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**Trade and Development Board**

**Working Party on the Strategic Framework and the Programme Budget**

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Item 4 (b) of the provisional agenda

**External evaluation of UNCTAD  
subprogramme 4: Technology and logistics**

**Supporting materials\***

*Executive summary*

This document contains supporting materials for the external evaluation of the United Nations Conference on Trade and Development (UNCTAD) subprogramme 4: Trade and logistics.

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\* This evaluation was prepared by an independent evaluation team: Mr. Daniel Keller, with Ms. Julie Emond, Ms. Shani Griffith-Jack and Ms. Cecilia Tinonin.  
The related main report can be found in document TD/B/WP/287.



## Annex I

### List of people interviewed

#### UNCTAD

<i>Name</i>		<i>Division, service, office or unit</i>
Ms. Regina	Asariotis	Division on Technology and Logistics
Mr. Mark	Assaf	Division on Technology and Logistics
Mr. Juan JM	Badillo	Resources Management Service
Ms. Cécile	Barayre	Division on Technology and Logistics
Ms. Claudia	Barberis	Resources Management Service
Mr. Miguel	Bautista	Intergovernmental Support Service
Ms. Salma	Ben Haji	Division on Technology and Logistics
Mr. Jean-Marc	Benoit	Division on Technology and Logistics
Ms. Lisa	Borgatti	Division for Africa, Least Developed Countries and Special Programmes
Mr. Dimo	Calovski	Division on Technology and Logistics
Ms. Chantal L	Carpentier	New York Office, Office of the Secretary-General
Ms. Emmanuelle	Cartier	Division on Technology and Logistics
Mr. Dominique	Chantrel	Division on Technology and Logistics
Ms. Marta P	Cuso	Division on Technology and Logistics
Mr. Alexandre	Dabbou	Division on Investment and Enterprise
Mr. John EL	David	Division on Technology and Logistics
Mr. Giuseppe	Di Capua	Division on Technology and Logistics
Ms. Geneviève	Féraud	Division on Technology and Logistics
Mr. Laurent	Francois	Division on Technology and Logistics
Mr. Torbjörn	Fredriksson	Division on Technology and Logistics
Mr. Ouassim	Gahbiche	Division on Technology and Logistics
Mr. Chris	Garroway	Office of the Secretary-General
Mr. Dmitry	Godunov	Division on Technology and Logistics
Mr. Angel	Gonzalez-Sanz	Division on Technology and Logistics
Mr. Poul	Hansen	Division on Technology and Logistics
Mr. Jan	Hoffmann	Division on Technology and Logistics
Ms. Catherine	Huissoud	Communications, Information and Outreach Unit, Office of the Secretary-General
Mr. Adnan	Issa	Resources Management Service
Ms. Randa	Jamal	Division on Technology and Logistics
Mr. Raul	Javaloyes	Technical Cooperation Service

<i>Name</i>		<i>Division, service, office or unit</i>
Ms. Joy	Kategekwa	Regional Office for Africa, Office of the Secretary-General
Ms. Nishta	Keeble	Office of the Secretary-General
Mr. Mukhisa	Kituyi	Secretary-General
Mr. Hatem	Knani	Division on Technology and Logistics
Mr. Richard	Kozul-Wright	Division on Globalization and Development Strategies
Mr. Michael	Lim	Division on Technology and Logistics
Mr. Steve	Macfeely	Division on Globalization and Development Strategies
Mr. Fabrice	Millet	Division on Technology and Logistics
Mr. Win	Myint	Resources Management Service
Mr. Daniel	Owoko	Office of the Secretary-General
Mr. Venkatasubramani	Pasupathy	Division on Technology and Logistics
Ms. Maria G	Perez	Resources Management Service
Mr. Joakim	Reiter	Deputy Secretary-General, Office of the Secretary-General (between 1 April 2015 and 28 February 2017)
Ms. Muriel	Scibilia	Communications, Information and Outreach Unit, Office of the Secretary-General
Ms. Shamika N	Sirimanne	Division on Technology and Logistics
Mr. Guillermo	Valles	Division on International Trade in Goods and Services, and Commodities
Ms. Dong	Wu	Division on Technology and Logistics
Ms. Frida	Youssef	Division on Technology and Logistics
Mr. Zhiliang	Yu	Division on Technology and Logistics
Ms. Anida	Yupari	Office of the Secretary-General
Ms. Simonetta	Zarrilli	Division on International Trade in Goods and Services, and Commodities

#### **Beneficiaries and stakeholders**

<i>Name</i>		<i>Organization or title</i>
Mr. Robert	Achieng	East African Community
Ms. Jane W	Akumu	Economy Division, United Nations Environment Programme
Ms. Beatrice A	Akun	Kenya Railways Corporation
Ms. Sheikha N	Al Akhzami	Sultan Qaboos University, Oman
Ms. Zakiya	Al Azri	The Research Council, Oman
Mr. Yousuf	Al Bulushi	Ministry of Foreign Affairs, Oman
Mr. Mohamed	Al Busaidi	Ministry of Foreign Affairs, Oman
Mr. Saif	Al Haddabi	The Research Council, Oman
Mr. Nahla AA	Al Hamdi	Ministry of Commerce and Industry, Oman
Mr. Al Khattab G	Al Hinai	State Council, Oman

<i>Name</i>		<i>Organization or title</i>
Ms. Hannat	Al Hinai	Petroleum Development, Oman
Mr. Hilal AZ	Al Hinai	The Research Council, Oman
Mr. Idrees S	Al Rahbi	The Research Council, Oman
Mr. Fahad A	Al Said	The Research Council, Oman
Mr. Alli	Al Shidhani	The Research Council, Oman
Mr. Yousof	Al-Abdali	Ministry of Foreign Affairs, Oman
Ms. Fatima	Al-Ghazali	Ministry of Commerce and Industry, Oman
Ms. Puangrat	Asavapisit	Department of Intellectual Property, Thailand
Mr. Jean E	Aubert	Knowledge for Development Programme, World Bank Institute
Mr. Ruth	Banomyong	Thammasat University, Thailand
Mr. Daniel	Beck	Delegation of the European Union to the United Nations and other international organizations in Geneva
Mr. Sakarindr	Bhumiratana	King Mongkut's University of Technology Thonburi, Thailand
Mr. Ahmed M	Boilil	Monetary Fund and General Commission of Revenue Authority, Togo
Mr. Piengpen	Butkatanyoo	Mahidol University, Thailand
Mr. Sven	Callebaut	Aid for Trade and Trade Capacity Development, Cambodia
Mr. Guntar	Campos	Customs, Cabo Verde
Mr. Luca G	Castellani	United Nations Commission on International Trade Law
Ms. Maria R	Ceccarelli	United Nations Economic Commission for Europe
Mr. Luca	Centurioni	University of California, San Diego, United States of America
Mr. Samuel	Chemisto	National Trade Facilitation Committee, Kenya
Mr. Chinawut	Chinaprayoon	National Science Technology and Innovation Policy Office, Ministry of Science and Technology, Thailand
Mr. Lishou	Claude	Cheikh Anta Diop University, Senegal
Mr. Naksitte	Coovattanachai	National Science Technology and Innovation Policy Office, Ministry of Science and Technology, Thailand
Mr. Joachim	Cyaboshye	Revenue Authority, Rwanda
Mr. Fortunato	De La Peña	Ministry of Science and Technology, Philippines
Ms. Heike	Deggim	Marine Environment Division, International Maritime Organization
Mr. Pichet	Durongkaverroj	Minister of Digital Economy and Society, Thailand
Ms. Gabriela	Dutrénit	National Autonomous University, Mexico
Mr. AU	Ergezer	Secretariat, Central European Free Trade Agreement, Belgium
Mr. Bentley De Vere	Gibbs	Ambassador and Permanent Representative of Barbados to the United Nations and other international organizations in

<i>Name</i>	<i>Organization or title</i>	
	Geneva	
Ms. Maria A	Gonzalez-Perez	EAFIT University, Colombia
Mr. Sudhir	Gota	Partnership on Sustainable, Low Carbon Transport, India
Mr. Elar A	Granda	Port Training Unit, National Port Authority, Peru
Mr. Dmitry	Grozoubinski	Permanent mission of Australia to the World Trade Organization
Ms. Ling	Huang	Permanent mission of China to the United Nations and other international organizations in Geneva
Mr. Cornie	Huizenga	Partnership on Sustainable, Low Carbon Transport, China
Mr. Fred T	Hunter	Northern Corridor Transit and Transport Coordination Authority, Kenya
Mr. Emmanuel	Imaniranzi	Ministry of Infrastructure, Rwanda
Mr. Bodo	Immink	German Corporation for International Cooperation, Rwanda
Mr. Naoto	Ito	Permanent mission of Japan to the United Nations and other international organizations in Geneva
Mr. Jean C	Kabalisa	Revenue Authority, Rwanda
Mr. Felly M	Kalisa	National Commission of Science and Technology, Rwanda
Ms. Ellen	Kallinowsky	German Corporation for International Cooperation, Rwanda
Mr. James	Karangwa	Ministry of Infrastructure, Rwanda
Mr. Mostafa A	Khan	Permanent mission of Bangladesh to the United Nations and other international organizations in Geneva and Vienna
Mr. Supriya K	Kundu	Permanent mission of Bangladesh to the United Nations and other international organizations in Geneva
Mr. Nkem F	Lionel	Department of Training and Recreation, Cameroon
Mr. Taavo	Lumiste	Permanent mission of Estonia to the United Nations and other international organizations in Geneva
Mr. Elijah B	Manyara	Trade Mark East Africa, Kenya
Mr. Manasse	Mbonye	National Commission of Science and Technology, Rwanda
Ms. Neema	Monangi	Permanent mission of the United Republic of Tanzania to the United Nations and other international organizations in Geneva
Mr. John	Moore	Dublin Port Company, Ireland
Ms. Lucy	Mudaheranwa	Electronic Single-Window Project, Rwanda
Mr. Eugene T	Mugenyi	Trade Mark East Africa, Kenya
Mr. Joseph	Mungarulire	National Industrial Research and Development Agency, Rwanda
Mr. Theodore	Murenzi	Association of Long Distance Truck Drivers, Rwanda
Mr. Joseph N	Nteppe	Trade Facilitation and Transport Observatory, National Council of Shippers, Cameroon
Ms. Helen A	Oriaro	High Commission of Canada, Kenya

<i>Name</i>		<i>Organization or title</i>
Mr. Rudy	Pimentel	Haina International Terminals, Dominican Republic
Mr. Kitipong	Promwong	National Science Technology and Innovation Policy Office, Ministry of Science and Technology, Thailand
Mr. Aamar A	Qureshi	Acting Permanent Representative of Pakistan to the United Nations and other international organizations in Geneva
Mr. Amilcar L	Revolorio	Port Environmental Unit, National Port Commission, Guatemala
Mr. Andrew	Reynolds	Former Chair, Commission on Science and Technology for Development
Ms. Sheri	Rosenow	Trade Facilitation Section, World Trade Organization
Ms. Jacky	Rurangwa	Multilines International, Rwanda
Mr. John B	Rusagara	East Africa Business Council, United Republic of Tanzania
Mr. Emmanuel	Rutagengwa	Central Corridor Transit Transport Facilitation Agency, United Republic of Tanzania
Mr. Tadjou D	Sanni	Training Centre, West and Central African Ports Management Association, Benin
Mr. Mariano	Saul	Office of Consultants, General Administration, Port of Buenos Aires, Argentina
Mr. Aimable	Sekanyana	Fiscal Warehouse, Rwanda
Mr. Toufiq I	Shatil	Permanent mission of Bangladesh to the United Nations and other international organizations in Geneva
Ms. Ling	Shi	Permanent mission of China to the United Nations and other international organizations in Geneva
Mr. Chachanat	Thebtaranonth	National Science Technology and Innovation Policy Office, Ministry of Science and Technology, Thailand
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Mr. Raphael	Turgirumuremyi	Revenue Authority, Rwanda
Mr. Gaspard	Twagirayezu	National Commission of Science and Technology, Rwanda
Ms. Gisele	Umuziga	Try Trusters Agency, Rwanda
Mr. Parinand	Varnasavang	National Science Technology and Innovation Policy Office, Ministry of Science and Technology, Thailand
Mr. Kanchana	Wanichkorn	National Science Technology and Innovation Policy Office, Ministry of Science and Technology, Thailand
Mr. Cosbert	Woods	Secretariat, Organization of Eastern Caribbean States, Saint Lucia
Mr. Henry D	Xiaohong	China-Europe Vocational Training Centre, China
Mr. Sheng	Xie	Permanent mission of China to the United Nations and other international organizations in Geneva
Ms. Laura	Young	Ministry of Foreign Affairs and Trade, New Zealand
Mr. Nshimiyimana	Yvon	German Corporation for International Cooperation, Rwanda

## Annex II

### List of documents

- Asariotis R and Benamara H, eds. (2012). *Maritime Transport and the Climate Change Challenge*. Routledge. Oxford, United Kingdom of Great Britain and Northern Ireland. Available at [http://unctad.org/meetings/en/Miscellaneous%20Documents/dtl\\_ttl\\_2012d01\\_flyer\\_en.pdf](http://unctad.org/meetings/en/Miscellaneous%20Documents/dtl_ttl_2012d01_flyer_en.pdf).
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- UNCTAD (2015). Memorandum of understanding between UNCTAD, the World Customs Organization and Her Majesty's Revenue and Customs of the Government of the United Kingdom on the establishment of a joint capacity-building programme, 15 April 2015, including terms of reference and agenda for steering group meeting.
- UNCTAD (2015). Project agreement with the German Corporation for International Cooperation: Transparent processes in the Economic Community of West African States Region, 2015–2017.
- UNCTAD (2016). *Report of the Tenth Meeting of the UNCTAD Advisory Group on Innovation Knowledge for Inclusive and Sustainable Development: Transferring Knowledge through Technology*. United Nations publication. New York and Geneva.  
Available at [http://unctad.org/en/PublicationsLibrary/dtlkdb2015d2\\_en.pdf](http://unctad.org/en/PublicationsLibrary/dtlkdb2015d2_en.pdf).
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- UNCTAD (2016). *Trade Facilitation and Development: Driving Trade Competitiveness, Border Agency Effectiveness and Strengthened Governance*. United Nations publication. New York and Geneva. Available at [http://unctad.org/en/PublicationsLibrary/dtltlb2016d1\\_en.pdf](http://unctad.org/en/PublicationsLibrary/dtltlb2016d1_en.pdf).
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## Annex III

### Financial overview

Table 1

#### Allocation of regular budget resources at revised rates by subprogramme (Thousands of United States dollars)

	2012–2013	2014–2015	Total
1. Globalization, interdependence and development	22 771.4	22 932.3	45 703.7
2. Investment and enterprise	28 362.7	27 587.6	55 950.3
3. International trade			
Strengthening international trade	25 280.2	24 507.3	49 787.5
Commodities	6 267.1	6 005.3	12 272.4
4. Technology and logistics	18 953.0	17 676.2	36 629.2
5. Africa, least developed countries and special programmes	10 236.0	10 053.4	20 289.4
<b>Total</b>	<b>111 870.4</b>	<b>108 762.1</b>	<b>220 633.0</b>

Source: A/68/6 (Sect. 12).

