: none"> <li>Progress reports</li> <li>Project document</li> </ul>

<sup>27</sup> If considered relevant and if they are available during the Geneva mission.

Questions and sub-questions	Indicators	Data Collection Methods	Information and Data Sources
<p>beneficial results? Measuring the expected accomplishments indicators:</p> <ul style="list-style-type: none"> <li>○ Enhanced availability of data on NTM for the use of country officials, researchers and institutions</li> <li>○ (relates to the ToR question "Is there evidence that the beneficiaries' knowledge, understanding and capacity to carry out analysis of trade policy (non-tariff measures) on socio-economic development have been improved?")</li> </ul>	<p>databases (national/regional) with an improved availability of data on NTMs.</p>	<ul style="list-style-type: none"> <li>• Interviews</li> <li>• Survey</li> </ul>	<ul style="list-style-type: none"> <li>• The Book</li> <li>• Workshops' summary evaluation responses</li> <li>• Beneficiaries</li> <li>• Consultants</li> <li>• Project managers</li> </ul>
<ul style="list-style-type: none"> <li>○ Enhanced awareness, knowledge and capacity of policy-makers in developing countries to analyze the effects of NTMs and to formulate effective policy responses using established NTM data platforms and improved analytical research and tools</li> </ul>	<ul style="list-style-type: none"> <li>• Increased number of reference material related to NTM analysis available to policy-makers;</li> <li>• Increased number of stakeholders indicating that they have an improved understanding of, and can better address the effects of NTMs on export performance</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Interviews</li> <li>• Survey</li> </ul>	<ul style="list-style-type: none"> <li>• Progress reports</li> <li>• Project document</li> <li>• The Book</li> <li>• Workshops' summary evaluation responses</li> <li>• Available policies (if possible)</li> <li>• Beneficiaries</li> <li>• Consultants</li> <li>• Project managers</li> </ul>
<ul style="list-style-type: none"> <li>• To what extent are project beneficiaries satisfied with the activities organized by the project and the quality of the outputs? <ul style="list-style-type: none"> <li>○ How have the different activities complemented each other in the capacity building of the project beneficiaries?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Level of satisfaction of beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Interviews</li> <li>• Survey</li> </ul>	<ul style="list-style-type: none"> <li>• Progress reports</li> <li>• Workshops' summary evaluation responses</li> <li>• Beneficiaries</li> <li>• Consultants</li> <li>• Project managers</li> </ul>
<ul style="list-style-type: none"> <li>• How have the different activities complemented each other in the capacity building of the project beneficiaries?</li> </ul>	<ul style="list-style-type: none"> <li>• Lessons learned for replication of the project to other locations</li> <li>• Degree of replicability of the project in other locations</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Interviews</li> </ul>	<ul style="list-style-type: none"> <li>• The Book</li> <li>• Progress reports</li> <li>• Workshops' summary evaluation responses</li> <li>• Project managers</li> <li>• Consultants</li> <li>• Beneficiaries</li> </ul>
<b>EFFICIENCY</b>			
<ul style="list-style-type: none"> <li>• Have project implementation modalities, and internal monitoring and control been adequate in ensuring the achievement of the expected outcomes in a timely and cost-effective manner? <ul style="list-style-type: none"> <li>○ Has the project leveraged in-house expertise, previous research and technical cooperation outcomes, existing databases, and other internal resources of UNCTAD and/or external collaboration from international development partners and mechanisms?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Correlation between costs and results</li> <li>• Percentage and cost of personnel time allocated to programme management</li> <li>• Adequacy of management expenses vs. operational expenses</li> <li>• Use of internal expertise to achieve results at a lower cost</li> </ul>	<ul style="list-style-type: none"> <li>• Document review</li> <li>• Interviews</li> <li>• Document review</li> </ul>	<ul style="list-style-type: none"> <li>• Progress reports</li> <li>• Other financial information</li> <li>• Events participants lists</li> <li>• Project managers</li> <li>• Project Document</li> <li>• Progress reports</li> </ul>

