



Independent evaluation of the

## **Development Account Project 1617 I**

### **Trade and agricultural policies to support small-scale farmers and enhance food security**

Evaluation and Monitoring Unit

October 2020

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This evaluation report was prepared by Raul Guerrero, hereafter the evaluator.

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## ACRONYMS

<b>DA</b>	Development Account
<b>DESA</b>	United Nations Department of Economic and Social Affairs
<b>DITC</b>	Division of International Trade in Goods and Services, and Commodities
<b>EA</b>	Expected Accomplishment
<b>ECLAC</b>	United Nations Economic Commission for Latin America and The Caribbean
<b>FAO</b>	Food and Agriculture Organization
<b>GA</b>	General Assembly
<b>SDG</b>	Sustainable Development Goals
<b>UN</b>	United Nations
<b>UNCTAD</b>	United Nations Conference on Trade and Development
<b>UNEG</b>	United Nations Evaluation Group

# EXECUTIVE SUMMARY

The project 'Trade and agricultural policies to support small-scale farmers and enhance food security' was financed under the Development Account 10<sup>th</sup> Tranche with USD 646,000. It was implemented under the coordination of UNCTAD's Division of International Trade and Commodities (DITC) between July 2016 and December 2019 in Guatemala, Malawi and Vanuatu.

The DA finances capacity development projects of the economic and social entities of the United Nations (UN). It is intended to be a supportive vehicle for advancing the implementation of internationally agreed development goals and the outcomes of the UN conferences and summits by building capacity at three levels: individual, organizational and (enabling) environment.

The project aimed at supporting the governments of Guatemala, Malawi and Vanuatu to enhance food security and improve income for small-scale farmers through sound and complementary agricultural and trade policies. The implementation involved two main types of activities, namely knowledge generation (through data collection and processing, and policy-relevant analysis) and capacity building (through workshops and hands-on training).

The evaluation was carried out by an external evaluator during the period January-May 2020 in line with the norms, standards and ethical principles of the United Nations Evaluation Group as well as UNCTAD's Evaluation Policy. It was retrospective and summative in nature and the information was triangulated at different

levels. Some of the main findings and conclusions were:

*To what extent did the project design, choice of activities and deliverables consider and address the priorities and needs of participating countries, taking into account UNCTAD's mandates and comparative advantages?*

(a) The project and activities were highly relevant in the different regions as well as in the national contexts. All sources of information confirmed that addressing the different problems associated with (i) market and institutional failures and (ii) trade restrictions and distortions were of crucial importance. The majority of beneficiaries considered that the implemented activities were relevant for their work. Many participants reckoned that they would not have been able to hold these discussions without the DA supported project; from UNCTAD's side, it would not have been possible to do the additional work without the DA support.

(b) The project was built upon UNCTAD's experience in trade analysis, trade negotiations, competition policy, trade and gender, and the interface between trade, environment, sustainability and development. It aimed at contributing to UNCTAD's mandate by coordinating actions towards strengthening capacity of developing countries to design and implement mutually supportive trade, environment, climate change, sustainable development and creative economy objectives in development strategies at all levels.

(c) The trade and agriculture policy nexus is embedded in the 2030 Development Agenda and, in this sense, the project indirectly contributed to the Sustainable Development Goals.

(d) Broad country specificities were analyzed during the design of the project but the roles that the different stakeholders needed to play in solving the problem could have been better addressed in order to better inform implementation. The project did not clearly distinguish between different levels (individual, organizational and enabling environment) of capacity development needs and, the information on the participation in the events (i.e. direct beneficiaries) was not fully retrievable.

(e) Although important cause-effect assumptions and potential risks were made explicit during its design, the project is not underpinned by a comprehensive theory of change to demonstrate that the results were realistic, transparent and accountable. The project mostly focussed on enhancing the knowledge of individuals and, to some extent, overlooked the other important dimensions of capacity development, namely the organizational level and the enabling environment.

*Have the activities achieved, or are likely to achieve, planned objectives and outcomes as enunciated in the project document? Is there evidence of any positive and negative changes produced by the project, directly or indirectly, intended or unintended?*

(f) There was mixed evidence in terms of the project contribution to better understand the complementarities between agriculture and trade policy in order to achieve sustainable development objectives (EA1). While the majority of participants reported an increased understanding, the contribution towards strengthening institutional knowledge is less evident.

Nevertheless, the project might have contributed to identify areas of consensus by bringing a global perspective to what could otherwise have remained as discrete “institutional understandings”. Furthermore, it probably contributed to explore potential complementarities by bringing together both agriculture and trade experts and policymakers.

(g) With some limitations, the project contributed to enhance the capacities among senior officials of relevant ministries to design and implement complementary and coherent trade and agricultural policies in the three countries (EA2). Nevertheless, only slightly more than half of the stakeholders thought that institutional capacity was equally increased. Based on the responses to both the survey and interviews, a significant number thought that neither the workshops nor the publications had made a significant contribution to enhance agricultural and trade policies yet. In particular, less than 31% had used the publications in their daily work.

*Have project implementation modalities, and internal monitoring and control been adequate in ensuring the achievement of the expected outcomes in a timely and cost-effective manner?*

(h) There existed an efficient division of tasks within UNCTAD and different measures were implemented to ensure a good collaboration with the different counterparts. In general, both project managers and beneficiaries think that the project responded to the difficulties and changing needs.

(i) The project was implemented as planned except for two important activities, namely piloting a market information system in Vanuatu and the inter-regional workshop. The majority of beneficiaries thought that the seminars were implemented in an

efficient manner and that UNCTAD's support was satisfactory, including in the formulation of the publications and studies. Most stakeholders highlighted the high quality of the different activities and outputs (including workshops and publications).

(j) The logical framework was useful at the project proposal stage and to support UNCTAD and DA Office oversight and management. It was nevertheless less useful to inform project implementation as it did not include indicators that comprehensively capture the project's performance.

*Is there evidence that beneficiary countries are committed to continue working towards the project objectives beyond the end of the project and achieve the change required for the intended impact?*

(k) It was too early to draw any conclusions about the project's sustainability, but it was confirmed that the implemented activities contributed to generate interest and some steps forward were being considered in response to the policy recommendations in the three countries.

(l) Despite the fact that many activities and products had a country focus, it is expected to achieve limited "concrete development impacts" at country level. Rather, the project is assessed to likely make a contribution at a rather global level and has contributed to some mentality changes that in turn could trigger other long-term processes. The majority of stakeholders thought that the project could contribute to strengthening (sound and complementary) agricultural and trade policies (55%) as well as to enhance food security and improve small-scale farmers income (60%). Despite the project's efforts, it was considered that the work done needed broader dissemination, including the publications. This would allow strengthening

appropriation by beneficiaries and increasing political support.

*To what extent has the project contributed to human rights and gender-equality related objectives and to SDG5 on Gender Equality and gender objectives in other SDGs?*

(m) The project incorporated a gender perspective and women specific challenges were partly addressed (by identifying new opportunities for women as well as gender-related risks and constraints). A significant number of stakeholders valued the gender-specific conclusions and recommendations and declared that the project contributed to improve their knowledge on integrating gender equality and human rights in agriculture and trade policies. Nevertheless, women were in general under-represented in the activities organized (a certain level of pre-existing gender bias for senior government and other roles in the countries should be taken into account).

(n) On the other hand, the project was implemented with a clearer human rights perspective by contributing to improve small-scale farmers income and food security through sound and complementary agriculture and trade policies. Other than the Guatemala study, it is less clear to what extent the project considered and addressed the specific challenges faced by marginalised and vulnerable groups as well as the point of view of civil society.

*To what extent did the project leverage partnerships with national and regional counterparts, international development partners, the civil society and/or the private sector in support of results, and sustainability of results?*

(o) The project mobilized and leveraged expertise from within UNCTAD that was in general seen as the right institution to support governments in

developing complementary agriculture and trade policies. Nevertheless, the expected broad collaboration with other institutions was rather limited. In particular, the existing mechanisms were not sufficient to ensure or promote meaningful, substantive cooperation with FAO and the Regional Commissions (e.g. identification of synergies).

Based on these findings and conclusions, it was recommended to:

All projects should be underpinned by a theory of change that investigates causal relationships as comprehensively as possible, including those not directly addressed by the project. For example, it is important that both supply and demand constraints are considered as well as the three dimensions of capacity development (individual, organizational and enabling environment).

This should be accompanied by a thorough stakeholder analysis, including assessing and promoting partnerships to effectively and fully address the identified problems (identifying the roles that different stakeholders need to play in solving them). This would also help to identify contribution to the SDGs.

In order to enhance its results-based management culture and learning focus, UNCTAD could consider regularly assessing project evaluability, implementing results-oriented monitoring and/or mid-term evaluations and organizing structured learning events. In particular, more attention should be paid to getting the opinion from seminar participants and collecting information from beneficiaries.

It is crucial that the project's findings continue to inform UNCTAD's work by identifying synergies with ongoing work (including other DA funded projects). This

could include a meta-analysis of the three case studies to unearth cross-country results and lessons that could be presented in regional or global events organized by UNCTAD or other stakeholders.

Similarly, DESA should maximize the impact and efficiency gains of the DA portfolio by putting in place effective coordination mechanisms aiming to identify complementarities among projects and promote synergies at all levels (country, region, institution, sector, etc.) This would in turn contribute to open effective channels of communication to better respond to implementation challenges.

All projects should ensure that gender-related issues are mainstreamed in their logic and activities by undertaking a comprehensive gender analysis at project outset and including targeted activities if necessary. The different effects in women and men should be analysed, including not only direct but also indirect ones.

An "exit strategy" should be envisaged at project outset in order to maximize the project's sustainability, including targeted activities such as wrap-up sessions to tie-in all the themes addressed during the seminars and to possibly agree on specific commitments for the future, particularly at the country level. This should include inter-institutional participation and commitment to track implementation and results (e.g. through a reduced core group of stakeholders and empowering sectoral "champions").

In this sense, UNCTAD should ensure that the publications are disseminated among key stakeholders. This should be accompanied by targeted discussions with high-level representatives in the line ministries to increase their ownership and commitment to adopt the project's recommendations and implement the action plans. In order to



strengthen institutionalization, UNCTAD could consider developing short info-notes or concrete implementation toolkits.

Focal points are crucial in this effort, but other “champions” in the line ministries should also be identified. Furthermore, UNCTAD should actively pursue support to the action plans from UN offices in the field (e.g. FAO and Regional Economic Commissions) and other stakeholders (e.g. EU).

Taking into account UNCTAD’s capacities, all projects should realistically estimate the allotment to cover the technical and administrative support required by DA projects, including monitoring and collecting information from beneficiaries, allocating enough time for local teams and consultants, ensuring close coordination with other international organization (specially UN agencies with presence in the implementation countries), etc. In addition to the project officer, it seems necessary that at least one additional UNCTAD staff provides assistance during project implementation.

Finally, the following lessons were learned during the evaluation:

UNCTAD is an excellence-driven organization with a strong record and reputation in all regions. Its involvement brought about significant efficiency gains by catalyzing dialogue, facilitating access to cutting-edge knowledge and attracting additional contributions into the projects (in-kind or others). Nevertheless, the project missed an excellent opportunity to promote multilateral dialogue, knowledge sharing and networking at regional and global level by cancelling the foreseen inter-regional workshop. Furthermore, the cancellation of the pilot test (Vanuatu) diminished the project’s concrete developmental effects.

The role of the DA as a vehicle for member countries to tap into the normative and analytical expertise of the UN Secretariat was evident throughout the project. By offering distinctive knowledge and skills that are rarely dealt with by other development partners, the DA is well placed to play a game changer role in terms of promoting exchange of knowledge and transferring skills among countries. Nevertheless, the project emphasis was on building national supply-side capacities. It would have been beneficial to link this project with other projects aimed at facilitating the dialogue between exporting and importing countries and addressing the effects of market barriers in product value addition and diversification. In this sense, the existing coordination mechanisms at DA level could be more proactive in ensuring or promoting cooperation and explore synergies among similar and complementary projects.

The project underestimated the administrative support needed, including managing the turnaround of short-term consultants. As a result, the project officer spent more time than anticipated managing and implementing the project oftentimes conducting support activities and asking informally other staff to assist. The recruitment of national consultants was also laborious and slower than expected due to the difficulties to find recruitable experts with the required expertise.

The project ensured good coordination with Permanent Missions in Geneva as entry points to the national institutions. In addition, putting up focal points in each country proved to be an effective coordination mechanism. Nevertheless, building support through some focal points proved to be a challenge due to high turnover and low commitment. Country missions were useful to move activities forward, but the project was less successful at formally engaging national institutions

(e.g. trade and agriculture ministries). In this sense, ensuring long term commitment to the action plans but even ensuring high-level

government representation from various ministries in the workshops proved to be particularly difficult.

# SUMMARY MATRIX OF FINDINGS, EVIDENCE AND RECOMMENDATIONS

Findings: problems and issues identified	Evidence (sources that substantiate findings)	Recommendations
<b>Key recommendations</b>		
<ul style="list-style-type: none"> <li>• ...the roles that the different stakeholders needed to play in solving the problem could have been better addressed in order to better inform implementation. The project did not clearly distinguish between different levels (individual, organizational and enabling environment) and, the information on the participation in the events (i.e. direct beneficiaries) was not fully retrievable.</li> <li>• Although important cause-effect assumptions and potential risks were made explicit during its design, the project is not underpinned by a comprehensive theory of change to demonstrate that the results were realistic, transparent and accountable. The project mostly focussed on enhancing the knowledge of individuals and, to some extent, overlooked the other important dimensions of capacity building, namely the organizational level and the enabling environment.</li> <li>• The logical framework was useful at the project proposal stage and to support UNCTAD and DA Office oversight and management. It was nevertheless less useful to inform project implementation as it</li> </ul>	<p>Documents, interviews and survey</p>	<p>All projects should be underpinned by a theory of change that investigates causal relationships as comprehensively as possible, including those not directly addressed by the project. For example, it is important that both supply and demand constraints are considered as well as the three dimensions of capacity development (individual, organizational and enabling environment).</p> <p>This should be accompanied by a thorough stakeholder analysis, including assessing and promoting partnerships to effectively and fully address the identified problems (identifying the roles that different stakeholders need to play in solving them). This would also help to identify contribution to the SDGs.</p> <p>In order to enhance its results-based management culture and learning focus, UNCTAD could consider regularly assessing project evaluability, implementing</p>

Findings: problems and issues identified	Evidence (sources that substantiate findings)	Recommendations
<p>did not include indicators that comprehensively capture the project's performance.</p>		<p>results-oriented monitoring and/or mid-term evaluations and organizing structured learning events. In particular, more attention should be paid to getting the opinion from seminar participants and collecting information from beneficiaries.</p>
<ul style="list-style-type: none"> <li>• There was mixed evidence in terms of the project contribution to better understand the complementarities between agriculture and trade policy in order to achieve sustainable development objectives (EA1).</li> <li>• A significant number thought that neither the workshops nor the publications had made a significant contribution to enhance agricultural and trade policies. In particular, less than 31% had used the publications in their daily work.</li> <li>• The project was implemented as planned except for two important activities, namely piloting a market information system in Vanuatu and the inter-regional workshop.</li> <li>• ...the expected broad collaboration with other institutions was rather limited. In particular, the existing mechanisms were not sufficient to ensure or promote thorough cooperation with FAO and the Regional Commissions, who were implementing similar or complementary projects (e.g. identification of synergies).</li> </ul>	<p>Documents, interviews and survey</p>	<p>It is crucial that the project's findings continue to inform UNCTAD's work by identifying synergies with ongoing work (including other DA funded projects). This could include a meta-analysis of the three case studies to unearth cross-country results and lessons that could be presented in regional or global events organized by UNCTAD or other stakeholders.</p> <p>Similarly, DESA should maximize the impact and efficiency gains of the DA portfolio by putting in place effective coordination mechanisms aiming to identify complementarities among projects and promote synergies at all levels (country, region, institution, sector, etc.) This would in turn allow to open effective channels of communication to better respond to implementation challenges.</p>
<ul style="list-style-type: none"> <li>• ... women specific challenges were partly addressed... women were in general under-represented in the activities organized...</li> </ul>	<p>Documents, interviews and survey</p>	<p>All projects should ensure that gender-related issues are mainstreamed in their logic and activities by undertaking a comprehensive gender analysis at project outset and including targeted activities if</p>

Findings: problems and issues identified	Evidence (sources that substantiate findings)	Recommendations
<ul style="list-style-type: none"> <li>Less clear is to what extent the project considered and addressed the specific challenges faced by ethnic groups as well as the point of view of civil society.</li> </ul>		<p>necessary. The different effects in women and men should be thoroughly analysed, including not only direct but also indirect ones. Furthermore, UNCTAD should continue to encourage specific analysis at country level to identify gender-based patterns and constraints in agricultural trade and rural development. This would allow to expand as gender-specific the proposed tools, methodologies and recommendations to gauge the income and consumption effects on rural households of staple food liberalization.</p>
<ul style="list-style-type: none"> <li>While the majority of participants reported an increased understanding, the contribution towards strengthening institutional knowledge is less evident.</li> <li>...only slightly more than half of stakeholders thought that institutional capacity was equally increased. A significant number thought that neither the workshops nor the publications had made a significant contribution to enhance agricultural and trade policies. In particular, less than 31% had used the publications in their daily work.</li> <li>Despite the fact that many activities and products had a country focus, it is expected to achieve limited “concrete development impacts” at country level. Rather, the project is assessed to likely make a contribution at a rather global level and has contributed to some mentality changes that in turn could trigger other long-term processes. The majority of stakeholders thought that the project</li> </ul>	<p>Documents, interviews and survey</p>	<p>An “exit strategy” should be envisaged at project outset in order to maximize the project’s sustainability, including targeted activities such as wrap-up sessions to tie-in all the themes addressed during the seminars and to possibly agree on specific commitments for the future. This should include inter-institutional participation and commitment to track implementation and results (e.g. through a reduced core group of stakeholders and empowering sectoral “champions”).</p> <p>In this sense, UNCTAD should ensure that the publications are disseminated among key stakeholders. This should be accompanied by targeted discussions with high-level representatives in the line ministries to increase their ownership and commitment to adopt the project’s recommendations and implement the action plans. In order to strengthen institutionalization,</p>

<b>Findings: problems and issues identified</b>	<b>Evidence (sources that substantiate findings)</b>	<b>Recommendations</b>
<p>could contribute to strengthening (sound and complementary) agricultural and trade policies (55%) as well as to enhance food security and improve small-scale farmers income (60%). Despite the project’s efforts, it was considered that the work done needed broader dissemination, including the publications. This would allow strengthening appropriation by beneficiaries and increasing political support.</p>		<p>UNCTAD could consider developing short info-notes or concrete implementation toolkits.</p> <p>Focal points are crucial in this effort, but other “champions” in the line ministries should also be identified. Furthermore, UNCTAD should actively pursue support to the action plans from UN offices in the field (e.g. FAO and Regional Economic Commissions) and other stakeholders (e.g. EU).</p>
<ul style="list-style-type: none"> <li>• ...the roles that the different stakeholders needed to play in solving the problem could have been better addressed in order to better inform implementation. The project did not clearly distinguish between different levels (individual, organizational and enabling environment) and, the information on the participation in the events (i.e. direct beneficiaries) was not fully retrievable.</li> </ul>	<p>Documents, interviews and survey</p>	<p>Taking into account UNCTAD’s capacities, all projects should realistically estimate the allotment to cover the technical and administrative support required by DA projects, including monitoring and collecting information from beneficiaries, allocating enough time for local teams and consultants, ensuring close coordination with other international organization (specially UN agencies with presence in the implementation countries), etc. In addition to the project officer, it seems necessary that at least one additional UNCTAD staff provides assistance during project implementation.</p>
<p><b>General recommendations</b></p>		
<p>To undertake an evaluation at a more strategic level and with a more comprehensive methodology to thoroughly investigate contribution and/or attribution of the DA projects and how to maximise their impact and sustainability.</p>		

# I. INTRODUCTION

## Background and context

This report presents the main findings of the final evaluation of the project ‘Trade and agricultural policies to support small-scale farmers and enhance food security’ (herein referred to as the project) financed by the Development Account (DA).<sup>1</sup> This evaluation was carried out by Raul Guerrero (herein referred to as the Evaluator) as commissioned by the United Nations Conference on Trade and Development (UNCTAD). The terms of reference for the evaluation are included in Annex I.