Table 2

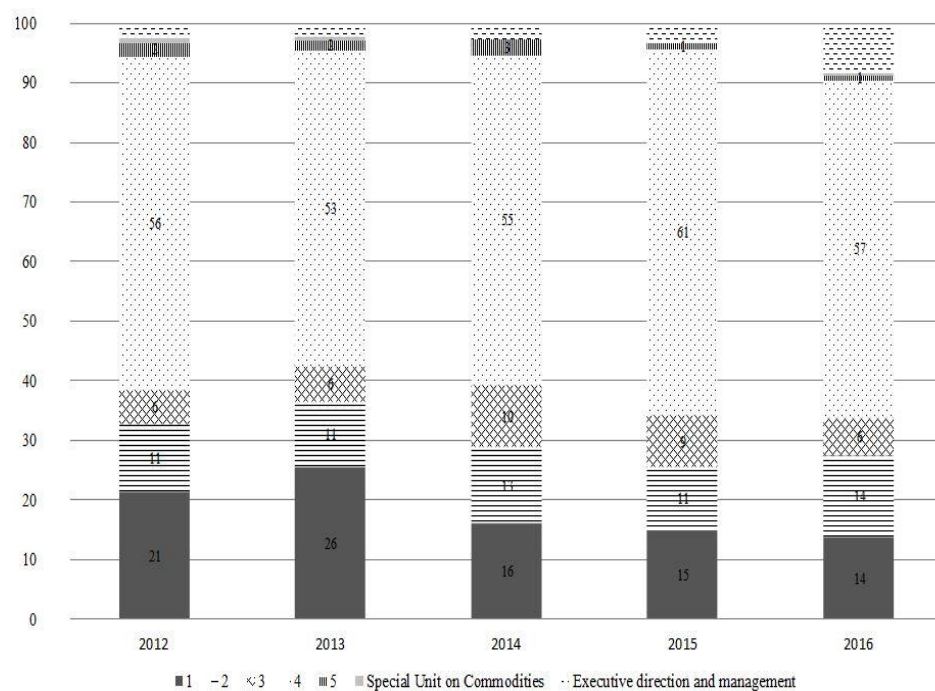
#### Distribution of extrabudgetary resources to subprogramme 4 by year (United States dollars)

	Contributions	Expenditures*
2012	18 363 671	17 485 287
2013	16 599 341	20 240 059
<b>Total 2012–2013</b>	<b>34 963 012</b>	<b>37 725 346</b>
2014	21 867 534	20 443 832
2015	21 301 844	20 221 064
<b>Total 2014–2015</b>	<b>43 169 378</b>	<b>40 664 896</b>
2016	18 261 331	20 776 590

\* Expenditures include the Multi-Partner Trust Fund and the “One United Nations” initiative trust fund (voluntary contributions by member States and multilateral organizations), the regular programme of technical cooperation of the United Nations and the Development Account.

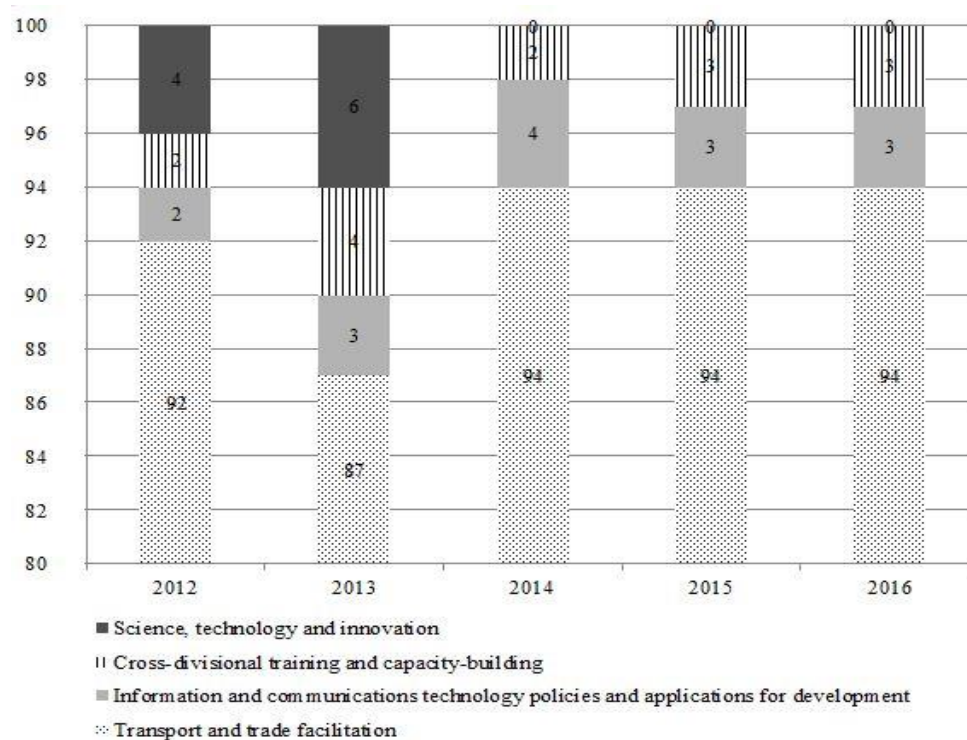
Source: Elaboration by evaluation team of data provided by the Technical Cooperation Service.

Figure 1  
**Distribution of extrabudgetary contributions by subprogramme and year**  
 (Percentage)



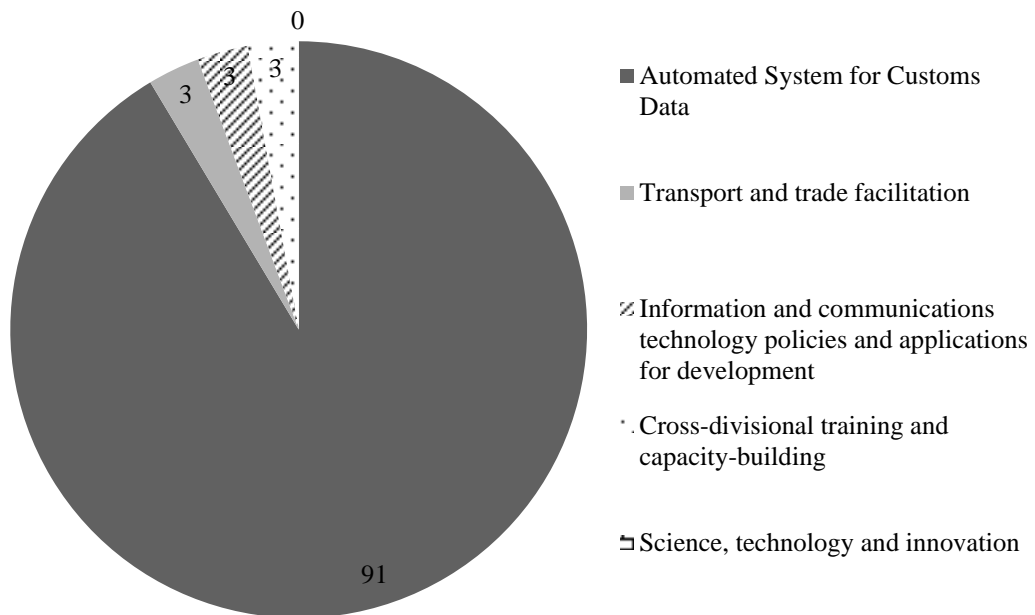
Source: Elaboration by evaluation team of data provided by the Technical Cooperation Service.

Figure 2  
**Distribution of extrabudgetary contributions by thematic area and year for subprogramme 4**  
 (Percentage)



Source: Elaboration by evaluation team of data provided by the Technical Cooperation Service.

Figure 3  
**Distribution of extrabudgetary contributions to subprogramme 4 by sub-thematic cluster, 2015**  
 (Percentage)



Source: Elaboration by evaluation team of data provided by the Technical Cooperation Service.



## Annex IV

### Case study 1: *Review of Maritime Transport*

1. Maritime transport plays a crucial role in international trade and the global economy. A recurrent argument is that 80 per cent of the volume of international trade in goods and over 70 percent of its value is transported by sea. The percentage is even higher for most developing countries. To inform stakeholders of current and long-term aspects of seaborne trade, in 1968, the Committee on Shipping mandated the UNCTAD secretariat with the task of drafting the *Review of Maritime Transport*.<sup>1</sup>

2. Overall, the objective of the publication has been to provide statistics and analyses of developments in international maritime transport, with a special focus on developing countries. The Committee on Shipping revised the *Review of Maritime Transport* mandate to focus on merchant marine trends in developing countries and comparative analyses among groups of countries. The analysis of the trends in world maritime transport aims to identify expected short-term developments and assess relevant consequences for the evolution of developing countries in comparison with other countries. In addition, the *Review of Maritime Transport* also provides an overview of long-term trends based on the analysis and publication of time series data.

3. This case study of the *Review of Maritime Transport* provides an overall assessment of the publication derived from the in-depth evaluation of subprogramme 4.

#### ***Review of Maritime Transport: Features***

4. Published regularly since 1968, the *Review of Maritime Transport* is an UNCTAD flagship publication, prepared through close internal collaboration in the Trade Logistics Branch of the Division on Technology and Logistics. It provides an analysis of structural and cyclical changes affecting seaborne trade, ports and shipping. It is structured into five chapters, focusing on the demand side (developments in international seaborne trade), supply side (structure of the world's fleet), prices (freight rates and maritime transport costs), the market (ports) and legal issues and regulatory developments, respectively. An additional chapter gives special emphasis to developing countries (sub-Saharan Africa in 2006; Asia in 2007; Latin America and the Caribbean in 2008; Africa in 2009; Asia in 2010; and small island developing States in 2014). Certain issues are also dedicated to selected topics (e.g. long-term growth prospects for seaborne trade and maritime business in 2016). In line with its mandate, it identifies major developments in world maritime transport and provides worldwide statistical data. It also monitors changes in world seaborne trade, freight rates, ports, surface transport and logistics services, as well as trends in ship ownership and control and fleet age, tonnage supply and productivity. An overview of the main features of the issues from 2012 to 2016 is as follows:

(a) *Review of Maritime Transport 2016*: This issue emphasized that the long-term growth prospects for seaborne trade and maritime businesses were positive. There were many opportunities for developing countries to generate income and employment and help promote foreign trade.

(b) *Review of Maritime Transport 2015*: This issue detailed the unique opportunity for the international community to strengthen its commitment to sustainable development and consider how best to mainstream sustainability principles across all economic activities and sectors, including maritime transport. In this context, in addition to the review of key economic and legal developments, it highlighted some issues at the interface of maritime transport and sustainability and underscored the role of maritime transport in helping implement a workable international sustainable development agenda.

<sup>1</sup> UNCTAD, 1973, *Review of Maritime Transport, 1971* (United Nations publication, Sales No. E.73.II.D.2, New York); TD/B/C.4/30/Rev.1. The original subtitle was "Review of current and long-term aspects of maritime transport" (see [http://unctad.org/en/Pages/Publications/Review-of-Maritime-Transport-\(Series\).aspx](http://unctad.org/en/Pages/Publications/Review-of-Maritime-Transport-(Series).aspx)).

(c) *Review of Maritime Transport 2014*: This issue introduced novel analysis regarding ownership of the fleet, drawing a distinction between the concept of nationality of the ultimate owner and beneficial ownership location. One chapter focused on challenges faced by small island developing States, in line with the United Nations declaration of 2014 as the year of small island developing States, noting that the maritime transport services connecting such States to global trade networks faced severe structural, operational and development obstacles, and remoteness from the main global trade routes constituted a major disadvantage in terms of cost and time for, but also the quality and frequency of, services that accessed international markets.

(d) *Review of Maritime Transport 2013*: A chapter on landlocked countries and maritime transport provided an overview of progress made in understanding impediments to accessing sea-shipping services for the trade of goods between landlocked territories and markets abroad.

(e) *Review of Maritime Transport 2012*: A chapter on sustainable freight transport development and finance highlighted the need to promote a shift towards sustainable freight transport that could help improve the sector's energy efficiency, reduce its heavy reliance on oil and limit environmental and climate change impacts. In this context, developing effective policies and measures, including for climate change mitigation and adaptation, and ensuring appropriate financing, were major challenges, especially for developing countries.

