



INSPECTION AND EVALUATION DIVISION

INCEPTION PAPER

Programme Evaluations of the United Nations Conference on Trade and Development (UNCTAD) and International Trade Centre (ITC)

24 July 2014

Assignment No.: IED-14-009

INSPECTION AND EVALUATION DIVISION

FUNCTION

“The Office shall evaluate the efficiency and effectiveness of the implementation of the programmes and legislative mandates of the Organisation. It shall conduct programme evaluations with the purpose of establishing analytical and critical evaluations of the implementation of programmes and legislative mandates, examining whether changes therein require review of the methods of delivery, the continued relevance of administrative procedures and whether the activities correspond to the mandates as they may be reflected in the approved budgets and the medium-term plan of the Organisation;” (General Assembly [Resolution 48/218 B](#)).

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I. Introduction

1. **Evaluation Topic:** The Inspection and Evaluation Division of the Office of Internal Oversight Services (OIOS-IED) is undertaking two separate but related evaluations of trade-oriented United Nations programmes in the 2014-15 biennium: one evaluation of the United Nations Conference on Trade and Development (UNCTAD) and another of the International Trade Centre (ITC). Selection of the two entities for evaluation resulted from a 2013 risk assessment by OIOS-IED to identify its evaluation priorities for the 2014-15 biennium. The Committee for Programme and Coordination (CPC) selected the programme evaluations of UNCTAD and ITC for consideration at its 55th session in June 2015. The General Assembly endorsed the selection in its resolution 68/20 (see para. 5).¹

2. **Frame of Reference:** The general frame of reference for OIOS is General Assembly (GA) resolutions 48/218B, 54/244, 59/272, as well as ST/SGB/273 and Article 97 of the United Nations Charter, which authorize OIOS to initiate, carry out and report on any action that it considers necessary to fulfill its responsibilities. The general frame of reference for OIOS-IED evaluation is provided in the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME).² The objective of its evaluations is to determine, as systematically and objectively as possible, Secretariat programmes' relevance, efficiency, effectiveness and impact.³

3. **Inception Paper Objective:** As described in its Programme Impact Pathway (PIP)⁴, OIOS-IED endeavours to undertake its evaluations in a manner that is not only consistent with its mandated independence but that, through a process of consultation with key stakeholders, is also meaningful to the evaluated entity and feasible in light of practical considerations. In order to help bridge OIOS-IED's mandated independence with this commitment to utilization, this Inception Paper demarcates the scope and approach OIOS-IED will take in its evaluations of UNCTAD and ITC. It is the culmination of a preliminary inception phase, consisting of an in-depth desk review from 14 April to 17 June 2014, coupled with preliminary consultations with UNCTAD and ITC stakeholders on site in Geneva from 12-15 May 2014. It summarizes the process and results of the inception exercise, followed by a terms of reference (ToR) for each of the two evaluations. It has undergone review by UNCTAD and ITC, by OIOS' Office of the Under-Secretary-General. It is the agreed framework for the implementation of the two evaluations.

¹ Resolution adopted by the General Assembly on 4th December 2013 on Programme Planning http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/68/20

² ST/SGB/2000/8, p. 12, Regulation 7.1 notes that the objective of evaluation is: (a) To determine as systematically and objectively as possible the relevance, efficiency, effectiveness and impact of the Organization's activities in relation to their objectives; (b) To enable the Secretariat and Member States to engage in systematic reflection, with a view to increasing the effectiveness of the main programmes of the Organization by altering their content and, if necessary, reviewing their objectives.

³ ST/SGB/2000/8, regulation 7.1; ST/SGB/273

⁴ For a graphic overview, see: <http://www.un.org/Depts/oios/ied/newsletters/IEDnewslettervol2no1.pdf>

II. Organizational Overview

A. The United Nations Conference on Trade and Development (UNCTAD)

4. The Member States of the United Nations established the United Nations Conference on Trade and Development (UNCTAD) in 1964, in response to growing concern over the place of developing countries in international trade and development. UNCTAD comprises its 194 Member States, as well as the Geneva-based UNCTAD Secretariat that supports them. In keeping with OIOS-IED's mandate to evaluate UN Secretariat programmes, the unit of analysis in this evaluation will be the UNCTAD Secretariat, hereafter referred to as UNCTAD. Every four years, UNCTAD integrates the outcome of the Conference in its Strategic Framework.⁵

5. UNCTAD's main objective is to assist developing countries, especially least developed countries (LDCs), landlocked developing countries (LLDCs), small island developing states (SIDS), and other structurally weak, vulnerable and small economies and countries with economies in transition in integrating beneficially into the global economy, in support of inclusive and sustainable growth and development. Toward this end UNCTAD's work revolves around three pillars:

- a. **Consensus-building.** Through its convening role, UNCTAD aims to promote international, regional and national policies among its Member States that is conducive to inclusive and sustainable development. This includes the regular sessions of the Conference, held every four years, as well as a number of issue-specific meetings and other events. In 2012-13, UNCTAD reported supporting 620 such events. This included 411 instances of substantive servicing of meetings, 140 outputs associated with parliamentary documentation, and 69 cases of support in the category of expert groups, rapporteurs, and depository services.
- b. **Research and analysis.** Through this pillar, which in 2012-13 consisted of 1082 knowledge products in total – i.e., 90 recurrent publications (including 8 flagships)⁶, 124 non-recurrent publications, and 868 analyses – UNCTAD aims to influence policy action consistent with its mandate.
- c. **Technical cooperation.** On the request of individual Member States, UNCTAD provides targeted support to countries in implementing their development strategies in a way that helps them integrate better into the global economy and achieve sustainable levels of growth and development. In 2012-13, it undertook 994 technical cooperation activities spanning some 68 countries.⁷ This included 350 cases of advisory services; 423 training courses, seminars and workshops; 217 field projects; and four fellowships/grants.

⁵ See A/69/6 (Prog.10), para. 10.11 and TD/500/Add.1 “Report of the United Nations Conference on Trade and Development on its 13th Session – The Doha Mandate”

⁶ The flagships are the: Economic Development in Africa Report, Information Economy Report, Least Developed Countries Report, Review of Maritime Transport, Technology and Innovation Report, Trade and Development Report, Trade and Environment Review, and World Investment Report. The E-commerce and Development Report was discontinued in 2008.

⁷ UNCTAD's 2012 Annual Report states that for capacity-building, “In 2012, UNCTAD implemented 187 projects in 68 countries.” UNCTAD's 2014-15 Strategic Framework lists the higher output number for the biennium.

6. Together, these three pillars form what UNCTAD deems its three-pronged mission to “Think, Debate and Deliver.” In consultation with UNCTAD, OIOS-IED has developed a Programme Impact Pathway (Figure 1 below), which illustrates how UNCTAD has implemented its mandate. This is a visual roadmap of the programme’s underlying programme logic: what it is seeking to achieve and how. Inferred from OIOS-IED’s desk review and inception interviews, it will serve as a point of departure for the present evaluation. The PIP is not a substitute for UNCTAD’s Strategic Framework, but rather rooted in and complementary to it.⁸

7. As Figure 1 conveys, UNCTAD’s end objective, located in the Impact column of the PIP, is that developing countries, especially LDCs, LLDCs, SIDS, and other structurally weak, vulnerable and small economies and countries with economies in transition, are better integrated into the global economy – and in inclusive, sustainable ways. By extension, it is presumed that UNCTAD aims to ensure that the benefits of trade and development will accrue more equitably across such countries and within their populations, a presumption signified by causal arrow - (*a*). UNCTAD seeks to contribute to this impact through the three pillars described in para 5, which are indicated by Roman numerals I-III in the Activities column.

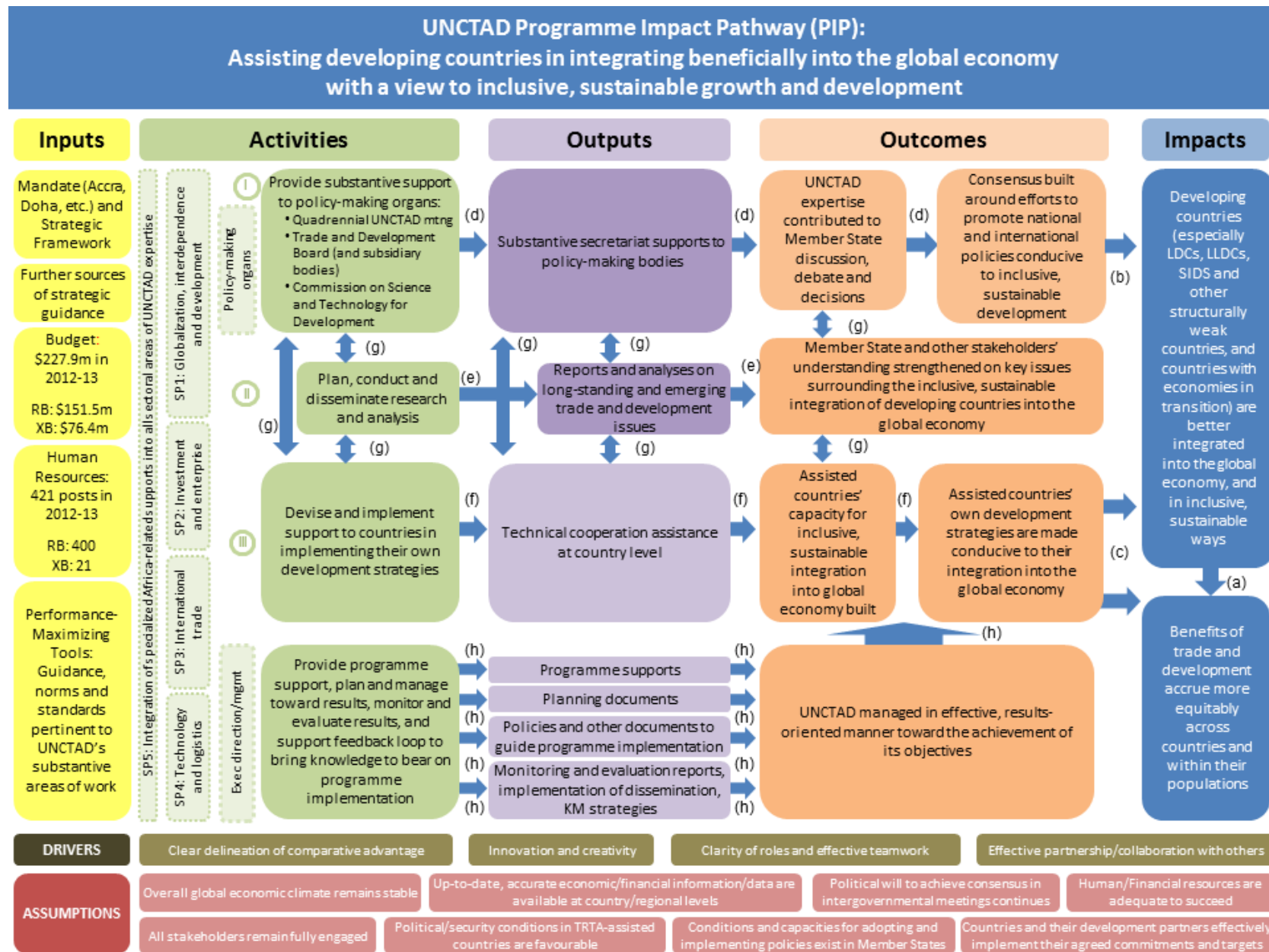
8. The process by which UNCTAD seeks to harness the concrete outputs of its three pillars (indicated in the Outputs column) toward these ends is articulated in the Outcomes column. Based on the presumption that its ultimate targeted impact comes about through Member State action – be it through intergovernmental bodies (*b*) or national policy choices (*c*) – UNCTAD exerts its influence on such action by:

- a. **directly bringing its expertise to bear on Member State discussions, debates and decisions** through timely, credible and relevant support to policy-making organs, a result primarily achieved through its consensus-building pillar (I), indicated by impact pathway (*d*);
- b. **enhancing understanding of the issues relevant to its mandate**, a result primarily achieved through its research and analysis pillar (II), indicated by impact pathway (*e*);
- c. **strengthening assisted countries’ capacity for inclusive, sustainable integration into the global economy**, a result primarily achieved through its technical cooperation pillar (III), indicated by impact pathway (*f*);

9. Two further boxes correspond to areas explicitly referred to in UNCTAD’s Strategic Frameworks and biennial programme budgets: UNCTAD’s secretariat role in servicing policymaking organs, and the role of Executive direction and management in steering the programme toward its goals. The specific elements of this enabling role of management – planning for results, managing toward results, and learning from results and using this learning to improve (i.e., through monitoring and evaluation) – are indicated by pathway (*h*), which underpins the achievement of targeted results in a final upward-pointing arrow in the Outcomes column.