### Development Account

The DA was established by the General Assembly (GA) in 1997, as a mechanism to fund capacity development projects of the economic and social entities of the United Nations (UN). It is intended to be a supportive vehicle for advancing the implementation of internationally agreed development goals and the outcomes of the UN conferences and summits by **building capacity at three levels: individual, organisational and (enabling) environment**. The DA adopts a medium to long-term approach in helping countries to better integrate social, economic and environmental policies and strategies in order to achieve inclusive and sustained economic growth, poverty eradication, and sustainable development.<sup>2</sup>

### Project description

The project was financed under the DA’s 10th Tranche and implemented under the coordination of UNCTAD’s Division of International Trade and Commodities (DITC). It was implemented during the period July 2016 - December 2019 for a total budget of USD 646,000 in Guatemala, Malawi and Vanuatu.<sup>3</sup>

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<sup>1</sup> Project details are available at: <https://unctad.org/en/Pages/DITC/DA-Project-16171.aspx>

<sup>2</sup> DA projects are implemented by global and regional entities, cover all regions of the globe and focus on five thematic clusters. Projects are programmed in tranches, which represent the DA's programming cycle. The DA is funded from the Secretariat's regular budget and UNCTAD is one of its 10 implementing entities. The UN Department of Economic and Social Affairs (DESA) provides overall management of the DA portfolio.

DA projects aim at achieving development impact through building the socio-economic capacity of developing countries through collaboration at the national, sub-regional, regional and inter-regional levels. The DA provides a mechanism for promoting the exchange and transfer of skills, knowledge and good practices among target countries within and between different geographic regions, and through the cooperation with a wide range of partners in the broader development assistance community. It provides a bridge between in-country capacity development actors, on the one hand, and UN Secretariat entities, on the other. The latter offers distinctive skills and competencies in a broad range of economic and social issues that are often only marginally dealt with by other development partners at country level.

For target countries, the DA provides a vehicle to tap into the normative and analytical expertise of the UN Secretariat and receive on-going policy support in the economic and social area, particularly in areas where such expertise does not reside in the capacities of the UN country teams. The DA's operational profile is further reinforced by the adoption of pilot approaches that test new ideas and eventually scale them up through supplementary funding, and the emphasis on integration of national expertise in the projects to ensure national ownership and sustainability of project outcomes.

<sup>3</sup> Further details can be found in the project website: <http://unctad.org/en/Pages/DITC/DA-Project-16171.aspx>

It aimed at supporting the governments of the three countries to enhance food security and improve income for small-scale farmers through sound and complementary agricultural and trade policies. This overall project's objective was to be achieved through two intermediate Expected Accomplishments (EA):

- Improved understanding by Governments and other relevant stakeholders in beneficiary countries of the complementarities between agriculture and trade policy in order to achieve sustainable development objectives (EA1).
- Enhanced capacities of relevant ministries or departments in beneficiary countries to design and implement complementary and coherent trade and agricultural policies (EA2).

The project implemented two main types of activities:

- Knowledge generation, through data collection and processing, and policy-relevant analysis (A1.2 to A1.7).
- Capacity building activities, through workshops and hands-on training (A1.8 to A2.3).
- In addition, it was foreseen to implement a micro-level scheme to enhance value added and export through diversification into value-added production in Vanuatu (A2.4). The scope of this activity was finally modified (see the efficiency under section II).

For further details see the logical framework matrix of the project included in Annex I.

#### Implementing partners and beneficiaries

DITC led the implementation of the project and its responsibilities were two-fold: (i) central support and guidance and (ii) analytical overview and synthesizing. It was initially managed by the Office of the Director of DITC until September 2017 which facilitated mobilizing and leveraging expertise from all DITC branches and sections. It was later handed over to the Trade, Environment and Development Branch (TED) with a change of Project Officer. In order to allow a more in-depth assessment, more focused support, and deeper impact, the number of target countries was reduced from five in the Concept Note to three in the Project Document. The geographic scope of the project was though expanded from two to three regions.

In line with the project assumptions, the project mainly targeted policymakers and officers from the ministries of trade and agriculture in three developing countries with high socio-economic vulnerabilities in agriculture (Guatemala, Vanuatu and Malawi). They were therefore identified as the primary stakeholders and main beneficiaries of the project. Project teams were established involving UNCTAD staff (a focal point from each section/branch involved) and government officials from each target country (a focal point in the Ministry of Trade and a focal point in the Ministry of Agriculture).<sup>4</sup>

The Project Document also identified other key stakeholders, particularly small and subsistence-oriented farmers and their associations (including female farmers and vulnerable groups) but also, national research institutions, large scale farmers, food processors and other off-takers, and urban consumers. Furthermore, the project aimed at coordinating with other crucial stakeholders during implementation such as FAO (through the Geneva Liaison

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<sup>4</sup> Project team: UNCTAD PO, UNCTAD TCS, consultants, support staff and a focal point per country.



Office as well as the national offices in the three countries), UNDP (three countries) and UN Women and WFP (in Guatemala).

## Evaluation Purpose and Scope

This final evaluation was carried out during the period January-May 2020 in accordance with the UN Secretariat's rules and regulations on evaluation<sup>5</sup> that mandates an end of project evaluation for all DA projects at the time of its closure.

The evaluation has been conducted in line with the norms, standards and ethical principles of the United Nations Evaluation Group (UNEG)<sup>6</sup> as well as UNCTAD's Evaluation Policy. The information was triangulated at different levels (including sources and methods). To the extent possible, the evaluator ensured a cross-checking of all findings through each line of inquiry with one another (e.g. desk research, interviews, survey, beneficiaries, project managers, etc.) in order to credibly and comprehensively answer the evaluation questions.

The evaluator aimed at ensuring the right conditions for the participation of all beneficiaries indistinctively of their sex or ethnic group. In addition, an effort was dedicated to assessing the extent to which UNCTAD's activities and products respected and promoted human rights. This included a consideration of whether the intervention treated beneficiaries as equals, safeguarded and promoted the rights of marginalized groups, and helped to empower civil society.

The evaluation is retrospective and summative in nature and it considers both anticipated and unanticipated results. It looked at all project activities and, to the extent possible, at non-project activities. In particular, it sought to assess and analyze the:

- a) *Actual progress made towards project objectives;*
- b) *Extent to which the project has contributed to outcomes in the identified countries whether intended or unintended;*
- c) *Efficiency with which outputs were delivered;*
- d) *Strengths and weaknesses of project implementation on the basis of the available elements of the logical framework (objectives, results, etc.) contained in the project document;*
- e) *Validity of the strategy and partnership arrangements as well as the extent of gender and human rights mainstreaming;*
- f) *Extent to which the project was designed and implemented to facilitate the attainment of the goals;*
- g) *Relevance of the project's activities and outputs towards the needs of Member States, the needs of the region/sub-region and the mandates and programme of work of UNCTAD.*

Regarding temporal scope, the evaluation covered the period beginning with the project's initial design through the completion of its final activities, plus any results and impact generated in the period since completion. The target audience and principal users of the evaluation include DITC and other UNCTAD divisions as well as all

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<sup>5</sup> Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (ST/SGB/2016/6), UN, May 2016. Available at: <http://undocs.org/ST/SGB/2016/6>

<sup>6</sup> Standards for Evaluation, UNEG, April 2005: <http://www.unevaluation.org/document/detail/22>

Norms for Evaluation, UNEG, April 2005: <http://www.uneval.org/document/detail/21>

Ethical Guidelines for Evaluation, UNEG, March 2008: <http://www.unevaluation.org/document/detail/102>

implementing partners, DA Programme Manager (DESA) and other entities of the Executive Committee on Economic and Social Affairs. More indirectly, the evaluation results should be of interest to Member States and the public in general.

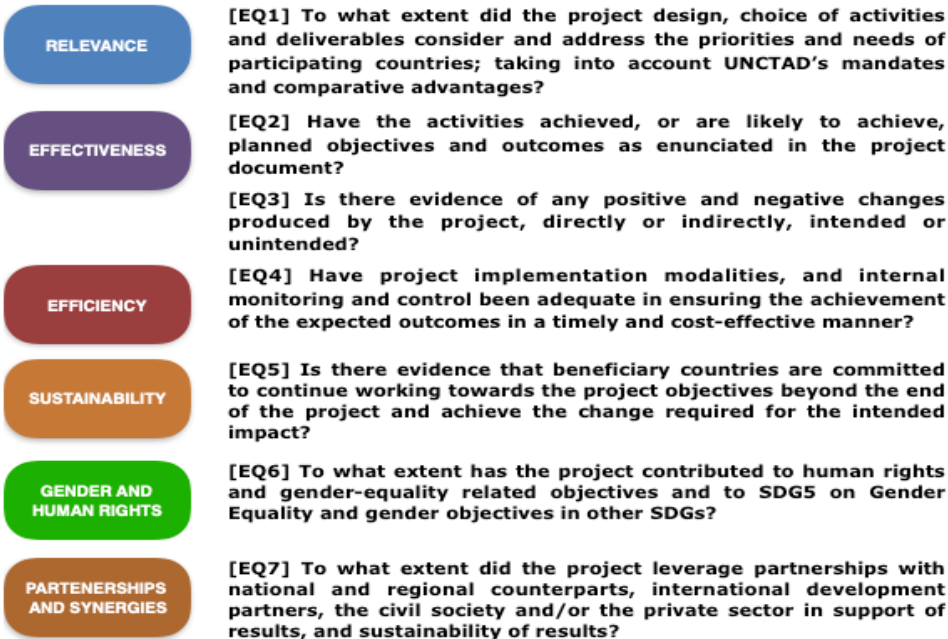
The evaluation has also examined the extent to which human rights and gender concerns were incorporated into the project – whether project design and implementation considered the different needs of men and women and as appropriate, ensured attention to the identified needs and priorities of women, whether women were treated as equal players, and whether it served to promote women’s empowerment.

**Evaluation Methodology**

The unit of analysis in this evaluation is the project itself – including both the design and implementation of planned activities as well as the results achieved. It was structured around six evaluation criteria: relevance, efficiency, effectiveness, sustainability, gender and human rights and partnerships and synergies (the impact of the project will only be addressed as a proxy for sustainability).

The analysis of each criteria will be guided by a set of seven evaluation questions (EQ) that intend to explain “the extent to which”, “why”, and “how” specific outcomes were attained.

Figure 1. Evaluation Questions



The methodology was summarized in an evaluation matrix that provided a suitable framework for analysis by outlining the criteria, questions, indicators, collection methods and sources (see Annex II). The robustness of the evaluation methodology was ensured by triangulating the information. The evaluation considered both anticipated and unanticipated key results and, the analysis of each criteria was guided by a set of evaluation questions that intended to explain “the extent to which”, “why”, and “how” specific outcomes were attained.

The evaluation was undertaken as a desk study and organized around three different phases:

### Inception

This phase started with the Document Review. The purpose during this phase was to get familiar with the project, context, main stakeholders (partners, beneficiaries, etc.) and results (intended and achieved). This entailed reviewing relevant documentation (see the full list in Annex III) and identifying key stakeholders. It was not possible to thoroughly analyze all the participants in the project activities as not all lists were available. During the kick-off meeting, the evaluator had the opportunity to discuss with the project manager and relevant UNCTAD staff.

This phase concluded with the elaboration of the Inception Report that described the overall evaluation approach, including an evaluation matrix and a detailed workplan. The evaluation matrix served as an overarching tool to guide the preparation of the data collection tools and efforts to implement them. It also presents how the evaluation criteria and key questions have been organized (e.g. in order to avoid repetition and lengthiness by using encapsulating questions).

### Data collection

To the extent possible, data were collected and analysed through a mixed method approach. On the basis of the evaluation matrix, several tools were developed to gather primary data, including specific interview guides and survey questionnaires (see Annex II). The evaluator has carried out 13 semi-structured interviews with project managers, implementing partners and beneficiaries (see the full list of interviewees in Annex IV).

In order to probe different hypothesis, information was also collected from a sample of project beneficiaries (i.e. participants in the events) through an electronic survey (in English and Spanish). It should be noted that partner institutions are differentiated for the particular role they played in the implementation, but they are also project beneficiaries. The table below summarises the number of stakeholders that were contacted and the different response rates.

Table 1. Contacted stakeholders and response rate

	<i>Implementing partners and/or project beneficiaries</i>	<i>UNCTAD</i>	<i>Total</i>
<u>Interviews:</u>			
# of stakeholders contacted	26	6	32
# of stakeholders interviewed	8	5	13
Response rate	31%	83%	41%
<u>Survey:</u>			
# of stakeholders contacted	191	-	191
# of survey responses	29	-	29
Response rate	15%	-	15%

The lists of participants were only available for eight workshops (fact-finding missions and national workshops in the three countries) with approximately 213 participants. The survey was sent to the 191 valid emails: in English to the participants in Malawi and Vanuatu (19 responses, 13 complete) and in Spanish to the participants in Guatemala (10 responses, 7 complete). Out of the 29 respondents, 34% participated in the events organized in Guatemala (10 responses), 34% in the ones in Malawi (10 responses) and 21% in Vanuatu (6 responses). Inexplicably, 7% replied that they did not participate in any of these events (2 responses).

Only 20 respondents answered all the questions, including project officers, consultants and programme coordinators (41%), senior managers (40%) and experts and researchers (20%). They were representatives of ministries and other government institution (44%), non-governmental organizations (32%), UN and intergovernmental organizations (20%) and private sector (4%).

### Analysis and reporting

The evaluator utilized the data collected to (i) make judgments on whether meanings and assertions from the different data sources were trustworthy and (ii) identify patterns in the data, be it consistencies or co-variations.<sup>7</sup> The evaluation has included a content analysis of findings from the document review to the furthest extent that they provide answers to the evaluation questions.

In addition, the interview responses were analyzed to tease out any details, gaps and uncertainties to questions that were not clarified by the documentary evidence. For those questions that were answered through the documents, these responses were cross-checked with the responses from interviewees for convergence. Finally, the evaluator reviewed the results of the survey to check (i) internal consistency between the different respondents and (ii) external consistency among the survey results and the findings from the other sources.

### Limitations

This end-of-project evaluation should be seen as a quick review through an expedited process. The available resources for DA evaluations (not specifically for this project but for all evaluations in general) were rather limited and therefore the assessment's depth and scope were also somewhat limited. The findings should therefore be taken with caution, in particular those related to the project's effects at the policy level. As discussed earlier, the impact of the project has only been slightly tackled by this evaluation.

The evaluation might contain biases of various kinds. In this regard, it should be noted that (i) the reformulation of hypotheses has been very limited; (ii) the limited number of actors consulted poses a risk of inconclusive findings and; (iii) the methodology did not foresee (intentionally) to investigate power relationships, possible conflicts and the boundaries of the system (this means that the evaluation did not seek to answer why some aspects were prioritized over others). These biases were mitigated by triangulating the information and presenting it as completely and objectively as possible.

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<sup>7</sup> An effect is attributed to the one of its possible causes with which, over time, it covaries (Kelley, 1973).

## II. EVALUATION FINDINGS

### Relevance

#### Relevance to the national and regional needs

Both project managers and beneficiaries considered that the problems addressed by the project are highly relevant in the regional as well as in the national contexts. All sources of information (documents, survey and interviews) confirmed that addressing the different problems associated with (i) market and institutional failures and (ii) trade restrictions and distortions were of crucial importance.

The majority of beneficiaries considered that the implemented activities were relevant for their work in terms of strengthening the complementary of trade and agricultural policies and identifying linkages with pro-growth macroeconomic policies. The project as well as its activities and products (seminars and publications) were well suited to address the different national and regional priorities, including some important bottlenecks identified during the design.