5. UNCTAD work under its research and analytical pillar greatly informs the *Review of Maritime Transport*.<sup>2</sup> For example, the publication includes data from the Liner Shipping Connectivity Index, an UNCTAD country-level index computed since 2004. The index stems from five components: the number of ships; the total container-carrying capacity of those ships; the maximum vessel size; the number of services; and the number of companies that deploy container ships on services to and from a country's ports.<sup>3</sup> Beneficiaries of UNCTAD technical cooperation programmes surveyed and/or interviewed during the evaluation of subprogramme 4 considered the *Review of Maritime Transport* to be of good quality and stated that it informed and supported their work well.

6. Since its first publication, the *Review of Maritime Transport* has catered to the needs of a specialized niche group. Through its rigorous analysis, based on credible, timely and reliable data, the publication seems to have become the standard reference document in its field. For example, in an evaluation conducted in 2015, it was the only UNCTAD flagship publication rated as excellent by the United Nations Office of Internal Oversight Services.<sup>4</sup> The publication has also generated a valuable collection of statistical information on maritime transport and related variables of interest. Data purchased from Clarksons Research is mainly utilized to cover flow variables measured in the previous year and statistics on stock variables measured at the beginning of the following year.

7. UNCTAD, through the *Review of Maritime Transport*, has provided rich sources of information, especially time series data, on its statistical portal. Since 2014, several online statistical compendiums, such as country maritime profiles or online statistical annexes, have complemented the publication.<sup>5</sup> Further, since 2015, information graphics on the main variables have been designed as part of an effort to improve communications.

<sup>2</sup> See UNCTAD (2015), *Maritime Connectivity and Trade* (United Nations publication, New York and Geneva) and UNCTAD (2016), *Bilateral Liner Shipping Connectivity Since 2006* (United Nations publication, New York and Geneva).

<sup>3</sup> The index is generated as follows: For each of the five components, a country's value is divided by the maximum value of that component in 2004, and for each country, the average of the five components is calculated. This average is then divided by the maximum average for 2004 and multiplied by 100. The index thus generates the value 100 for the country with the highest average index of the five components in 2004 (<http://unctadstat.unctad.org>).

<sup>4</sup> For further information, see E/AC.51/2015/4.

<sup>5</sup> Maritime profiles, also published on the UNCTAD statistical portal, provide a snapshot of the maritime transport and international trade of selected countries and a comparison with world trends is feasible for analytical purposes (see <http://unctadstat.unctad.org/CountryProfile/MaritimeProfile/en-GB/004/index.html>).

8. The *Review of Maritime Transport* is disseminated as an online publication. It is specifically referred to in the UNCTAD transport and trade facilitation newsletter. Future developments for the publication may involve strengthening its dissemination strategy through the elaboration of reader's digests to convey the main results in a concise manner to specialists in the private sector, while the formulation of specific policy recommendations for stakeholders in the public sector would further inform decision-making. Adopting a gender lens throughout the report would align it with ongoing efforts to mainstream gender in all UNCTAD research and analysis.

## Annex V

### Case study 2: Automated System for Customs Data

1. ASYCUDA is the largest technical cooperation programme provided by UNCTAD, with overall extrabudgetary resources of \$19,123,187 in 2015.<sup>6</sup> It was launched in 1982 in West Africa, and has been implemented in 97 countries and territories worldwide, including 41 least developed countries. The objective of ASYCUDA is to reform the customs clearance process through the automation of procedures that minimize administrative costs for national economies and the business community. It also aims to increase customs revenue and produce reliable and timely trade and fiscal statistics to assist in economic planning as a by-product of the customs clearance process. The programme attempts to implement the systems as efficiently as possible, with a full transfer of knowledge and capacities to national customs administrations at the lowest possible cost for countries and donors. Currently, there are three available versions of ASYCUDA, namely ASYCUDA V.2, ASYCUDA++ and ASYCUDA World. Each version reflects a progressive increase in the capacity and performance of the system. The deployment of ASYCUDA has facilitated a single-window system in many countries and contributed to e-governance, regulatory process re-engineering and conformation with international standards, namely International Organization for Standardization codes and World Customs Organization standards.

2. This case study provides an overall assessment of ASYCUDA derived from the in-depth evaluation of subprogramme 4. A specific focus is given to the experience of Rwanda in the implementation of a single-window system under the ASYCUDA programme.

#### Overall assessment

3. The subprogramme 4 evaluation concludes that ASYCUDA has been efficient and effective in achieving its expected outputs and outcome objectives. According to programme performance reporting through the Integrated Monitoring and Document Information System,<sup>7</sup> ASYCUDA implemented 72 projects in the biennium 2012–2013 and 69 projects in the biennium 2014–2015; a strong indicator of its reach and efficiency, taking into account the small size of its core team, which comprises 18 Geneva-based staff. In 2012–2013, 15 countries migrated to ASYCUDA World, resulting in a total of 27 countries using the latest version of ASYCUDA.

4. There is evidence that ASYCUDA results in multiple benefits in some countries and, in some instances, has significantly contributed to overall improvement in the business facilitation environment. For example, companies interviewed in Rwanda highlighted that online declarations through ASYCUDA had significantly eased the burden of customs procedures, including reducing time for physical visits to customs offices. Strong political commitment to reform was seen as important, both in Rwanda and by representatives of other countries interviewed. The programme has simplified internal processes and coordination with other national authorities linked to the system. In comparison with commercial solutions, the comparative advantages of ASYCUDA are in its affordability and shared source code<sup>8</sup> and in the possibility of adapting and configuring ASYCUDA to national requirements and operational needs. Interviews with customs authorities confirmed that ASYCUDA led to more consistent law enforcement and streamlined customs operations, and thus a significant increase in State revenue. Implementation of the programme can also contribute to the availability of timely and accurate trade statistics for national planning and international reporting. One practical application could be to provide data required for country reporting commitments under Sustainable Development Goal 17.

<sup>6</sup> ASYCUDA is implemented by the Division on Technology and Logistics, with staff located at UNCTAD headquarters in Geneva and five regional centres in Bangui, Central African Republic; Kuala Lumpur, Malaysia; Dar es Salaam, United Republic of Tanzania; Caracas, Bolivarian Republic of Venezuela; and Lusaka, Zambia. One subregional centre is located in Suva, Fiji.

<sup>7</sup> This secretariat-wide system for programme performance monitoring and reporting includes the preparation of the programme performance report of the Secretary-General of UNCTAD.

<sup>8</sup> The availability of ASYCUDA source code by UNCTAD means that the system may be changed or upgraded without reliance on external service providers.

5. UNCTAD provides ASYCUDA at a nominal fee, although beneficiary countries must purchase a licence on the market for its installation.<sup>9</sup> Beneficiary countries value the full ownership of the system. ASYCUDA has a distinct business model that consistently attracts funding from a wide range of donor countries and development partners.<sup>10</sup> Perhaps most importantly, as noted in the UNCTAD Toolbox, 82.3 per cent of its budget is self-financed by each recipient Government for implementation in the national territory – a key indicator of the relevance of its work. Both the Doha Mandate (paragraph 56 (i)) and Nairobi Maafikiano (paragraph 38 (p)) request UNCTAD to cooperate with member States to implement ASYCUDA, with a view to improving the efficiency of trade transactions. These references seek to further confirm the relevance of the programme.

6. ASYCUDA has established positive collaborations with other international agencies such as the United Nations Office for the Coordination of Humanitarian Affairs, the United Nations Office on Drugs and Crime, the United Nations Environment Programme and the World Trade Organization. For example, in partnership with the United Nations Office for the Coordination of Humanitarian Affairs, the programme is currently analysing solutions to expedite the clearance of humanitarian goods, and with the United Nations Environment Programme, is addressing the issue of endangered goods. ASYCUDA also promotes responsible social citizenship, as the system contributes to the fight against fraud and corruption.

7. ASYCUDA has sustainability mechanisms built into its programme design and implementation. For example, institutionalizing capacities to train information technology experts within its training centre for customs authorities was found to be a good practice in Rwanda. This differs from a train-the-trainer approach, which often trains specialists outside of a beneficiary organization rather than embedding training capacities within. ASYCUDA also provides ongoing technical support following project implementation.

8. In terms of challenges at the country level, the high turnover of information technology experts and specialists trained to use ASYCUDA and its associated platforms – owing mainly to lucrative offers from private sector entities – was identified as a challenge in maintaining a supply of trained personnel. In some countries implementing ASYCUDA, information technology network problems and unstable electricity supplies led to challenges that could be resolved with online and offline options, which would improve efficiency and allow for automatic updates at the moment service was restored. Some users interviewed expressed a wish for an additional ASYCUDA application that could run on smartphones and tablets. Consideration may be given to accommodating such requests within future versions of ASYCUDA or software upgrades. It should be noted that such considerations will require additional funding.

#### **Customs management and electronic single-window system in Rwanda<sup>11</sup>**

9. In 2007, the Government of Rwanda started a modernization programme aimed at improving and streamlining its work processes at various levels. In 2011, the Government opted to upgrade to ASYCUDA World, with a single-window system as a key pillar of its administrative reform. The project, officially launched in 2012, had the following four objectives: improve the efficiency of customs operations; interface ASYCUDA with the e-tax system; interface or develop new e-documents with other government agencies; and exchange data with other automated customs systems in the region.

10. With UNCTAD support, the customs authority of Rwanda implemented an electronic single window, including computerized customs management operations processing, exemption processing by the Rwanda Development Board, quality inspection for imported goods, warehousing and cargo handling and health-related regulatory oversight for imported medicines and medicinal equipment. The system also connects several stakeholders, such as the Ministry of Health, Rwanda Development Board, Rwanda Revenue Authority, Rwanda Standards Board, Magasins Généraux du Rwanda,

<sup>9</sup> Beneficiaries interviewed reported that implementing ASYCUDA costed a fraction of the price of similar commercial solutions, which in most cases entailed the payment of a recurring licence and/or maintenance fee to the supplier.

<sup>10</sup> See <http://www.asycuda.org/partners.asp>.

<sup>11</sup> For further information, see <http://sw.gov.rw/>.

all ministries that handle customs exemptions, all clearing agencies, all airlines using e-cargo manifests and all pharmacies and depots.

11. In Rwanda, the electronic single-window system may be considered a key pillar of administrative reform. The success of its customs reform and electronic single-window system is partly reflected in its rating in the Doing Business Index of the World Bank,<sup>12</sup> in which its ranking in trading across borders changed drastically, from 131 in 2016 to 87 in 2017. It is important to note that the evaluation team is not in a position to attribute the introduction of the electronic single-window system to the improvement in rank of Rwanda.

12. According to a study conducted in September 2015, the time between acceptance and release of goods in Rwanda decreased by 65 per cent as a result of the implementation of integrated risk management strategies by various government agencies.<sup>13</sup> Previously, each control agency had carried out its inspections independently. Following the introduction of the electronic single-window system, inspections have been undertaken jointly, as the system assigns risk selectivity ratings for all agencies involved, thereby greatly enhancing communications between customs, relevant government agencies, clearing agents and importers.

13. A formative evaluation of the single-window project for the Rwanda Revenue Authority, published in May 2015, highlighted that the electronic single-window system had also eased the clearance of goods from the entry port in Rwanda to countries of destination among the member States of the East African Community, as customs agents and administrations could easily share information. Further, the move towards a digital facility had significantly contributed to the collection of import duties and taxes, whereby in the first semester of the fiscal year 2015/16, the revenue collected had increased to 111 per cent of the target. In this period, the digital facility had also significantly facilitated risk management in tracking the standards of traded goods. The processing time for the acquisition of an exemption from the Rwanda Development Board had been reduced significantly, from four days to half an hour. This had contributed positively to businesses and consumers in Rwanda.

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<sup>12</sup> See <http://www.doingbusiness.org/data/exploreeconomies/rwanda#trading-across-borders>.

<sup>13</sup> See C Nizeyimana and L De Wulf, Rwanda electronic single window supports trade facilitation, *World Customs Journal*, 9(2):73–84, available at <http://worldcustomsjournal.org/archive/volume-9-number-2-september-2015/>.

## Annex VI

### Case study 3: Strengthening national capacities to manage policies and frameworks on science, technology and innovation in Asian countries

1. The 2030 Agenda for Sustainable Development establishes that science, technology and innovation play an instrumental role in reducing poverty in all its forms.<sup>14</sup> Science, technology and innovation are key drivers of economic development and crucial enablers of the full participation of developing countries in the global economy.
2. To meet the increasing demand for assistance in formulating effective science, technology and innovation policies for growth and development, UNCTAD technical cooperation in this field heavily focuses on the preparation of related policy reviews.<sup>15</sup> These reviews aim to assist developing countries in integrating science, technology and innovation policies into their national development strategies. They identify specific measures for bolstering technological and innovative capacities through a strengthened and better-coordinated national innovation system. The reviews seek to involve all national stakeholders in an evaluative exercise designed to assess the effectiveness and efficiency of existing science, technology and innovation policies and innovation systems and to identify priority areas for further interventions.
3. Between December 2012 and December 2016, UNCTAD supported the strengthening of national capacities to manage policies and frameworks on science, technology and innovation in three countries in Asia, namely the Islamic Republic of Iran, Oman and Thailand. In 2012–2016, the United Nations Development Account financially supported this project. The evaluation of this project was merged with the in-depth evaluation of subprogramme 4 and this case study presents the overall findings on the project, derived from the in-depth evaluation of subprogramme 4.

#### Overall assessment of science, technology and innovation policy reviews

4. There is a need to review *A Framework for Science, Technology and Innovation Policy Reviews*, given evolving realities and mandates since 2011, such as the 2030 Agenda. Discussions held at the Intersessional Panel of the Commission on Science and Technology for Development in January 2017 highlighted that innovation for sustainable development was a key enabler of almost all of the Sustainable Development Goals.<sup>16</sup> Science, technology and innovation might not be limited to an increase in investment towards research and development, but instead encompass all development aspects critical to achieving the Goals.<sup>17</sup> For example, the programmatic framework for science, technology and innovation policy reviews in the three countries noted above monitored progress towards Goal 9 on industry, innovation and infrastructure through indicators measuring the percentage of firms reporting innovation activities. The resulting delimitation of the analytical scope ruled out important distributional concerns, such as lack of gender equality, that included an assessment of the inclusivity aspects of science, technology and innovation-related interventions. Only the review in Oman, as noted in the review report, identified the problem of underachievement of boys in primary and secondary schools and targeted gender-balanced outcomes in higher education as a policy priority.
5. An improved alignment of UNCTAD intervention in the field of science, technology and innovation with the 2030 Agenda would require not only a revision of its conceptual framework, but also of its delivery modalities. The Second Committee of the General Assembly had encouraged UNCTAD to continue to undertake science, technology and innovation policy reviews in collaboration with relevant partners.<sup>18</sup> A review of project documents highlights that while the review teams consulted with specialists from other

<sup>14</sup> A/RES/70/1.