Questions and sub-questions	Indicators	Data Collection Methods	Information and Data Sources
	<ul style="list-style-type: none"> <li>Correlation between issues dealt with through the project and issues encountered by beneficiaries in the past two years</li> <li>Level of satisfaction of beneficiaries</li> </ul>		<ul style="list-style-type: none"> <li>The Book</li> <li>Progress reports</li> <li>Workshops' summary eval responses</li> </ul>
<ul style="list-style-type: none"> <li>Has the project timeline been affected by possible constraints/problems? If so, how have these affected project objectives and have they been addressed in an appropriate manner</li> </ul>	Constraints/ problems	<ul style="list-style-type: none"> <li>Interviews</li> <li>Survey</li> <li>Document review</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiaries</li> <li>Project managers</li> <li>Project Document</li> <li>Progress reports</li> <li>The Book</li> <li>Progress reports</li> <li>Workshops' summary eval responses</li> </ul>
<b>SUSTAINABILITY</b>			
<ul style="list-style-type: none"> <li>Have the activities been designed and implemented in such a way to ensure maximum sustainability of their impact <ul style="list-style-type: none"> <li>Is there evidence that national counterparts and regional partners are committed to continue working towards the project objectives beyond the end of the project? To what extent have project beneficiaries' institutional capacities been enhanced?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Perception of beneficiaries and managers</li> <li>Existence and quality of an exit strategy</li> <li>Level of institutional development through the Project</li> <li>Level of individual development the Project facilitated</li> <li>Level of engagement of beneficiaries in the design and implementation stage</li> <li>Level of cooperation with other int'l organization or local implementation partners</li> <li>Level of engagement of national and regional counterparts in continuing work on NTMs</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews</li> <li>Survey</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>The Book</li> <li>Progress reports</li> <li>Workshops' summary evaluation responses</li> <li>Beneficiaries</li> <li>Consultants</li> <li>Project managers</li> </ul>
<ul style="list-style-type: none"> <li>Were beneficiary country stakeholders actively involved in the initiation, design and implementation of the project?</li> </ul>	<ul style="list-style-type: none"> <li>Number of occasions during which the beneficiaries were able to get involved in project implementation (e.g.: workshops)</li> <li>Level of participation of the beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews</li> <li>Surveys</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>Progress reports</li> <li>Events participants lists</li> <li>Workshops' summary evaluation responses</li> <li>Beneficiaries</li> <li>Consultants</li> <li>Project managers</li> </ul>
	<ul style="list-style-type: none"> <li>Level of satisfaction of the beneficiaries with their involvement in the Project's initiation and design</li> <li>Level of satisfaction of the beneficiaries with their involvement in the Project's implementation</li> </ul>	<ul style="list-style-type: none"> <li>Interviews</li> <li>Surveys</li> </ul>	<ul style="list-style-type: none"> <li>Beneficiaries</li> <li>Project manager</li> </ul>
	<ul style="list-style-type: none"> <li><i>Stand alone question</i></li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>Progress reports</li> </ul>