The Project Document identified the underlying problems and related objectives highlighting the need to support policies to facilitate small-scale farmers integration into global chains. The intervention rationale was that trade integration should not only foster economic growth but should also address socio-economic concerns such as poverty reduction, food security, gender equality and environmental sustainability. According to the project rationale, this was jeopardized by knowledge and capacity gaps (e.g. poor-quality data, limited analytical skills, etc.) to capture the social dimensions of agricultural trade or the environmental costs of farming systems.

The project responded to the identified bottlenecks by providing support to the governments of three countries (Guatemala, Malawi and Vanuatu) to design and implement complementary trade and agricultural policies to address constraints stemming from market and institutional failures (i.e. insufficient support services; chain governance structures and allocation of value along the chain; and market failures with regard to externalities and public goods generated by agriculture) and from trade restrictions and distortions (i.e. tariff and non-tariff barriers; and subsidies and other competition-distorting instruments). Supply-side constraints on smallholder productivity were also expected to be addressed, particularly in Vanuatu through a pilot scheme.

In general, stakeholders confirmed that the project was aligned with the national and regional priorities. This was confirmed by both the interviews and the survey data. In particular, over 79% of the respondents to the survey (19 out of 24 answers) considered that the seminars were relevant or very relevant to their country context. Only three respondents thought that they were little or not relevant at all (12%) and two did not have sufficient information to respond. The beneficiaries appreciated the possibility to “share experiences across a good cross section of countries” or to “discuss around the very critical issue of trade deficit (e.g. Malawi). In the same line, almost 62% also considered relevant or very relevant the publications and studies (13 out of 22 respondents). Only three respondents thought that they were not slightly or not relevant (14%). Nevertheless, almost 24% did not have sufficient information to respond (5 responses).

All interviews identified the need to develop sound and complementary agricultural and trade policies (tackling chain imbalances, internalizing externalities, designing pro-poor trade liberalization policies, and addressing major

trade barriers to peasant exports), the project aimed at increasing the income of small-scale farmers through their sustainable and socially inclusive integration into domestic, regional and global supply chains (including female farmers) as well as enhancing food security at the household and country levels. It was therefore broadly agreed that by addressing these issues, the project was contributing to enlarge the space to apply pro-growth macroeconomic policies. This development context was fully in line with the assumptions that informed the design of the project.

The thorough analysis was well organized and addressed the majority and most crucial issues to explain the agriculture-trade policy nexus. In this sense, all beneficiaries confirmed during the interviews that the project was pertinent from both a technical and a political point of view. Although all the assumed causal relationships seemed plausible, the credibility of the hypothesis could have been strengthened by (i) including references to relevant documents, research, policies, statistics, etc.;<sup>8</sup> (ii) developing problem and objective trees; and (iii) providing details on the analysis process (i.e. who was involved or what methodology was used).

In this sense, the project’s logic lacked some depth as a consequence of addressing many diverse and complex issues. It could have been more thoroughly justified by increasing the focus of the analysis at the level of expected results (e.g. concrete stakeholder gaps to develop complimentary trade and agricultural policies).

**Relevance to UNCTAD’s mandate**

The project was built upon UNCTAD's experience in trade analysis, trade negotiations, competition policy, trade and gender, and the interface between trade, environment, sustainability and development.

It aimed at contributing to UNCTAD’s mandate by coordinating actions towards strengthening capacity of developing countries to design and implement mutually supportive trade, environment, climate change, sustainable development and creative economy objectives in development strategies at all levels.

The trade and agriculture policy nexus is at the core of the 2030 Development Agenda and, in this sense, the project indirectly contributed to the Sustainable Development Goals.

UNCTAD is the focal point of the United Nations for the integrated treatment of trade and development and interrelated issues in the areas of finance, technology, investment and sustainable development. The project was built upon UNCTAD's considerable experience in trade analysis, trade negotiations, competition policy, trade and gender, and the interface between trade, environment, sustainability and development. UNCTAD is therefore well positioned to provide support to developing and least developed countries in enhancing coherence between trade, agriculture and other national policies owing to its long-standing expertise on trade issues, including through data collection and analysis, and on the impact of trade policy on the well-being of different segments of the population. UNCTAD’s participation is also particularly interesting to facilitate close cooperation with other international organizations, to avoid duplication and maximize synergies, complementarity and efficiency.

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<sup>8</sup> Some data and statements did not seem sufficiently supported by evidence, such as the percentage of global emissions leading to climate change attributed to agricultural activities or the hit suffered by “sensitive items” (dairy products, livestock, sugar and some cereals) as a consequence of prohibitively high tariffs (European Union’s most-favoured-nation tariffs applied on agricultural products).

The project was fully aligned with the scope of UNCTAD’s biennial programme plan and priorities for the period 2016-2017, in particular with sub-programme 3 (International Trade). Sub-programme 3 aims to ensure the effective, qualitative and beneficial participation of all countries in international trade in order to build more inclusive and sustainable development outcomes. In connection with this objective, UNCTAD aimed to achieve increased understanding of trade policymaking and enhanced national capacity of developing countries. In particular, it aimed at strengthening capacity of developing countries to design and implement mutually supportive trade, environment, climate change, sustainable development and creative economy objectives in development strategies at all levels. Some participants noted that if UNCTAD had not been hosting this process, the issues would not have been easily discussed in their countries.

The trade and agriculture policy nexus is complex and involves issues that stand at the core of the 2030 Development Agenda. For the ultimate objective of inclusive and sustainable development, it is critically important to seize interface issues between trade, rural livelihood, and food security, overcome coordination challenges in trade and agriculture, and strengthen policy coherence. In this sense, the project was indirectly linked with the Sustainable Development Goals (#1: Eradicating extreme poverty and hunger; #2: End hunger, achieve food security and improved nutrition, and promote sustainable agriculture; #5: Achieve gender equality and empower all women and girls; #10: Reduce inequality within and among countries; #15: Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss; and #17: Strengthen the means of implementation and revitalize the global partnership for sustainable development).

**Effectiveness**

Target groups

Broad country specificities were analyzed during the design of the project but the roles that the different stakeholders needed to play in solving the problem could have been better addressed in order to better inform implementation.

The project did not clearly distinguish between different levels of capacity development needs (individual, organizational and enabling environment). Moreover, the information on the participation in the events (i.e. direct beneficiaries) was not fully retrievable.

The original idea was to target five countries, but it was finally reduced to three (see the Project Document) in order to allow a deeper assessment and more focused support. The geographic scope was expanded from two to three regions (one country per region). The Project Document thoroughly analyzed the main constraints and opportunities in Guatemala, Malawi and Vanuatu.

Ministries of trade, of agriculture, national statistics offices, as well as other ministries and bodies concerned with planning and development were identified as the main stakeholders and their capacities were assessed to some extent during the design. Other stakeholders included: small and subsistence-oriented farmers (including female farmers and indigenous groups, and their associations), local research institutions and NGOs, commercial farms/estates, other off-takers (agro-processing firms, export traders, retailers, food reserve agencies, etc.) and consumers. Nevertheless, the roles that different stakeholders needed to play in solving the problem could have been more thoroughly analyzed.

The main (direct) beneficiaries were the participants in the different workshops and the other activities organized by the project, including for example fact finding missions and side events (see figure 2). There were lists of participants available for seven workshops (approximately 177 participants and 31 persons that were met bilaterally): one workshop in Guatemala with 17 participants, three workshops in Malawi with 68 participants, and three workshops in Vanuatu with 92 participants.

In line with the main stakeholders identified at design, these included (i) officials from relevant government institutions involved in building economic statistics and formulating industrial, trade and social policies such as National Statistics Offices, Central Banks, Ministries of Economy, Ministries of Trade and Trade Promotion Organizations and Ministries of Social Development (approx. 42%), and (ii) representatives from the business community such as Chambers of Commerce and National Trade Bodies (approx. 22%). Nevertheless, a broad spectrum of stakeholders participated in the activities, including representatives from non-profit organizations and academia and research institutions (approx. 18%); and (iii) intergovernmental and non-governmental organizations (approx. 17%). The table below illustrates the main beneficiary groups that participated in the events.

Table 2. Contacted stakeholders<sup>9</sup>

	Government and public sector	Private sector and media	Non-profit and research	International Organizations	TOTAL
<b>GUATEMALA<sup>10</sup></b>	<b>6</b>	<b>2</b>	<b>4</b>	<b>5</b>	<b>17</b>
Fact-finding (11/18)	6	2	4	5	17
<b>MALAWI</b>	<b>24</b>	<b>8</b>	<b>18</b>	<b>18</b>	<b>68</b>
Fact-finding (5/18)	6	1	5	7	19
Fact-finding (1/19)	2	-	2	4	8
Validation workshop (11/19)	16	7	11	7	41
<b>VANUATU</b>	<b>45</b>	<b>29</b>	<b>10</b>	<b>8</b>	<b>92</b>
Fact-finding (2/17)	23	9	5	2	39
Validation workshop (11/17)	13	14	5	3	35
Validation workshop (11/17)	9	6	-	3	18
<b>TOTAL</b>	<b>75</b>	<b>39</b>	<b>32</b>	<b>31</b>	<b>177</b>

Over 54% of the respondents to the survey thought that the participation in the workshops was satisfactory in terms of attendants (13 out of 24 responses). Only four thought that it was not satisfactory (less than 17%) and seven did not have sufficient information (29%). Similarly, the majority considered that the workshops were conducted in a participatory and inclusive manner. Over 58% thought that all stakeholder groups actively participated in the discussion (14 responses); five thought that they did not (21%) and five did not have sufficient

<sup>9</sup> The figures do not include UNCTAD staff and project consultants that appear in the lists of participants.

<sup>10</sup> The list of participants was not available for the validation workshop in Guatemala.



information (21%). 50% considered that all views were equally considered (12 responses); six thought that they did not (25%) and six did not have sufficient information (25%).

Almost 67% (16 out of 24 responses) considered that the participants were strategically chosen as agents of change with capacity to influence policies, decisions and institutional culture. Only three thought that they were not (12%) and 5 did not have sufficient information (21%). Some of the weaknesses highlighted by the interviewees was the lack of a sufficiently broad representation at geographical (e.g. it was mentioned that there should have been more participants from Vanuatu's outer islands), institutional (e.g. it was mentioned that there could have been more representatives research services), or hierarchical level (e.g. it was mentioned that very few higher-level decisionmakers attended the events). The Final Report highlighted for example that "the rather short notice made it difficult to secure participation of higher-level officials from non-trade Ministries for the 2019 Malawi workshop particularly from the Ministry of Agriculture."

#### Project strategy

Although important cause-effect assumptions and potential risks were made explicit during its design, the project is not underpinned by a comprehensive theory of change to demonstrate that the results were realistic, transparent and accountable.

The project mostly focussed on enhancing the knowledge of individuals and, to some extent, overlooked the other important dimensions of capacity development, namely the organizational level and the enabling environment.

In addition to the already mentioned stakeholder and problem analysis, the Project Document also contained a description of the project strategy, including a logical framework. Nevertheless, it was descriptive and rather succinct with no explicit verification of the hierarchy and causality of the objective and expected accomplishments. Although the project could be considered small in scope and budget, the importance of a robust theory of change and/or logical framework should not be understated. In particular, a robust logical framework is essential for demonstrating what is to be achieved, facilitating monitoring and sharing information. Thus, contributing to ensure that the results are realistic, transparent and accountable.

Although important cause-effect assumptions and potential risks were made explicit, the project design would have benefited from a more thorough description of its logic, e.g. explicit theory of change. Although a single project cannot address all possible problems, a systemic approach to the problems would have allowed to investigate possible unintended effects (either positive or negative); power relationships; and possible conflicts at the boundaries of the system. For example, the design did not sufficiently consider the possible effects in the project of the lack of resources, institutional weaknesses, staff turnover, channels for inter-institutional and regional dialogue, etc. Similarly, the demand-side and market restrictions were not thoroughly addressed by the logic of the project. The supply-side constraints on smallholder productivity were expected to be addressed to a certain extent, particularly in Vanuatu through a pilot scheme.

In particular, at least three dimensions of capacity development should have been addressed by a more robust theory of change, namely individuals, organizations and the enabling environment. These three dimensions are interlinked and are parts of a broader whole. The project only addressed the enhancement of knowledge of individuals, although the output of individuals greatly relies on the quality of the organizations in which they work.

Furthermore, the effectiveness of organizations and networks of organizations is influenced by the enabling environment, and vice versa (organizations and the relationships between them influence the environment).

Although the project offered a platform to start a dialogue among institutions (see below), it would have been beneficial to more formally align with the existing institutional frameworks in order to maximize the effects at organizational level (e.g. by engaging with the institutions mandated to strengthen inter-institutional dialogue such as SEGEPLAN<sup>11</sup> in Guatemala).

Improved understanding

There was mixed evidence in terms of the project contribution to better understand the complementarities between agriculture and trade policy in order to achieve sustainable development objectives (EA1). While the majority of participants reported an increased understanding, the contribution towards strengthening institutional knowledge is less evident.

Nevertheless, the project might have contributed to identify areas of consensus by bringing a global perspective to what could otherwise have remained as discrete “institutional understandings”. Furthermore, it probably contributed to explore potential complementarities by bringing together both agriculture and trade experts and policymakers.

The project aimed at improving the understanding (governments and other relevant stakeholders) of the complementarities between agriculture and trade policy in order to achieve sustainable development objectives (EA1). There is evidence that the project contributed to increase knowledge and understanding at individual level by gathering and presenting new and original information. According to the Final Report (after meeting surveys), the majority of the participants reported that they were more aware of the interface between, trade, rural livelihood and food security. Similarly, 62% of the respondents to the survey confirmed that both the publication and the workshops contributed to increase their understanding of the complementarities between agriculture and trade policy in order to achieve sustainable development objectives (13 out of 21 responses). Only one disagreed and seven did not have sufficient information.

There is also evidence of the project’s contribution at institutional level. 75% of the respondents to the survey (18 out of 24) thought that the workshops had contributed to significant institutional changes (or will do it in the future). Only three thought that it did not and three did not have sufficient information. The majority considered that the activities and information will contribute to or influence policy making, initiatives, actions plans, strategy plans, etc. Nevertheless, very few stakeholders were able to provide concrete results at this level. In this sense, it should be mentioned that the project contributed to identify areas of consensus by bringing a global perspective to what could otherwise have remained as discrete “institutional understandings”. Furthermore, it probably contributed to explore potential complementarities by bringing together both agriculture and trade experts and policymakers.

Although it was broadly agreed that it was too early to draw any conclusions, 65% of the respondents (13 out of 20) thought that the project and UNCTAD’s assistance contributed or will contribute to raise awareness about the need and the main difficulties to develop sound and complementary agricultural and trade policies. Only two thought it did not and five did not have sufficient information. Nevertheless, most interviewees highlighted that the objectives at this level could have been more clearly defined (it was sometimes seen as an interesting but

<sup>11</sup> Secretaría de Planificación y Programación de la Presidencia: <http://www.segeplan.gob.gt>

rather theoretical exercise). It was broadly agreed that much more is needed to actually generate and influence public policies.

#### Enhanced capacity

With some limitations, the project contributed to enhance the capacities among senior officials of relevant ministries to design and implement complementary and coherent trade and agricultural policies in the three countries (EA2).

Nevertheless, only slightly more than half of stakeholders thought that institutional capacity was equally increased. A significant number thought that neither the workshops nor the publications had made a significant contribution to enhance agricultural and trade policies. In particular, less than 31% had used the publications in their daily work.

The second EA of the project aimed at enhancing capacity of relevant ministries or departments in beneficiary countries to design and implement complementary and coherent trade and agricultural policies (EA2). In this sense, the Final Report highlighted that the attendants to the validation workshop reported increased capacities. The survey results seemed to confirm this appreciation to a certain extent with over 62% of the respondents (15 out of 24) confirming that the workshops contributed to enhance their capacity to design and implement complementary and coherent trade and agricultural policies. Nevertheless, almost 21% thought that it did not (5 respondents) and 17% did not have sufficient information (4 respondents). 52% of respondents confirmed that the publications and studies contributed to improve their capacity (11 out of 21 respondents) while almost 10% disagreed (2 respondents) and 38% did not have sufficient information (8 respondents).

Capacity development has traditionally been associated with knowledge transfer and training of individuals, yet it is a complex, non-linear and long-term change process in which no single factor (e.g. information, education and training, technical assistance, policy advice, etc.) can by itself be an explanation for the development of capacity.<sup>12</sup> It contributes to addressing specific needs of countries and regions across the three interlinked dimensions (individual, organizational, and enabling environment).<sup>13</sup> The dimension of enabling environment relates to political commitment and vision; policy, legal and economic frameworks; national public sector budget allocations and processes; governance and power structures; incentives and social norms. The organizational dimension relates to public and private organizations, civil society organizations, and networks of organizations. The individual dimension relates to the people involved in terms of knowledge, skill levels (technical and managerial) and attitudes.

The targeted countries are quite heterogeneous and the differences could have been more thoroughly acknowledged during the design of the project (e.g. precarious institutions, lack of autonomy, personnel turnover, missing mechanisms of policy influence such as intermediary institutions that carry research to policy, implementation challenges, lack of research-to-action machinery, etc.) This would have allowed to assess to what

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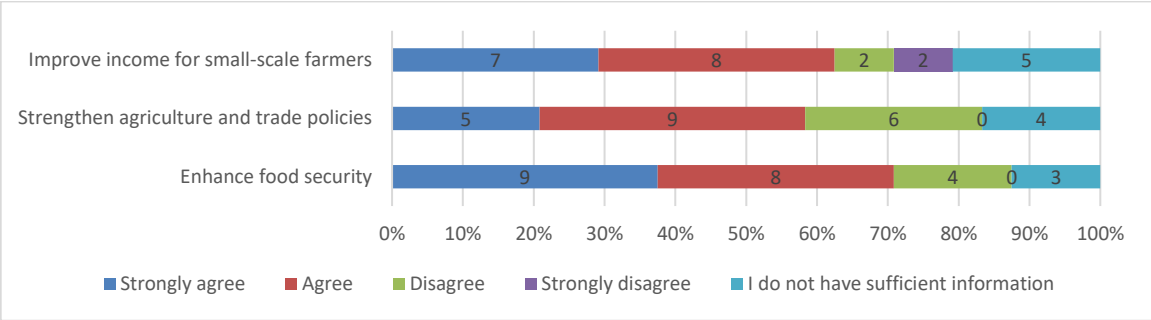
<sup>12</sup> Capacity is defined as “the ability of people, organizations and society as a whole to manage their affairs successfully” (OECD, 2006), while capacity development is understood as “the process whereby people, organizations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time.” (OECD 2006, 2008).