<sup>15</sup> *A Framework for Science, Technology and Innovation Policy Reviews* stated that in 2009–2010, the cost of a typical review was around \$150,000 and that an average of three countries per biennium had benefited from the programme since 2007.

<sup>16</sup> See [http://unctad.org/meetings/en/SessionalDocuments/CSTD2017\\_Issues01\\_SDG\\_en.pdf](http://unctad.org/meetings/en/SessionalDocuments/CSTD2017_Issues01_SDG_en.pdf).

<sup>17</sup> For example, see E/RES/2016/23.

<sup>18</sup> A/RES/70/213. For further information, see <http://unctad.org/en/Pages/CSTD/GA-Resolutions.aspx>.

United Nations bodies (such as the Institute for Statistics of the United Nations Educational, Scientific and Cultural Organization in the Islamic Republic of Iran, the International Labour Organization in Oman and the United Nations Economic and Social Commission for Asia and the Pacific in Thailand) to obtain technical expertise relevant to needs in the national context, their involvement remained limited. Upscaling reviews for sustainable development requires improved coordination among United Nations partners through an institutionalized mechanism rather than ad hoc participation by other United Nations bodies.<sup>19</sup>

6. Recipient countries disseminate the results of their reports at the Commission on Science and Technology for Development. The presentation and discussion of reports at sessions of the Commission adds significantly to the sustainability of this approach. This reporting function demonstrates national ownership of a report and strengthens the validation process of the recommendations of a review. However, as stakeholders have noted, the review is in essence mostly an analytical evaluation of the national policy environment and thus is not binding in nature. Therefore, the evaluation team considers it important for UNCTAD to build into the review process a longer term programmatic approach by integrating follow-up mechanisms into the review process, to assist beneficiary countries to develop action plans and strategies, and draft and implement policies on science, technology and innovation.

### **Science, technology and innovation policy reviews in Asia**

7. The reviews in Asia benefited from the general implementation strategy detailed in *A Framework for Science, Technology and Innovation Policy Reviews*, consisting of two complementary components, namely the participatory process behind the formulation of a report and the capacity-building programme built upon the non-binding recommendations provided in the report.<sup>20</sup> The project was implemented in accordance with its expected activities.

8. All three reviews were of a high quality and responded to the needs of beneficiaries.<sup>21</sup> The project detailed 21 recommendations for the Islamic Republic of Iran, 8 general and 50 specific recommendations for Oman and 51 recommendations for Thailand. Through the analysis of statements made by relevant stakeholders at sessions of the Commission, a study of project documents and direct observations during field missions to Oman and Thailand, the evaluation team identified the following initial outcomes:

(a) In the Islamic Republic of Iran, the process brought together government agencies and senior officials who generally met only rarely. Working groups to consider the analyses and recommendations in the review were in the process of being established;

(b) In Oman, the review process had fed into domestic policy processes leading to the design of a national innovation strategy, approved in 2016.<sup>22</sup> Preparations for the implementation of the strategy were currently being initiated;

(c) The Government of Thailand was using the review as an input in its planning process, which included the formulation of action plans related to science, technology and innovation and the development of public policy design for related national policy reforms.

9. The following were noted with regard to the dissemination of results:

(a) Several presentations had been organized to disseminate the results of the review in Tehran in December 2016, including a presentation at the International Conference on Management of Technology, the largest national forum for technology management issues. Several hundred diverse stakeholders had attended the presentation;

(b) The report of Oman had been presented to the Supreme Council for Planning, which was developing a national long-term development plan, Vision 2040, and to the Cabinet of Ministers;

<sup>19</sup> See <https://sustainabledevelopment.un.org/sdinaction> and references therein.

<sup>20</sup> The United Nations Development Account does not financially support monitoring activities related to the implementation of the recommendations of a review.

<sup>21</sup> Direct beneficiaries were the Science and Technology Vice-Presidency, Islamic Republic of Iran; The Research Council, Oman; and the National Science Technology and Innovation Policy Office, Thailand.

<sup>22</sup> See [http://unctad.org/meetings/en/Presentation/CSTD\\_2014\\_AI\\_Hinai.pdf](http://unctad.org/meetings/en/Presentation/CSTD_2014_AI_Hinai.pdf).



(c) Oman and Thailand had presented and discussed their reports at the annual sessions of the Commission in May 2014 and May 2015 respectively, and the Islamic Republic of Iran had presented and discussed its report in May 2017.

10. Several capacity-building activities had been undertaken as a follow-up to the reviews, as follows:

(a) In the Islamic Republic of Iran, 48 stakeholders had participated in a workshop on building technological capabilities through international collaboration, following a request from stakeholders in the country;

(b) In Oman, 54 policymakers and other science, technology and innovation stakeholders, 17 of which were women, had participated in a capacity-building workshop on innovation policy;

(c) In Thailand, 73 stakeholders had participated in two workshops on financing innovation and on promoting high-growth entrepreneurship and innovation with universities.

11. The evaluation team found that the science, technology and innovation policy reviews conducted in Asia had been successful in bringing together different groups of ministries and government agencies to achieve the common goal of enhancing science, technology and innovation. The assessment of the current United Nations Development Account project could not observe longer term outcomes or results, except to note the national innovation strategy in Oman. Policy changes require time to be observed and assessed. For example, linking the broad scope of results to previous interventions helped the evaluation team to identify impacts that fell outside the geographical scope of the evaluation, as the experiences of some countries in Latin America could be observed, such as the promulgation of a national law on promoting science, technology and innovation in El Salvador and the adoption of national legislation on science, technology and innovation in Peru, implemented five years following the review.<sup>23</sup> Beneficiaries interviewed in Oman and Thailand underscored the need for longer term support in implementing the recommendations of a review rather than mere follow-up through a few limited ad hoc activities. This would mean systematic coaching combined with further capacity-building, ideally followed by a further review after three or four years to evaluate the new policies and recommend adjustments or fine-tuning where needed. Systematic capacity-building and follow-up would require approaching donors systematically, with clearly formulated proposals, to obtain additional funding.

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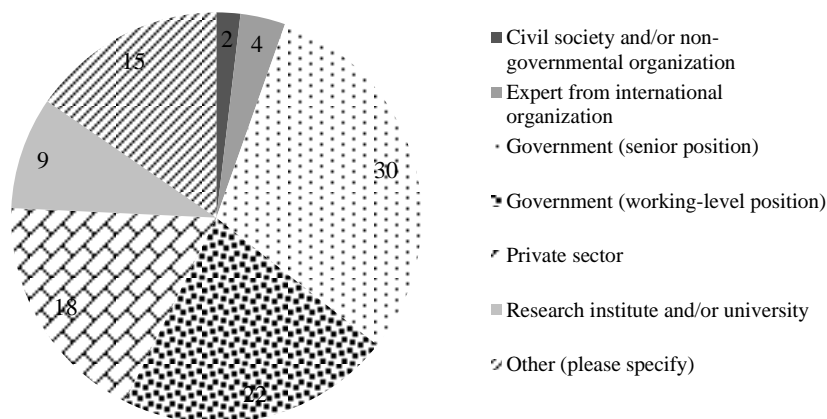
<sup>23</sup> Countries in Latin America benefiting from reviews presented results linked to the implementation of recommendations at annual sessions of the Commission during the period under evaluation (see [http://unctad.org/meetings/en/Presentation/CSTD\\_2014\\_STMT\\_Peru.pdf](http://unctad.org/meetings/en/Presentation/CSTD_2014_STMT_Peru.pdf) and [http://unctad.org/meetings/en/Presentation/CSTD\\_2014\\_STMT\\_ElSalvador.pdf](http://unctad.org/meetings/en/Presentation/CSTD_2014_STMT_ElSalvador.pdf)).

## Annex VII

### Survey findings

Figure 4

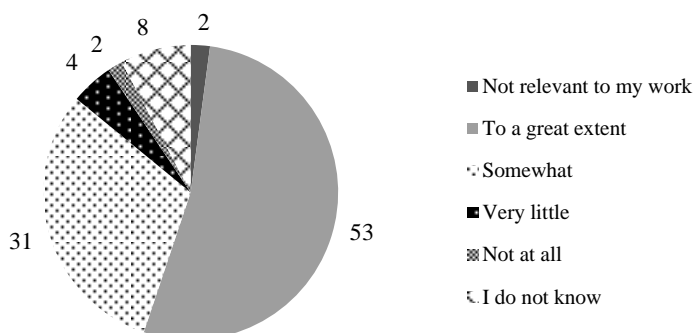
**Distribution of beneficiaries of technical cooperation by sector (n=903)**



Source: Survey of beneficiaries of technical cooperation, 2017.

Figure 5

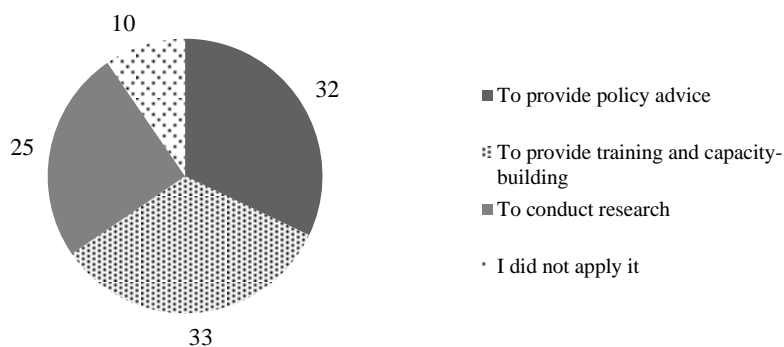
**Please indicate the extent to which the above research products and outputs inform and support your work (n=903)**



Source: Survey of beneficiaries of technical cooperation, 2017.

Figure 6

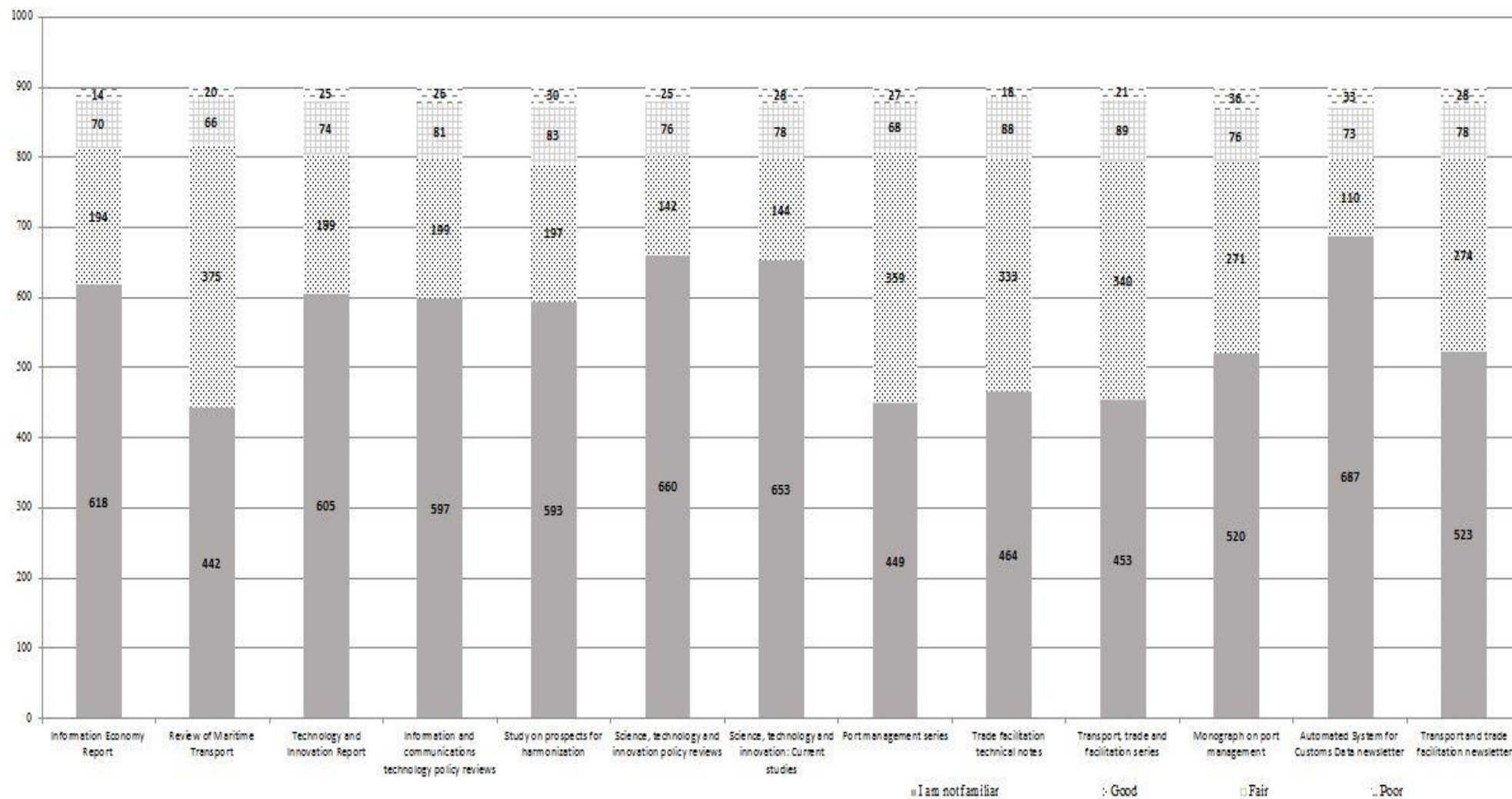
**Please indicate how you have utilized the knowledge and/or skills gained from technical assistance (n=1203)**



Source: Survey of beneficiaries of technical cooperation, 2017.