⁸ The PIP embodies greater simplicity than the SF, in that it pictorially depicts the complex programmes the SF describes in prose, yet greater complexity, in that it makes explicit the often implicit or unaddressed linkages in the SF.

Figure 1: UNCTAD Programme Impact Pathway (PIP), Inferred from Desk Review and Preliminary Consultations



10. Although each of the impact pathways is primarily the domain of its respective pillar, it is important to acknowledge the inter-linkages among the three pillars. Increased consensus on key issues can shape the focus of subsequent research and analysis, for example, and can influence the scope and scale of technical cooperation provided to individual countries. Research and analysis, for their part, can be used as advocacy tools to help build consensus, and tailored analyses can help influence the contours of specific technical cooperation projects. Finally, the knowledge gained from individual technical cooperation projects, if properly culled and disseminated, can help inform future consensus-building efforts as well as future research and analyses. These inter-linkages are depicted by the vertical (*g*) arrows at the Activities, Outputs and Outcomes columns. As Section IV conveys, these symbiotic relationships will form an important component of the present evaluation.

11. UNCTAD is organized into five subprogrammes (SPs) in pursuit of its targeted impacts. These five subprogrammes are:

- **SP1: Globalization, interdependence and development**, which broadly seeks to promote macroeconomic policies and strategies at all levels (i.e., intergovernmental, national) that are conducive to UNCTAD's mandate of inclusive and sustainable development;
- **SP2: Investment and enterprise**, which focuses on strengthening these two key elements of sustainable, inclusive trade and development;
- **SP3: International trade**, which seeks to enhance all countries' ability to participate effectively in international trade in goods and services and address the opportunities and challenges specifically associated with commodities in international trade⁹;
- **SP4: Technology and logistics**, which endeavours to strengthen these important enabling factors in countries' sustainable, inclusive trade and development, and provides inter-divisional capacity building activities and training programmes on UNCTAD topics; and
- **SP5: Africa, LDCs and special programmes**, a subprogramme that, in addition to its own work programme and associated outputs (including two flagship reports), serves in a cross-cutting capacity to ensure that the whole of UNCTAD's work incorporates a focus on those countries traditionally most in need of the programme's assistance: not only the countries of Africa and LDCs, but also landlocked developing countries (LLDCs), small island developing states (SIDS), and other structurally weak, vulnerable and small economies.

12. UNCTAD's structural arrangements are directly aligned with these five subprogrammes, as borne out in UNCTAD's organigramme. (See Annex A.) In addition, as Figure 2 indicates, all five subprogrammes contribute substantially to outputs in all three of UNCTAD's pillars.

⁹ SP3 is subdivided into two Components to tackle these separate aspects of the subprogramme: (1) Strengthening international trade, and (2) Commodities.

Figure 2: Reported Subprogramme Contributions to UNCTAD Pillar Outputs, 2012-13

		PILLAR		
		I	II	III
		Consensus- Building	Research, Analyses & Publications	Technical Cooperation
Subprogramme 1: Globalization, interdependence and development	N	86	325	207
	%	16.23%	31.55%	20.82%
Subprogramme 2: Investment and enterprise	N	118	221	246
	%	22.26%	21.46%	24.75%
Subprogramme 3: International trade	N	167	216	188
	%	31.51%	20.97%	18.91%
Subprogramme 4: Technology and logistics	N	71	204	276
	%	13.40%	19.81%	27.77%
Subprogramme 5: Africa, LDCs and special programmes	N	88	64	77
	%	16.60%	6.21%	7.75%
	N	530	1030	994
	%	100.00%	100.00%	100.00%

Source: Integrated Monitoring & Documentation Information System (IMDIS). Figures are those reported by UNCTAD, although actual contributions might vary.

The joint nature of the subprogrammes' contributions to UNCTAD's three pillars of work is depicted in the PIP by a series of bars that span vertically across the entirety of the programme's work, already at the Activities level. (SP5's particular cross-cutting role indicated by a longer vertical bar which in turn extends across all of the other subprogrammes.)

B. The International Trade Centre

13. Within programme 10 on "Trade and Development," the same biennial workplan defining UNCTAD's programme of work, the International Trade Centre (ITC) bears responsibility for the implementation of subprogramme 6 on "Operational aspects of trade promotion and export development." The aim of subprogramme 6 is to foster inclusive and sustainable growth and development in developing countries, especially least developed countries, and countries with economies in transition through trade and international business development.

14. As a joint cooperation agency of a UN programme (i.e., UNCTAD) and a non-UN programme (i.e., the World Trade Organization, or WTO), ITC's organizational status is unique. Originally created by the General Agreement on Tariffs and Trade (GATT) in 1964, ITC has operated since 1968 under the joint aegis of GATT/WTO and the UN (i.e., through UNCTAD). As stipulated in its 2012-13 Strategic Framework, ITC objective is to "foster sustainable economic development and contribute to achieving the Millennium Development Goals in the developing and transition economies through trade and international business development."¹⁰ It is the focal point in the UN system for technical cooperation with developing countries and economies in transition in the promotion of trade and export development. In contrast to UNCTAD, whose technical cooperation is primarily tailored to governments, ITC's trade-related technical assistance (TRTA) focuses on assisting businesses, especially small and medium-sized businesses, in developing countries and economies in transition. It also assists enterprises in developed countries that are interested in aligning their business practices with the ITC mandate.

¹⁰ A/66/6 (Sect. 13)/Add.1

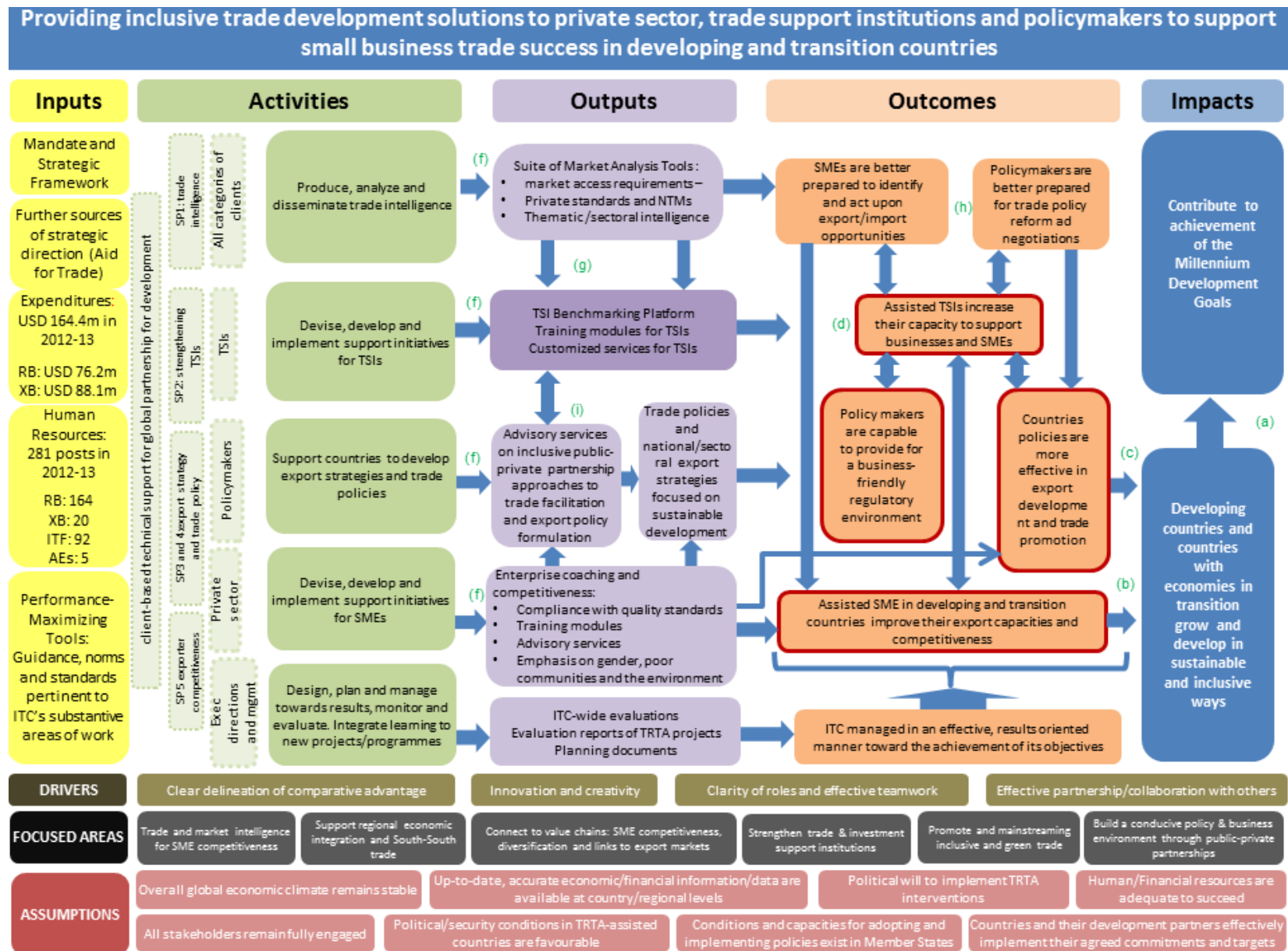
15. To achieve its mandate, ITC's activities focus on product and market development, development of trade support services, trade information, human resource development, international purchasing and supply management, needs assessment and programme design for trade promotion, with special emphasis on LDCs and countries with transitional economies. Figure 3 represents an inferred PIP for ITC, derived from OIOS-IED's desk review of background documents, coupled with preliminary consultations. (See Annex B for a detailed ITC organigramme.)