<sup>13</sup> As recognized by the DA, three dimensions should be considered for capacity development: individual, organizational and inter-organizational and enabling environment.

extent there were reasonably stable and predictable institutional arrangements for reaching governmental decisions and carrying them out and UNCTAD’s research constituted one of the many influences for policymakers.

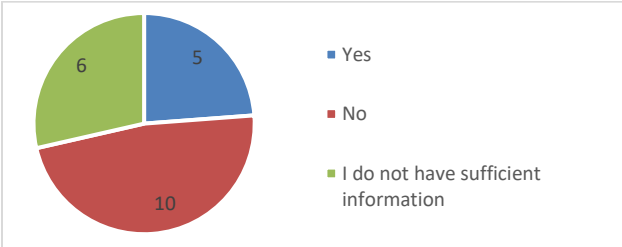
In this framework, 58% of the respondents to the survey thought that the workshops contributed (or will contribute) to strengthen the institutional capacities to better integrate agriculture and trade policies in terms of soundness and complementarity; 25% thought that they will not. Surprisingly, a bigger percentage considered that there was a contribution to enhance the institutional capacities to improve income for small-scale farmers and food security. These results are difficult to explain as, according to the logic of the project, both improved income and enhanced food security were to be achieved through sound and complementary agriculture and trade policies.

Figure 2. Please indicate to what extent you agree or disagree with the following statement: the workshops contributed to improve the capacity of my institution to...



Over 46% had never used the publications or studies in their daily work (10 out of 21 respondents), in general, due to the fact that they did not know about them. Less than 31% declared having used them (5 respondents) and only 52% appreciated their potential to support institutions to enhance agricultural and trade policies as well as to increase food security and small-scale farmers income (11 respondents). Almost 10% did not see any potential (2 respondents) and 38% did not have sufficient information (8 respondents).

Figure 3. Have you or your institution used any of these publications in your daily work?



**Efficiency**

**Organizational arrangements and resource management**

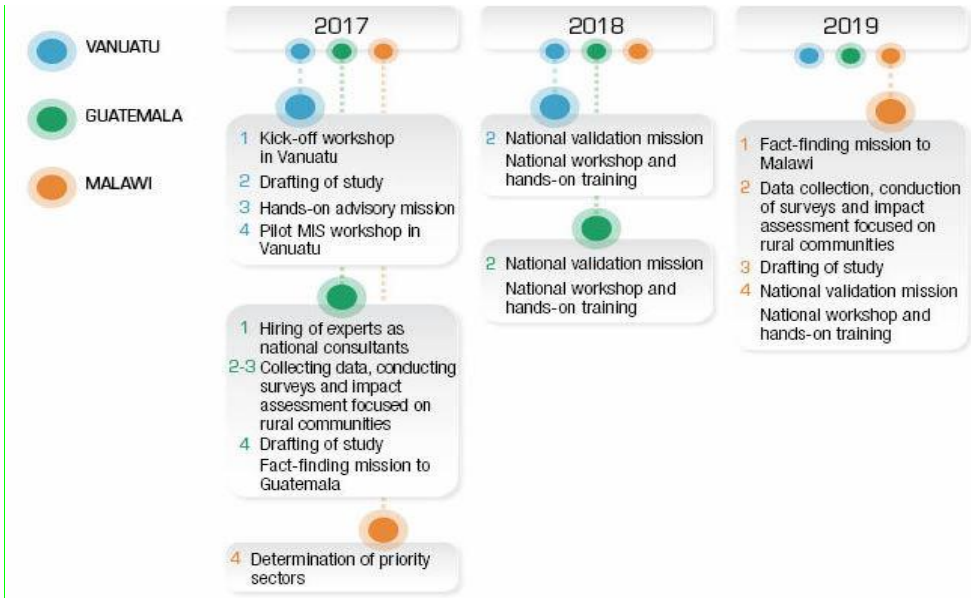
There existed an efficient division of tasks within UNCTAD and different measures were implemented to ensure a good collaboration with the different counterparts. In general, both project managers and beneficiaries think that the project responded to the difficulties and changing needs.

There was no extension of the implementation period of the project, leading to the cancellation of important activities such as the inter-regional workshop and a pilot test proposed by the MIS feasibility study for Vanuatu, which impacted on the ability of the project to achieve the improved capacities targeted under Expected Accomplishment 2.

The logical framework was useful at the project proposal stage and to support UNCTAD and DA Office oversight and management. It was nevertheless less useful to inform project implementation as it did not include indicators that comprehensively capture the project’s performance.

The Project Document described to some extent the mechanisms through which the activities were to be delivered (theory of action). The implementation was identical in all countries (except for the pilot in Vanuatu). The figure below shows the activity flow.

Figure 4. Project’s activity flow



After the signature of the allotment advice, there was a slow start of project implementation in 2016 due to a number of challenges. The main difficulties then, but some which also prevailed during the project cycle included slow process to recruit national consultant with the required technical skills (e.g. Vanuatu), difficult engagement with ministries of trade and agriculture due to unresponsive national focal points (e.g. Malawi) or their departure (e.g. Guatemala), complicated political landscape as a result of general elections (e.g. Malawi and Guatemala).

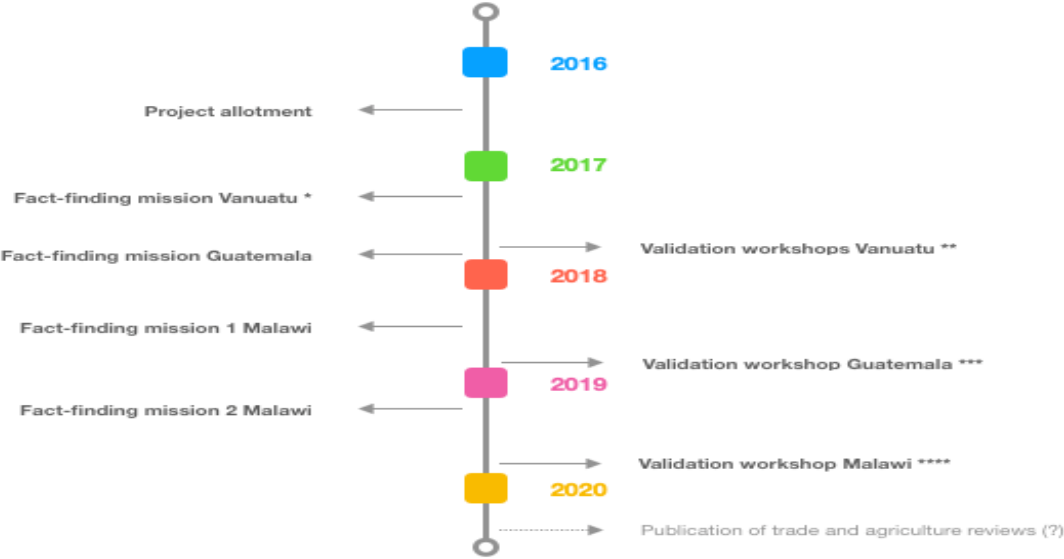
Despite the difficulties due to external factors (out of the control of the project), it seems that the project was able to respond to the changing needs of the beneficiaries and the management structures contributed to

effective implementation. According to the available information, the project delivered both analytical and capacity development products, including:

- National trade and agriculture reviews – in-depth thematic reports or technical backgrounders, including validation (activities A1.2 to A1.8).
- Validation workshops, including hands-on training (activities A1.8, A2.1 and A2.2).

An extension at no-extra budgetary cost was requested in September 2019 and not approved.<sup>14</sup> As a result, the final inter-regional workshop was not completed as originally planned. Furthermore, a pilot test proposed by the MIS feasibility study for Vanuatu couldn't be implemented to achieve the main objectives embodied in the project document under A2.4.

Figure 5. Project's timeline



\* National Stakeholder Workshop from the coconut, cocoa and sandalwood sectors in Port Vila, Vanuatu (15 Feb 2017)

\*\* It involved two different workshops:  
 - Workshop on Sustainability Standards and Market Transparency for Coconuts and Cocoa in Port Vila, Vanuatu (06-07 Nov 2017)  
 - Workshop on Sustainability Standards and Market Transparency for Coconuts and Cocoa in Espiritu Santo, Vanuatu (10 Nov 2017)

\*\*\* Taller Nacional: Aprovechando el comercio agrícola para el desarrollo rural sostenible y la seguridad alimentaria in Guatemala City, Guatemala (Nov 2018)

\*\*\*\* National Workshop: harnessing agricultural trade for sustainable development and food security in Lilongwe, Malawi (21-22 Nov 2019)

The interviews indicate that there existed an efficient division of tasks within UNCTAD, including synergies with the work of different branches. Respondents observed that the division of tasks was complementary, and the activities coordination was efficient. Nevertheless, the project struggled to cover the required administrative

<sup>14</sup> A project extension is granted by the Development Account Office only on an exceptional basis. In the case of 10th tranche of the Development Account, UNCTAD submitted extension requests for four projects. However, the DA Office indicated that they could only grant extensions for two projects. After the review of extension requests, the DA Office did not approve the extension request of this project. The decision of the DA Office also took into account the view and suggestion of the implementing Division, which had submitted extension requests for three projects. Despite the existing mechanisms and efforts within UNCTAD, the Project Officer noted in the Final Project Report that direct channels to communicate with the DA office would have allowed for a better understanding and justification of implementation constraints.

support with the allocated percentage. Even though for DA projects, a maximum of 5% of the budget can be allocated to General Temporary Assistance (GTA) or other staff costs, the initial budget for GTA increased from 5% of the total allotment (USD 35,000) to 13% of the total expenditure (USD 74,960). The budget was stretched by offering a number of short-term and part-time contracts. This suggests a need for UNCTAD to better consider its implementation capacity and ensure sufficient staff are assigned to support each project. The implementation rate of the project was 87% at the end of the project cycle. Table 3 presents the financial status of the project.

Table 3. Budget status of project

Object Class	Description	A. Budget/Allotment (as per project document) (USD)	B. Revisions to allotments (if any) (USD)	C. Explanations of revisions to allotments (USD)	D. Total Expenditure (USD)
015	Other staff costs - General temporary assistance	\$ 80'000.00			\$ 74'959.60
105	Consultants and experts	\$ 372'209.95			\$ 319'274.41
115	Travel of staff	\$ 70'269.83			\$ 54'579.71
120	Contractual services	\$ 100'790.05			\$ 97'893.06
125	General operating expenses	\$ 2'382.00			\$ 1'513.60
130	Supplies and materials	0			0
135	Furniture and equipment	\$ 5'000.00			\$ 4'200.14
145	Workshops/Study tours (Grants and contributions)	\$ 15'348.17			\$ 10'027.15
	<b>Total</b>	<b>\$ 646'000.00</b>			<b>\$ 562'447.67</b>

In general, there was a good collaboration between UNCTAD and the different counterparts at national level. Effective mechanisms were put in place (e.g. focal points) and the project team continuously adapted to ensure a good communication through the focal points, alternative entry points at national institutions, Permanent Missions in Geneva or missions to the countries when necessary.

The logical framework was useful at the project proposal stage and to support UNCTAD and DA Office oversight and management. It was nevertheless less useful to inform project implementation as it did not include indicators that comprehensively capture the project's performance. According to a report prepared for DESA's Quadrennial Comprehensive Policy Review (2012), results-based management (RBM) is a broader management strategy and it is not synonymous with performance monitoring and evaluation. RBM is conceptualized as a results chain of inputs-activities-outputs-outcomes-impact. The assumption is that actions taken at one level will lead to a result at the next level, and in this sense, the results chain stipulates the sequence of actions taken to achieve a particular

result.<sup>15</sup> Therefore, results-based management requires to define and measure at the level of outcomes (particularly challenging for development interventions such as advocacy, capacity development and advisory services).

The logframe for this project included a set of five indicators of achievement to track progress towards the EAs (short-term); no specific indicators were included at the level of the overall objective (long-term) as this was not required by the DA template. Most of these indicators lacked baselines and were neither specific nor easy to measure. For example, the integration of the findings/recommendations from the project in the design or implementation of sectoral policies and initiatives (IA 2.2) was expected to be verified through Governmental reports. This level of detail was not sufficient to allow a thorough measurement as the indicator failed to recognize the complexity of influencing policy (more a process than a product, see also the impact section).

The evaluator observes that steps have been taken to address such gaps. Although not specifically mentioned in the DA Project Document template,<sup>16</sup> the current guidelines call for the indicators to be strengthened by ensuring that all of them include clear targets. The involved entities are expected to include benchmarks for all indicators and ensure that there is a baseline for measurement or assessment of change quantitatively and/or qualitatively.

#### Activity/Output realization

The project was implemented as planned except for two important activities, namely piloting a market information system in Vanuatu and the final inter-regional workshop. Some of the modifications were made to better respond to the beneficiaries' needs. Nevertheless, important activities were not implemented due to lack of time.

The majority of beneficiaries thought that the seminars were implemented in an efficient manner and that UNCTAD's support was satisfactory, including in the formulation of the publications and studies.

Most stakeholders highlighted the high quality of the different activities and outputs (including workshops and publications).

As mentioned above, the planned activities were modified in part to better respond to the identified needs. In particular, designing and piloting an information and marketing scheme for integrating small agricultural producers and micro entrepreneurs in value chains in a sustainable manner in Vanuatu proved unrealistic (activity A2.4). In response to evolving needs and demands of the government, the project undertook a feasibility study on the scope, design and costs of setting up of a Market and Information System (MIS) repository.

As mentioned above, the pilot test proposed by the feasibility study could not be implemented. Furthermore, the end-of-project inter-regional workshop was also cancelled as a result of the delayed completion of Malawi deliverables (due to the difficulties in coordination and communication with government officials mostly

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<sup>15</sup> Results-Based Management in the United Nations Development System: Progress and Challenges – A report prepared for the United Nations Department of Economic and Social Affairs, for the Quadrennial Comprehensive Policy Review (July 2012). Available at: [http://www.un.org/esa/coordination/pdf/rbm\\_report\\_10\\_july.pdf](http://www.un.org/esa/coordination/pdf/rbm_report_10_july.pdf)

<sup>16</sup> <http://www.un.org/esa/devaccount/projects/guidelines.html>



attributed to the volatile political situation)<sup>17</sup>. See the table below for further details on the implemented activities.

Table 4. Activities implemented

<b>EA1 Improved understanding by Governments and other relevant stakeholders in beneficiary countries of the complementarities between agriculture and trade policy in order to achieve sustainable development</b>
<b>A.1.1</b> Project preparation activities, including fact-finding missions
<b>A.1.2</b> Country-specific surveys and impact assessments focusing on rural communities
<b>A1.3</b> Mapping liberalization commitments and trade impact assessments validated by the Ministries involved
<b>A1.4</b> Mapping tariff and non-tariff barriers in major export markets for key export crops
<b>A1.5</b> Assessment of internal and external marketing structures, supply-chain governance structures, value-addition along the chain, and possible instance of ‘buyer power’
<b>A1.6</b> Assessment of the environmental impact of small-scale and subsistence systems versus intensive highly commercialized large-scale systems
<b>A1.7</b> Trade and agricultural reviews validated by the Ministries concerned <sup>18</sup>
<b>A1.8</b> Three national validation workshops
<b>EA2 Enhanced capacities of relevant ministries or departments in beneficiary countries to design and implement complementary and coherent trade and agricultural policies.</b>
<b>A2.1</b> One-day sessions on the design and implementation of complementary trade and agricultural policies supportive of rural livelihood and food security
<b>A2.2</b> Training to national stakeholders through hands-on advisory missions and focused expert group meetings
<b>A2.3</b> Cancelled (end-of-project inter-regional workshop)
<b>A2.4</b> Revised. feasibility study on Market Integration System

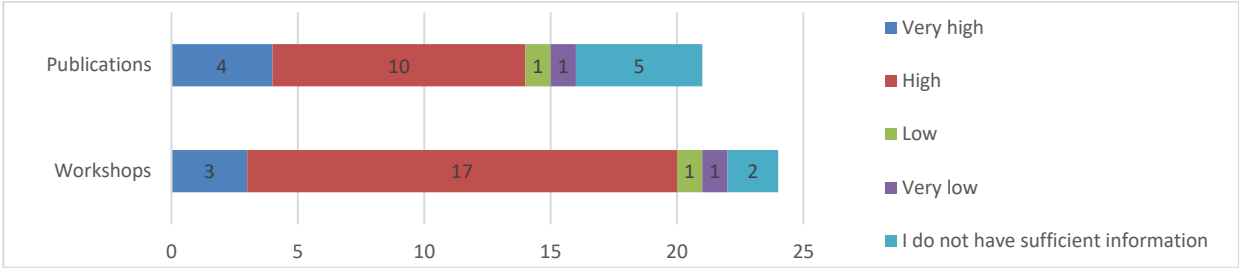
The majority of interviewees considered that the seminars were implemented in an efficient manner. Their quality was rated as high or very high by over 83% of the beneficiaries (20 out of 24 responses), including “good and insightful presentations”, “good organization and programme”, etc. Two respondents thought that it was low or very low and two did not have sufficient information. In the same line, over 67% thought that the quality of the publications and studies was high or very high (14 out of 21 responses). Two respondents thought that it was low or very low and five did not have sufficient information. Most consultants and beneficiaries reported to be very satisfied with UNCTAD’s support in the elaboration of the publications and studies. Nevertheless, many beneficiaries considered that they had not been sufficiently distributed and they remain broadly unknown among key stakeholders (see also the sustainability section).

<sup>17</sup> See the 2019 progress report.