Figure 7

Please indicate your assessment of the quality of the following UNCTAD products that you are familiar with (n=903)



Source: Survey of beneficiaries of technical cooperation, 2017.

Table 3  
**UNCTAD research and analysis in the areas of science, technology and innovation, e-commerce, transport and trade facilitation (n=64)**

	<i>I do not know</i>	<i>Strongly agree</i>	<i>Neutral</i>	<i>Disagree</i>	<i>Strongly disagree</i>	<i>Total</i>
Is robust and of high quality	1	30	28	5	0	64
Produces actionable recommendations for policymakers and influencers	0	17	33	10	4	64
Feeds into intergovernmental consensus-building processes	2	14	32	13	3	64
Feeds into technical cooperation programmes at the national level	4	14	30	13	2	64

*Source:* Survey of member State delegates and registered attendees at Commission on Science and Technology for Development, 2017.

Table 4  
**Please indicate your opinion of the quality of the following UNCTAD products that you are familiar with (n=64)**

	<i>I am not familiar</i>	<i>Good</i>	<i>Fair</i>	<i>Poor</i>	<i>Total</i>
<i>Technology and Innovation Report</i>	13	43	6	2	64
Science, technology and innovation policy reviews	12	43	6	3	64
Information and communications technology policy reviews	10	42	9	3	64
Science, technology and innovation: Current studies	16	35	9	4	64
<i>Information Economy Report</i>	22	34	5	3	64
Study on prospects for harmonization: Regional comparative reviews of e-commerce legislation and cyberlegislation	29	26	4	5	64
Trade facilitation technical notes	33	21	6	4	64
Transport and trade facilitation newsletter	38	21	4	1	64
Transport, trade and facilitation series	35	20	6	3	64
Automated System for Customs Data newsletter	37	19	6	2	64
Port management series	40	15	6	3	64
<i>Review of Maritime Transport</i>	39	14	8	3	64
Monograph on port management	43	10	5	6	64

*Source:* Survey of member State delegates and registered attendees at Commission on Science and Technology for Development, 2017.

Table 5

**Please indicate the extent to which the above research and analysis products inform and support your work (n=64)**

To a great extent	25
Somewhat	29
Very little	9
Not at all	0
I do not know	1
<b>Total</b>	<b>64</b>

*Source:* Survey of member State delegates and registered attendees at Commission on Science and Technology for Development, 2017.

Table 6

**In your opinion, how relevant to your country is UNCTAD work in the area of science, technology and trade logistics in support of the implementation of the 2030 Agenda for Sustainable Development? (n=64)**

	<i>I do not know</i>	<i>Very relevant</i>	<i>Relevant</i>	<i>Slightly Not relevant</i>	<i>Total</i>	
Digital economy	8	30	22	4	0	<b>64</b>
Information and communications technology policies for development	6	34	18	5	1	<b>64</b>
E-commerce for development	8	30	20	5	1	<b>64</b>
Science, technology and innovation	11	32	16	4	1	<b>64</b>
Trade facilitation	19	27	11	5	2	<b>64</b>
Transport infrastructure and services	23	20	16	4	1	<b>64</b>
Customs automation	24	21	10	7	2	<b>64</b>
Sustainable freight transport and finance	27	15	13	6	3	<b>64</b>
Maritime law, transport policy and legislation	29	15	11	5	4	<b>64</b>

*Source:* Survey of member State delegates and registered attendees at Commission on Science and Technology for Development, 2017.

Table 7

**In your opinion, how relevant is UNCTAD work on technology and logistics in effectively contributing to the achievement of the Sustainable Development Goals and targets for each of the following activities (n=64)**

	<i>I do not know</i>	<i>Very relevant</i>	<i>Relevant</i>	<i>Slightly Not relevant</i>	<i>Total</i>
Custodian of data and analysis linked to the means of implementation of policies towards achieving the Sustainable Development Goals	13	25	23	1	2 64
Supporting national plans to implement the Sustainable Development Goals	10	28	22	3	1 64
Custodian of data for monitoring progress towards the Sustainable Development Goals	15	25	19	3	2 64
Supporting countries in achieving higher economic productivity through diversification, technological upgrading and innovation through capacity-building	11	29	19	4	1 64

*Source:* Survey of member State delegates and registered attendees at Commission on Science and Technology for Development, 2017.

Table 8

**How would rate your readiness to meet each of the 10 pilot UNCTAD requirements for results-based management? (n=60)**

	<i>Not applicable; I have no role in this area</i>	<i>Best practice</i>	<i>Capable and effective</i>	<i>Could benefit from development</i>	<i>Needs significant improvement</i>	<i>Total</i>
Analyse the problem to be addressed and its root causes	8	20	26	3	3	60
Identify relevant stakeholders and their needs, motivations, etc.	11	15	27	5	2	60
Describe the comparative advantage and unique value added of UNCTAD	10	11	27	9	3	60
Develop a logical framework	13	13	26	6	2	60
Prepare and monitor the work plan; deliver in an efficient way	9	17	23	10	1	60
Prepare and monitor the budget; use resources effectively	17	6	21	10	6	60
Collect data on indicators set in the logical framework	13	5	21	16	5	60
Assess what worked well and what could have been done better	9	10	25	13	3	60
Compile and report information on results as required	8	15	25	7	5	60
Discuss lessons learned and adapt accordingly	9	11	28	7	5	60

*Source:* Survey of Division on Technology and Logistics staff, 2017.

Table 9  
**How important are the following in enabling you to meet the 10 pilot UNCTAD requirements for results-based management? (n=60)**

	<i>Not applicable;</i>					<i>Total</i>	
	<i>I have no role in this area</i>	<i>Very important</i>	<i>Important</i>	<i>Moderately important</i>	<i>Slightly important</i>		<i>Not important</i>
Training	8	32	10	5	4	1	<b>60</b>
Guidelines and other support documents	8	26	15	6	5	0	<b>60</b>
Allocating more time and resources for results-based management	10	15	21	9	4	1	<b>60</b>
Support from the results-based management focal point in the division	11	11	23	7	7	1	<b>60</b>
Access to results-based management experts	10	12	22	8	7	1	<b>60</b>
Support from my manager	10	19	21	6	3	1	<b>60</b>
Information technology-based tools for monitoring and reporting	9	23	22	4	2	0	<b>60</b>
A culture of knowledge management and sharing of information	7	32	16	4	1	0	<b>60</b>
Proper job handover and/or succession planning	10	25	18	6	1	0	<b>60</b>
Timely addressing of resource constraints and/or shortages	9	29	19	2	1	0	<b>60</b>

*Source:* Survey of Division on Technology and Logistics staff, 2017.

Table 10  
**In your opinion, how effective is your branch and/or programme in meaningfully mainstreaming gender in its work, i.e., in achieving outcome-level results by assisting beneficiaries to integrate gender equality considerations in their policies? (n=60)**

Very effective	7
Effective	14
Moderately effective	16
Slightly effective	7
Not effective	6
I do not know	10
<b>Total</b>	<b>60</b>

*Source:* Survey of Division on Technology and Logistics staff, 2017.

Table 11  
**How important are the following in enabling you to meaningfully mainstream gender in your area of work? (n=60)**

	<i>Not applicable;</i>					<i>Total</i>	
	<i>I have no role in this area</i>	<i>Very important</i>	<i>Moderately important</i>	<i>Slightly important</i>	<i>Not important</i>		
Training	9	25	16	5	2	3	<b>60</b>
Guidelines and other support documents	9	22	15	9	2	3	<b>60</b>
Gender-disaggregated data	9	19	20	10	0	2	<b>60</b>
Support from the gender focal point in the division	10	10	16	14	6	4	<b>60</b>
Access to gender experts	9	16	11	14	4	6	<b>60</b>
Support from my manager	9	18	19	6	4	4	<b>60</b>
Interdivisional collaboration	9	16	20	9	4	2	<b>60</b>

*Source:* Survey of Division on Technology and Logistics staff, 2017.

Table 12  
**Please indicate how much you agree with each of the following statements with respect to fundraising for your work (n=60)**

	<i>Not applicable;</i>		<i>Neither</i>			<i>Total</i>		
	<i>I have no role in this area</i>	<i>Strongly agree</i>	<i>Agree</i>	<i>disagree</i>	<i>Strongly disagree</i>			
Donor interest in my area of work and/or results is low		14	4	7	10	13	12	<b>60</b>
I do not have access to donors and fundraising opportunities		22	2	9	10	12	5	<b>60</b>
I have access to donors and fundraising opportunities but I do not have time to draft such proposals		23	1	9	10	12	5	<b>60</b>
Donors prefer programmatic approaches to avoid administrative burdens from small-scale projects		20	10	18	9	3	0	<b>60</b>
Extrabudgetary resources are irrelevant to the kind of work I do; I need additional regular budget resources		23	4	9	6	7	11	<b>60</b>
I need more support from in-house fundraising experts		20	12	15	7	4	2	<b>60</b>
There are many funding opportunities for my area of work in the private sector		19	8	7	13	8	5	<b>60</b>
There are no available guidelines for fundraising in the private sector		22	11	14	10	3	0	<b>60</b>

*Source:* Survey of Division on Technology and Logistics staff, 2017.



Table 13

Please indicate how much you agree with each of the following statements with respect to communicating externally for your work (n=60)

	<i>Not applicable; I have no role in this area</i>	<i>Strongly agree</i>	<i>Agree</i>	<i>disagree</i>	<i>Neither agree nor Disagree</i>	<i>Strongly disagree</i>	<i>Total</i>
I use a wide range of tools to communicate with external stakeholders (provide examples)	7	16	26	7	4	0	<b>60</b>
I see communications as one of my core responsibilities	2	21	31	5	1	0	<b>60</b>
I need additional training and tools to communicate effectively	3	16	20	9	11	1	<b>60</b>
I need more support from in-house communications experts	8	16	19	11	5	1	<b>60</b>
Other (please specify)	46	3	3	7	0	1	<b>60</b>

*Source:* Survey of Division on Technology and Logistics staff, 2017.

## Annex VIII

### Terms of reference: External evaluation of UNCTAD subprogramme 4 – Technology and logistics

#### 1. Introduction and purpose

1. The Trade and Development Board, at its sixty-second annual session, noted the conclusions of its subsidiary body, the Working Party on the Strategic Framework and the Programme Budget, at its seventy-first session, which included a request to the UNCTAD secretariat to conduct an independent evaluation of the subprogramme on technology and logistics (subprogramme 4).<sup>1</sup> The Working Party will consider the results of the evaluation at its seventy-fifth session, to be held in Geneva from 4 to 6 September 2017.

2. These terms of reference outline the scale and scope of the evaluation of subprogramme 4. This is a formative in-depth evaluation and will cover the period 2012–2016. This evaluation exercise is meant to ensure ownership, results-based orientation, cost effectiveness and quality in UNCTAD assistance. In carrying out this evaluation, UNCTAD plans to assess its work, learn lessons and receive feedback, appraisal and recognition, as well as to mobilize resources by showing the possible attribution of achievements to the programme.

#### 2. Subprogramme overview

3. Substantive responsibility for subprogramme 4 is vested in the Division on Technology and Logistics of UNCTAD. The division consists of three branches – Trade Logistics Branch, Science, Technology and ICT Branch and Knowledge Development Branch – and implements ASYCUDA, the largest technical cooperation programme of UNCTAD. The division also facilitates the Commission on Science and Technology for Development.

4. The objective of subprogramme 4 on technology and logistics in accordance with the biennial programme plan for the period 2016–2017 is as follows:

To strengthen science, technology and innovation, including information and communications technologies for inclusive development; to support inclusive growth and development through efficient, resilient and sustainable trade logistics services and transit transport systems; and to promote training and capacity-building programmes for local institutions with a view to enhancing the economic development and competitiveness of developing countries and countries with economies in transition.<sup>2</sup>

5. The subprogramme mandate is endorsed by the Nairobi Maafikiano, which gives increased attention to the broad area of science, technology and innovation, compared with the Accra Accord and the Doha Mandate. The new mandate states that UNCTAD should contribute to the implementation of all science, technology and innovation-related outcomes of the 2030 Agenda. One area that is given new and additional visibility is e-commerce, and UNCTAD is requested to assist developing countries in addressing the challenges and opportunities in relation to the use of the Internet and e-commerce, to develop their international trade capacities. With regard to the trade logistics and ASYCUDA programmes, the Nairobi Maafikiano reiterates and reinforces the existing mandate in the fields of international transport and transit, trade logistics, trade facilitation and related issues, as well as to support the implementation of the Agreement on Trade Facilitation of the World Trade Organization. The Nairobi Maafikiano also expresses the

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<sup>1</sup> TD/B/62/11; TD/B/WP/275.

<sup>2</sup> A/70/6 (Sect. 12).

importance of addressing sustainable and resilient transport systems and climate change adaptation for transport infrastructure and operations.

6. Through policy research and capacity-building, the Division on Technology and Logistics supports the economic development and competitiveness of developing countries and countries with economies in transition in a knowledge driven and globalized world economy. Its activities seek to increase access to knowledge and technology – including ICTs – and to foster innovation, by helping countries design and implement technology and innovation policies for economic growth and sustainable development. The division also carries out a large research and technical assistance work programme aimed at developing efficient transport and trade logistics services in transport, trade facilitation and customs.