Questions and sub-questions	Indicators	Data Collection Methods	Information and Data Sources
<ul style="list-style-type: none"> <li>Have efforts been made to sustain the knowledge and capacity gained in the project for future similar interventions to be carried out by UNCTAD?</li> </ul>		<ul style="list-style-type: none"> <li>Interviews</li> <li>Surveys</li> </ul>	<ul style="list-style-type: none"> <li>Events participants lists</li> <li>Workshops' summary evaluation responses</li> <li>Beneficiaries</li> <li>Consultants</li> <li>Project managers</li> </ul>
<b>GENDER AND HUMAN RIGHTS + PARTNERSHIPS AND SYNERGIES</b>			
<ul style="list-style-type: none"> <li>To what extent the design and implementation of the project incorporated gender concerns, and can outcomes be identified in this regard? <ul style="list-style-type: none"> <li>How have the beneficiaries been sensitized on the gender dimension of trade policy and non-tariff measures and their impact on gender equality?</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Number of men and women involved in all activities</li> <li>Evidence that measures were undertaken to increase participation of women in the Project's activities</li> <li>Evidence that gender issues are integrated in published documents by the project</li> <li>Evidence of efforts to sensitize beneficiaries on the links between the gender dimension and trade policy</li> </ul>	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews</li> <li>Surveys</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>Progress reports</li> <li>Events participants lists</li> <li>The Book</li> <li>Workshops' summary evaluation responses</li> <li>Beneficiaries</li> <li>Consultants</li> <li>Project managers</li> </ul>
<ul style="list-style-type: none"> <li>To what extent does the project advance UNCTAD's efforts to promote equitable trade and sustainable development?</li> <li>How has the project advanced partnerships with national and regional counterparts, the civil society and/or the private sector?</li> </ul>	Stand alone questions	<ul style="list-style-type: none"> <li>Document review</li> <li>Interviews</li> <li>Surveys</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>Progress reports</li> <li>Events participants lists</li> <li>The Book</li> <li>Workshops' summary evaluation responses</li> <li>Beneficiaries</li> <li>Consultants</li> <li>Project managers</li> </ul>

**Interview Protocol**

Today’s interview is part of the external evaluation of the “Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses” project, implemented by the UNCTAD. My name is Mr. Alexandre Daoust and I was selected to externally conduct the evaluation of the Project on behalf of UNCTAD.

You have participated in the Project’s activities, such as: (MENTION IN WHICH ACTIVITIES THE RESPONDENT HAS PARTICIPATED/ WORKED). This is why we are talking today: the discussion gives you the opportunity to provide feedback on your involvement in the Project.

The purpose of the evaluation is: to assess the relevance, effectiveness, efficiency and sustainability of the Project in order to build a body of knowledge which will permit to explore and evaluate its achievements.

Our interview will last approximately 60 minutes. The information you provide will be used solely for evaluation purposes and will be handled taking into account principles of confidentiality.

Before we continue, do you have any questions? Let’s begin by establishing the context of your participation in the project.

	UNCTAD	National institutions	Academic	Partner international/regional institutions	Other donors/implementers	Consultants
<b>Questions</b>						
<b>Relevance</b>						
How in line were the activities and outputs delivered with the priorities of the targeted countries? Is there a correlation link between the Project’s design, activities and outputs and the priorities of the beneficiaries?						
To what extent do you consider the project design (objective/expected accomplishments (EAs), activities etc <sup>28</sup> .) to have addressed the issues identified in the region? • Can you give examples of such needs? To what extent do you feel that the objective and the EAs remained relevant throughout the implementation of the Project?	✓	✓	✓	✓	✓	✓
Were the actual activities and outputs of the project consistent with the overall goals and intended outcomes? What is UNCTAD’s comparative advantage in this area and to what extent did this project maximize it? Did the project design, choice of activities and deliverables properly take into account UNCTAD’s mandates, and alignment with the objectives of the UNDA?						
To what extent do you feel that the project design, objective and EAs align with UNCTAD’s mandate and the relevant sub-programmes? • Has the Project operated in synergy with other UNCTAD projects or activities?	✓					
<b>Effectiveness</b>						
Have the activities achieved or are they likely to achieve planned objectives as enunciated in the project’s logical framework and produced beneficial results? EA1: Concerning the enhanced availability of data on NTM for the use of country officials, researchers and institutions. EA2: Concerning Enhanced awareness, knowledge and capacity of policy-makers in developing countries to analyze the effects of NTMs and to formulate effective policy responses using established NTM data platforms and improved analytical research and tools :						
Do you think the Project has performed well in its endeavour to reach these EAs? • Are you satisfied with the activities conducted through the Project and the results reached? Do you consider that more data and information on NTMs are available? • Have you enhanced your knowledge and know-how in terms of NTMs through the project? If so, how? • Have you changed the way you work because of your participation in the Project? If so, how? • From your participation in the Project’s activities, were there outcomes you had not planned? Unexpected/ unforeseen positive or negative consequences?	✓	✓	✓	✓	✓	✓
		✓	✓			✓

<sup>28</sup> The objectives, EAs and activities will be summarized during the interview.