<sup>18</sup> The three trade and agricultural reviews are available at: <https://unctad.org/en/Pages/DITC/DA-Project-16171.aspx>

- “Harnessing Agricultural Trade for Sustainable Development: the case of Vanuatu’s cocoa and coconut sectors”
- “Harnessing Agricultural Trade for Sustainable Development: the case of Guatemala’s potato, cocoa and cardamom sectors”
- “Harnessing Agricultural Trade for Sustainable Development: the case of Malawi’s groundnut, sunflower and soybean sectors”

Figure 6. How would you rate the quality of the activities? (Source: Elaborated by the evaluator)



**Sustainability**

**Enabling environment**

It was too early to draw any conclusions about the project’s sustainability, but it was confirmed that the implemented activities contributed to generate interest and some steps forward were being considered in response to the policy recommendations in the three countries.

The project is not expected to achieve “concrete development impacts” at country level. Nevertheless, the project contributed to some mentality changes that in turn could trigger other long-term processes, thus making a contribution at a rather global level. The majority of stakeholders thought that the project could contribute to strengthening (sound and complementary) agricultural and trade policies (55%) as well as to enhance food security and improve small-scale farmers income (60%).

Despite the project’s efforts, it was considered that to contribute towards strengthening appropriation by beneficiaries and increasing political support, the work done needed broader dissemination, including the publications.

Although it was too early to draw conclusions on sustainability of a just finished project, most stakeholders thought that the activities contributed to long-term processes. As already mentioned, the project contributed to some extent to enhance awareness, skills, and capacity of participants as well as to providing them with more diverse approaches and instruments. According to many beneficiaries, the greatest accomplishment of the various activities was the exchange of ideas that it allowed. Bringing together different perspectives and gathering decision makers at different levels were also mentioned as important accomplishments.

Despite the fact that many activities and products had a country focus, the original project idea is assessed to likely make contributions at a global level. In this sense, it was expected to achieve limited “concrete development impacts” at country level. However, the capacities of beneficiaries increased to a certain extent and the awareness about the importance of complementary trade and agricultural policies was also increased. All this could contribute towards changes in the stakeholders’ point of view and better understanding between institutions. In particular, 65% of the respondents to the survey (13 out of 20) thought that UNCTAD’s assistance contributed or will contribute to raise awareness about the need and the main difficulties to develop sound and complementary agricultural and trade policies. Only two disagree and five did not have sufficient information.

According to the Final Project Report, the three countries acknowledged project outcomes and endorsed the recommendations of the trade and agricultural reviews in the validation workshops. Nevertheless, there is some evidence of official endorsement and validation of the policy recommendations of the trade and agricultural reviews by the three countries (e.g. letter from MoITT of Malawi). Nevertheless, at the time of the evaluation, there was little evidence of formal commitments budget allocations to implement the plan, etc.

On the other hand, several beneficiaries confirmed during the interviews that some recommendations were included into the national work agendas (e.g. Vanuatu's National Trade Development Committee; Malawi's Ministry of Industry, Trade and Tourism; Guatemala's Ministry of Economy and the National Programme on Competitiveness). Although they were not able to provide concrete details, it was mentioned that the action plans proposed by the project complemented other related programmes on trade and agriculture policies in Malawi (such as the National Export Strategy II and National Agriculture Investment Plan). In Vanuatu, the feasibility study on a market information system had led to follow-up preparatory work on implementation (including procurement of hardware being launched by the Government of Vanuatu).

**Success story** (from the Final Report)

One of the key policy recommendations in the National Review study for Vanuatu was the need to enhance market transparency with small farmers being provided access to current information on prices, quantities, marketing costs, quality standards and other market conditions at different locations or different points along the marketing chain. This would enable small farmers to access new and expanded markets and reap the benefits of agricultural diversification and commercialization including in the cocoa and coconut sectors. Sponsored by UNCTAD, Vanuatu's Department of Industry has set up a shared database system to store and disseminate commercial information. This includes a Trade Directory or a national registry of importers, exporters, and other main stakeholders as part of Vanuatu's Market Information System (MIS). The MIS is aimed at providing users including smallholder farmers and rural poor, with market information so as to meet the growing entry requirements of international markets. It consists of two main components: (i.e. directory and repository).

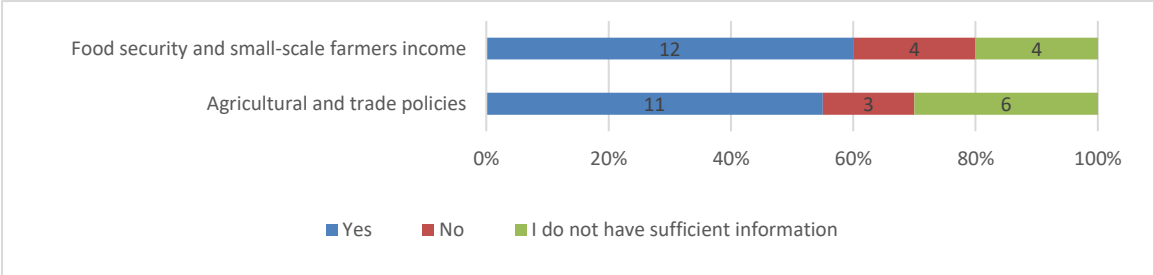
However, rather than any kind of endorsement, this demonstrates the relevance of the action plans that derived from the national plans and strategies. In this sense, UNCTAD had been approached "to see how to best adapt the results emanating from the studies and bring about concrete policy actions". Nevertheless, potential turnover of government officials could undermine their timely implementation.

Not surprisingly, achieving long-term impact was identified by several stakeholders as the greatest challenge with respect to the various activities implemented. One beneficiary mentioned that the greatest challenge was "to keep track of the actions toward achieving the agreements set during the events and nudge authorities to keep working toward the established goals." In this sense, influencing policy is more a process than a product, a number of activities and relationships interacting with each other. Influencing policy is not a linear process, policy decisions over time generally display a complicated pattern of advances and reversals tied together in feedback loops of decision, implementation, second thoughts, and course corrections. Moreover, policy influence is understood as a means to an end and not an end in itself. Policy making is often considered as a set of processes, that includes (i) the setting of an agenda, (ii) the specification of alternatives from which a choice is to be made, (iii) an authoritative choice among those specified alternatives and (iv) the implementation of a decision.

Nevertheless, the majority of stakeholders thought that the project’s results could contribute to or influence policy making. In particular, 75% of the respondents to the survey thought that the information conveyed at the workshops had the potential to contribute to or influence policy making, initiatives, actions plans, strategy plans, etc. (18 out of 24 responses). Only three disagreed and three did not have sufficient information. Similarly, 67% thought that the publications could also influence policies (14 out 21 responses). Only two disagree and five did not have sufficient information.

In particular, the majority of respondents considered that the project and UNCTAD’s assistance contributed or will contribute to strengthening (sound and complementary) agricultural and trade policies (55%) as well as to enhance food security and improve income for small-scale farmers (60%). As mentioned earlier, these figures should be taken with caution as there might exist a positive bias. It was not possible, either at the interviews or the survey, to obtain concrete examples of these possible impacts.

Figure 7. Do you think that the project (UNCTAD’s assistance) contributed or will contribute to strengthening...?



The interviews confirmed that the activities led to some collaborations (more informal than formal and more at the level of individuals than institutions). Nevertheless, the cancellation of the inter-regional workshop did not allow to exploit the expected synergies as a result of addressing the need of different countries, regions and products. It was a missed opportunity for policy makers to share their experiences as well as to disseminate the project results and products. In this sense, the publications had not been properly distributed at the time of the evaluation and many stakeholders were not even aware of their existence. Looking ahead, relevant UNCTAD intergovernmental meetings or other events could be opportunities for the project team to disseminate the project outcomes and publications.

**Multiplier effects and replication**

The project’s findings have informed and will continue to inform UNCTAD’s work, but synergies were not envisaged at a broader level.

The project’s findings informed and will continue to inform UNCTAD’s work and policy advice through its regular work. There is no doubt that the analytical findings and insights from the project will feed back into DITC analytical work, strengthening synergies between analytical work and technical assistance. On the other hand, according to the Final Project Report, many agricultural sectors face common challenges and by addressing these (e.g. climate change, unsupportive regulatory frameworks, certification, standards, market barriers in developed countries,

etc.) in one narrow product-specific sector, could have a spillover effect to other sectors, not only within countries but regional and globally. Nevertheless, this would need further dissemination efforts and additional support.

Reinforcing this idea, 40% of the respondents to the survey thought that follow-up activities to increase the soundness and complementarity of agriculture and trade policies were not being implemented, planned or discussed by their governments and institutions (8 out of 20 respondents). Only 25% thought that they were (5 respondents) but they did not provide any details; 35% did not have sufficient information. In this sense, a major challenge identified by the beneficiaries with respect to the various activities implemented was how to “influence policymaking” and “ensure that what is disseminated and learned at the workshop gets translated into policies and action at the national and regional levels”.

It was also considered that “champion” focal points or leaders could animate and serve as counterparts in another country or sector so as to replicate the experiences given sufficient funding, coordination and political support. Nevertheless, it seemed unlikely that this happens without further support. The Final Project Report correctly mentioned that partnerships with other development institutions and programmes (e.g. FAO, Economic Commissions, UNDP, UN Women, EU, etc.) were key in this effort but no concrete measures were envisaged.<sup>19</sup>

Furthermore, the final inter-regional workshop was aimed to raise awareness on the need for complementary trade and rural development policies and to build capacity in their design, beyond the limited scope of the three target countries. The cancellation of this experience sharing event was definitely a missed opportunity to disseminate the publications and project results as well as further analyze the nexus across different contexts in order to generate insights that could be relevant to different sets of countries. In this sense, the project did not maximize the choice of three very different countries in terms of geography, socio-cultural settings, and economic structures. The three countries remained as isolated case studies and the regional and inter-regional dimensions were lost.

**Gender and human rights**

Gender and human rights

A significant number of stakeholders declared that the project contributed to improve their knowledge about integrating gender equality and human rights in agriculture and trade policies.

The project made an effort to incorporate a gender perspective into its design. There were also efforts during implementation that did not prevent women to be in general under-represented. Challenges specific to women were addressed including new opportunities for women as well as gender-related risks and constraints. The project delivered a “toolbox” that included some gender-specific conclusions and policy recommendations at country level (in two out of three countries).

On the other hand, the project was implemented with a clearer human rights perspective by contributing to integrate considerations of social inclusiveness and sustainability into agricultural trade policy, so as to harness trade for inclusive and sustainable development in rural areas, improving small-scale farmers income and food security through sound and complementary agriculture and trade policies. Less clear is to what extent the project considered and addressed the specific challenges faced by marginalized groups as well as the point of view of civil society.

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<sup>19</sup> The EU Delegation in Vanuatu had been briefed about the project and, apparently, synergies were being sought. In addition, the UN agencies with presence in the other countries had also been briefed.

According to the Project Document, the project was shared with all DITC's branches and sections to ensure a broad coverage of all the aspects involved, including cross-cutting issues such as gender. There was therefore an effort to address gender issues in the design of the project as reflected for example in the problem analysis section of the Project Document that identified some constraints specifically faced by women in terms of their limited or restricted access to production factors (e.g. women typically work as unpaid family workers on the household land, women's time and mobility limitations, limited access to credit, gender stereotypes, disadvantaged in accessing institutional and policy support, etc.) Nevertheless, gender was only considered in the identification of broad/general problems (at global level) and not in the country level problem analysis (not even mentioned for any of the three countries).

Similarly, small and subsistence-oriented farmers (including female farmers and indigenous groups and their associations) were key project stakeholders according to the Project Document. Nevertheless, gender issues were somehow superficially addressed in the stakeholder analysis and capacity assessment. Women were only mentioned under the other off-takers category but basically acknowledging their existence rather than thoroughly analyzing their specific capacity assets or constraints.

On the other hand, there was an effort to partly mainstream gender into the logical framework and (some) activities. The intervention rationale was underpinned by the belief that trade integration should not only foster economic growth but also address socioeconomic concerns such as poverty reduction, food security, gender equality and environmental sustainability. The Project Document stated that gender issues, indigenous people's issues, and other social inclusiveness dimensions would cut across the country reviews. Although the country-specific surveys and analysis captured gender-based patterns and constraints in agricultural trade and rural development to a rather limited extent (partly due to existing constraints such as limited or inexistent information disaggregated by gender or difficulties to obtain it), the toolbox and proposed methodologies to gauge the income and consumption effects on rural households of staple food liberalization include a certain degree of gender differentiation.

In this sense, the three country studies included specific sections on gender aspects related to sustainability outcomes and gender-informed, pro-poor assessments. They identified, in different degrees, new opportunities for women as well as gender-related risks and constraints such as:

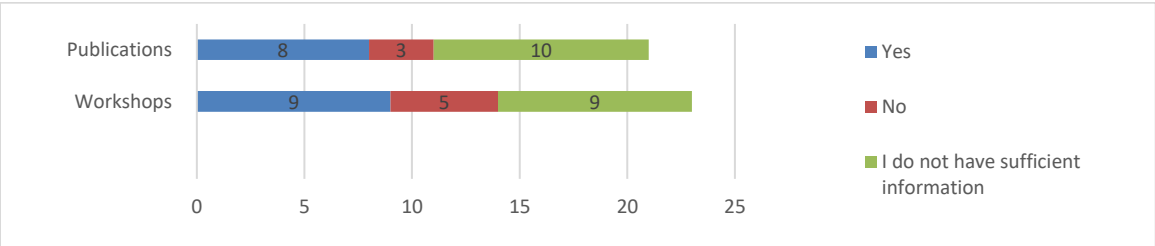
- Guatemala: gender-blind agricultural policies can widen the gender gap (by enlarging the area for cultivating cash crops women can lose their decision-making power in the case of the commercialization of subsistence products); etc.
- Malawi: addressing access to inputs for women; enabling greater gender sensitivity in technology choices and integration into processing and sales activities; and supporting women cross-border traders; etc.
- Vanuatu: gender implications of functional and product upgrading in cocoa and coconut; significant opportunities for women of downstream value/addition; upgrading trajectories can also magnify existing gender disparities (e.g. by favoring commercially-oriented, better-educated farmers having easier access to quality planting material and marketing networks); time and mobility constraints arising from the double burden of productive work and unpaid care work; etc.

In general, these are also reflected in (some of) the conclusions and policy recommendations (except in Vanuatu):

- Guatemala: highlight the present and potential role of women; creating farmers’ groups and associations can help address the gender gap through female education and access to resources as well as the development of their entrepreneurial skills; etc.
- Malawi: enable access to credit policies and introduce agro-processing and mechanization technologies that specifically empower women smallholder farmers (e.g. providing incentives such as the reduction of customs duties and taxes on imported processing technologies particularly those beneficial to women); ensure a greater role for women farmers in processing and sales (so they receive their due share in sales proceeds, including from overseas markets ); gathering inputs from relevant stakeholders to inform the ongoing revision of Malawi’s National Export Policy ensuring that women and smallholder farmers are well represented; etc.

Almost 40% of the respondents to the survey considered that the workshops and the publications adequately addressed the specific challenges faced by women while less than 20% thought that they did not. Although not fully confirmed during the interviews (e.g. many stakeholders considered that it was not relevant), a significant number of stakeholders declared that the project contributed to improve their knowledge about integrating gender equality and human rights in agriculture and trade policies (in the range of 40-60% of the respondents to the survey).

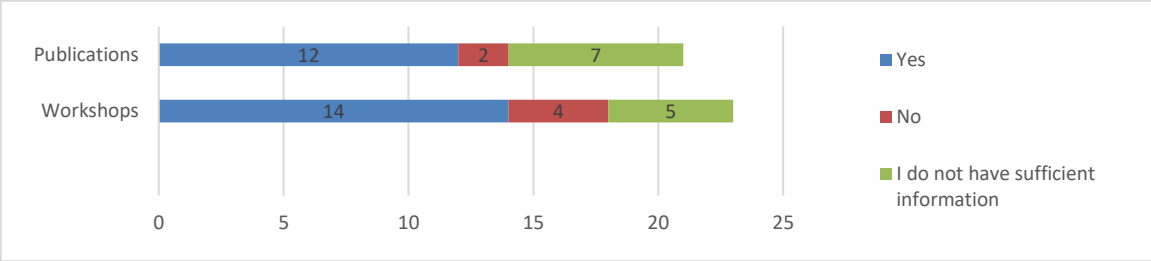
Figure 8. Do you consider that the activities adequately addressed the challenges faced by women?



Despite the efforts to ensure equal participation (already mentioned in the Project Document) and the difficulties to obtain an exact quantification, women were in general less represented than men at the events (in the range 25-35%).

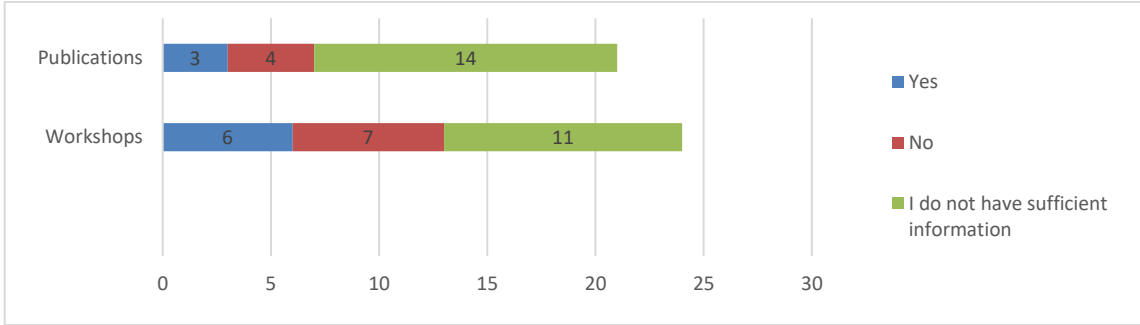
As mentioned above, the project delivered a “toolbox” (methods, processes, policy recommendations, etc.) to integrate considerations of social inclusiveness and sustainability into agricultural trade policy, so as to harness trade for inclusive and sustainable development in rural areas. In this sense, both the interviews and the survey confirmed that the project had a clearer human rights perspective by contributing to improve small-scale farmers income and food security through sound and complementary agriculture and trade policies. Approximately 60% of the respondents to the survey confirmed that the both the workshops and the publications adequately addressed the challenges faced by small-scale farmers. 10-15% thought that they did not.