7. Intergovernmental meetings are organized and/or facilitated by the division, and provide a platform for deliberations and experience sharing on key national and international issues related to policy and capacity development in science, technology and innovation, trade logistics services, transit and transport systems and infrastructure. These include the Commission on Investment, Enterprise and Development, the Commission on Trade and Development the Commission on Science and Technology for Development and its Working Group on Enhanced Cooperation on Public Policy Issues Pertaining to the Internet, as well as various thematic expert meetings. These deliberations, inter alia, draw on empirical data emerging from research and technical assistance work conducted by the division.

8. Major vehicles for the dissemination of the outcomes of policy research are three flagship publications (*Review of Maritime Transport, Technology and Innovation Report* and *Information Economy Report*) and other publications. The results of intergovernmental discussions and analyses also feed into the division's demand-driven technical cooperation and capacity-building activities, which assist countries in formulating and implementing policies and legislation and developing human resources, institutional and regulatory capacities and know-how, as well as deploying and upgrading customs management systems. The division currently has the following six technical cooperation programmes in the UNCTAD Toolbox (out of a total of 29):

- (a) Automated System for Customs Data;
- (b) Trade facilitation programme;
- (c) Science, technology and innovation policy reviews;
- (d) E-commerce and law reform programme;
- (e) Courses on key issues on the international economic agenda;
- (f) Train for Trade port management programme.

9. The programme of work of the subprogramme is implemented in accordance with the strategy detailed under subprogramme 4 of programme 10 – trade and development of the United Nations biennial programme plan for the period 2016–2017.<sup>3</sup> Appendix 1 contains the logical framework and strategy of the subprogramme for the biennium 2016–2017, during which regular budget resources include 50 posts and approximately \$439,500 in non-post resources.<sup>4</sup> Appendix 2 contains additional information on funding sources, the strategy context, main experiences and challenges, linkages and synergies and connections with the Sustainable Development Goals.

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<sup>3</sup> A/69/6 (Prog. 10).

<sup>4</sup> A/70/6 (Sect. 12).

### 3. Purpose of evaluation

10. The evaluation of subprogramme 4 was approved by member States at the seventy-first session of the Working Party in 2015. Since the launch of its evaluation policy in 2011, UNCTAD has carried out one subprogramme evaluation per year for full evaluation coverage of the UNCTAD programme of work every five years, as follows: subprogramme 1: Globalization, interdependence and development (in 2012–2013); subprogramme 2: Investment and enterprise (in 2013–2014); and subprogramme 3: International trade (in 2014–2015). This evaluation will be the fourth in the series.<sup>5</sup>

11. Specifically, the purpose of this in-depth evaluation is to:

- (a) Independently and objectively assess:
  - (i) The quality of the overall subprogramme concept and design;
  - (ii) The efficiency, effectiveness and impact of the different programmes under subprogramme 4 and, overall, the Division on Technology and Logistics, in achieving the planned objectives;
  - (iii) The subprogramme's relevance to identified needs and ability to adapt to any changes and developments;
  - (iv) Internal and external partnerships and synergies;
  - (v) Whether or not there were any unanticipated results, positive or negative, arising from programme implementation;
- (b) Identify:
  - (i) Lessons learned and good practices arising from subprogramme 4 for improved continued implementation and future policymaking and planning;
  - (ii) Proposals for concrete action and recommendations that will feed into the strengthening of subprogramme 4.

12. A key purpose of the evaluation is to help all stakeholders reflect on what has worked well and what has not and thus use lessons learned to date to feed into the continued implementation of subprogramme 4.

### 4. Scope of evaluation

13. The evaluation of subprogramme 4 will cover the period 2012–2016. The evaluation will assess the relevance, effectiveness, efficiency, sustainability, impact, innovation and partnerships of the subprogramme using the evaluation criteria and questions stated in section 5.

14. The evaluation will have global coverage, with selected field missions to be decided jointly between the evaluation team, subprogramme 4 management team and Evaluation and Monitoring Unit of UNCTAD during the inception phase.

### 5. Evaluation criteria

#### *Relevance*

(a) To what extent and how have the components of the subprogramme been relevant to the needs of its main stakeholders and beneficiaries?

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<sup>5</sup> It will be followed by the final evaluation, of subprogramme 5: Africa, least developed countries and special programmes (in 2017–2018). No evaluations were conducted in 2015–2016 due to the quadrennial conference.

(b) To what extent are the components of the subprogramme designed as part of a coherent and aligned UNCTAD approach?

(c) To what extent is the subprogramme aligned with UNCTAD mandates and the Sustainable Development Goals, and how well has its management translated the relevant mandates into programme priorities and work plans that support developing countries in achieving the Sustainable Development Goals?

(d) To what extent does the subprogramme follow the guidance of the Nairobi Maafikiano?

(e) What are the areas of comparative advantage and value added of subprogramme 4 in terms of contributing to global, regional and national policy processes and capacity-building?

(f) To what extent are gender and equity issues reflected in the subprogramme?

(g) To what extent could the recent roll-out of minimum requirements of results-based management improve the relevance of subprogramme 4?

#### *Effectiveness*

(a) To what extent has subprogramme 4 achieved its targeted results in 2012–2016, as enunciated in the UNCTAD biennial programme plans for that period?

(b) To what extent is there evidence of the contributions of subprogramme 4 under the three pillars of UNCTAD in global, regional and national policy processes? In particular, to what extent is there evidence of the subprogramme's inputs in policy instruments adopted by member States, including but not limited to laws, regulations, policy statements, strategies, action plans and economic instruments?

(c) What are the key factors that have contributed to, or hindered, the subprogramme's influence in global, regional or national policy processes?

#### *Efficiency*

(a) To what extent has the subprogramme been efficient in using its three core modalities of work, i.e. research and analysis, support for consensus-building and technical assistance, in such a way as to optimize their complementarities?

(b) Were the resources and inputs converted to outputs in a timely and cost-effective manner?

(c) To what extent are there synergies between the subprogramme and other UNCTAD subprogrammes and/or other United Nations system organizations, and can these be improved further?

(d) How efficiently were resources utilized in the delivery of subprogramme mandates?

#### *Impact*

What impact has the subprogramme had on member States and key stakeholders in the areas of technology, logistics and knowledge management?

#### *Sustainability*

(a) To what extent has the subprogramme built sustainability mechanisms into programme design?

(b) To what extent can the benefits generated through the programme be sustained?

(c) Did the subprogramme receive sufficient financial and human resources to adequately meet its objectives and midterm and long-term objectives and priorities?

*Partnerships*

(a) How has the subprogramme advanced or built partnerships with international regional and national development counterparts, civil society, the United Nations family and/or the private sector?

(b) To what extent does the subprogramme communicate with partners in disseminating products, exchanging ideas, good practices, etc.?

*Innovation (optional)*

To what extent have interventions under the subprogramme been innovative?

**6. Evaluation methodology**

15. This evaluation will use methodologies and techniques as determined by specific needs for information, the questions set out in the terms of reference and the availability of resources and the priorities of stakeholders. The evaluation will be undertaken through a triangulation exercise of data stemming from desk reviews, structured interviews and other sources to be established by the evaluation team. These could be primary data coming from focus groups, questionnaires and surveys or secondary data stemming from other entities. The evaluation should involve multiple perspectives with clear views and assessments from both within and outside UNCTAD.

16. All evaluations of the United Nations system are guided by the principles of human rights and gender equality.<sup>6</sup> Evaluation methods and approaches that are gender-sensitive and explicitly address issues of marginalized, hard to reach and vulnerable populations are essential for conducting this evaluation. It is important for the evaluation to assess and determine the effects of outcomes and impacts (intended or unintended) on different types of duty bearers and rights holders in a disaggregated fashion, with special consideration of those in the most vulnerable positions.

17. The evaluation will have six stages, as follows: desk review; evaluation design; data collection; data analysis; drafting and reporting; and presentation of findings.

18. In terms of data collection, the evaluation will use both quantitative and qualitative methods with an approach that could include, but will not be limited to, the following:

(a) A preliminary desk review and/or content analysis of secondary documents, including the UNCTAD mandate, budget fascicles and any performance assessment and evaluation reports; reports of the annual sessions of the Trade and Development Board, Trade and Development Commission and other relevant intergovernmental meetings; documents and reports produced by the subprogramme, project documents and reports; mission reports; material used for activities; resource-use information; lists of beneficiaries, counterparts and resource persons; existing evaluation reports and feedback, such as assessments and letters; relevant reports received from other counterparts; subprogramme 4 United Nations Development Account project evaluation reports; and others;

(b) Missions to UNCTAD in Geneva to conduct face-to-face interviews with key informants and/or focus group discussions with UNCTAD staff, representatives of member States, partner institutions and civil society;

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<sup>6</sup> United Nations Evaluation Group, 2014, *Integrating Human Rights and Gender Equality in Evaluations* (Sales No. E.14.III.B.18, New York), available at <http://www.unevaluation.org/document/detail/1616>.

(c) Missions to selected countries or regions to conduct face-to-face interviews with key informants and/or focus group discussions with relevant partners and stakeholders. The organization of visits will be decided in consultation with the Evaluation and Monitoring Unit based on an initial study of available documentary evidence, taking into account the budgetary provisions for this purpose, and the expectations from the subprogramme of this evaluation;

(d) Online surveys targeted at different groups of stakeholders, as identified in consultation with programme managers;

(e) Follow-up telephone interviews as may be required to clarify responses provided to online questionnaires;

(f) Direct observations of meetings or events organized under the programme of work of subprogramme 4 during the period under evaluation.

19. The evaluators will further elaborate on the evaluation methodology and evaluation questions in an inception report, determining thereby the exact focus and approach for the exercise, including developing the sampling strategy and identifying the sources and methods for data collection. The methodology should align with the Norms and Standards for Evaluation of the United Nations Evaluation Group.

20. The sampling strategy should guarantee the highest degree of representation of the portfolio that the evaluation comprises. The actual representative programmes to be included for assessment in the evaluation are at the evaluators' discretion.

21. The quality of the evaluation product will depend on the methods used to collect and analyse data. Consultants will consider comments received and will reflect them, as appropriate, without compromising their independence and impartiality.

## **7. Structure of evaluation team**

22. The evaluation will be conducted by an independent external evaluation team composed of one professional evaluator (team leader), a research analyst (contingent upon the availability of funds) and two experts (delegates from member States) who are familiar with UNCTAD intergovernmental mandates and programmes, and can bring in the perspectives of donor and beneficiary countries, respectively. The evaluation team will work under the methodological guidance of the Evaluation and Monitoring Unit and the team leader may draw upon the expertise of the Unit for the evaluation as appropriate.

## **8. Description of duties**

23. The team leader bears responsibility for the evaluation, including the following:

(a) Conceptualizing and operationalizing the evaluation, including the presentation of an inception report that includes a detailed work plan;

(b) Leading the evaluation team and ensuring that each team member is aware of his or her key roles and responsibilities within the team;

(c) Overseeing and undertaking the systematic data collections, stakeholder consultations and analytical and writing assignments conducted by the team, in accordance with the agreed work plan;

(d) Triangulating data and testing rival explanations;

(e) Leading field missions to conduct interviews with beneficiaries and other relevant stakeholders at the country level and, if feasible, observing the work of the subprogramme by attending conferences, seminars or workshops organized by the subprogramme and drafting mission summaries;

(f) Presenting the preliminary findings to UNCTAD management and other counterparts, considering comments received from the audience;

(g) Ensuring the team adheres to the norms, standards and codes of conduct of the United Nations system for evaluations;

(h) Overseeing the timely and high-quality production of evaluation deliverables in accordance with the processes described in the overall terms of reference;

(i) Sharing ideas, pictures and stories from the evaluation to serve as a communications platform for the evaluation;

(j) Finalizing and presenting the evaluation report to the Working Party in September 2017;

(k) Keeping the Evaluation and Monitoring Unit informed of progress made on the evaluation on a regular basis.

24. The two member State delegates will contribute to the evaluation design, data collection, data analysis, assessments and reporting. The research analyst will support the evaluation team in data collection and analysis, as well as with logistical and administrative support. The evaluation team will be collectively responsible for the completion of the report and its presentation to the Working Party, which commissioned the evaluation. The evaluation team must take full responsibility for the contents of its report and ensure its independence, accuracy, credibility and utility.

25. The evaluation team should observe the guidelines and Norms and Standards for Evaluation of the United Nations Evaluation Group for evaluations in the United Nations system, as well as the evaluation policy and guidelines of UNCTAD, in the conduct of this evaluation.

26. The experts shall act independently, in accordance with the ethical guidelines of the United Nations Evaluation Group and in their individual capacities. Members of the evaluation team must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the subprogramme under evaluation.

## 9. Deliverables

27. On the basis of a preliminary desk review and interviews, the evaluation team should submit an inception report that:

(a) Explicitly and clearly defines the scope of the evaluation – what will and will not be covered, including for example the programmes and activities to be included in the evaluation;

(b) Specifies the methods for data collection and analysis, including information on the overall methodological design, sampling strategy and draft interview guides and/or surveys, as appropriate;

(c) Presents a clear evaluation matrix that outlines comprehensive and tailored sets of evaluation questions for different stakeholders and indicators within the framework of the evaluation criteria, the indicators, sources of information and data collection method;

(d) Includes an evaluation plan, incorporating the key stages of the evaluation process and the evaluation timeline.

28. The final output of the evaluation should be a report of strictly no more than 8,300 words, composed of the following parts: an executive summary of important findings and conclusions; an introduction and brief description of the subprogramme and evaluation methodology; detailed findings, assessments and conclusions according to the criteria established in section 5 of this document; strategic and operational recommendations drawn from the evaluation and assessment; and three case studies from subprogramme 4. The evaluation may also include a case study approach, to be advanced by the evaluation team.