	<i>UNCTAD</i>	<i>National institutions</i>	<i>Academic</i>	<i>Partner international/regional institutions</i>	<i>Other donors/implementers</i>	<i>Consultants</i>
<b>Questions</b>						
Do you consider that you are (that the beneficiaries are) now better able to combine and make better use of NTM data to develop trade policy?	✓	✓	✓	✓	✓	✓
<ul style="list-style-type: none"> <li>To the extent of your knowledge, are there policies to which the project has contributed?</li> </ul>						
<ul style="list-style-type: none"> <li>Do you think enough was done to stimulate the participation of women in the project's activities? Have you and/or any stakeholders you are aware of been sensitized to the importance of gender issues linked to trade policy development?</li> </ul>		✓	✓			✓
<b>Efficiency</b>						
Are you aware of any collaborations and coordination between UNCTAD and other implementing partners (e.g. you) to ensure efficiencies and coherence of response?	✓			✓	✓	
Do you consider the services and support provided by UNCTAD were delivered in a timely and reliable manner?	✓	✓	✓			✓
<ul style="list-style-type: none"> <li>To the extent of your knowledge, has the work plan and schedule been respected for the implementation of the project</li> </ul>						
<b>Sustainability</b>						
To what extent will you continue to use and update the information produced through this project?	✓	✓	✓	✓	✓	✓
To the extent of your knowledge, will the results reached have effects outside the beneficiary organizations (trade related ministries and departments)?						
Were the technical, human and other resources available in the beneficiary countries leveraged by the Project/ during the activities conducted by the management team? How?	✓	✓	✓			✓
Are you aware of any mechanisms that has been set up to ensure the follow-up of networks created under the project?	✓	✓	✓	✓		✓
<ul style="list-style-type: none"> <li>To the extent of your knowledge, are any upcoming events or activities that are susceptible of sustaining the results reached? Are you planning such activities?</li> </ul>						
<b>How has the project contributed to shaping / enhancing UNCTAD's programme of work / priorities and activities? The work modalities and the type of activities carried out? How has UNCTAD built on the findings of the project?</b>						
Has UNCTAD organized any activities to disseminate the results reached and the lessons learned collected during the implementation of the Project?						
<ul style="list-style-type: none"> <li>Are you aware of any reference made to the Project in future UNCTAD programming?</li> <li>Are you aware of any projects or planned activities that would constitute a follow-up to this Project?</li> <li>Do you consider that inclusive trade issues have been addressed in the context of the project? If so in what ways? If not, what do you consider was missing?</li> <li>Do you consider that gender issues (equitable trade, women participation, sensitization of men, etc.) have been addressed in the context of the project? If so in what ways? If not, what do you consider was missing?</li> </ul>	✓					



## Survey Questionnaires

### Survey Questionnaire for direct beneficiaries

#### EMAIL INVITATION

**Subject:** Survey for the Evaluation of the Project: “Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses”

*Or shorter:*

**Subject:** E-survey for the evaluation of the UNCTAD Non-tariff measures capacity strengthening project

The United Nations Conference on Trade and Development (UNCTAD) is currently evaluating its project **“Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses”**, implemented between 2014 and 2018. This evaluation is assessing the project’s relevance, effectiveness, efficiency and sustainability, with the purpose of identifying achievements and shortcomings to improve future programming. An independent evaluator based in Montreal, Canada, has been contracted to conduct this evaluation.

The project was implemented directly by UNCTAD and aimed to increase the capacity of beneficiary countries’ policy-makers to address the implications of non-tariff measures (NTMs), to improve export performance and their integration in the global economy. Its activities included the preparation of studies and the organization of workshops, conferences, and other information dissemination activities. [Click here](#) for a full list of the project activities.

**Our records indicate that you participated in at least one of these activities**, which is why we are requesting your participation to the attached survey. This survey has been prepared and is managed directly by the independent evaluator conducting this evaluation. It will take approximately 10-15 minutes of your time to fill the questionnaire. We invite you to provide additional qualitative information to explain or detail your responses when you believe it to be relevant in the available answer boxes.