Figure 9. Do you consider that the activities adequately addressed the challenges faced by small-scale farmers?



Less clear is to what extent the project considered and addressed the specific challenges faced by marginalized groups. The Guatemala study included some consideration of the challenges faced by some of the indigenous populations in the country. Nonetheless, respondents thought that the challenges faced by marginalized groups were neither addressed at the workshops (30%) nor by the publications (20%). Similarly, less than 24% considered that the point of view of civil society was sufficiently reflected and addressed in the publications (5 out of 21 responses). Over 19% thought that it was not (4 responses) and over 57% did not know (12 responses).

Figure 10. Do you consider that the activities adequately addressed the challenges faced by ethnic groups?



**Partnerships and synergies**

**Partnerships and synergies**

The project mobilized and leveraged expertise from within UNCTAD that was in general seen as the right institution to support governments in developing complementary agriculture and trade policies.

Nevertheless, the expected broad collaboration with other institutions was rather limited. In particular, the existing mechanisms were not sufficient to ensure or promote thorough cooperation with FAO and the Regional Commissions (e.g. identification of synergies).<sup>20</sup>

<sup>20</sup> It is noted that, for new projects, the DA team shares the concept notes among 10 implementing entities to allow for the identification of potential synergies and partnerships.



The project mobilized expertise from within UNCTAD, straddling across branches, sections and units. It leveraged UNCTAD's expertise and comparative advantage in trade analysis, trade negotiations, competition policy and the interface between trade, environment, sustainability and development. In this sense, 60% of the respondents to the survey thought that UNCTAD was the right institution to support governments in developing complementary agriculture and trade policies (12 out of 20 responses). Only two thought it was not and six did not have sufficient information.

The Final Project Report mentioned numerous implementing partners (i.e. UN system, UNDP, FAO, UN Women, WFP, Asociación de Exportadores de Guatemala, Kawkaw National Association and Federación Nacional de la Papa). Nevertheless, no specific details about these collaborations were provided. Most of them seemed limited to the participation in the events. Most of these institutions even declined the invitation to participate in the evaluation as they were not aware of the project. According to the Final Project Report, UNCTAD had held consultations with Vanuatu counterparts to explore further donor support so as to ensure continuity and operationalize the MIS and benefit from synergies with the European Union funded programme on value chains.

In particular, the project was expected to be implemented in close coordination with FAO and the UN Regional Commissions to maximize synergies and avoid costly duplication of efforts. Nevertheless, the collaboration with FAO was mostly limited to the Geneva Liaison Office and not the national offices. Some staff of the UN Regional Commissions participated in the workshops, but it did not result in a broad policy uptake of the project deliverables.

In this sense, FAO implemented a similar project during the same period to contribute to greater coherence between agriculture and trade-related policies and programmes in Eastern and Southern Africa. Although this project aimed at promoting improved coordination between agriculture and trade policymakers and other relevant stakeholders, synergies were not explored. Similarly, ECLAC implemented a very complementary project during the same period. This project aimed at strengthening the capacity of seven selected countries in Central and South America to design and monitor trade and industrial policies (Guatemala was among these countries). Among other things, the project aimed at improving the capacity of national policy makers to design and monitor national trade and industrial policies. UNCTAD and ECLAC projects were not aware of each other which was particularly worrying as both were financed by the 10<sup>th</sup> tranche of the DA. As mentioned above, the Final Project Report claimed for more effective channels to exchange with the DA office.

### III. CONCLUSIONS

In line with UNCTAD's mandate, the project responded to the need to support policies to facilitate small-scale farmers integration into global chains by addressing the different problems associated with (i) market and institutional failures and (ii) trade restrictions and distortions. The intervention rationale was that trade integration should not only foster economic growth but should also address socio-economic concerns such as poverty reduction, food security, gender equality and environmental sustainability.

The project provided support to enhance the knowledge and develop the capacity of the governments of Guatemala, Malawi and Vanuatu to design and implement complementary trade and agricultural policies. The problems addressed by the project were highly relevant in the different regions as well as in the national contexts and important cause-effect assumptions and potential risks were made explicit. Nevertheless, the project was not underpinned by a comprehensive theory of change to demonstrate that the results were realistic, transparent and accountable. Therefore, the logical framework was useful at the project proposal stage and to support UNCTAD and DA Office oversight and management. It was nevertheless less useful to inform project implementation as it did not include indicators that comprehensively capture the project's performance.

The theory of change could have for example addressed the possible effects of the lack of resources, institutional weaknesses, staff turnover, etc. The demand-side and market restrictions were not thoroughly addressed (e.g. by identifying and promoting complementarities with other interventions). The supply-side constraints on smallholder productivity were expected to be addressed to a certain extent, particularly through piloting a market information system in Vanuatu that was finally cancelled. Channels for inter-institutional and regional dialogue were not sufficiently explored and the end-of-project inter-regional workshop was cancelled. The project indirectly contributed to the 2030 Development Agenda. Nevertheless, there was not a thorough analysis of the contribution to the SDGs.

As a result, the activities were seen as ad-hoc efforts, the project's internal coherence was jeopardized, and its effects were limited at regional and global level. Nevertheless, the majority of beneficiaries considered that the implemented activities and products were relevant for their work and well suited to address the priorities at national level. Both UNCTAD and the beneficiaries reckoned that they would not have been able to implement these activities and hold similar discussions without DA's support.

The majority of beneficiaries thought that the activities were implemented in an efficient manner and that UNCTAD's support was satisfactory, including the elaboration of high-quality publications and studies that nevertheless remained broadly unknown. The project was built upon UNCTAD's experience and, despite some challenges (limited resources), there existed an efficient division of tasks. It allowed to mobilize and leverage expertise from within UNCTAD that was seen as the right institution to support governments in developing complementary agriculture and trade policies.

In general, there was also a good collaboration between UNCTAD and the different counterparts at national level. Nevertheless, there were particular challenges due to staff turnover (e.g. focal points) and limited participation of high-level government officials in the workshops. Despite existing mechanisms and efforts, the expected broad

collaboration with other institutions was rather limited, including with UN agencies such as FAO and the Regional Commissions.

In this framework, the project contributed to identify areas of consensus by bringing a broader perspective to what could otherwise have remained as discrete “institutional understandings”. It also contributed to explore potential complementarities by bringing together both agriculture and trade experts and policymakers. Nevertheless, there was mixed evidence in terms of the project contribution to better understand the complementarities between agriculture and trade policy in order to achieve sustainable development objectives (EA1). While the majority of participants reported an increased understanding, the contribution towards strengthening institutional knowledge was less evident.

With some limitations, the project also contributed to enhance the capacity of senior officials of relevant ministries to design and implement complementary and coherent trade and agricultural policies in the three countries (EA2). Nevertheless, only slightly more than half of the stakeholders thought that institutional capacity was equally increased. A significant number thought that neither the workshops nor the publications had made a significant contribution to enhance agricultural and trade policies. In particular, less than one third had used the publications in their daily work.

This demonstrates that the project mostly focussed on enhancing knowledge at individual level and, to some extent, overlooked the other important dimensions of capacity development, namely the organizational level and the enabling environment.

The project is thus likely to achieve limited “concrete development impacts” at country level. Rather, the project is assessed to likely make a contribution at a rather global level and has contributed to some mentality changes that in turn could trigger other long-term processes. The majority of stakeholders thought that the project could contribute to strengthening (sound and complementary) agricultural and trade policies (55%) as well as to enhance food security and improve small-scale farmers income (60%).

It is too early to draw any conclusions about the project’s sustainability. Although it was confirmed that the implemented activities contributed to generate interest and some steps forward were being considered in response to the policy recommendations in the three countries, there was no evidence of formal commitment and high-level support to the action plans and project’s recommendations. Despite the project’s efforts, it was also considered that the work done, including the publications, needed broader dissemination in order to increase political support and strengthen beneficiaries’ appropriation.

The project was implemented with a clear human rights perspective by indirectly contributing to improve small-scale farmers’ income and food security through sound and complementary agriculture and trade policies. Less clear was to what extent the project had considered and addressed the specific challenges faced by marginalized groups as well as the point of view of civil society. Although women were generally under-represented in the workshops, the project made an effort to incorporate a gender perspective (by identifying new opportunities for women as well as gender-related risks and constraints). A significant number of stakeholders valued the gender-specific conclusions and policy recommendations declared that the project contributed to improve their knowledge about integrating gender equality and human rights in agriculture and trade policies.

## IV. RECOMMENDATIONS

All projects should be underpinned by a theory of change that investigates causal relationships as comprehensively as possible, including those not directly addressed by the project. For example, it is important that both supply and demand constraints are considered as well as the three dimensions of capacity development (individual, organizational and enabling environment).

This should be accompanied by a thorough stakeholder analysis, including assessing and promoting partnerships to effectively and fully address the identified problems (identifying the roles that different stakeholders need to play in solving them). This would also help to identify contribution to the SDGs.

In order to enhance its results-based management culture and learning focus, UNCTAD could consider regularly assessing project evaluability, implementing results-oriented monitoring and/or mid-term evaluations and organizing structured learning events. In particular, more attention should be paid to getting the opinion from seminar participants and collecting information from beneficiaries.

It is crucial that the project's findings continue to inform UNCTAD's work by identifying synergies with ongoing work (including other DA funded projects). This could include a meta-analysis of the three case studies to unearth cross-country results and lessons that could be presented in regional or global events organized by UNCTAD or other stakeholders.

Similarly, DESA should maximize the impact and efficiency gains of the DA portfolio by putting in place effective coordination mechanisms aiming to identify complementarities among projects and promote synergies at all levels (country, region, institution, sector, etc.) This would in turn allow to open effective channels of communication to better respond to implementation challenges. It is noted that there has already been a step forward in this direction as currently for new projects, the DA team shares the concept notes among 10 implementing entities to allow for the identification of potential synergies and partnerships.

All projects should ensure that gender-related issues are mainstreamed in their logic and activities by undertaking a comprehensive gender analysis at project outset and including targeted activities if necessary. The different effects in women and men should be thoroughly analysed, including not only direct but also indirect ones. Furthermore, UNCTAD should continue to encourage specific analysis at country level to identify gender-based patterns and constraints in agricultural trade and rural development. This would allow to expand the policy recommendations and make them more gender-specific to gauge the income and consumption effects on rural households of staple food liberalization.

An "exit strategy" should be envisaged at project outset in order to maximize the project's sustainability, including targeted activities such as wrap-up sessions to tie-in all the themes addressed during the seminars and to possibly agree on specific commitments for the future. This should include inter-institutional participation and commitment to track implementation and results (e.g. through a reduced core group of stakeholders and empowering sectoral "champions").

In this sense, UNCTAD should ensure that the publications are disseminated among key stakeholders. This should be accompanied by targeted discussions with high-level representatives in the line ministries to increase their ownership and commitment to adopt the project's recommendations and implement the action plans. In order to

strengthen institutionalization, UNCTAD could consider developing short info-notes or concrete implementation toolkits.

Focal points are crucial in this effort, but other “champions” in the line ministries should also be identified. Furthermore, UNCTAD should actively pursue support to the action plans from UN offices in the field (e.g. FAO and Regional Economic Commissions) and other stakeholders (e.g. EU).

Taking into account UNCTAD’s capacities, all projects should realistically estimate the allotment to cover the technical and administrative support required by DA projects, including monitoring and collecting information from beneficiaries, allocating enough time for local teams and consultants, ensuring close coordination with other international organization (specially UN agencies with presence in the implementation countries), etc. In addition to the project officer, it seems necessary that at least one additional UNCTAD staff provides assistance during project implementation.

## V. LESSONS LEARNED

UNCTAD is an excellence-driven organization with a strong record and reputation in all regions. Its involvement brought about significant efficiency gains by catalyzing dialogue, facilitating access to cutting-edge knowledge and attracting additional contributions into the projects (in-kind or others). Nevertheless, the project missed an excellent opportunity to promote multilateral dialogue, knowledge sharing and networking at regional and global level by cancelling the foreseen inter-regional workshop. Furthermore, the cancellation of the pilot test (Vanuatu) diminished the project's concrete developmental effects.

The role of the DA as a vehicle for member countries to tap into the normative and analytical expertise of the UN Secretariat was evident throughout the project. By offering distinctive knowledge and skills that are rarely dealt with by other development partners, the DA is well placed to play a game changer role in terms of promoting exchange of knowledge and transferring skills among countries. Nevertheless, the project emphasis was on building national supply-side capacities. It would have been beneficial to link this project with other projects aimed at facilitating the dialogue between exporting and importing countries and addressing the effects of market barriers in product value addition and diversification. In this sense, the existing coordination mechanisms at DA level could be more proactive in ensuring or promoting cooperation and explore synergies among similar and complementary projects.

The project underestimated the administrative support needed, including managing the turnaround of short-term consultants. As a result, the project officer spent more time than anticipated managing and implementing the project oftentimes conducting support activities and asking informally other staff to assist. The recruitment of national consultants was also laborious and slower than expected due to the difficulties to find recruitable experts with the required expertise.

The project ensured good coordination with Permanent Missions in Geneva as entry points to the national institutions. In addition, putting up focal points in each country proved to be an effective coordination mechanism. Nevertheless, building support through some focal points proved to be a challenge due to high turnover and low commitment. Country missions were useful to move activities forward, but the project was less successful at formally engaging national institutions (e.g. trade and agriculture ministries). In this sense, ensuring long term commitment to the action plans but even ensuring high-level government representation from various ministries in the workshops proved to be particularly difficult.

# ANNEX I. TERMS OF REFERENCE OF THE EVALUATION

## I. Introduction and Purpose

1. This document outlines the Terms of Reference (TOR) for the final independent project evaluation for the United Nations Development Account (UNDA) funded project titled “Trade and agricultural policies to support small-scale farmers and enhance food security”.
2. The evaluation will provide accountability to UNCTAD management, the Capacity Development Office/Development Account of DESA, project stakeholders, as well as UNCTAD's member States with whom the final evaluation report will be shared.
3. The evaluation will provide assessments that are credible and useful, and also include practical and constructive recommendations. In particular, the evaluation will systematically and objectively assess project design, project management, implementation and overall project performance. On the basis of these assessments, the evaluation will formulate recommendations to project stakeholders, in particular to UNCTAD and/or the Capacity Development Office/Development Account of DESA with a view towards optimizing results of future projects, including on operational and administrative aspects.

## I.Context of the evaluation

4. Trade and agricultural policies often operate in silos, with limited sectoral coordination. Yet, the trade and agriculture policy nexus is complex and entangled. It involves issues that stand at the core of the 2030 Development Agenda and raises systemic questions as to the different development pathways ahead. For the ultimate objective of inclusive and sustainable development, it is critically important to seize interface issues between trade, rural livelihood, and food security, overcome coordination challenges in trade and agriculture, and strengthen policy coherence.
5. Agriculture critically stands at the centre of the 2030 Development Agenda, intertwining poverty concerns, sustainability imperatives and gender issues. Poverty is disproportionately concentrated in rural areas, where 78 percent of the extreme poor, living on less than \$1.25 a day, live. Agriculture also stands at the core of pressing sustainability issues. Challenges ahead include climate change, loss of biological diversity, loss of soil fertility, and water scarcity, in the face of demographic pressure and resource scarcity. Agriculture is part of the problem, as about 30 percent of global emissions leading to climate change are attributed to agricultural activities, including deforestation. Yet, agriculture can also be harnessed to forge a sustainable way forward, if redirected to serve its social, economic and ecological functions in a sustainable way. Finally, agricultural activities are socially embedded in local socio-cultural contexts. In particular, they are bound to socially-defined gender structures.
6. Small and subsistence-oriented farmers constitute the backbone of agriculture in developing countries. In low- and middle-income countries, almost 75 percent of farms are smaller than one hectare (FAO, 2015). Small farmers contribute strategically to food security, accounting for about 80 per cent of the food consumed in Asia and sub-Saharan Africa. Further, they play an essential role in the in-situ preservation of biodiversity. Though they are very diverse, ranging from commercially oriented to subsistence, most are poor, trapped in a cycle of hunger, poverty and low productivity. This is reflected in

poverty and nutrition statistics. In the poorest countries, the poverty headcount ratio in rural areas is often 2-3 times that in urban areas (UNCTAD, 2015); and hunger and undernourishment is disproportionate in rural areas. Breaking this cycle requires actions in complementary domains. In particular, complementary trade and agriculture policies are needed to integrate small agricultural producers in supply chains in a sustainable manner.

7. The trade integration process has brought many benefits to rural constituencies and poor consumers. It has created opportunities for peasant producers in expanding segments, and improved availability and access to cheap food. However, the benefits and opportunities of trade integration in agriculture have not always been inclusive and have not always translated into sustainable economic, social and environmental well-being. In fact, trade has strong redistributive effects, both across economic sectors and among individuals. In agriculture, it can create opportunities for small-scale farmers, including women, but can also disrupt markets in which they operate. In a number of contexts, for example, small farms are being pressed out of their traditional staple food markets in urban, peri urban and coastal areas by cheaper food imports. The implications in terms of food security are complex and somewhat double-edged. Cheap food imports will likely hit domestic farmers, to the extent of their surplus, marketable production; benefit net consumers, with disproportionate effects on the poor; and have mixed impacts on agricultural labourers.

8. In more general terms, the opening to international markets requires adaptation. International trade in agriculture is typically associated with the trend toward commercialization, which involves increasing the share of agricultural produce that is sold by farmers. It often implies intensive farming and specialization, with monoculture cash crops. Yet, it may also involve agricultural diversification among smallholders, with the shift in farming from low-value staple crops to higher-value commodities, such as horticultural products. These patterns tend to favour commercially-oriented farmers who have easier access to inputs and marketing networks, with a tendency to crowd out poor, risk-averse small scale producers, including marginal female farmers. However, if properly managed, agricultural commercialization and diversification may bring benefits to small and subsistence-oriented farmers, including female farmers and vulnerable groups. For this to occur, support policies are needed to profitably integrate these stakeholders into global chains.