16. ITC's end objective, located in the Impact column of the PIP, is that developing countries and countries with economies in transition will grow and develop in sustainable and inclusive ways. This in turn will encourage the achievement of the MDGs as shown by causal arrow (*a*). The contribution of ITC to this overall impact comes about through the realization of two main outcomes and one supporting outcome. The first outcome in the Outcome column (*b*) is a private sector featuring small and medium-size enterprises (SMEs) with improved export capacities and higher competitiveness. This is complemented by the second outcome (*c*), which is a policy environment that is conducive to export development and trade promotion. The two previous outcomes require TSIs that have the capacity to effectively support both policymakers and the private sector (*e*).

17. As the pathways labelled (*d*) in PIP convey, ITC endeavours to contribute to the three desired outcomes described above through the following activities:

- a. Making available its specialized trade knowledge by producing and disseminating relevant and targeted trade information (trade intelligence) that can help countries, policymakers, trade support institutions (TSIs) and most importantly businesses better understand and navigate the trade and export world;
- b. Offering capacity building and targeted support and advice to existing TSIs so that they can more effectively play their role of supporting the private sector and policymakers on trade-related issues;
- c. Strengthening policymakers and by extension countries in drafting, developing and implementing trade and export policies that take into account the private sector's sustainable development requirements; and
- d. Supporting the export competitiveness of enterprises, with special emphasis on gender, poor communities and the environment.

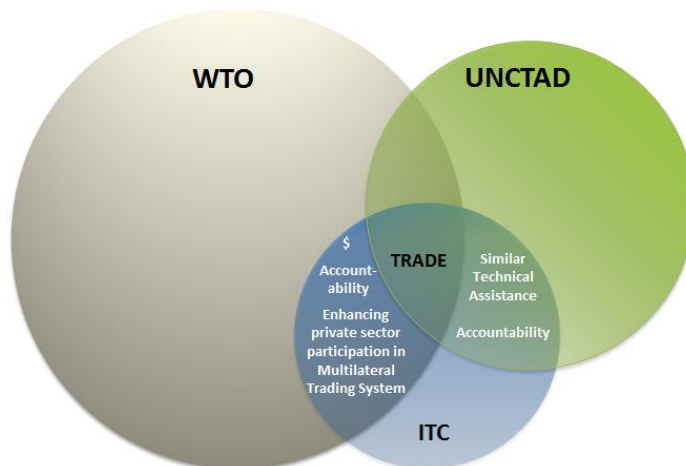
Figure 3: ITC Programme Impact Pathway (PIP), Inferred from Desk Review and Preliminary Consultations



18. There are inter-linkages between the four main ITC activity boxes. Access to the suite of trade intelligence tools, for example, can help inform the specific customized services needed for TSIs (*g*), improve the capacity of policymakers in trade negotiations (*h*) as well as increase the trade acumen of SMEs that want to boost their export competitiveness. The support to countries in the development of trade and export policies through public-private approaches can help TSIs become more involved in the substantive economic discussions and decisions at higher levels and enhance their skills which ultimately improves the quality of support for SMEs (*i*).

19. Figure 4 conveys the relationship between the ITC and its two parent organizations. Although all three organizations converge on the issue of trade, as indicated in the three-way area of overlap, the WTO and UNCTAD represent complementary philosophical perspectives on the issue.¹¹ The ITC is subject to the governing bodies of both entities, as a subsidiary agency of both, and its Executive Director reports both to the UNCTAD/SG and the WTO's D-G. (See Section B.) ITC and UNCTAD share a high degree of substantive convergence as well, in that both provide technical assistance to the same cadre of countries and with a similar mandate in view. However, ITC's technical assistance focuses on enterprise-level support to the private sector, whereas UNCTAD's focuses on wider policy-level support to governmental authorities.

Figure 4: Relationship between ITC and Its Parent Organizations



Source: OIOS-IED

C. Financial and Human Resources

20. Figures 1 and 3 also indicate the Inputs with which UNCTAD and ITC have pursued their respective mandates. This includes non-material inputs such as mandates, strategic

¹¹ Whereas the WTO's emphasis is on trade liberalization among the world's economies generally, albeit with appropriate regulation of trade to offset externalities, UNCTAD's focus is on ensuring equitable access to trade by LDCs, LLDCs, SIDS and other structurally weak, vulnerable and small economies, and countries with economies in transition. These two perspectives are borne out in the ITC's work: although it promotes private-sector development by supporting exporting capacity of small and medium-sized enterprises, it does so with a focus on LDCs and countries with economies in transition.

frameworks, and other sources of strategic guidance, as well as material inputs such as financial and human resources. Figure 5 provides an overview of both entities' material resources for the current biennium and previous two biennia, broken down by regular budget (RB) and extrabudgetary (XB) resources.

Figure 5: UNCTAD and ITC Financial Resources, 2008-2015, in thousands of USD (UNCTAD) and SFr (ITC)

Financial Resources (in thousands of US dollars)

	2008-09			2010-11			2012-13			2014-15		
	RB	XB	Total	RB	XB	Total	RB	XB	Total	RB	XB	Total
UNCTAD												
Polymaking organs	564.9	0.0	564.9	553.8	0.0	553.8	594.4	0.0	594.4	534.1	0.0	534.1
Executive direction and management	5,987.1	1,387.8	7,374.9	6,045.3	532.1	6,577.4	11,166.0	164.0	11,330.0	10,515.9	165.0	10,680.9
SP1: Globalization, interdependence, dev	18,555.9	10,519.9	29,075.8	20,518.5	9,730.0	30,248.5	22,771.4	3,057.0	25,828.4	22,932.3	3,058.0	25,990.3
SP2: Investment and enterprise	27,030.3	9,422.3	36,452.6	25,593.4	8,460.0	34,053.4	28,362.7	1,671.2	30,033.9	27,587.6	1,600.0	29,187.6
SP3: International trade	27,620.1	14,529.6	42,149.7	28,371.0	11,820.0	40,191.0	31,547.3	6,507.0	38,054.3	30,512.5	6,449.0	36,961.5
SP4: Technology and logistics	15,647.1	27,802.2	43,449.3	16,967.3	31,600.0	48,567.3	18,953.0	44,240.6	63,193.6	17,676.2	44,186.2	61,862.4
SP5: Africa, LDCs, special programmes	8,473.7	2,601.0	11,074.7	9,200.2	2,800.0	12,000.2	10,236.0	8,839.0	19,075.0	10,053.4	8,600.0	18,653.4
Programme support	29,215.5	8,121.6	37,337.1	29,380.3	11,740.0	41,120.3	27,882.3	11,930.4	39,812.7	26,702.1	10,239.4	36,941.5
TOTAL UNCTAD	133,094.6	74,384.4	207,479.0	136,629.8	76,682.1	213,311.9	151,513.1	76,409.2	227,922.3	146,514.1	74,297.6	220,811.7
ITC SP6: Operational aspects of trade promotion and export development	62,024.0	75,631.0	137,655.0	72,103.0	95,552.0	167,655.0	76,291.0	88,108.0	164,399.0	83,744.9	111,741.0	195,485.9
TOTAL ITC	62,024.0	75,631.0	137,655.0	72,103.0	95,552.0	167,655.0	76,291.0	88,108.0	164,399.0	83,744.9	111,741.0	195,485.9

Note: The United Nations and the ITC's one parent organization, the WTO, contribute equally to the ITC's regular budget.

Note on ITC figures: Figures cited are total expenditures, based on the audited financial statements before eliminations. For the 2014-15 biennium, RB figures are based on the approved budget of CHF 74.3 million, converted into USD using the 31/12/2013 exchange rate of 0.887. XB figures include the Technical Cooperation Activities Fund, Programme Support Costs Fund, revolving funds and other funds. Projected 2014-15 XB expenditures are based on the approved 2014 Operational Plan budget of USD 51.7 million and target expenditures of USD 60.0 million for 2015, a target set during ITC's 2015-2017 strategic planning process.

Sources: Proposed Programme Budgets for UNCTAD and ITC. See A/64/6 (Sect.12), A/66/6 (Sect.12), A/68/6 (Sect.12), A/64/6 (Sect.13), Add.1, A/66/6 (Sect.13), Add.1, and A/68/6 (Sect.13), Add.1

21. With an average biennial budget of \$217 million, UNCTAD is 43% larger in financial terms than ITC, whose biennial budget has averaged \$152 million. UNCTAD receives two-thirds of its funding through RB sources (i.e., an average of 65.3% every biennium since 2008-09), the vast majority of which constitutes post resources: the costs of its outputs in its consensus-building and research and analysis pillars are largely internalized by subprogramme staff, with little discretionary non-post funding. By contrast, the outputs its subprogramme staff produce under the technical cooperation pillar are funded entirely by XB sources, even though RB resources are consumed in this pillar in areas such as staff and management time, administrative support, and so on.

22. As Figure 5 illustrates, financial support for ITC's operations includes both RB sources, which are underwritten in equal parts by WTO and the UN, and XB sources. ITC's budget is supported more evenly by RB and XB sources compared to UNCTAD (i.e., and average of 47.1% vs 52.9%, respectively, in every biennium since 2008-09). The regular budget is subject to the programme and budget review procedures of the United Nations, with final programme and budget approval by the governing bodies of the UN and WTO.

23. Headquartered in Geneva, both UNCTAD and ITC are non-resident agencies (NRAs): as their technical cooperation and TRTA projects require, both organizations deploy staff, and where applicable consultants, on an ad hoc basis to undertake these tasks in the countries they assist. As of 2014-15, UNCTAD comprised 405 staff (385 RB, 20 XB), a net decrease of 16 staff compared to the previous biennium. ITC, for its part, comprised 281

posts in 2012-13, the large majority of which were funded through RB sources (164 RB, 20 XB), with 92 further posts underwritten by the Global Trust Fund and another 5 comprised of Associate Experts.

D. Governance and Leadership

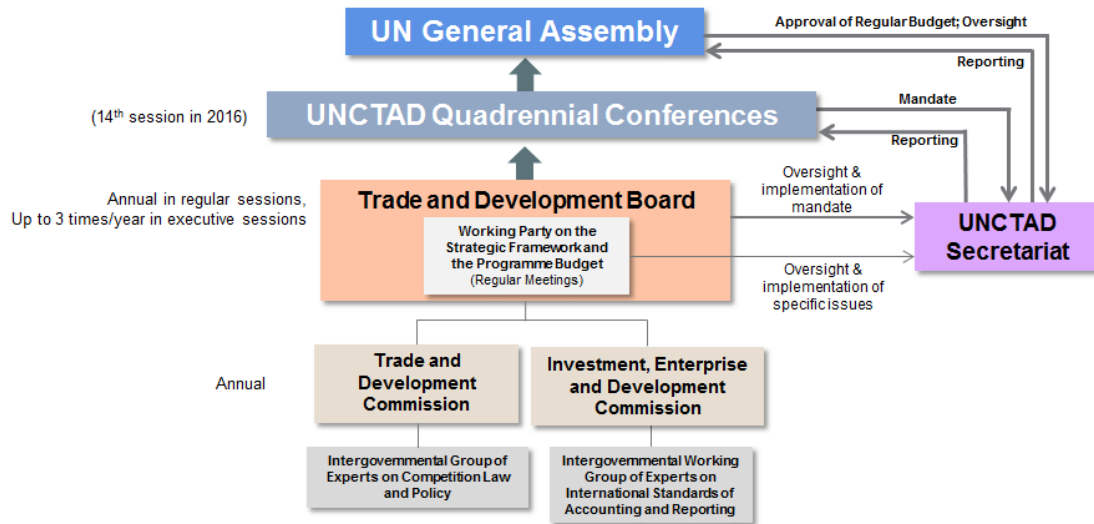
24. UNCTAD encompasses both the Member States that are party to the Conference, and the UN Secretariat programme that serves as the Conference's Secretariat. The highest decision-making body of UNCTAD is the quadrennial Conference, a subsidiary organ of the GA, at which Member States make assessments of current trade and development issues, discuss policy options and formulate global policy responses. The Conference sets the UNCTAD Secretariat's mandate and work priorities. The Conference last met in 2012 in Doha, Qatar. The next session, UNCTAD XIV, will be held in 2016. The Executive Head of the UNCTAD Secretariat is the Secretary-General (UNCTAD/SG) of the Conference. The present UNCTAD/SG, Dr. Mukhisa Kituyi, took office in September 2013.