All your contributions will be **strictly confidential** and will be highly valuable to help understand the effectiveness and the impacts of UNCTAD’s services as well as to improve them in the future. Your responses will be transferred to a database accessible solely by the independent evaluator.

**We thank you in advance for your help and your responses.**

#### SURVEY INTRODUCTION

Dear Sir or Madam:

Welcome to the online survey for the evaluation of the UNCTAD project: “Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses” that was implemented between 2014 and 2018.

The e-survey is designed to provide useful information that will help improve future project design and provide constructive recommendations in order to strengthen UNCTAD’s work in this area. Your participation in this e-survey is important. The e-survey should take no more than 10 to 15 minutes to complete. We also invite you to provide additional comments to explain or detail your responses when you believe it to be relevant.

We kindly request you to respond to this survey by February 11, 2019. Your insights and responses are greatly appreciated and are valuable to the success of the Project. Your individual feedback will be kept confidential to the evaluator.

This survey has been designed and is managed by the independent external evaluator Mr. Alexandre Daoust. You may contact Mr. Daoust via alexandre.daoust@baastel.com if you have any questions on the survey.

We thank you in advance for your valuable contribution to this important evaluation exercise.

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## **SECTION A: Identification**

1. What country do you work in? (open-ended question)
2. What type of organization do you work in? (please select from list)
  - Trade ministry
  - Trade-related agency
  - Research institution (incl. think tanks, universities, consultancies...)
  - Private sector/ export company
  - Other (please specify):
3. What is your current position? (please select from list)
  - Minister/Deputy Minister/Assistant Deputy Minister
  - Director
  - Manager
  - Technical specialist
  - Administrative officer
  - Researcher
  - Other (please specify):
4. Please specify your gender:
  - Male
  - Female
5. To how many events/activities organized under this project have you participated, approximately? [Click here](#) for a full list of events and activities implemented.
6. Have you read or had access to the studies and publications developed in the context of this project?
  - Yes
  - No

*If response to question 5 is "0" **and** response to question 6 is "No", the survey ends here.*

## **SECTION B: Relevance**

7. To what extent were **the project activities, studies and publications** relevant to the context of your country or region?
- Very relevant
  - Somewhat relevant
  - Somewhat irrelevant
  - Not relevant at all
  - Insufficient knowledge to respond

How were they relevant? If not relevant, why?

## **SECTION C: EFFICIENCY**

8. To the best of your knowledge, did/have the project activities complement other related programs or initiatives that were implemented in your country?
- Yes, synergies were leveraged with other programs from United Nations organizations
  - Yes, synergies were leveraged with other non-UN programs
  - No
  - Insufficient knowledge to respond

How? Comments, details or explanations:

## **SECTION D: Satisfaction**

*(question only for those who participated in project activities)*

9. What is your general level of satisfaction with the activity(ies) to which you participated?
- Very satisfied
  - Somewhat satisfied
  - Somewhat unsatisfied
  - Very unsatisfied

Why? What did you like best and least about the activities? Comments, details or explanations:

*(question only for those who had access to the studies)*

10. What is your level of satisfaction with the studies and publications to which you had access?
- Very satisfied
  - Somewhat satisfied
  - Somewhat unsatisfied
  - Very unsatisfied

Comments, details or explanations:

*(question only for those who participated in project activities)*

11. For each of the following aspects of the activity(ies) to which you participated, please indicate your level of satisfaction:

Aspect of the activities	Very satisfied	Somewhat satisfied	Somewhat unsatisfied	Very unsatisfied	Does not apply
a. The scope of the activity(ies) in relation to your needs					
b. Availability of information about the activity(ies)					
c. The clarity of the information provided during the presentation(s)					
d. The balance between theory and practical activities during each activity					
e. The event organization, coordination and duration					
f. The length of the sessions and of discussions					
g. The structure of the activities (presentation, break-off sessions, breaks, etc.)					
h.					