29. In the report, all the assessments made by the evaluation team must be supported by facts, direct or indirect evidence and/or well-substantiated logic. It follows that all of the recommendations made by the evaluation team should be supported by the assessments. Each recommendation must fulfil the following criteria:

- (a) Clear link to findings;
- (b) Clear and concise formulation;
- (c) Clear application domain and specific recommendation targets mentioned, such as UNCTAD management, programme management, member States and donors;
- (d) Classification on the basis of priority, such as key, important and general;
- (e) Provision of supporting evidence, i.e. sources that substantiate findings.<sup>7</sup>

30. The evaluation team is required to submit a separate list of those interviewed for the record. The report should be accompanied by a supplement, detailing the findings of the evaluation and including supporting materials.

#### **10. Timetable**

31. A draft of the report must be presented by 15 April 2017 to the Evaluation and Monitoring Unit and relevant stakeholders for verification of factual findings and compliance with the terms of reference, before submission of the final report.

32. The deadline for submission of the final report is 15 May 2017.

33. The evaluation team will be invited to present the report to the Working Party at its annual session on technical cooperation and evaluation to be held in September 2017.

#### **11. Management of evaluation process**

##### *Management arrangements*

34. The independent evaluation will be carried out following the evaluation policy of UNCTAD and the Norms and Standards for Evaluation of the United Nations Evaluation Group. The evaluation team will work closely with the Evaluation and Monitoring Unit.

##### *Evaluation and Monitoring Unit*

35. The evaluation is managed by the Evaluation and Monitoring Unit, which provides quality assurance through the provision of guidelines, formats, assistance, advice and clearance on key deliverables during the evaluation process. The Unit further ensures that the evaluation conforms to the Norms and Standards for Evaluation of the United Nations Evaluation Group. In particular, the Unit guides the process of the evaluation, endorses the terms of reference, approves the selection of the evaluation team and liaises closely with the team throughout the entire evaluation process. The Unit comments on and approves the evaluation methodology and provides methodological support throughout the evaluation; comments on the draft report; performs the quality assurance of the final report; supports the process of issuing a management response, if needed; and participates in disseminating the final report to stakeholders within and outside of UNCTAD. The Unit coordinates the publication of the report and the presentation of the evaluation results by the evaluation team to the Working Party.

##### *Subprogramme 4 management team*

36. The subprogramme 4 management team is responsible for overseeing and supporting the evaluation process. The subprogramme is responsible for the provision of

<sup>7</sup> The evaluation report template includes a matrix for evaluation recommendations that reflect these elements.

lists of stakeholders in the evaluation and desk review materials to the evaluation team within the defined timeline, the review of the evaluation methodology as captured and the provision of factual clarifications on the inception report, liaison with counterparts for logistical arrangements for missions and meetings and the review of the draft report and development of an implementation plan for the evaluation recommendations.

37. The subprogramme will provide support to the evaluation team before, during and after field missions. The required support includes the provision of assistance in setting up meetings with key informants and stakeholders in consultation with the team leader, and support in all logistical matters, including local translation and in-country travel, with or without the support of local counterparts.

38. The subprogramme and programme managers will be requested to follow-up with stakeholders to ensure their responsiveness to the data collection requests of the evaluation team.

39. The management team is also responsible for drafting the management response, if needed.

## Appendix 1

### Logical framework of subprogramme 4 for the biennium 2016–2017 (extract from A/69/6 (Prog.10), including revisions by the Committee for Programme and Coordination and updates reflecting the Addis Ababa Action Agenda)

#### Subprogramme 4: Technology and logistics

##### Objective of the Organization

To strengthen science, technology and innovation, including information and communications technologies for inclusive development; to support inclusive growth and development through efficient, resilient and sustainable trade logistics services and transit transport systems; and to promote training and capacity-building programmes for local institutions with a view to enhancing the economic development and competitiveness of developing countries and countries with economies in transition

##### Expected accomplishments of the secretariat

##### Indicators of achievement

(a) Improved efficiency and sustainability of trade logistics of developing countries and some countries with economies in transition	(a) (i) Increased number of specific, identifiable actions taken by developing countries and countries with economies in transition to improve trade logistics, such as actions to cut transport and transaction costs; improve effective transit systems, sustainable transport efficiency and connectivity; and establish a supportive legal framework, with the assistance of UNCTAD  (ii) Increased number of measures adopted by developing countries and countries with economies in transition using the Automated System for Customs Data to further improve the efficient management of their customs administration, with the assistance of UNCTAD  (iii) Increased number of developing countries and some countries with economies in transition having improved trade logistics performance on the basis of benchmark indicators related to logistics and business efficiency, with the assistance of UNCTAD
(b) Improved awareness and adoption of national and international policies by developing countries and countries with economies in transition in the area of science, technology and innovation, as well as information and communications technology	(b) (i) Increased number of specific actions taken by developing countries and countries with economies in transition to implement programmes aimed at enhancing the contributions of science, technology and innovation and information and communications technology to development, with the assistance of UNCTAD  (ii) Increased number of cooperation initiatives among research institutions, academic centres, private and public entities and governmental organizations at the subregional, regional and international levels in the areas of science and technology and information and communications technology, with the assistance of UNCTAD
(c) Better understanding, at the national level, of policy options and best practices in science and technology for development and information and communications technologies for development	(c) Increased number of countries benefiting from UNCTAD assistance through capacity-building activities in science and technology for development and information and communications technologies for development
(d) Enhanced capacities in developing countries and countries with economies in transition in the areas of trade and investment and interrelated issues	(d) Number of specific actions taken by developing countries and countries with economies in transition to strengthen the capacities of human resources and local institutions in the areas of trade and investment and related issues, as a result of UNCTAD assistance

**Strategy**

10.19 The subprogramme, under the responsibility of the Division on Technology and Logistics, will help improve the technological capacity, competitiveness in international trade and overall development of developing countries, especially those in Africa and least developed countries, as well as landlocked developing countries, small island developing States, other structurally weak, vulnerable and small economies, and middle-income countries, according to their needs, and will assist transit developing countries with their special challenges related to designing and implementing resilient and sustainable transport infrastructure and services, by:

(a) Supporting initiatives for and conducting policy dialogues on the diffusion of scientific and technical knowledge and transfer of, access to and acquisition of technology for developing countries, including the diffusion of environmentally sound technologies and corresponding know-how;

(b) Improving trade logistics policies; strengthening transport operations management, systems and connections; and supporting the design and implementation of coherent sustainable freight transport and enhancing transit systems;

(c) Further addressing the special trade, investment and development needs of landlocked developing countries, including by continuing its support for the effective implementation of the Almaty Ministerial Declaration and the Almaty Programme of Action;

(d) Assisting in particular small island developing States and other structurally weak, vulnerable and small economies in the design and implementation of policies suitable to their specific trade logistics challenges;

(e) Assisting in the development and implementation of appropriate institutional and legal frameworks for the facilitation of trade and transport;

(f) Supporting the active participation of developing countries in transport and trade facilitation negotiations;

(g) Conducting research and analysis in the areas of science, technology and innovation as an instrument for supporting national development, local industry (in particular small and medium-sized enterprises) and the competitiveness and export diversification efforts of countries, including through the transfer of technology;

(h) Contributing to the implementation of the Programme of Action for the Least Developed Countries for the Decade 2011–2020 with respect to trade and interrelated issues in the areas of technology and sustainable development;

(i) Carrying out research and technical assistance in the area of information and communications technologies for development, including by contributing to the Partnership on Measuring Information and Communications Technologies for Development and by promoting e-business strategies and legislation;

(j) Contributing to the implementation of the outcomes of the World Summit on the Information Society;

(k) Contributing to the implementation of the Technology Facilitation Mechanism to support the Sustainable Development Goals;

(l) Serving as the secretariat of the Commission on Science and Technology for Development;

(m) Fostering training and capacity-building aimed at policymakers and practitioners in the fields of trade and related areas of finance, technology, investment and sustainable development; assisting developing countries, within its mandates, in the achievement of internationally agreed development goals; and enhancing the dissemination and communication aspects of its work;

(n) Assisting in the implementation of customs automation and trade facilitation programmes.

## Appendix 2

### Additional background information on subprogramme 4

#### Main funding sources

##### *Trade Logistics Branch*

1. Research and analysis, as well as consensus-building, intergovernmental expert dialogues and advisory services on transport and trade logistics, are funded through the regular budget. Two technical assistance programmes on sustainable freight transport and climate change impacts on coastal transport infrastructure initiated in 2014 are funded through two United Nations Development Account projects under the regular budget of the United Nations. One junior professional officer in the Transport Section is funded by Germany.
2. The trade facilitation programme receives extrabudgetary funds from donor countries including China, Germany, Norway, Sweden, the United Kingdom and the United States, and institutional donors, including the European Union, the World Bank and Trade Mark East Africa. The programme has also benefited under the United Nations Development Account, most recently for a project that concluded in 2013.

##### *Automated System for Customs Data*

3. In 2015, 71.5 per cent of direct funding for ASYCUDA projects originated from beneficiary countries. The remaining funding was contributed by the European Union, the World Bank, development banks and Trade Mark East Africa.

##### *Science, Technology and Information and Communications Technology Branch*

4. Science, technology and innovation policy reviews are funded through United Nations Development Account projects and extrabudgetary funds from Germany.<sup>8</sup>
5. The main donors of the ICT Analysis Section, which includes activities related to e-commerce and law reform, capacity-building on ICT statistics and policy, ICT policy reviews and eTrade for All, are Finland, the Republic of Korea, Sweden and the United Kingdom.<sup>9</sup> Additional contributions from member States and regional institutions are received on the occasion of specific events. The Republic of Korea also supports these activities through one secondment.
6. The Commission on Science and Technology for Development is funded through the regular budget. Work of the Commission secretariat related to follow-up on the outcomes of the World Summit on the Information Society has received funds from Finland, Switzerland and the United States.

##### *Knowledge Development Branch*

7. The main funding for the Train for Trade port management programme comes from beneficiary countries in Africa, Asia and Latin America and the Caribbean, as well as donor countries, including France, Ireland and Spain. Further, Train for Trade has undertaken additional trade-related training and capacity-building projects funded through the United Nations Development Account.

<sup>8</sup> An external evaluation of a related project is available at [http://unctad.org/en/PublicationsLibrary/webosg2013d1\\_en.pdf](http://unctad.org/en/PublicationsLibrary/webosg2013d1_en.pdf).

<sup>9</sup> An external evaluation of the e-commerce and law reform programme in 2011, requested by Finland, is available at [http://unctad.org/en/docs/webosg2011d1\\_en.pdf](http://unctad.org/en/docs/webosg2011d1_en.pdf).

8. The courses on key issues on the international economic agenda are funded under section 23 – regular programme of technical cooperation, of the regular budget of the United Nations.

**Justification of subprogramme, UNCTAD strategy context and main experiences and/or challenges during implementation**

*Trade Logistics Branch*

9. UNCTAD has a long-standing mandate in trade logistics that helps developing countries, particularly landlocked developing countries, small island developing States, transit developing countries and some countries with economies in transition undertake reforms to build efficient trade logistics and effective transport and trade facilitation policy measures that lower costs, increase trade volumes and attract new investments. Special emphasis is given to reducing transport and transaction costs, improving effective transit systems, transport efficiency and connectivity, and establishing a supportive legal framework in developing countries.

10. The work programme of the Trade Logistics Branch on transport supports developing countries in making informed policy choices to address socioeconomic challenges in the field of transport, as well as environmental challenges, such as the impacts of climate variability and change and ship-source pollution, and in identifying associated capacity-building needs and appropriate regulatory responses. In recent years, work has focused particularly on improving multimodal transport systems and sustainability, as well as ensuring better access to markets and greater integration into the global economy and broader development goals,<sup>10</sup> in addition to emerging challenges facing transportation, such as maritime and supply chain security, the impact of rising oil prices on maritime freight costs and the implications of climate change for maritime transport.<sup>11</sup> Relevant substantive analytical studies and reports are widely used for reference and guidance by policymakers, relevant intergovernmental organizations and non-governmental organizations, as well as by private sector stakeholders and in academia.

11. The Trade Logistics Branch also assists in relevant collaborative efforts at all levels, including through the inter-agency coordination mechanism on oceans and coastal issues (UN-Oceans), to support and strengthen the conservation and sustainable use of the oceans and their resources, and the effective implementation of relevant international law, in accordance with target 14.c of the Sustainable Development Goals and other relevant international agreements and resolutions, including resolution 66/288 of the General Assembly.

12. The trade facilitation programme focuses on assisting developing countries to build capacities to implement the Agreement on Trade Facilitation of the World Trade Organization, notably through its empowerment programme.<sup>12</sup> In the period covered by the evaluation, UNCTAD supported above all the assessment of needs and priorities in the area of trade facilitation in the context of notifications of capacities to implement the Agreement on Trade Facilitation.

*Automated System for Customs Data*

13. ASYCUDA is directed at reforming and streamlining the customs clearance process, facilitating trade and strengthening institutions in member States. UNCTAD competency in the complex area of customs automation is internationally recognized.

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<sup>10</sup> See <http://unctad.org/en/Pages/DTL/TTL/Infrastructure-and-Services.aspx>.

<sup>11</sup> See <http://unctad.org/ttl/legal>.

<sup>12</sup> See <http://unctad.org/en/DTL/TLB/Pages/TF/Committees/Empowerment-Programme-for-National-Trade-Facilitation-Bodies.aspx>.

The ASYCUDA system, which UNCTAD has developed over more than 30 years, is implemented in beneficiary countries in the framework of a technical assistance project that consists of a comprehensive package, including software, documentation, technical and functional expertise and capacity-building. Training activities are of paramount importance to ensure the full transfer of ASYCUDA know-how to national staff, which is essential to enable national teams to administer and maintain the system in the long term.

14. An efficient and effective customs administration is essential to the welfare of any country as it:

- (a) Benefits the national economy by collecting revenue;
- (b) Assists the Government to implement national and international trade policy;
- (c) Protects the country by combating fraud and the illegal trafficking of prohibited and restricted goods;
- (d) Provides statistical information on foreign trade transactions essential for economic planning;
- (e) Supports international trade needs.