25. As a UN Secretariat programme, the UNCTAD Secretariat is bound by Secretariat rules and regulations, reporting to the Fifth Committee of the GA on the use of its RB resources. UNCTAD also reports to its own separate governing body, the Trade and Development Board (TDB), which was established as a permanent subsidiary organ of the Conference to carry out the tasks of the Conference between the quadrennial sessions. The TDB oversees UNCTAD's activities and discusses emerging issues. The TDB is assisted by two commissions, the Trade and Development Commission, and the Investment, Enterprise and Development Commission, both established at UNCTAD XII in 2008. Both Commissions convene meetings of leading experts to examine and offer technical advice on a range of key and emerging policy issues.

26. The Working Party on the Strategic Framework and Programme Budget, a subsidiary organ of the TDB, provides intergovernmental oversight for UNCTAD programmes at an operational level. It convenes to review the biennial strategic framework and proposed programme budget narrative of the UNCTAD Secretariat. It oversees issues regarding technical cooperation and their financing as well as the evaluation activities of the Secretariat. It also follows up on UNCTAD's communications strategy and publications policy; and undertakes other relevant work as determined by the TDB.

27. Figure 6 illustrates UNCTAD's governance structure, along with the frequency at which the various bodies that constitute it meet.

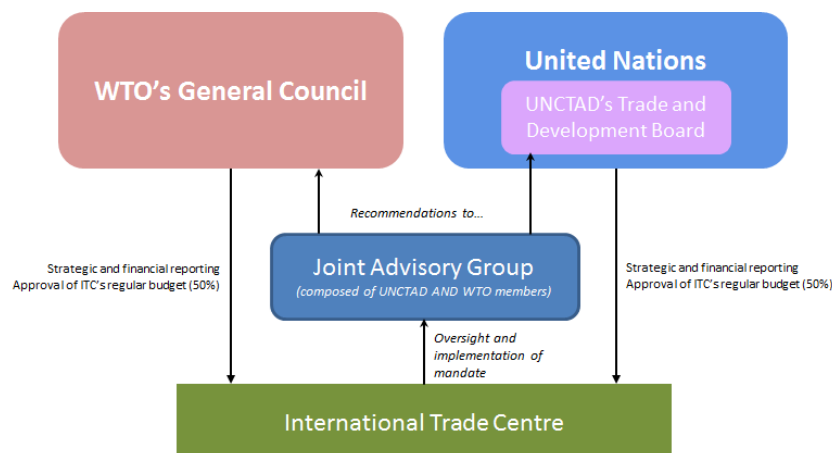
Figure 6: Overview of UNCTAD Governance Structure



Sources: Programme Budget, paras 12.24-12.31 and 2012 Review of Management and Administration in the United Nations Conference on Trade and Development (UNCTAD) by the Joint Inspection Unit

28. ITC’s governance structure, depicted in Figure 7, is closely intertwined with that of UNCTAD and its other parent organization, the WTO, with the two parent organizations overseeing ITC’s activities. ITC’s main intergovernmental policy forum is the Joint Advisory Group (JAG), composed of the members of UNCTAD and WTO. The JAG is the body to which ITC reports for substantive programme review and policy guidance. It meets annually to examine ITC’s programme of work based on its Annual Report, and makes recommendations to UNCTAD’s TDB and the WTO’s General Council to take appropriate steps for the provision of budgetary resources. The JAG requires financial information focusing on the results and use of XB contributions. The formal role of the JAG is advisory, however, as it does not have the power to commit financing to ITC. This function is exercised by the governing bodies for the UN and WTO. Furthermore, as ITC implements subprogramme 6 within programme 10 on “Trade and Development” of the UN’s biennial workplan, it is also bound by Secretariat rules and regulations, reporting to the Fifth Committee of the GA on the use of its RB resources. ITC financial statements covering both RB and XB resources are signed by the United Nations Controller and audited by the Board of Auditors.

Figure 7: Overview of ITC Governance Structure



29. The ITC's Executive Director is appointed by the Secretary-General based on the joint recommendation of the WTO Director-General (D-G) and the UNCTAD/SG. Ms. Arancha González, ITC's current Executive Director, took office in September 2013. Both parent organizations also undertake a number of joint technical assistance activities with ITC. These include the Integrated Framework for Least Developed Countries, and the Business for Development initiative.

E. UNCTAD and ITC Evaluation Functions

30. Both UNCTAD and ITC have established evaluation functions. Each has an evaluation policy establishing general standards of evaluation, outlining guiding principles and norms, and defining roles and responsibilities.¹² The ITC's Senior Management Committee (SMC) adopted its evaluation policy on May 2008, and the UNCTAD-SG approved the organization's policy on December 2011.¹³

31. Both organizations' evaluation functions also enjoy a fair degree of independence, although neither evaluation unit reports directly to its organization's respective governing body.¹⁴ However, UNCTAD's governing body, the TDB, requires an in-depth external evaluation of one area of UNCTAD's work programme each year. Since 2007, UNCTAD has undergone six such TDB-mandated external evaluations,¹⁵ as well as evaluations commissioned by programme managers, donor agencies and other external bodies. In recent years both organizations have moved the evaluation function within the organizational structure in order to enhance their structural independence. In 2011 UNCTAD's evaluation function was changed to a dedicated and discrete Evaluation and Monitoring Unit reporting directly to the UNCTAD/SG. For ITC's part, in 2006 an external evaluation recommended that the evaluation function be strengthened and made independent from operational functions.¹⁶ The Monitoring and Evaluation Unit was subsequently created in 2008.¹⁷

32. The two organizations' overall investments in the evaluation function also differ somewhat, as does the quality of their respective evaluations. In the 2010-2011 biennium, for example, ITC devoted \$661,900 of its total budget of CHF 149.7 million to evaluation (i.e., 0.44%).¹⁸ UNCTAD, for its part, set aside \$384,300 for evaluation out of an overall budget of \$213.3 million (0.18%) during this same period. A 2013 independent quality assessment by OIOS-IED assessed a small, randomly selected subset of evaluations by

¹² UNCTAD Evaluation Policy, 2011; ITC Evaluation Policy, JAG/DEC-2008/01, November 2008.

¹³ A 2013 independent assessment of evaluation functions by OIOS-IED scored both policies only moderate adherence to UNEG norms and standards, however. See: *United Nations Secretariat Evaluation Scorecards 2010-2011*, Assignment No.: IED-13-006, OIOS-IED

¹⁴ OIOS-IED notes, however, that since June 2013 the Head of the ITC's Monitoring and Evaluation Unit no longer reports to the Executive Director, but rather to the Chief of Strategic Planning, Performance and Governance (SPPG).

¹⁵ All UNCTAD evaluation reports are publicly available on its website. The most recent TBD mandated external evaluation is the *External evaluation of UNCTAD Subprogramme 1: Globalization, interdependence and development*, 2011-2013.

¹⁶ *Evaluation of the International Trade Centre UNCTAD/WTO, Synthesis Report*, 2006.

¹⁷ As part of its work the EMU has produced a set of guidelines that operationalize its evaluation policy. These include guidelines for reports, TORs and follow-up to recommendations.

¹⁸ See Figure I in *Strengthening the role of evaluation and the application of evaluation findings on programme design, delivery and policy directives*. A/68/70.

UNCTAD (n=2) and ITC evaluations (n=3) and found both entities' evaluations to be of "medium" quality, with ITC's faring slightly better.¹⁹

33. During the inception phase, OIOS-IED took these aspects of the two organizations' respective evaluation functions into account in the scoping of the present evaluations. It explored issues surrounding the independence and quality of each organization's evaluations, and also the extent to which potential topics identified by OIOS-IED might have already been adequately covered.

34. During the 2008-2013 period UNCTAD finalized 11 evaluation reports, almost all of which focus primarily on technical cooperation projects and programmes. OIOS-IED did not find any evidence of a full-programme evaluation, nor did it find any pillar-specific evaluations aside from those focusing on technical cooperation.

35. By contrast, ITC, though smaller than UNCTAD, has likewise commissioned 11 evaluations during this same period, including a large, full-programme evaluation in 2012-13. This evaluation built on a similar exercise, undertaken in 2006 and instrumental in the eventual adoption of ITC's evaluation policy and the creation of its current evaluation unit. The recent programme evaluation, published in 2014, has three stated goals: to assess changes in ITC since the 2006 evaluation; evaluate the results of ITC's work over the 2006-2012 period; and propose appropriate future directions for the organisation.²⁰ Most of ITC's remaining evaluations have focused on its technical cooperation projects.²¹

III. Inception Phase Process and Results

A. Inception Phase Process

36. OIOS-IED undertook the present inception exercise from mid-April to mid-June 2014. This exercise aimed to deepen OIOS-IED's understanding of UNCTAD and ITC and their respective operating environments with a view to identifying an evaluation topic, scope and approach for each entity that will: (a) meet OIOS-IED's mandate to strengthen programme accountability, (b) do so in a way that is maximally meaningful to both entities at this juncture of their evolution, and (c) be feasible at this time, in light of key technical and practical considerations.

37. The inception phase began with an in-depth desk review of available documents, which provided background information on both organizations and provided the basis for developing the aforementioned PIPs. The desk review also helped OIOS-IED to begin independently identifying several possible evaluation topics, based on three overarching strategic questions, as follows:

¹⁹ A/68/70

²⁰ *Independent Evaluation of the International Trade Centre (ITC)-Final Report*, 2014

²¹ *Annual Evaluation Synthesis of the Performance of ITC Programme and Functions Evaluated in 2012 and 2013*. 2014, Draft document.

1. What topic(s) need(s) to be evaluated, based on a risk-based review of each organization – i.e., where do each entity’s main financial, programmatic and reputational risks appear to lie, and which of these areas have and have not already been properly evaluated?)
2. Of these key priorities for evaluation, where can OIOS-IED add the greatest value as opposed to other evaluation bodies (e.g., the entities’ own self-evaluation units, other oversight bodies, and so on)?
3. Among this subset, which is most feasible in light of time and resource constraints and OIOS-IED’s mandate to conduct full-programme evaluations?

38. Based on these questions, OIOS-IED independently identified the potential evaluation topics for further exploration during consultations with both organizations’ management. These potential topics are indicated in Figure 8.