9. The aim of this project is therefore to provide support to Governments in three developing and least developed countries to develop sound and complementary agricultural and trade policies with a view to improving income for small-size farmers, including female farmers, through their sustainable and socially inclusive integration into domestic, regional and global supply chains, and with the aim of enhancing food security at the household and country levels. The intervention rationale is that trade integration should not only foster economic growth but should also address socioeconomic concerns such as poverty reduction, food security, gender equality and environmental sustainability. The close linkage between trade, rural livelihood and food security is to become a defining feature of agricultural trade policies, if trade is to have an impact on the Sustainable Development Goals (SDGs).

## **II. Subject of the evaluation**

10. This project aims to strengthen national capacities to design and implement complementary trade and agricultural policies supportive of small scale and subsistence-oriented farmers, including female farmers and vulnerable groups, and supportive of local food security. Its objective is twofold: 1) generate knowledge and build awareness and understanding of stakeholders on the social effects of trade-led structural transformation in agriculture; and 2) increase capacities of policy-makers and other stakeholders to integrate this knowledge and tools in trade policy planning and implementation, to harness trade for inclusive and sustainable development in rural areas. The intervention rationale is that trade integration should not only foster economic growth but should also address socioeconomic



concerns such as poverty reduction, food security, gender equality and environmental sustainability. This will contribute to achieve economic, environmental and social objectives in a balanced and integrative manner, by making trade policy integral part of National Sustainable Development Strategies (NSDS).

11. To attain these objectives, the project revolves around two sets of activities: knowledge generation, through data collection and processing, and policy-relevant analysis; and capacity building activities, through validation /policy uptake workshops, hands-on training in each country, an end-of-project inter-regional workshop in Geneva. In one country, it involves piloting specific policy options and models for integrating small agricultural producers in supply chains in a sustainable manner. Through these sets of activities, the project aims to deliver high-quality micro-level data and evidence-based analysis of the effects of trade-led structural transformation in agriculture on different rural constituencies. The project also delivers a toolbox of methods, processes and policies to integrate social inclusiveness and sustainability concerns into agricultural trade policy.

12. The project targets three developing countries with high socio-economic vulnerabilities in agriculture: Guatemala, Vanuatu and Malawi. Key stakeholders include policy-makers and officers from the ministries of trade and agriculture, small and subsistence-oriented farmers, including female farmers and vulnerable groups, and local research institutions. The project is implemented in close coordination with the FAO and the UN Regional Commissions.

13. The expected accomplishments of the project are as follows:

- a. EA1: Improved understanding by Governments and other relevant stakeholders in beneficiary countries of the complementarities between agriculture and trade policy in order to achieve sustainable development objectives; and
- b. EA2: Enhanced capacities of relevant ministries or departments in beneficiary countries to design and implement complementary and coherent trade and agricultural policies.

14. The main activities include:

- **A 1.1** - Project preparation activities: a) institutionalize collaboration links with partner international organizations, with a view to establish synergies and scale up results; b) establish project teams involving UNCTAD staff and staff from the national counterparts (focal points); c) set up shared e-platforms to link actors and as conduits for knowledge flows and management and arrange tele/video-conferences to touch base with the national counterparts and prepare the project kick-off meetings; d) conduct field missions in the selected countries to collect relevant data and information on national agricultural and trade policies and to strengthen collaboration links with national stakeholders and partner international organizations.
- **A 1.2** - Conducting country-specific surveys and impact assessments focusing on rural communities. The surveys will be undertaken to seize patterns of structural transformation in agriculture (agricultural commercialization and diversification among smallholders), and measure trade-offs and complementarities between different farming systems (subsistence, semi-commercial and commercial). The income assessment will try to gauge the income and consumption effects (pro-poor or anti-poor) from agricultural transformation in the subsistence sector. The findings from the survey and the impact assessment will feed into the trade and agricultural reviews (A.1.7).
- **A 1.3** - Mapping liberalization (tariff and subsidy reduction) commitments by the selected countries in major staple food commodities at the bilateral, regional and multilateral level; conducting trade impact assessments to gauge the income and consumption effects of these liberalization measures on rural households; assessing the policy space to implement agricultural stabilization policies supportive of rural livelihood and food security, in a liberalized environment. For each country, the concrete output will be a technical report, shared with and validated by the Ministries involved, whose findings will feed into the trade and agricultural review (A.1.7).
- **A 1.4** - Mapping tariff and non-tariff barriers (NTBs) in major export markets for key export crops from the selected countries. The analysis will be product-specific; the scope will be confined to 3 major

export crops, including both traditional and non-traditional exports, and up to 3 major export markets for each crop. The tangible output will be a series of country specific technical reports, shared with and validated by the Ministries involved. The findings will feed into the agricultural reviews (A.1.7).

- **A 1.5-** Assessing internal and external marketing structures, supply-chain governance structures, value-addition along the chain, and possible instance of ‘buyer power’ in key traditional and non-traditional export crops (same sub-sectors as in A1.4); assessing ways to ‘rebalance’ the supply chain in favour of small-scale farmers. The assessment will be in the form of country-specific technical reports, shared with and validated by the Ministries involved. The findings will feed into the trade and agricultural reviews (A.1.7).

- **A 1.6 -** Assessing the environmental impact of small-scale and subsistence systems versus intensive highly commercialized large-scale systems (same sub-sectors as in A1.4 and A1.5); considering approaches and measures to internalize external costs/benefits, and their compatibility with trade rules. The assessment will cover such measures as product and process differentiation according to climate impact, climate-friendly subsidies, border-tax adjustments to offset a cost disadvantage of environmentally-friendly domestic producers. The concrete output will be a technical report, shared with and validated by the Ministries involved. The findings will feed into the trade and agricultural reviews (A.1.7).

- **A 1.7 -** Preparing trade and agricultural reviews in the three selected countries, using the data and findings from A.1.1- A.1.6. The reviews will mainstream social inclusiveness and sustainability concerns in agricultural trade policies, and assist Governments in developing sound and complementary trade and agricultural policies supportive of rural livelihood, food security and social inclusiveness. Each review will cover key sustainability and social-inclusiveness issues in the trade and agriculture nexus.

- **A 1.8 -** Conducting three national workshops (see also A2.1) with one-day session (A1.8) focusing on the validation of the trade and agriculture reviews and building awareness and understanding on tools, methods and best practices on how to ensure coherence between trade, rural development, gender and food security policies. This activity is organized back-to-back with A2.1.

- **A 2.1 -** As part of the three national workshops (see also A1.8), organizing one-day session (A2.1) on the design and implementation of complementary trade and agricultural policies supportive of rural livelihood and food security. A2.1 will focus on how to integrate the findings / recommendations from the project in the design or implementation of sectoral policies and initiatives. These sessions will develop and endorse action plans that translate the evidence-based policy analysis (trade and agricultural reviews and technical reports) into policy action.

- **A2.2 -** Providing training to national stakeholders through hands-on advisory missions and focused expert group meetings in the three selected countries on how to use trade policies and trade negotiations as instruments to foster rural development and food security, in order to build their capacity for drafting relevant and complementary policies.

- **A2.3 -** Conducting an end-of-project inter-regional workshop in Geneva to broadly share ideas, tools, data and best practices on complementary trade and rural development policies supportive of rural livelihood, food security and social inclusiveness.

- **A2.4** In one country (Vanuatu), provide assistance to the Government in implementing specific elements of complementary trade and rural development policies geared to empower small-scale farmers and local micro entrepreneurs through their sustainable integration into structured supply chains, as enshrined in Vanuatu’s sector-specific national action plans (NAPs) for coconut and cocoa.

15. The project started in June 2016 with an approved budget of \$646,000 and is scheduled for completion by December 2019.

### III. Evaluation scope, objectives and questions

16. This final evaluation of the project has the following specific objectives:
  - Assess the degree to which the desired project results have been realised; and
  - Identify good practices and lessons learned from the project that could feed into and enhance the implementation of related interventions.
17. The evaluation will cover the duration of the project from June 2016 to December 2019.
18. The evaluation is expected to address the following questions under the below criteria (to be further developed in the inception report, as appropriate):
  - a. **Relevance**
    - EQ1. To what extent did the project design, choice of activities and deliverables consider and address the priorities and needs of participating countries; taking into account UNCTAD's mandates and comparative advantages?
  - b. **Effectiveness**
    - EQ2. Have the activities achieved, or are likely to achieve, planned objectives and outcomes as enunciated in the project document?
    - EQ3. Is there evidence of any positive and negative changes produced by the project, directly or indirectly, intended or unintended?
  - c. **Efficiency**
    - EQ4. Have project implementation modalities, and internal monitoring and control been adequate in ensuring the achievement of the expected outcomes in a timely and cost-effective manner?
  - d. **Sustainability**
    - EQ5. Is there evidence that beneficiary countries are committed to continue working towards the project objectives beyond the end of the project and achieve the change required for the intended impact?
  - e. **Gender and human rights**
    - EQ6. To what extent has the project contributed to human rights and gender-equality related objectives and to SDG5 on Gender Equality and gender objectives in other SDGs?
  - f. **Partnerships and synergies**
    - EQ7. To what extent did the project leverage partnerships with national and regional counterparts, international development partners, the civil society and/or the private sector in support of results, and sustainability of results?

### IV. Methodology

19. The evaluation will adopt a theory-driven approach, guided by the project-results framework, and ensure a participatory engagement with project stakeholders. The evaluator is required to use a mixed-method approach, including qualitative as well as quantitative data gathering and analysis as the basis for a triangulation exercise of all available data to draw conclusions and findings. Methods for data gathering for this evaluation include, but is not limited to, the following:
  - Desk review of project documents and relevant materials;
  - Face-to-face interview and/ or telephone interviews with relevant UNCTAD staff;

- Online surveys of beneficiaries of the project, and other stakeholders, as may be required; conduct follow-up interviews as may be necessary;
  - Telephone/skype interviews with a balanced sample of project participants, project partners and other relevant stakeholders.
20. Contribution analysis could be undertaken in particular to assess project results.
21. As part of the desk review, which will lead to an Inception Report, the evaluator will use the project document as well as additional documents such as mission reports; progress reports, financial reports, publications, studies - both produced under the project as well as received from national and regional counterparts. A list of project beneficiaries as well as other partners and counterparts involved in the project will be provided to the evaluator.
22. The evaluator will further elaborate on the evaluation methodology in an Inception Report, determining thereby the exact focus and approach for the exercise, including developing tailor-made data-collection tools that target different stakeholders (based on a stakeholder analysis), and developing the sampling strategy and identifying the sources and methods for data collection. The methodology should follow the UNCTAD and Development Account Inception Report Guidelines.
23. The evaluator is required to submit a separate final list of those interviewed in the Annex of the evaluation report. The evaluator is to ensure a wide representation of stakeholders, bearing in mind the need to include those in a disadvantaged or minority position as appropriate.

## **V. Organization of the evaluation**

### **i. Deliverables and Expected Outputs**

24. The evaluation, on the basis of its findings and assessments made on the above criteria, should draw conclusions, make recommendations and identify lessons learned from the implementation of the project.
25. More specifically, the evaluation should:
- Highlight what has been successful and can be replicated elsewhere;
  - Highlight, as appropriate, any specific achievements that provide additional value for money and/or relevant multiplier effects;
  - Indicate shortcomings and constraints in the implementation of the project while, at the same time, identifying the remaining challenges, gaps and needs for future courses of action;
  - Make pragmatic recommendations to suggest how UNCTAD's work in this area can be further strengthened in order to address beneficiaries' needs and create synergies through collaboration with other UNCTAD divisions, international organizations and development partners, and other international forums;
  - Draw lessons of wider application for the replication of the experience gained in this project in other projects/countries;
26. Three deliverables are expected out of this evaluation (following EMU templates):
- i. An inception report<sup>1</sup>;
  - ii. A draft evaluation report; and
  - iii. The final evaluation report<sup>2</sup>
27. The inception report should summarize the desk review and specify the evaluation methodology, determining thereby the exact focus and scope of the exercise, including the evaluation questions, the sampling strategy and the data collection instruments.
28. The final report of the evaluation must be composed of the following key elements:
- i. Executive summary;
  - ii. Introduction of the evaluation, a brief description of the projects, the scope of the evaluation and a clear description of the methodology used;

- iii. Findings and assessments according to the criteria listed in Section IV of this ToR, with a comparison table of planned and implemented project activities and outputs; and
- iv. Conclusions and recommendations drawn from the assessments.

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

**ii. Description of Duties**

30. The UNCTAD Evaluation and Monitoring Unit (EMU), in close collaboration with the Division on international trade and commodities (DITC), will facilitate the evaluation as undertaken by an independent evaluator.

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

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

33. The evaluator should observe the UNEG guidelines, standards<sup>3</sup>, and norms<sup>4</sup> for evaluations in the UN system, as well as UNCTAD’s Evaluation Policy<sup>5</sup>, in the conduct of this assignment. The evaluator needs to integrate human rights and gender equality in evaluations to the extent possible.<sup>6</sup> The evaluator needs to ensure a complete, fair, engaging, unreserved, and unbiased assessment. In case of difficulties, uncertainties or concern in the conduct of the evaluation, the evaluator needs to report immediately to the Chief of EMU to seek guidance or clarification.

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

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

**iii. Timetable**

36. The total duration of the evaluation is equivalent to 22 days of work and will take place over the period 2 January 2010 to 31 March 2020.

<b>Activity</b>	<b>Days</b>
Desk research and study of relevant documentation	3 days
Preparation of data collection tools and inception report	3 days
Interviews with UNCTAD staff, implementation partners, project participants, focal points and other stakeholders	6 days
Data analysis and draft report write up	6 days
Final report write up	4 days

#### **iv. Monitoring and Progress Control**

37. The evaluator must keep the EMU informed of the progress made in the evaluation on a regular basis.
38. The evaluator will submit an inception report by 20 January 2020.
39. The evaluator will also present the draft report to the EMU and the project manager before the final submission, giving sufficient time for the verification of factual findings as well as its compliance with the ToR (approximately 2 weeks). The first draft of the report should be presented to the EMU by 1 March 2020 for quality assurance purposes. The draft report will then be shared with the project manager for factual clarification, before submission of the final report.
40. The deadline for submission of the final report will be 31 March 2020.
41. The contract concludes, and payment issued, upon satisfactory receipt of the final report.

#### **v. Qualifications and Experience<sup>7</sup>**

- Education: Advanced university degree in economics, trade, development, public administration, rural development, or related field.
- Experience: At least 7 years of experience in conducting evaluations, preferably on interventions in the areas of trade-related technical assistance and capacity building. Demonstrated knowledge of issues of trade and gender related analysis is an advantage. Experience in gender mainstreaming is desirable.
- Language: Fluency in oral and written English.

#### **vi. Conditions of Service**

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

#### **vii. Payment of the consultancy fee**

43. The Evaluation Consultant's fee will be paid in line with the following schedule and upon acceptance (part of the quality assurance process) by EMU of the key deliverables:
  - Upon acceptance of the inception report: 20%
  - Upon acceptance of the draft Evaluation Report: 40%
  - Upon acceptance of the final Evaluation Report: 40%.

## ANNEX II. EVALUATION TOOLS: EVALUATION MATRIX, SURVEY QUESTIONNAIRES AND INTERVIEW GUIDES

<b>RELEVANCE</b> <i>The extent to which the project and its activities were suited to the priorities, policies and needs of the region and countries at the time of formulation and to what extent they were linked or related to UNCTAD's mandate and programme of work.</i>		
<b>(EQ1) To what extent did the project design, choice of activities and deliverables consider and address the priorities and needs of participating countries; taking into account UNCTAD's mandates and comparative advantages?</b>		
Indicators	Collection methods	Sources
Evidence of coherence against main UNCTAD mandate and policies	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers Beneficiaries UNCTAD Programmes of Work UNCTAD Project Managers UN / International Partners
Degree of alignment with UNDA overall mandate and objectives		
Contribution and consistency with UNCTAD Programme of Work		
Evidence of alignment of objectives and EAs with the region and countries needs/priorities		
Level of participation of stakeholders in the design and content of the project (and satisfaction)		
Degree of relevance of the project objectives throughout implementation		
Quality of the problem and objective analysis		
Level of alignment of the problem analysis with major problem conditions (including the cause and effect links between the problem conditions)		
Logic and plausibility of the means-end or cause effect relationship		
Degree of consistence among activities/outputs and goals/outcomes		
Evidence of UNCTAD's comparative advantage		
<b>EFFECTIVENESS</b> <i>The extent to which the project attained its objectives and expected accomplishments, including mainstreaming gender and promoting equality.</i>		
<b>(EQ2) Have the activities achieved, or are likely to achieve, planned objectives and outcomes as enunciated in the project document?</b>		

<b>(EQ3) Is there evidence of any positive and negative changes produced by the project, directly or indirectly, intended or unintended?</b>		
<b>Indicators</b>	<b>Collection methods</b>	<b>Sources</b>
Evidence of the use of the knowledge generated by the project (in the events and publications) in the beneficiaries' work	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers Beneficiaries
Extent to which the project has influenced policy making		
Evidence of strategies, plans or policy initiatives that have considered the project results		
Extent to which the beneficiaries' knowledge has improved (e.g. participants in workshops and seminars)		
Differences in behaviour, attitude, skills and/or performance		
<b>EFFICIENCY</b> <i>Measurement of the outputs (qualitative and quantitative) in relation to the inputs, including complementarity (the extent to which the activities and the outcomes of the project have been able to establish and/or exploit synergies with other actions implemented by UNCTAD, other UN bodies or local organizations) and value added (the extent to which the project's activities and outcomes have confirmed the advantages of UNCTAD's involvement).</i>		
<b>(EQ4) Have project implementation modalities, and internal monitoring and control been adequate in ensuring the achievement of the expected outcomes in a timely and cost-effective manner?</b>		
<b>Indicators</b>	<b>Collection methods</b>	<b>Sources</b>
Extent to which the governance and management structures of the project facilitated the implementation	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers
Number and type of processes and/or procedures that were enacted to improve the implementation		
Evidence of clarity in definition of roles and responsibilities with regard to UNCTAD's procedures and reporting requirements		
Extent to which the management of the project was based on results, including the existence of an RBM policy		
Planned vs. actual allocation of expenses		
Implementation delays due to lack of resource allocation timeliness		
Other possible constraints/problems		
Responses and actions taken to expedite processes		
Planned versus actual work plan		
Nature of delays that affected the implementation		