15. The strategic goals of ASYCUDA in 2011–2015 endeavoured to ensure the long-term sustainability of the programme and to leverage innovative capacities to respond to demands from partners in order to support the mission and vision statements. These included the following:

- (a) Remain a de facto leader in customs automation worldwide;
- (b) Ensure the successful delivery of ASYCUDA projects to address the evolving needs of customs;
- (c) Maintain the effective building of institutional capacity;
- (d) Develop single-window systems tailored to the specific conditions of countries, in terms of institutional reform, technological solutions and business processes;
- (e) Establish a customs-centric single-window model;
- (f) Contribute to the globally networked customs of the World Customs Organization;
- (g) Ensure effective programme management and governance in line with United Nations rules and regulations.

16. In 2015, a new module of ASYCUDA was launched, focusing on performance measurement within customs administrations and their stakeholders. Performance measurement in customs is more than a tool to combat corruption and enhance effectiveness and efficiency; it is a methodology to inspire senior management to carry out reform at different levels.

*Science, Technology and Information and Communications Technology Branch*

17. Since the establishment of UNCTAD, technology has been a central issue in its mandate. UNCTAD has been and remains a source of international policy-oriented analysis on the connection between technology and innovation and development. Technology and innovation are crucial for the enhancement of productive capacities in developing countries and for the achievement of structural transformation. Beyond the narrow concept of economic development, science, technology and innovation, including ICTs, are important for the achievement of the Sustainable Development Goals, as a cross-cutting issue in themselves, and as emphasized in Goals 9 and 17. In the more specific field of ICT for development, UNCTAD was early to recognize the strategic role of ICTs and has been a

pioneer in providing relevant analysis and policy options for developing countries, including the least developed countries. It has identified key priority areas for policy intervention, including inclusive ICT-related strategies, data analytics and law reform. As a result, many developing countries have benefited from UNCTAD work in this field.

18. The Commission on Science and Technology for Development is the only intergovernmental body within the United Nations that deals with issues related to science, technology and innovation. Its mandate is to advise the General Assembly and the Economic and Social Council on new and emerging issues related to science and technology and their implications for development. In addition, it provides a forum for the sharing of experiences in the area of science, technology and innovation policymaking. One of the most successful projects stemming from the Commission is the science, technology and innovation policy reviews, conducted by UNCTAD at the request of national Governments with the aim of assessing the effectiveness of their national innovation systems and providing recommendations for strengthening them.

19. Challenges are primarily related to the lack of resources, as follows:

(a) Support the expanded mandate of the Commission, especially associated with its role as the focal point within the United Nations system on the follow-up to the outcomes of the World Summit on the Information Society;

(b) Meet the increasing number of requests received from member States.

20. Other challenges relate to conflicting priorities among member States with regard to the role of work on issues such as the transfer of technology and the establishment of long-term interactions with government counterparts in the area of science, technology and innovation within the context of the intergovernmental machinery of UNCTAD.

#### *Knowledge Development Branch*

21. The Knowledge Development Branch supports developing countries and countries with economies in transition through cross-divisional training and capacity-building activities and programmes carried out by the Human Resource Development Train for Trade Section and the Policy Capacity-Building Section. The team focuses on developing skills, knowledge and capacities through innovative development approaches based on a recognized pedagogical method and state-of-the-art technological solutions.

22. The Train for Trade programme targets trade practitioners and assists in the development of sustainable local capacity in trade, investment and development issues. Train for Trade also delivers a modern port management course in cooperation with local port authorities for middle managers from local port communities. Training sessions are led by UNCTAD and international instructors, as well as local senior managers who have been certified by Train for Trade as local trainers after completing a train-the-trainer workshop. This strategy highlights the uniqueness and strength of the port management programme in fostering local ownership to reinforce its impact and ensure sustainability. Participating ports provide the majority of the programme's funds, and responsibility for implementing the programme is gradually shifted to them.

23. The courses on key issues on the international economic agenda, mandated by paragraph 166 of the Bangkok Plan of Action (2000), train policymakers in key international economic issues. The courses are focused on enhancing policymaking and negotiation capacities. Every two years, courses are held in five regional venues. UNCTAD, through intradivisional cooperation, develops and adapts the curriculums for each region. To this end, the programme collaborates with national institutions to deliver content that reflects the national and regional economic context. Additionally, six short courses are held on an annual basis on relevant developments in the international economy, in line with UNCTAD research. The main success of the programme is the consistent



delivery of training aimed at investing in human capital for strengthening capacity in policy formulation on economic and trade-related issues. Challenges, in the long term, may be related to ensuring continued commitment from the divisions of UNCTAD, to contribute equally to the development of programme curriculums.

**Linkages and synergies with other UNCTAD subprogrammes and connections with the Sustainable Development Goals and other, wider policy and development agendas, as relevant**

*Trade Logistics Branch*

24. The work programme of the Trade Logistics Branch on transport policy and legislation creates important synergies through inter-agency cooperation and the establishment of a committed multidisciplinary network. Counterparts of the United Nations Development Account-funded project on climate change impacts on coastal transport infrastructure in the Caribbean include policymakers and a range of multidisciplinary public and private sector experts and relevant intergovernmental organizations, with a view to creating synergy. Key partners of the project on building the capacities of developing countries to shift towards sustainable freight transport are public and private local and regional stakeholders, including policymakers, transport operators, port authorities, corridor authorities, infrastructure managers, financing institutions and research institutions, as well as academia and civil society.

25. With regard to capacity-building for freight forwarders, UNCTAD partners with the International Federation of Freight Forwarders' Associations, the international body representing national associations of individual freight forwarding companies, by providing a resource person to teach substantive issues regarding international transport organizations, trade facilitation, risk management, principles of insurance, insurance markets and liability insurance.

26. The trade facilitation programme benefits from numerous synergies among the three pillars of UNCTAD. Data from technical assistance activities is used for research publications, for example on the institutional capacity of national trade facilitation committees, the costs of trade facilitation implementation and the linkages between development and successful trade facilitation reforms. Research and technical assistance also directly contributed to the intergovernmental machinery during and following negotiations on trade facilitation at the World Trade Organization. There are also numerous synergies with other divisions of UNCTAD, notably in the context of e-governance (Division on Investment and Enterprise), non-tariff measures and trade analysis (Division on International Trade in Goods and Services, and Commodities), statistics (Division on Globalization and Development Strategies) and the trade facilitation chapters of the diagnostic trade integration studies (Division for Africa, Least Developed Countries and Special Programmes).

27. Key partners of the trade facilitation programme are ministries in charge of international trade, as well as inter-institutional mechanisms, such as national trade facilitation committees.

28. With regard to the Sustainable Development Goals, a number of transport-related targets are both directly and indirectly included under Goal 3 on health and well-being, Goal 7 on affordable and clean energy, Goal 9 on industry, innovation and infrastructure, Goal 11 on sustainable cities and Goal 12 on sustainable consumption and production. Indirect targets relate, among others, to food security, access to water, air pollution, climate change and global partnerships. The trade facilitation programme contributes to achieving the Goals by strengthening policy frameworks and institutions, which corresponds to Goal 10 on reducing inequality. Indirectly, the programme contributes to achieving Goal 1

on ending poverty, Goal 8 on economic growth and decent work, Goal 9, Goal 16 on building effective and accountable institutions and Goal 17 on partnerships for the Goals.

*Automated System for Customs Data*

29. Until 2010, ASYCUDA partnerships were agreed mainly with national or multinational government agencies. In recent years, ASYCUDA has established new partnerships with specialized agencies within the United Nations system, international organizations, government agencies, trade associations and regional groups. Some of these have been for the establishment of ASYCUDA regional centres. The partnerships take the form of memorandums of understanding, exchanges of letters of collaboration and other similar forms. Examples of current partnerships include the following:

(a) Specialized agencies: Convention on International Trade in Endangered Species of Wild Flora and Fauna; International Trade Centre; United Nations Educational, Scientific and Cultural Organization; United Nations Office for the Coordination of Humanitarian Affairs; and Universal Postal Union;

(b) International organizations: World Customs Organization and World Trade Organization;

(c) Governmental agencies: Aqaba Special Economic Zone Authority, Jordan; Ministry of Economic Affairs, Netherlands, for an electronic phytosanitary certification system; and Customs Department, Gibraltar;

(d) Trade associations: Digital Coding and Tracking Association and International Air Transport Association;

(e) Regional groups: Common Market for Eastern and Southern Africa, Economic Community of West African States and Eurasian Economic Commission.

30. In 2015, discussions for partnerships were initiated with the World Customs Organization and World Intellectual Property Organization on safeguarding intellectual property rights.

31. Within UNCTAD, ASYCUDA collaborates with the Trade Logistics Branch, as well as with the Division on International Trade in Goods and Services, and Commodities; the Statistics Unit of the Division on Globalization and Development Strategies; and the Division for Africa, Least Developed Countries and Special Programmes.

32. ASYCUDA contributes in particular to Goal 9, by improving regional and transborder infrastructure, and Goal 17, by improving domestic resource mobilization and tax capacity, thereby assisting beneficiary countries in the economic planning of their government finances through revenue collection, trade statistics and the reduction of corruption, minimizing the diversion of country resources.

*Science, Technology and Information and Communications Technology Branch*

33. The Science, Technology and ICT Branch collaborates with the Division on Investment and Enterprise in the context of the Multi-year Expert Meeting on Investment, Innovation and Entrepreneurship for Productive Capacity-building and Sustainable Development that has met each year since UNCTAD XII, and in the context of the Commission on Investment, Enterprise and Development that regularly includes an agenda item on issues related to science, technology and innovation. The branch also cooperates with the Division on Investment and Enterprise on intellectual property policies for development in the context of policy analysis and technical cooperation. Further, some activities are undertaken in cooperation with the Development Statistics and Information Branch of the Division on Globalization and Development Strategies and the Competition

and Consumer Policies Branch of the Division on International Trade in Goods and Services, and Commodities.

34. UNCTAD is a founding member of the Partnership on Measuring ICTs for Development. The Science, Technology and ICT Branch develops gender-disaggregated ICT indicators and measures international trade in ICT services and ICT-enabled services, through extensive consultations with experts from the United Nations Statistical Division, national offices and international working groups, for example from the Organization for Economic Cooperation and Development and the United Nations Statistical Commission.

35. UNCTAD organizes, on an annual basis, an e-commerce week, during which Governments, international organizations, the private sector and civil society discuss issues related to e-commerce and development. The Science, Technology and ICT Branch co-organizes the annual World Summit on the Information Society Forum and plays an active role in the high-level segment and as co-facilitator, moderator and panellist at various sessions. As secretariat of the Commission on Science and Technology for Development, the branch plays a leading role in the follow-up to the system-wide implementation of the outcomes of the World Summit on the Information Society, leading to extensive outreach to and collaboration with other United Nations bodies, civil society organizations and private sector players.

36. Key counterparts of the branch include different departments within national Governments – including ministries of science and technology and ICTs – development banks, regional organizations, non-governmental organizations, private sector organizations, the Commonwealth Secretariat, the Commonwealth Telecommunications Organization, the Council of Europe, the International Trade Centre, the Organization for Economic Cooperation and Development, the World Bank and the World Trade Organization, as well as the United Nations Development Programme and other United Nations bodies such as the International Telecommunication Union, the United Nations Commission on International Trade Law, the United Nations Department of Economic and Social Affairs, the United Nations Educational, Scientific and Cultural Organization and its Institute of Statistics, the United Nations Office on Drugs and Crime, the United Nations Statistical Division, the Universal Postal Union and the World Intellectual Property Organization.

37. Science, technology and innovation are important for the achievement of the Sustainable Development Goals, as a cross-cutting issue in themselves and as highlighted in Goals 5, 9 and 17. UNCTAD, through the Division on Technology and Logistics, is engaged in the Inter-agency Task Team on Science, Technology and Innovation for the Goals.

#### *Knowledge Development Branch*

38. Train for Trade hosts a distance-learning platform (see [https:// learn.unctad.org](https://learn.unctad.org)) that uses a free and open source learning and content management system to facilitate the sharing of information and technology in an efficient and cost-effective manner. The platform gives course participants easy access to learning materials and facilitates chat sessions. The programme previously contributed to the use of its learning and content management system by the former Staff Development and Learning Section of the United Nations Office at Geneva. The system is currently used by the Office for the Coordination of Humanitarian Affairs and the World Food Programme.

39. The section provides interbranch and interdivisional support in capacity development and e-learning, including in the areas of science, technology and innovation policy and e-commerce and competition law for the Science, Technology and ICT Branch, as well as for the trade statistics course of the Division on Globalization and Development Strategies.

40. The Train for Trade port training programme operates through four language-based networks (English, French, Portuguese and Spanish) in Africa, Asia, Europe and Latin America and the Caribbean. The programme brings together public, private and international entities to share expertise and best practices. Partnerships have been established with European ports to share their knowledge and expertise with ports in the South. Annual regional meetings bring together port officials from different countries, promoting the sharing of experiences and expertise. South–South collaboration between port communities is promoted as it is crucial for knowledge sharing. For example, exchanges of participants are encouraged in order to increase participant exposure to different port set-ups, as well as to facilitate transfers of knowledge. Key counterparts are ports and port community practitioners.

41. The programme on the courses on key issues on the international economic agenda works closely with all divisions of UNCTAD, providing an equal opportunity to participate in the development of curriculums. The programme continues to evolve, reflecting the latest developments in the areas of work of UNCTAD. Recipients are predominantly mid-level government officials working on economic and trade-related aspects at various public institutions in five regions. Partners are national institutions and experts from the venue at which regional courses are held, in addition to United Nations regional economic commissions and various UNCTAD divisions.

43. Train for Trade activities contribute directly to Goal 9 and indirectly to Goal 1, Goal 14 and Goal 17. The programme on the courses on key issues on the international economic agenda has a direct link to Goal 17, and is also relevant to Goal 10. A full list of the donor and recipient countries and organizations for the project will be provided to the evaluation team with the desk review documents.

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