Figure 8: Evaluation Topics Explored by OIOS-IED

UNCTAD	ITC
Comprehensive programme evaluation of UNCTAD	Replication of an existing comprehensive programme evaluation (2012-14)
Evaluation focusing on one of UNCTAD’s three pillars: <ol style="list-style-type: none"> I. Consensus-building II. Research and analysis III. Technical cooperation 	In-depth exploration of topical and data analysis gaps in existing 2012-14 programme evaluation
Mainstreaming of the Africa, LDCs and transitional economies focus throughout UNCTAD	Partnership/Relationship of ITC to its parent organizations (UNCTAD and WTO)

39. OIOS-IED subsequently undertook a mission to UNCTAD and ITC Headquarters from 12-15 May 2014. The main objective of the mission was to gauge the proposed topics’ overall resonance with stakeholders and identify any further evaluation topics. (Additional objectives included assessing stakeholder receptivity or resistance to the evaluation and exploring technical and practical issues covered in Sections IV and V below.) In total, OIOS-IED spoke with 19 UNCTAD staff members and 7 ITC staff members.

40. The Geneva mission concluded with an exit meeting with each of the two entities’ focal points for the present evaluations (i.e., the UNCTAD and ITC Evaluation Unit heads). During the exit meeting, OIOS-IED debriefed each focal point on the week’s results, apprised them of the most likely evaluation topic to emerge from the inception process, and solicited their feedback and insights.

41. Following the Geneva mission, the OIOS-IED undertook subsequent internal consultations with OIOS colleagues, including an OIOS-IED-wide brainstorming session on overall approaches to the two evaluations, a briefing of OIOS-IED’s Directorate, and a briefing of OIOS’s USG. The remainder of this section describes the result of these evaluand and internal OIOS consultations.

B. Inception Phase Results

42. Receptivity to OIOS-IED's proposed topics diverged widely between UNCTAD and ITC. Within each entity, however, reactions were highly consistent.

- a. **Within UNCTAD**, all but four out of the 19 staff members consulted viewed the totality of OIOS-IED's proposed topics as potentially relevant and useful, albeit with varying degrees of support for each topic.²² The proposed *Comprehensive programme evaluation* and the *Pillar-focused evaluation* were viewed as the most potentially useful. Within the latter category, however, several staff members pointed out that (a) the technical cooperation pillar has already received a large share of the self-evaluation function's attention to date, a point OIOS-IED independently corroborated, and that (b) the consensus-building pillar would be relatively less useful to management, with numerous staff members noting that the success of this pillar hinges largely on Member State dynamics, an external factor beyond UNCTAD's control. This left the research and analysis pillar as the most feasible topic. Numerous stakeholders also pointed out that, if a single pillar is the focus of the evaluation, this pillar should not be explored in isolation; rather, its linkages to the other two pillars should be included as well. The proposed evaluation of *Mainstreaming of the Africa, LDCs and transitional economies focus throughout UNCTAD* received tepid support.
- b. **Within ITC**, none of the topics proposed was viewed as highly relevant or useful. The comprehensive programme evaluation, in particular, was considered redundant given the on-going independent evaluation of the same topic. The proposed *In-depth exploration of topical and data analysis gaps in existing 2012-14 programme evaluation* garnered the least objection. Having met beforehand to discuss the OIOS-IED evaluation, staff universally conveyed to OIOS-IED the broad scope, scale and quality of the recently completed ITC-wide evaluation, as well as the independence of ITC's evaluation function as the manager of the evaluation. They highlighted the concrete, critical recommendations the ITC-wide evaluation had made and that they will be acting on. They also noted the high transaction costs to a small entity like ITC of engaging in an additional evaluation – particularly while they are moving to implement the recommendations emanating from the recent evaluation. All staff noted that, although they would prefer to delay the present evaluation they expressed full cooperation if it had to move forward. Subsequent to the OIOS-IED mission, ITC's Executive Director conveyed these points directly with OIOS's USG, and requested a postponement of the present evaluation. OIOS's USG decided against such postponement, in view of the General Assembly resolution endorsing the CPC's request to review the programme evaluation report of ITC at its 55th session in 2015.

²² These four staff expressed skepticism of any evaluation at all, noting that UNCTAD is suffering from "oversight fatigue." All four agreed to cooperate with whatever evaluation topic OIOS-IED pursues, however.

During the mission UNCTAD and ITC stakeholders did not offer alternative topics to explore, beyond those OIOS-IED had put forward.²³

43. Annex C provides a synthesis of OIOS-IED's final assessment of its originally proposed topics, based on evolving responses to the three organizing questions throughout the inception phase, and on the evaluands' feedback on each of the topics proposed. Based on this process, OIOS-IED selected the following evaluation topics.

Programme Evaluation of UNCTAD

44. OIOS-IED will undertake an evaluation of UNCTAD's effectiveness, efficiency and relevance through the prism of its research and analysis pillar. This focus emphasizes a pillar that embodies a high-risk profile. Research and analysis represent a large proportion of UNCTAD's outputs (40%) as well as staff resources: all subprogrammes are substantially engaged in it, as Figure 2 conveys, and a majority of UNCTAD staff, 90% of whom are funded through the RB budget, are reportedly involved in producing outputs in this pillar.²⁴ This high level of investment in the pillar underlines UNCTAD's acknowledged identity as a think tank, one that also entails potential reputational risk for this pillar, as research and analysis constitute UNCTAD's main tangible "Think" products. Although the other two pillars embody high risk, one (technical cooperation) has already received significant evaluation attention²⁵ and is primarily XB-funded, and the other (consensus-building) is problematic from an evaluability standpoint if assessed as a standalone topic.²⁶

45. The approach of assessing UNCTAD's broader effectiveness, efficiency and relevance through the prism of this one pillar is important to underscore. This approach strikes a pragmatic balance between the need to focus on what is feasible, while still achieving broad programmatic reach across the entirety of the programme. This approach also reflects feedback garnered from numerous stakeholders consulted, urging OIOS-IED to consider that any pillar-specific evaluation should also address the inextricable linkages between it and the other two pillars. (Section IV describes the practical means by which OIOS-IED will address these linkages.) Since most stakeholders expressed that both the broad programme evaluation topic proposed as well as the pillar-specific topics were of potentially high utility to UNCTAD, the approach proposed should resonate with UNCTAD's management.

²³ Prior to the inception mission ITC stakeholders had identified two potential topics for consideration, but OIOS-IED chose not pursue either out of mandate and technical considerations. OIOS-IED communicated this decision in a conference call with the ITC focal point on 7 May 2014.

²⁴ Despite earlier suggestions of an analysis that speaks to expenditures across the three pillars, OIOS-IED learned that such an analysis does not in fact exist.

²⁵ All of the 10 evaluations UNCTAD conducted in the three biennia from 2008-13 focused on technical cooperation, 9 of which were at the project level and 1 of which was at the programme level.

²⁶ Inherent challenges of this topic would likely lead to data of questionable validity and reliability— i.e., its consensus-building activities are often undocumented and unobservable. During consultations with a senior-level UNCTAD manager, OIOS-IED learned that UNCTAD is in the process of contracting a consultant to help it assess this area of its work and make appropriate recommendations from a management consulting perspective.

Programme Evaluation of ITC

46. OIOS-IED will report, as mandated, on a programme evaluation of ITC, with the PIP depicted in Figure 3 as framework for assessment, and through an assessment of the degree of independence as well as a validation of the results of ITC's own recently completed evaluation serving as its main point of departure. Additionally, OIOS-IED will include an in-depth exploration of topical and data analysis gaps in the existing 2012-14 programme evaluation, as proposed during the consultation process.

47. As noted in para 32, during the inception process OIOS-IED became aware of a large-scale, external, full-programme evaluation of ITC. This evaluation report was finalized during OIOS-IED's inception process on 29 May 2014 and made publically available on 4 June 2014. Although ITC indicated it had verbally notified OIOS' Internal Audit Division (IAD) of its planned self-evaluation in mid-2013, this informal advice did not reach OIOS-IED in advance of its own risk assessment, completed in early 2013, that determined its current work programme that encompasses the present evaluation.²⁷ This evaluation report was assessed by OIOS-IED to be of high quality in light of the evidence available at the time of data collection. Furthermore, in interviews with the ITC's evaluation manager, a desk review of ITC's evaluation policy, and interviews with the external consulting team that had conducted it, the evaluation was assessed as having been conducted with a sufficiently high degree of independence to warrant reliance on its results by OIOS-IED for the purpose of its own evaluation. Finally, in interviews with programme managers, the level of awareness of the existing evaluation and support for acting on its recommendations was assessed to be very high. Although OIOS-IED's independent oversight function lends it an accountability focus somewhat distinct from ITC's self-evaluation function's learning focus, OIOS-IED will capitalize on the ITC's existing analysis as much as possible in the interest of maximizing efficiency and utilization of its own evaluation.

48. Before this backdrop, the emphasis in OIOS-IED's evaluation will be on independently and systematically: (a) determining whether the existing evaluation achieved full programmatic coverage, as per the PIP, and what if any topical or data gaps remain outstanding; (b) validating the existing evaluation's analysis in those areas of the PIP that it did adequately cover, and undertaking further primary data collection and analysis on those areas that it did not; and (c) documenting ITC's progress and remaining gaps in implementing the report's recommendations. To the extent possible, OIOS-IED will also extract from its analysis any new recommendations that might emerge. This approach strikes a balance between what needs to be evaluated, where OIOS-IED can add value, what is feasible – and importantly, what OIOS-IED's governing body, the CPC, requires, i.e., a programme evaluation of the ITC – and what is of potentially high utility to ITC. Rather than replicating the ITC's full-scale evaluation, which would prove to be labour-intensive for OIOS-IED and of limited value to the ITC, OIOS-IED will report to the CPC a summary of the results of ITC's recent independent evaluation, based on the validation component described above. Section V describes OIOS-IED's approach to this evaluation.

²⁷ Even so, OIOS-IED's risk assessment does not take into account evaluations that are planned but not started or completed.

Evaluation Topics Recommended for Self-Evaluation

49. As the foregoing sections convey, based on analysis and feedback garnered during the inception process, OIOS-IED chose to forego some of its originally proposed topics in order to focus on those selected. Among these, OIOS-IED has identified three topics; two on UNCTAD and one relevant to both UNCTAD and ITC, possibly a joint-evaluation, that it urges their evaluation units to add to their respective work programmes in the coming cycle and, together with the senior management of each, to identify the resources for these evaluations. These topics are:

- a. an **evaluation of UNCTAD's technical cooperation pillar**, which along with the present evaluation and the planned review of UNCTAD's approach to consensus-building, should inform a **full UNCTAD programme evaluation** by the end of the 2014-15 biennium in lead-up to UNCTAD XIV; and
- b. an **evaluation of the relationship between ITC and its two parent organizations**, UNCTAD and the WTO, including both the structural and governance arrangements among the three organizations and their areas of substantive partnership.²⁸

IV. Programme Evaluation of UNCTAD: Terms of Reference

A. Evaluation Objectives and Purpose

50. The objective of this evaluation will be to determine, as systematically and objectively as possible, UNCTAD's relevance, effectiveness and efficiency from 2010-14, with an emphasis on the role of its research and analysis pillar in contributing to overall programme performance.