Level of satisfaction of the project's main clients with the services provided by the project (i.e. activities organized and quality of the outputs)		
Degree to which the project beneficiaries feel that project activities were delivered in a timely manner		
<b>SUSTAINABILITY</b>		
<i>The extent to which the benefits of the project are likely to continue after funding has been withdrawn, including long-term impact, dissemination and replication.</i>		
<b>(EQ8) Is there evidence that beneficiary countries are committed to continue working towards the project objectives beyond the end of the project and achieve the change required for the intended impact?</b>		
<b>Indicators</b>	<b>Collection methods</b>	<b>Sources</b>
Evidence of an exit strategy	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers UN / International Partners Beneficiaries
Level of satisfaction of beneficiaries with their involvement during implementation		
Extent to which project design factored in strengthening local ownership and commitment among key stakeholders		
Quality of partnerships with new donors or partners to improve after-project financial capacity		
Evidence of a scaling or replication plan		
Budget for scaling out to other locations		
<b>GENDER AND HUMAN RIGHTS</b>		
<i>The extent to which gender mainstreaming considerations were incorporated into the project design and implementation of activities. The extent to which the project promoted human rights and gender equality. The extent to which beneficiaries were sensitized on the gender dimensions of trade and agriculture policies and their potential contribution to gender equality. The extent to which the project and its activities contributed towards long-term impact, including the achievement of the SDGs and advance UNCTAD's efforts to promote equitable trade and sustainable development.</i>		
<b>(EQ6) To what extent has the project contributed to human rights and gender-equality related objectives and to SDG5 on Gender Equality and gender objectives in other SDGs?</b>		
<b>Indicators</b>	<b>Collection methods</b>	<b>Sources</b>
Evidence of the consideration of gender issues during the design, e.g. existence of a gender analysis that identified the gender dimensions of trade and agricultural policies	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers Beneficiaries
Evidence of equal participation of men and women during the implementation, e.g. participation in the workshops		
Evidence of the consideration of gender issues during the implementation, e.g. gender dimensions of trade and agricultural policies fully considered		

Extent to which the beneficiaries have been sensitized on the gender dimensions of trade and agricultural policies and/or gender equality in general		
Evidence of the project contribution to advance UNCTAD's efforts to promote equitable trade and sustainable development		
<b>PARTNERSHIPS AND SYNERGIES</b> <i>The extent to which the project advanced partnerships with national and regional counterparts, the civil society and/or the private sector. The extent to which collaboration brought additional value added into the project. The extent to which complementarities were identified and synergies created.</i>		
<b>(EQ7) To what extent did the project leverage partnerships with national and regional counterparts, international development partners, the civil society and/or the private sector in support of results, and sustainability of results?</b>		
<b>Indicators</b>	<b>Collection methods</b>	<b>Sources</b>
Evidence of the project contribution to leveraging UNCTAD internal resources (e.g. in-house expertise, previous research and technical cooperation outcomes, existing, etc.)	Document review Interviews Surveys	Project Document Project Progress Reports Meeting Reports UNCTAD Project Managers UN / International Partners Beneficiaries
Evidence of joint programming with other development partners or mechanisms		
Evidence of joint implementation of activities with other development partners or mechanisms		
Evidence of links with similar initiatives implemented by other UN entities (e.g. Economic Regional Commissions)		
Evidence of the project successfully tapping regionally generated knowledge (e.g. to identify good practices, to generate policies, etc.)		
Evidence of the project contribution to the UNDAF action plans or the CCAs		
Evidence of active involvement of civil society (including private sector)		
Evidence of close collaboration with national and regional counterparts		
Extent to which the project utilized the technical, human and other resources available in the beneficiary countries		
Evidence of the project's main results and recommendations being used by beneficiary institutions after project end		
Evidence of multiplier effects generated by the project		
Mechanisms set up to ensure the follow-up of the networks created by the project		
Evidence of the beneficiaries' institutional capacities been enhanced		

Perception of an enabling environment to carry on after the project ends		
Evidence of the commitment of national and regional partners to continue working towards the project objectives		
Evidence of the project contribution to shaping / enhancing UNCTAD's programme of work / priorities and activities		
Evidence of UNCTAD's use of the findings of the project		

## SURVEY QUESTIONNAIRES

### SECTION A: Personal information

#### 1) Where do you work?

- Ministry
- Other government institution
- Private sector
- UN system
- Intergovernmental, regional and bilateral development cooperation organization
- Non-governmental organization
- Academia<sup>SEP</sup>
- Other-Write In (Required): \_\_\_\_\_ \*

#### 2) How would you describe your main work? (select all that apply)

- Senior management
- Project officer / consultant / programme coordinator
- Expert / researcher (e.g. non-governmental organization, academia)
- Civil society representative (e.g. at local or community level)
- Other-Write In (Required): \_\_\_\_\_ \*

#### 3) In which country do you work?

- Guatemala
- Malawi
- Vanuatu
- Other-Write In (Required): \_\_\_\_\_ \*

4) What is your sex?

Male

Female

I prefer not to say

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## SECTION B: Workshops

5) In what workshop(s) did you participate? (select all that apply)

Nov 2017, Fact-finding workshop in Guatemala (Guatemala)

Nov 2018, Validation workshop (Taller Nacional): Aprovechando el comercio agrícola para el desarrollo rural sostenible y la seguridad alimentaria in Guatemala (Guatemala)

May 2018, Fact-finding workshop in Lilongwe (Malawi)

Jan 2019, Fact-finding workshop in Lilongwe (Malawi)

21-22 Nov 2019, Validation workshop: harnessing agricultural trade for sustainable development and food security in Lilongwe (Malawi)

15 Feb 2017, Fact-finding workshop: National Stakeholder Workshop from the coconut, cocoa and sandalwood sectors in Port Vila (Vanuatu)

6-7 Nov 2017, Validation workshop: Sustainability Standards and Market Transparency for Coconuts and Cocoa in Port Vila (Vanuatu)

10 Nov 2017, Validation workshop: Sustainability Standards and Market Transparency for Coconuts and Cocoa in Espiritu Santo (Vanuatu)

None of the above

6) How would you rate the quality of the workshop(s)?

\*

Very high     High     Low     Very low     I do not have sufficient information

*Please specify why.*

7) To what extent do you consider that the workshop(s) was/were relevant to the context within your country?

\*

Very relevant     Relevant     Slightly relevant     Not relevant     I do not have sufficient information

*Please specify why.*

8) In your opinion, was the participation in the workshop(s) satisfactory in terms of attendants? For example, did all the key stakeholders/institutions participate?

Yes

No

I do not have sufficient information

*Please explain your answer.*

9) In your opinion, were the participants strategically chosen as agents of change with capacity to influence policies, decisions, institutional culture, etc.?

Yes

No

I do not have sufficient information

*Please explain your answer.*

10) In your opinion, was the way the workshop(s) were conducted sufficiently participatory and inclusive? For example

	Yes	No	I do not have sufficient information
Did all stakeholder groups actively participate in the discussion?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Were all views equally considered?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

*Please explain your answer.*

11) Do you consider that the workshop(s) adequately addressed the challenges faced by...?

	Yes	No	I do not have sufficient information
Small-scale farmers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Women	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ethnic groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

*Please explain your answer.*

12) Do you consider that through this project, UNCTAD has improved your knowledge on integrating gender equality and human rights in agriculture and trade policies?

	Yes	No	I do not have sufficient information
Gender equality	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human rights	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

13) Please indicate to what extent you agree or disagree with the following statement: the workshop(s) contributed to improve...

	Strongly agree	Agree	Disagree	Strongly disagree	I do not have sufficient information
My understanding of the complementarities between agriculture and trade policy in order to achieve sustainable development objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
My capacity to design and implement complementary and coherent trade and agricultural policies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The capacity of my institution to strengthen agriculture and trade policies (e.g. soundness and complementarity).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The capacity of my institution to enhance food security (through sound and complementary agriculture and trade policies).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The capacity of my institution to improve income for small-scale farmers (through sound and complementary agriculture and trade policies).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

14) Please indicate to what extent you agree or disagree with the following statement: the information conveyed at the workshop(s) has the potential to contribute to or influence policy making, initiatives, actions plans, strategy plans, etc.\*

- \*  
 Strongly agree    Agree         Disagree         Strongly disagree         I do not have sufficient information

*Please specify if, in your opinion, the workshop(s) has/have contributed to a significant result or change within your country and/or institution (or will do it in the future). Which one(s)?*

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**SECTION C: Publications and studies**

15) With which of the following publications/studies that fall within the framework of this project are you familiar?

- Harnessing Agricultural Trade for Sustainable Development. Guatemala. Potato, cocoa and cardamom, UNCTAD, 2019.  
 Harnessing Agricultural Trade for Sustainable Development. Malawi. Groundnuts, sunflower and soybeans, UNCTAD, 2019.  
 Harnessing Agricultural Trade for Sustainable Development. Vanuatu. Cocoa and coconut, UNCTAD, 2019.  
 None

16) How would you rate the quality of the publications/studies?

- Very high         High    Low    Very low         I do not have sufficient information

*Please specify why.*

17) To what extent do you consider these publications/studies as relevant to the context within your country or institution?

- Very relevant    Relevant         Slightly relevant         Not relevant         I do not have sufficient information

*Please specify why.*

18) Have you (or your institution) used any of these publications/studies in your daily work?

- Yes  
 No  
 I do not have sufficient information

*For what purpose?*

19) Do you consider that the publications/studies adequately addressed the challenges faced by...?

	Yes	No	I do not have sufficient information
Small-scale farmers	[ ]	[ ]	[ ]
Women	[ ]	[ ]	[ ]

Ethnic groups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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20) Do you consider that the point of view of civil society is sufficiently reflected/addressed in these publications/studies?

Yes

No

I do not have sufficient information

21) Please indicate to what extent you agree or disagree with the following statement: the publications/studies contributed to improve...\*

	Strongly agree	Agree	Disagree	Strongly disagree	I do not have sufficient information
My understanding of the complementarities between agriculture and trade policy in order to achieve sustainable development objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
My capacity to design and implement complementary and coherent trade and agricultural policies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The capacity of my institution to contribute to enhance food security and improve income for small-scale farmers through sound and complementary agricultural and trade policies.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

22) Please indicate to what extent you agree or disagree with the following statement: the information conveyed at the publications/studies has the potential to contribute to or influence policy making, initiatives, actions plans, strategy plans, etc.\*

\*

Strongly agree  Agree  Disagree  Strongly disagree  I do not have sufficient information

*Please specify if, in your opinion, the workshop(s) has/have contributed to a significant result or change within your country and/or institution (or will do it in the future). Which one(s)?*



23) Do you have any recommendations for similar future publications/studies?

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**SECTION D: General questions**

24) Do you think that the project (UNCTAD's assistance) contributed or will contribute to strengthening (sound and complementary) agricultural and trade policies?

Yes

No

I do not have sufficient information

***Can you provide any evidence of this contribution?***

25) Do you think that the project (UNCTAD's assistance) has contributed or will contribute to enhance food security and improve income for small-scale farmers at national level or in the production areas?

Yes

No

I do not have sufficient information

***Can you provide any evidence of this contribution?***

26) Do you think that the project (UNCTAD's assistance) contributed or will contribute to raise awareness about the need and the main difficulties to develop sound and complementary agricultural and trade policies?

Yes

No

I do not have sufficient information

***If you think that the project contributed to raise awareness, could you please identify how?***

27) In your opinion, has your government/institution implemented/planned/discussed follow-up activities to increase the soundness and complementarity of agriculture and trade policies?

Yes

No

I do not have sufficient information

***Which ones?***

28) In your opinion, what other activities could be implemented to increase the soundness and complementarity of agriculture and trade policies? (e.g. replicating activities, identifying additional agricultural products, etc.)

29) Was UNCTAD the right institution to support your government in developing complementary agriculture and trade policies?

Yes

No

I do not have sufficient information

***Please specify why.***

30) If any, please indicate what has been the main added value of the project and its deliverables/outputs (workshops, methodology, case studies).

31) Do you have any recommendations for future projects? Please add any other additional comments you may have.

## INTERVIEW GUIDELINES

	QUESTIONS
1	How do the project objectives and expected accomplishments respond to the country needs and priorities?
2	Are you familiar with the methodology implemented by the project (e.g. fact-finding workshops, identification of products, national review, validation workshops, etc.)? Do you think it was effective and well adapted to the national reality? To what extent you consider it was innovative?
3	Would you say that the way that the project was implemented was appropriate to ensure a broad participation of relevant stakeholders? How?
4	In your opinion, were the most relevant agricultural products for the country identified? Why?
5	Would you say that it resulted on a realistic implementation plan? To what extent are tasks, responsibilities, deadlines, resources, etc. clearly defined?
6	Are you familiar with the project publications (e.g. trade and agriculture reviews)?
7	Did UNCTAD send the publications to you? Do you think it was timely done? Are they easily accessible (online)?
8	Do you know if they have been broadly distributed among the relevant stakeholders? Would you do something differently?

## QUESTIONS

- 9 How would you rate the quality of the publications?
- 10 Were the publications useful to improve your work?
- 11 How would you rate the quality of the workshops (e.g. programmes, expert presentations)? Do you consider that they added value? Was the timing appropriate? Did they allow for open discussion?
- 12 To what extent do you think that your knowledge on issues between trade, rural livelihood and food security, and of the need for complementary agricultural and trade policies has improved after your participation in the workshops?
- 13 Were the workshops useful to improve your work?
- 14 Do you consider that the level of participation of the different stakeholders in the workshops was adequate? Was the knowledge generated specifically directed to those in the policy process who are best placed to adopt and apply that knowledge? Do you think that civil society (including private sector) was actively involved?
- 15 Would you say that the project contributed to strengthen local ownership and commitment among key stakeholders? Did the project seek to ensure sustainability of results? Do you think that the project has generated multiplier effects? Which ones?
- 16 Were there any complementarities and synergies with other work being developed? Do you think that UNCTAD collaborated with other institutions? Were any activities implemented jointly with other partners? Should it have been? Were the activities linked with similar initiatives implemented by other UN entities?
- 17 Do you consider that the project used regionally generated knowledge (e.g. identify good practices, generate policies, etc.)? Do you think that the project used the available resources in the country (technical, human, etc.)?

## QUESTIONS

- 18 In your opinion, what has been / could be the potential use of results, change of policy, scaling up activities, etc. after project? Are you aware of the project's main results and recommendations being used by participating institutions? Do you know if there are any new plan, strategy or policy initiative that benefited from the project activities and results?
- 19 Do you think that the project has generated multiplier effects? Which ones? Have any mechanisms been put in place to ensure the follow-up of possible networks created by the project?
- 20 Do you think that human rights and gender issues were sufficiently considered in this project? How? If not, what issues could the project have considered/addressed?
- 21 Do you think that human rights and gender issues were sufficiently considered during project implementation, including in the workshops and publications? How?

## ANNEX III. DESK REVIEW LIST

- Project Document (PRODOC)
- Project Progress Reports (2017, 2018 and 2019)
- Project Final Report (March 2020)
- Project website: <http://unctad.org/en/Pages/DITC/DA-Project-16171.aspx>
- National Reviews for Vanuatu, Guatemala and Malawi ,available at: <https://unctad.org/en/Pages/DITC/DA-Project-16171.aspx>
  - Harnessing Agricultural Trade for Sustainable Development – Guatemala (potato, cocoa and cardamom), UNCTAD, 2019.
  - Harnessing Agricultural Trade for Sustainable Development – Malawi (groundnuts, sunflower and soybeans), UNCTAD, 2019.
  - Harnessing Agricultural Trade for Sustainable Development –Vanuatu (cocoa and coconut), UNCTAD, 2019.
- Feasibility Study - Vanuatu’s Market Information System (MIS)
- Vanuatu workshop agenda and presentations, available at: <http://unctad.org/en/pages/MeetingDetails.aspx?meetingid=1618>
- Guatemala workshop agenda and presentations, available at: <https://unctad.org/en/pages/MeetingDetails.aspx?meetingid=1983>
- Malawi workshop agenda and presentations, available at: <https://unctad.org/en/pages/MeetingDetails.aspx?meetingid=2341>
- Mission Reports: Guatemala (Dec 2017), Guatemala (Nov 2018), Malawi (May 2018), Malawi (Jan 2019), Malawi (Nov 2019), Vanuatu (Feb 2017, Vanuatu (Nov 2017) and Vanuatu (Jun 2019).
- UNCTAD Biennial Programme Plan for the period 2016–2017, available at: [https://unctad.org/meetings/en/SessionalDocuments/wp66crp1rev1\\_en.pdf](https://unctad.org/meetings/en/SessionalDocuments/wp66crp1rev1_en.pdf)
- Policy coherence for agricultural transformation in African least developed countries (LDCs) - Aligning agriculture and trade policymaking processes, FAO, 2018.

## ANNEX IV. LIST OF PERSONS CONTACTED DURING THE EVALUATION

#	Organization	Function
1	UNCTAD/IO	Project officer
2	UNCTAD/IO	Consultant
3	UNCTAD/IO	Consultant
4	Ex-UNCTAD	Former PO
5	Ex-UNCTAD	Former consultant
6	FAO (Geneva Office)	Economist - Trade and Food Security
7	Malawi Permanent Mission in Geneva	Ambassador
8	Malawi Ministry of Foreign Affairs	Deputy Director -General, International Cooperation Department
9	Cooperatives Development Fund (Malawi)	National consultant
10	World Bank (Malawi Office)	Senior Agriculture Economist
11	Guatemala Permanent Mission in Geneva	Counsellor
12	Guatemala Ministerio de Economia	(former) Focal point
13	MAYACERT S.A. (Guatemala)	Marketing Officer