Comments, details or explanations:

### SECTION E: Contribution

12. To what extent has the project (studies, publications, workshops, trainings) contributed to:

	Contributed a lot	Contributed	Contributed a little	Did not contribute	Does not apply
a. Your awareness and knowledge about non-tariff measures					
b. Your capacity to use established non-tariff measures data platform and other analytical and research tools to access information on non-tariff measures					
c. Your capacity to analyze the effects of non-tariff measures on your country's economy and development					
d. Your capacity to formulate effective policy responses to issues related to non-tariff measures					

13. Are you aware of the project (studies, publications, workshops, trainings) having contributed to the development of any policy response or other tangible measure to address non-tariff measures issues? If so, please provide one or more specific example(s).

- Yes, please specify:
- No

14. To what extent have the project activity(ies), studies and publications contributed to improving your daily work?

- They contributed a lot
- They contributed to some extent
- They contributed a little
- They did not contribute at all

- Not applicable

15. In your opinion, did the activities and/or the studies to which you participated/that you read appropriately incorporate issues related to:

- a. Gender equality (sufficient women participation in the project)?
  - Yes, it was appropriately incorporated
  - No, it was not appropriately incorporated
  - No, this topic was not relevant in the context of the activity(ies)
- b. Gender equality (equitable trade and the development of gender sensitive trade policy)?
  - Yes, it was appropriately incorporated
  - No, it was not appropriately incorporated
  - No, this topic was not relevant in the context of the activity(ies)
- c. Equitable and inclusive trade (for example the effects of NTMs on child labour or displacements of communities)?
  - Yes, it was appropriately incorporated
  - No, it was not appropriately incorporated
  - No, this topic was not relevant in the context of the activity(ies)

#### **SECTION F: Sustainability of results**

16. To what extent are you satisfied with the participation of national counterparts (including yourself) in the activities proposed by the project?

- Very satisfied
- Somewhat satisfied
- Somewhat unsatisfied
- Very unsatisfied
- Insufficient information to respond

Comments, details or explanations:

17. To the best of your knowledge, is there an interest and a favorable context that would foster the implementation of actions similar to those undertaken through this project with other resources (for example, the analysis of the effects of NTMs on your country's economy or further data collection on NTMs in export markets)?

- Yes
- No
- Insufficient information to respond

If so, please provide some details on these actions:

## ANNEX III: Desk Review List

KAHAN, Barbara. 2008. *Excerpts from Review of Evaluation Frameworks*, Saskatchewan, Ministry of Education

OECD/DAC. 2010. *Quality Standards for Development Evaluation (DAC Guidelines and Reference Series)*.

UN. 2008. *Guidelines for Joint Development Account Projects*.

UN. <https://sustainabledevelopment.un.org/?menu=1300>

UNCTAD, February 2019. *Final Report: Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses*.

UNCTAD, 2015. *International Classification of Non-Tariff Measures*.

UNCTAD, 2018. *Non-Tariff Measures: Economic Assessment and Policy Options for Development*.

UNCTAD, 2014. *Project Document Development Account 9<sup>th</sup> Tranche: Strengthening capacities of policy-makers to assess implications of non-tariff measures in international trade and formulate appropriate policy responses*.

UNCTAD. <https://unctad.org/en/Pages/DITC/Trade-Analysis/Non-Tariff-Measures.aspx>

## ANNEX IV: List of Persons Contacted

Alessandro Nicita, UNCTAD, Project Manager

Benedict Musengele (COMESA)

Jaime de Melo, reviewer and coordinator for the Book.

Janna Sofroni, UNCTAD, EMU

Jose Duran, ECLAC

Marcelo Olarreaga, Professor of Economics at the University of Geneva (peer reviewed some of the articles in the Book).

Mondher Mimouni, ITC, NTM Programme

Ralf Peters, UNCTAD, Chief, Trade Information Section

Randa Jamal, UNCTAD P166

Sergey Sudakov, data collection consultant

Sofia Boza, author in the Book and university teacher.

Yann Duval, ESCAP

Yuen Ching Ho, Chief, EMU, UNCTAD