51. In keeping with OIOS-IED's mandate, the evaluation will seek to strengthen accountability by fostering discussion among Member States, UNCTAD management, and partners on whether UNCTAD has achieved results through the research and analysis pillar over the 2010-14 period and why. In keeping with OIOS-IED's commitment to promote programme learning, it will also seek to foster discussion on what UNCTAD might do to improve in the areas covered – i.e., in the short term, how it might approach this pillar (and its linkages to other pillars) in better ways, and in the longer term, how it might prepare itself for UNCTAD XIV, the SDGs and the Post-2015 Agenda.

²⁸ In the present evaluation, OIOS-IED will endeavor to explore whether the UNCTAD-ITC relationship is adequately covered in the recent evaluation finalized in June 2014. This only explores the two UN Secretariat organizations within OIOS-IED's remit, however; as WTO falls outside this remit, the additional evaluation proposed here would ideally be undertaken jointly by UNCTAD, WTO and ITC, and cover more ground than OIOS-IED's current evaluation can within its limited time, resources, and mandate.

B. Scope

52. As noted in para 4, the unit of analysis in the present evaluation will be the UNCTAD Secretariat, not the Conference, which comprises Member States. Its primary focus will be the inputs, outputs and outcomes of UNCTAD's research and analysis pillar from 2010-14.²⁹ This corresponds to Roman numeral I and impact pathway e in the UNCTAD PIP in Figure 1. In keeping with the evaluation's broader assessment of the pillar's contribution to the UNCTAD programme as a whole, however, the evaluation will explicitly seek to explore the linkages between this pillar and the other two pillars – that is, the various pathways labelled g in the PIP.

53. Other aspects of the PIP will be covered in the present evaluation only to the extent that they directly intersect with the research and analysis pillar, given the evaluation's focus on this pillar. This includes the impact pathways specific to the other two pillars, given by pathways (d) and (f), except to the extent OIOS-IED finds a substantial, clear and explicit role (whether actual or potential) of the research and analysis pillar in contributing to these other pathways through arrows (g). It also includes the wide range of activities associated with UNCTAD's internal operations, indicated in the PIP as the 'Executive direction and management' pathway (h). This area will not be covered broadly in the evaluation, but rather for its role in influencing the relevance, effectiveness and efficiency of the pillar in focus.

54. OIOS-IED will operationalize 'research and analysis' according to the three output categories UNCTAD has defined in the Integrated Monitoring & Documentation Information System (IMDIS): recurrent publications, non-recurrent publications, and other substantive activities. Within the recurrent publications category, OIOS-IED will include the entire universe of UNCTAD's eight flagship publications. Otherwise, OIOS-IED will draw a stratified random sample (SRS) of all remaining outputs in this category as well as the other two categories.³⁰ Specific stratification variables will be identified from a systematic analysis to uncover underlying sub-typologies of UNCTAD's various outputs in each category, as well as other key factors (e.g., whether produced solely by UNCTAD or in partnership with other entities). It is presumed that the 'Other substantive activities' includes dissemination, publicity and communications, media tracking and other aspects of post-production, as well as lectures and presentations, all of which will form an integral line of analysis in assessing the pillar's performance.

C. Evaluation Questions

55. OIOS-IED has identified 10 overarching evaluation questions, each of which will be operationalized by a series of corresponding subquestions. Figure 9 enumerates these questions, organized around the criteria of effectiveness, relevance, and efficiency. All questions will be posed at the global, or inter-governmental, level, and where appropriate at

²⁹Given data, time and resource constraints, the evaluation will not attempt to measure UNCTAD's impact.

³⁰N=1082 in 2012-13 alone. This included 8 flagship and 82 non-flagship recurrent publications, 124 non-recurrent publications, and 868 other pillar-related activities. N=1011 in 2010-2011 with 85 non-flagship recurrent publications, 151 non-recurrent publications, and 775 other pillar-related activities. N=950 in 2014-2015 with 60 non-flagship recurrent publications, 111 non-recurrent publications, and 779 other pillar-related activities.

the national level. In addition, although all questions are posed in the aggregate – i.e., revolving around research and analyses generally – wherever applicable OIOS-IED will seek to identify any salient differences among these many products in order to enable more nuanced analysis and specific recommendations.

56. According to GA resolutions 53/120 (para 3) 60/1 (paras 59 and 66) and 60/251 (para 126), gender and human rights perspectives must be mainstreamed into all UN policies and programmes. UNEG guidance states “an evaluation that is Human Rights and Gender Equality responsive addresses the programming principles required by a human rights based approach and gender mainstreaming strategy.”³¹ Evaluation subquestion 4.4 incorporates this explicit focus. Wherever analytically meaningful, OIOS-IED will also disaggregate all data by gender and other relevant variables.

³¹ *Integrating Human Rights and Gender Equality in Evaluation -- Towards UNEG Guidance*, United Nations Evaluation Group (UNEG/G(2011)2), para 20.

Figure 9: Overarching Evaluation Questions and Subquestions, Organized along Effectiveness, Relevance, and Efficiency Criteria, UNCTAD

	Overarching Question	Subquestions
Effectiveness	1. Over the 2010-14 period, to what extent have UNCTAD’s research and analyses provided credible information that has increased knowledge and awareness, and positively influenced attitudes and actions, among key stakeholders in ways congruent with the UNCTAD mandate?	1.1. How high-quality and credible do key stakeholders, as well as independent experts unaffiliated with UNCTAD, consider UNCTAD’s research and analyses produced during this period to have been? 1.2. To what extent did UNCTAD’s research and analyses increase stakeholders’ knowledge, awareness, attitudes and actions during this period in the areas they had targeted? 1.3. What if any unintended consequences did they engender during this period?
	2. To what extent have UNCTAD’s research and analyses contributed to the targeted objectives of its consensus-building and technical cooperation pillars, and vice versa?	2.1. To what extent have UNCTAD’s research and analyses enhanced the expertise it renders through the consensus-building pillar during this period, thereby helping build consensus in the areas targeted by its mandate? 2.2. To what extent have UNCTAD’s research and analyses helped enhance the capacity-building assistance it provides through the technical cooperation pillar during this period, thereby helping make assisted countries’ development strategies more conducive to the goals of the UNCTAD mandate?
	3. What key factors helped or hindered UNCTAD in achieving maximum effectiveness through its research and analysis pillar in 2010-14?	2.3. To what extent have the activities UNCTAD has undertaken in the consensus-building and technical cooperation pillars served as exponents of its research and analysis outputs’ effectiveness? 3.1. What key internal and external factors affected the pillar’s effectiveness during this period?
Relevance	4. Over the 2010-14 period, how effectively has UNCTAD identified the most salient issues and countries to prioritize through its research and analysis pillar, in alignment both with its mandate and with emerging trends and key discussions, debates and decisions at the global and national levels?	4.1. What if any mechanisms has UNCTAD had in place for identifying the issues, trends, and countries to prioritize in its work in the pillar, in accordance with its mandate and with current policy debates (e.g., UNCTAD sessions, the SDG and post-2015 discussions, and so on)? 4.2. How well aligned with the most salient issues, trends, countries, and current policy debates do key stakeholders, as well as independent experts unaffiliated with UNCTAD, consider the research and analyses UNCTAD produced during this period to have been? 4.3. How closely has UNCTAD actually aligned its work in the pillar with the highest-priority issues, trends, with its mandate, and with current policy debates? 4.4. How effectively has UNCTAD mainstreamed gender in its research and analyses?
	5. What if any unique value-added has UNCTAD brought to the discussions, debates and decisions in the areas under its mandate compared to other actors engaged in similar work during this same period?	5.1. What if any mechanisms does UNCTAD have in place for mapping the research and analyses other actors have produced in the areas covered by its mandate, for analysing its comparative advantage in relation to these other actors, and for defining a work plan that seizes on this comparative advantage and seeks to add complementary value instead of unnecessarily duplicating such work? 5.2. How well aligned with UNCTAD’s comparative advantage do its key stakeholders as well as independent experts unaffiliated with UNCTAD, consider the research and analyses UNCTAD produced during this period to have been, and what if any areas of specific value-added do they find these to have had compared to other actors’ work?

	<p>6. How effective has UNCTAD been in targeting and pursuing the most fit-for-purpose strategies to help it achieve maximum visibility and effectiveness of the pillar’s outputs during this period?</p> <p>7. What key factors have helped or hindered UNCTAD in achieving maximum relevance in its research and analysis pillar in 2010-14?</p>	<p>6.1. What of any strategies has UNCTAD had in place for maximizing the visibility and effectiveness of the pillar’s outputs during this period, for tracking their visibility and effectiveness, and for using this information to inform subsequent dissemination and communications activities?</p> <p>6.2. How effective have these strategies been in maximizing the visibility and effectiveness of UNCTAD’s research and analyses during this period?</p> <p>7.1. What key internal and external factors affected the pillar’s relevance during this period?</p>
<p>Efficiency</p>	<p>8. How timely have UNCTAD’s research and analyses been in influencing the key discussions, debates and decisions at hand during the 2010-14 period?</p> <p>9. Overall, how adeptly has UNCTAD harnessed its human and financial resources, as well as other inputs such as policies, partnerships, strategies and internal processes to achieve maximum results through its research and analysis pillar during this period?</p> <p>10. What key factors have helped or hindered UNCTAD in achieving maximum efficiency in its research and analysis pillar?</p>	<p>8.1. What has been the time to delivery of UNCTAD’s research and analyses during this period?</p> <p>8.2. How timely do key stakeholders, as well as independent experts unaffiliated with UNCTAD, consider the research and analyses UNCTAD produced during this period to have been, both in terms of their success in anticipating and exploring emerging issues, and in being available to inform key discussions, debates and decisions?</p> <p>9.1. What have been the human and financial investments in the pillar, and in its specific outputs, and how cost-effective have these been in achieving their targeted results?</p> <p>9.2. How effectively has the agency managed its human and financial resources to achieve maximum relevance, effectiveness and efficiency through the pillar – for example, through:</p> <ul style="list-style-type: none"> • Clear roles and responsibilities in the production, dissemination and communication of its work? • Formal and informal modes of horizontal coordination and collaboration to achieve maximum coherence, consistency and complementarity among the pillar’s outputs, and between the research, analysis and publication pillar and the other two pillars – including but not limited to the Publications Working Group, information and knowledge management systems, and so on? • Internal processes to enable the pillar’s success • Effective executive direction and management, clear policies and other sources of strategic guidance, and other forms of vertical coordination and collaboration that enable the pillar? • Any other material and non-material aspects of efficiency? <p>10.1. What key factors, both internal (e.g., internal processes such as policy clearance budget process, Publications Board) and external (e.g., outside editing and translation, DGACM’s role), affected the pillar’s efficiency during this period?</p>

D. Methodology

57. OIOS-IED employs a mixed-method approach, relying on a combination of the most appropriate qualitative and quantitative methods to answer the evaluation questions at hand. By triangulating a wide range of data sources, OIOS-IED aims to marshal the strongest evidence available – and thus maximize the credibility of its analyses.

58. With this principle in mind, during the inception phase OIOS-IED not only sought to identify the most suitable scope for the evaluation, but rather also those methods best suited to answer the evaluation questions outlined in Figure 9 – and those most feasible in light of time, resource and data availability constraints. Based on this due diligence, OIOS-IED will employ the following tools in the evaluation.

- **Formal desk review of pillar outputs and other documents.** OIOS-IED will analyse all of UNCTAD’s eight flagship reports produced each year from 2010-14. For all other recurrent and non-recurrent publications, and other substantive activities associated with the pillar (including data and statistics that constitute end outputs in their own right, rather than merely instrumental outputs that feed into other research and analyses), OIOS-IED will draw a stratified random sample (SRS) large enough to ensure a 95% level of confidence with a 3.4-point margin of error *in multivariate analysis*.³² OIOS-IED will analyse documents on those areas in which it is qualified to assess, and will engage a small corps of independent experts to review the sampled pillar outputs on criteria outside OIOS-IED’s expertise. OIOS-IED will also draw an SRS of outputs from the other two pillars in order to explore questions related to inter-pillar linkages. Finally, OIOS-IED will review other documents of relevance to the evaluation, such as evaluations, policy documents, project reports, and so on.³³
- **Secondary analysis of UNCTAD monitoring data.** OIOS-IED is aware that UNCTAD has established means for assessing media coverage of its work. OIOS-IED will requisition these and other monitoring data, both at the global and country level as appropriate, and perform secondary analysis of these datasets to the extent that UNCTAD’s variables are consistent with OIOS-IED’s.
- **Scan of UNCTAD’s reach.** In addition to including UNCTAD’s existing media scan data in the formal desk review and secondary analyses described above, OIOS-IED will seek to build on these by undertaking its own primary data

³² The objective of drawing an SRS is to reduce the number of all possible documents and activities a more manageable number for analysis and extrapolation. At the outset of the evaluation, OIOS-IED will work with UNCTAD’s evaluation focal point to determine the stratification variables to be used in the SRS (e.g., output categories and subcategories such as publication type, as well as variables such as outputs produced solely by UNCTAD versus those produced jointly with other entities), and the appropriate sample size to be drawn to achieve the desired level of confidence. Through probabilistic sampling, OIOS-IED will endeavour to extrapolate its analysis to the wider universe of this pillar’s outputs. It is also foreseen that, assuming data availability, OIOS-IED will be able to assess the interaction (multiplicative) effects of the other pillars in advancing the pillar’s effectiveness – and vice versa – in an attempt to explore the effectiveness of inter-pillar linkages. OIOS-IED will ensure adequate sampling to enable multivariate statistical analysis, the number of which is larger than that of simple univariate or bivariate analysis.

³³ In all of its desk reviews, OIOS-IED will employ formal desk review tools to document and code the data obtained. In addition, wherever possible OIOS-IED will employ a multi-rater approach in its assessments, and calculate inter-rater reliability scores, in order to maximize fidelity to its assessment tools and minimize individual bias.

collection in these areas. Using Factiva and Meltwater software packages, for example, OIOS-IED will undertake its own independent scan of media coverage of UNCTAD's pillar outputs. OIOS-IED will also draw an SRS of university course curricula in the disciplines of economics, econometrics, public policy, international affairs, sustainable development and other related fields in order to assess whether UNCTAD's flagship reports and other pillar outputs are mentioned in course curricula and bibliographies (required or recommended reading).

- **Direct observation of internal and external meetings and events.** This method is intended to capture first-hand data on UNCTAD's internal and external interactions in areas of relevance to the evaluation. OIOS-IED will use direct observation to systematically assess the extent to which UNCTAD brings its pillar outputs to bear on key consensus-building events, and how this is received. OIOS-IED will observe meetings of the Publications Working Group and other relevant meetings in order to observe internal interactions on areas related to the evaluation questions.
- **Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs).** OIOS-IED will explore the perspectives of key interlocutors representing UNCTAD's main stakeholder constituencies, identified during the inception phase, through these modalities.³⁴ At global level, these include Member States (delegates attending UNCTAD and TDB sessions and sessions of their subsidiary bodies, the Commission on Science and Technology for Development, the Second Committee of the General Assembly, ECOSOC) and other users of UNCTAD's specific publications (e.g., academic institutions, international financial institutions, trade-related civil society organizations such as chambers of commerce, and so on); UN partners, especially the Regional Commissions and other development-oriented entities (e.g., UNDP, DESA); and UNCTAD staff and management. At country level, it also includes national authorities and civil society organizations (CSOs) such as academicians; at this level, OIOS-IED will limit its KIIs and FGDs to those pillar activities and countries selected for case study as described below.
- **Stakeholder surveys.** In order to obtain perceptual stakeholder data that lends itself to quantitative analysis, OIOS-IED will conduct a survey of UNCTAD clients and audiences it has explicitly targeted with its pillar outputs, and another of UNCTAD staff. OIOS-IED will also conduct a survey of sustainable development 'thought leaders' – that is, experts (e.g., academics, think tank representatives, and so on) who do not necessarily work with UNCTAD but who are recognized by their peers as influential experts in the trade-related dimensions of sustainable development.³⁵ This group will be particularly valuable in helping answer the relevance- and effectiveness-related questions outlined in Figure 9.

³⁴ Interviews and focus groups will take place on site in Geneva and New York, and by telephone or Skype for other locations. No mission travel beyond Geneva is foreseen.

³⁵ Owing to the lack of a clearly defined universe for this group, OIOS-IED will develop a convenience sample for this survey, based both on its own due diligence and on inputs from the evaluation Advisory Panel described in para 75.

- **Cost analysis.** Though fraught with difficulty in the UN environment, cost analysis is a valuable means of gauging programme efficiency. Depending on data availability, OIOS-IED will attempt to calculate the estimated cost of UNCTAD's pillar outputs, both in terms of monetized staff time and non-staff costs, and to juxtapose these to these outputs' effectiveness metrics. If feasible, OIOS-IED will attempt to benchmark UNCTAD's cost-effectiveness against a handful of comparator organizations producing similar types of analyses.
- **Path Analysis of Output and Country Case Studies.** Among those pillar and cross-pillar outputs sampled, OIOS-IED will select a small subset of such cases for in-depth desk analysis. OIOS-IED will also identify a small number of countries for case study, drawn from those countries where UNCTAD has undertaken a significant amount of pillar and cross-pillar activity. In its case studies, OIOS-IED will take a path analysis approach, employing the same methods described above in a manner tailored to assessing outputs' relevance, effectiveness and efficiency within the specific output-country context at hand.³⁶

59. Annex D indicates how OIOS-IED will use each of these methods to answer the specific questions outlined in Figure 9.

V. Programme Evaluation of ITC: Terms of Reference

A. Evaluation Objectives and Purpose

60. The objective of this evaluation will be to determine, as systematically and objectively as possible, the ITC's relevance, effectiveness and efficiency over the 2006-14 period. Using the ITC's recent 2013-14 evaluation as its point of departure, OIOS-IED's evaluation will independently assess this evaluation's coverage and quality of analysis against the ITC PIP in Figure 3. Toward this end, OIOS-IED will seek to validate those conclusions, findings and recommendations in the existing evaluation that are supported by strong evidence, qualify those areas less well supported by strong evidence, and wherever feasible supplement these less-well-evidenced areas with any necessary primary data collection. OIOS-IED's evaluation will further seek to independently assess ITC's implementation of the recommendations emanating from the existing evaluation, systematically documenting evidence of progress made and gaps outstanding at this early stage.

61. In keeping with OIOS-IED's mandate, the evaluation will promote accountability by providing an independent perspective on ITC's own comprehensive analysis. In doing so, OIOS-IED will aim to foster discussion among Member States, as well as ITC

³⁶ In the selection of the output its case studies, OIOS-IED will undertake a systematic, multi-factor analysis of UNCTAD's portfolio of pillar outputs. It will seek to identify those outputs and countries that: (a) are representative of an underlying typology of UNCTAD's outputs (i.e., rather than drawn arbitrarily to meet a geographical quota), so as to enable IED to extrapolate lessons to other, similar settings; and (b) pose a significant level of material criticality from a financial, programmatic, reputational and human risk standpoint.

management and the JAG, on whether the ITC has achieved results over this period and why – and whether ITC has meaningfully acted on the recommendations stemming from its own evaluation. In keeping with OIOS-IED’s commitment to encourage programme learning, it will also seek to foster discussion within ITC on what it might do to improve—e.g., those remaining recommendations that should be prioritized, those that require further action, and so on.

B. Scope

62. OIOS-IED routinely employs independent secondary analysis of existing sources, be these monitoring data, evaluation reports or other documents, as important inputs into its evaluations. During the present inception phase OIOS-IED learned of the ITC’s 2013-14 evaluation. This evaluation, which OIOS-IED found *prima facie* to have been sufficiently broad in its programme coverage, and sufficiently credible and independent, will form the point of departure and chief input into this evaluation.

63. In doing so, OIOS-IED will take a three-step approach in its evaluation. First, it will independently examine the extent to which the ITC’s final evaluation report, released in June 2014, adequately covers the entirety of the PIP articulated in Figure 4. Second, based on the conclusions of this initial phase, OIOS-IED will identify: (a) those areas of the PIP already adequately covered in the ITC’s evaluation, which it will independently validate, and (b) those PIP areas not adequately covered in the ITC’s evaluation, and those adequately covered but for which sufficient data were not forthcoming at the time of data collection, which OIOS-IED will explore further in its own primary data collection. Third, OIOS-IED will review the management response to the 2013-14 evaluation and independently verify ITC’s progress against it.³⁷

64. This approach reflects a balanced effort to fulfil OIOS-IED’s mandate and commitments as well as the perspectives ITC shared during the inception phase. It ensures that OIOS-IED will meet its commitment to its governing body, the Committee for Programme and Coordination (CPC), to produce an independent evaluation of the ITC during the current programme cycle, while also doing so in the most efficient manner possible. It also respects the ITC’s significant investment in credible, independent evaluation to date, as well as its stated intention to act on the evaluation’s recommendations and its concerns surrounding its capacity to do so if, as a small entity, it becomes encumbered by another large-scale evaluation.

65. Considering the breadth of scope of the ITC’s own full-programme evaluation, OIOS-IED’s evaluation will take a similarly broad perspective, exploring the ITC programme as a whole. It will focus on ITC’s trade-related technical assistance (TRTA), which constitutes the vast majority of the ITC’s work. OIOS-IED’s time frame will extend beyond that covered by the ITC’s evaluation (2006-13), however, and will include 2014. This extended time period will provide more current performance data and, where applicable, capture evidence of progress in implementing the previous evaluation’s recommendations.

³⁷ OIOS-IED is aware that actions on ITC’s evaluation will be on-going, but will note progress made by the time of this evaluation.

C. Evaluation Questions

66. Before this backdrop, in Figure 10 OIOS-IED has identified eight overarching evaluation questions and a series of corresponding subquestions. The evaluation questions reflect a similarly broad scope as that covered by the ITC's 2013-14 evaluation. Section D conveys the methodology for answering these questions, with a clear view to the balanced approach described in paras 61-64. This evaluation will take the same approach to incorporating and gender and human rights perspective as described in para 55 in relation to the evaluation of UNCTAD.

Figure 10: Overarching Evaluation Questions and Subquestions, Organized along Effectiveness/Impact, Relevance, and Efficiency Criteria, ITC

	Overarching Question	Subquestions
Effectiveness/ Impact	<p>1. Over the 2010-14 period, to what extent has ITC’s trade-related technical assistance (TRTA) to small and medium-sized enterprises built these enterprises’ capacity for increased exports, particularly in LDCs and countries with transitional economies, compared to the period before ITC’s assistance and compared to other countries and enterprises ITC did not assist?</p> <p>2. Over this same period, to what extent have exports increased among ITC-assisted countries and enterprises compared to the period before ITC’s assistance and compared to other countries and enterprises ITC did not assist?</p> <p>3. What key factors helped or hindered ITC in achieving its targeted objectives in 2007-14?</p>	<p>1.1. To what extent did ITC’s TRTA increase the capacity of small and medium-sized enterprises for exports during this period, compared to the period before ITC’s assistance?</p> <p>1.2. To what extent did ITC’s TRTA increase the capacity of small and medium-sized enterprises for exports during this period, compared to other enterprises ITC did not assist in these countries?</p>
		<p>2.1. To what extent did ITC’s TRTA increase actual exports by small and medium-sized enterprises it assisted during this period, compared to other enterprises ITC did not assist in these countries?</p> <p>2.2. To what extent did ITC’s TRTA increase actual exports by small and medium-sized enterprises it assisted during this period, compared to the period before ITC’s assistance?</p> <p>2.3. To what extent did ITC’s TRTA increase overall exports by small and medium-sized enterprises in the countries it assisted during this period, compared to other countries it did not assist?</p> <p>2.4. What if any unintended consequences did ITC’s TRTA engender during this period?</p>
		<p>3.1. What key internal and external factors have affected ITC’s effectiveness from 2007-14?</p>
Relevance	<p>4. Over the 2007-14 period, how effectively has ITC identified those countries, sectors, industries and enterprises to prioritize through its TRTA, in light of its comparative advantage?</p> <p>5. How effectively has ITC identified the most fit-for-purpose solutions to provide to specific sectors, industries and enterprises through its TRTA, in light of its comparative advantage?</p> <p>6. What key factors have helped or hindered ITC in achieving maximum relevance in its TRTA in 2007-14?</p>	<p>4.1. What if any mechanisms has ITC had in place for identifying the countries, sectors, industries and enterprises to prioritize through its TRTA?</p> <p>4.2. What if any mechanisms has ITC had in place for systematically mapping the TRTA other actors provide and identifying its own comparative advantage within this landscape?</p> <p>4.3. How well aligned has ITC’s TRTA been with the countries, sectors, industries and enterprises that need its assistance the most, and with its own comparative advantage?</p> <p>4.4. How effectively has ITC mainstreamed the lens of gender in its TRTA work?</p>
		<p>5.1. What if any mechanisms has ITC had in place for identifying the most fit-for-purpose solutions for the countries, sectors, industries and enterprises it will assist?</p> <p>5.2. How well aligned has ITC’s TRTA been with the expressed needs of these countries, sectors, industries and enterprises?</p>
		<p>6.1. What key internal and external factors have affected ITC’s relevance from 2007-14?</p>

Efficiency	7. Overall, how adeptly has ITC harnessed its human and financial resources, as well as other inputs such as policies and partnerships, to achieve maximum results through its TRTA during the 2007-2014 period? 8. What key factors have helped or hindered ITC in achieving maximum efficiency in its TRTA during this period?	7.1. What have been the human and financial investments in the ITC’s TRTA, and how cost-effective have these been in achieving their targeted results? 7.2. How effectively has the ITC managed its human and financial resources , as well as other inputs, to achieve maximum relevance, effectiveness and efficiency through its TRTA – for example, through: <ul style="list-style-type: none"> • Formal and informal modes of horizontal coordination and collaboration to achieve maximum coherence, consistency and complementarity in its work – including but not limited to information and knowledge management systems, and so on? • Clear roles and responsibilities, including accountability lines, coordination and collaboration with its parent organizations clear policy guidance, and other forms of vertical coordination and collaboration, in the provision of its TRTA? • Other material and non-material aspects of efficiency?
		8.1. What key internal and external factors have affected ITC’s efficiency from 2007-14?

D. Methodology

67. Annex D provides a preliminary indication of the metrics OIOS-IED intends to use to answer the specific questions and subquestions outlined in Figure 4. As in its evaluation of UNCTAD, OIOS-IED will employ a mixed-method approach, relying on a combination of the most appropriate qualitative and quantitative methods to answer the evaluation questions at hand. It will organize its data collection analysis around the three-step process described in Section B above, as follows.

Step 1: Independent Review of ITC Evaluation Coverage against Its PIP

68. This step, which OIOS-ED will undertake at the very outset of the evaluation, will entail a mapping of the 2013-14 ITC evaluation's thematic coverage of the impact pathways depicted in the PIP in Figure 3. The culmination of this step will be a brief (i.e., 3-5-page) concept note for Step 2 of the evaluation, described below, in which OIOS-IED will articulate the following:

- Those areas of the PIP ITC's 2013-14 evaluation has adequately covered, and for which there are no further data available since data collection for this evaluation ended in 2013, and which OIOS-IED will therefore independently validate through the methods described below;
- Those areas of the PIP ITC's 2013-14 evaluation has adequately covered, but for which further data have become available since data collection for this evaluation ended in 2013, and which OIOS-IED will therefore collect and analyse additional primary data through the methods described below;
- Those areas of the PIP ITC's 2013-14 evaluation has not adequately covered, and which OIOS-IED will therefore explore further through the data collection methods described below; and
- For each of the above levels of analysis, which specific combination of sampling and data collection methods OIOS-IED will select.

Step 2: Independent Validation and Any Necessary Additional Data Collection

69. This prong of OIOS-IED's analysis will entail the following methods:

- Independent desk review of an SRS of key raw data sources (e.g., interview and focus group notes, direct observations, desk-reviewed documents, and so on) and data analysis documents (e.g., summaries, frequency distributions) against the conclusions drawn from them in the 2013-14 evaluation report. This will entail a one-week on-site visit to where these data sources reside in London, in order to protect the confidentiality of all key informants in the previous evaluation.
- Phone or Skype interviews with a smaller SRS of sampled key stakeholders, in order to confirm the feedback provided during their interview.

70. Though largely dependent on the specific thematic gaps identified during Step 1, any data collection necessary to provide additional evidence on ITC's performance since 2013 or to remedy data gaps in those areas covered less adequately covered in the ITC's 2013-14 evaluation, will entail the following methods:

- **Formal document review.** Wherever necessary and feasible, OIOS-IED will requisition specific documentary evidence, the review of which will help it answer any outstanding questions at hand.
- **Secondary data analysis.** To the extent that monitoring data are now available that were not available at the time of the 2013-14 evaluation team's analysis, OIOS-IED will requisition and analyse these for any outstanding areas to which this method applies.
- **Key Informant Interviews (KIIs) and Focus Group Discussions (FGDs).** In order to obtain perceptual data on any outstanding areas, OIOS-IED will undertake phone or Skype interviews and focus groups with the most pertinent key stakeholders associated with the corresponding data gap.

Step 3: Independent Review of ITC's Reported Progress against Recommendations

71. During its analysis, OIOS-IED will review the recommendations set forth in the 2013-14 evaluation, along with the ITC's subsequent management response. For this prong of the analysis, OIOS-IED will rely on interviews with key managers and staff responsible for specific recommendations, followed by formal desk review of key means of verification associated with each recommendation. OIOS-IED will also articulate any additional recommendations emanating from its own analysis.

VI. Evaluation Management

72. Although the two planned evaluations differ in their objectives, scope and methodologies, management of both will reside in the same section within OIOS-IED. This management arrangement will enable OIOS-IED staff opportunity for optimal information- and knowledge sharing on these two closely related organizations – and for efficiency gains, in the form of joint missions and other areas. This section describes how the section responsible for the two evaluations will manage the evaluations, both in these general practical terms and in terms of striking the balance between independence and a consultative process described in para 3.

A. Evaluation Consultation Process

73. For this evaluation, UNCTAD and ITC have nominated the heads of their respective Evaluation Units to serve as focal points for this evaluation. The role of the focal points will be to help facilitate the evaluation and its uptake by advising OIOS-IED on all pertinent matters (including those associated with risk management, described below), ensuring timely provision of all requested documents and information, organizing itineraries for its missions, and managing internal consultations and communications surrounding the evaluation.

74. OIOS-IED suggests that both organizations additionally put in place consultation arrangements, whether in the form of reference groups or less formal networks, in order to maximize the quality, relevance, credibility and ultimately uptake of the evaluations. Figure 11 indicates those staff members OIOS-IED recommends for inclusion in the two organizations' respective consultation networks, at minimum.

Figure 11: Proposed Division/Office Focal Points for OIOS-IED Evaluation, UNCTAD and ITC

UNCTAD	N	ITC	N
OUSG via Chief of Staff	1	ASG/ED	1
Programme Support Services / Resources Management Service	2	DED	1
Division for Africa, LDCs, Special Programmes	1	Division of Business and Institutional Support	1
Division on Globalization and Development Strategies	1	Strategic Planning, Performance and Governance	1
Division on Investment and Enterprise	1	Division of Programme Support	1
Division on Internat'l Trade in Goods/Svcs/Commodities	1	Division of Country Programmes	1
Division on Technology and Logistics	1	Division of Market Development	1
Chief, Special Unit on Commodities	1		
OiC, Communications, Information and Outreach	1		
OiC, Intergovernmental Support Service	1		
OiC, Technical Cooperation Service	1		
Oversight Focal Point	1		
Total Members	13	Total Members	7

Focal points will be tasked with consulting their respective divisions or offices and consolidating their feedback on OIOS-IED outputs (i.e., this Inception Paper and the draft and final evaluation report). Focal points will serve in an advisory capacity only.

75. OIOS-IED will also establish an Advisory Panel for the UNCTAD evaluation, comprised of external actors not currently involved with UNCTAD but familiar with its work and operating environment. In addition to contributing to OIOS-IED's desk review and assisting OIOS-IED in compiling the sample of thought leaders in the trade-related dimensions of sustainable development (as described in para 57), the Panel's role will be to provide an external substantive perspective on key evaluation outputs, including this Inception Paper and the draft report. OIOS-IED will independently select members based on their expertise in sustainable development issues. Given the lighter data collection and analysis approach to the ITC evaluation, no such advisory panel is foreseen, though on a need basis and if identified, external expertise may be engaged to support the evaluation.

B. Risk Management

76. OIOS-IED foresees several main risks to the timely completion of a credible evaluation, which OIOS-IED and the focal point will need to jointly monitor and manage. Figure 12 outlines these risks, along with their anticipated likelihood and impact in the event they do occur, as well as measures to manage each.

Figure 12: Risk Management Matrix

Risk	Potential Impact on Evaluation	Likelihood of Occurrence	Management Plan
Expanding expectations of analysis compared to the compressed timeframe and limited resources at hand	High	High	<ul style="list-style-type: none"> Use of secondary data, based on samples rather than universes, wherever appropriate Reliance on drawing probabilistic sample of UNCTAD outputs, in order to extrapolate to full population of documents Engagement of external consultant, familiar with OIOS-IED's work, to team-lead the ITC evaluation
Attempts to undermine OIOS-IED's independence	High	Medium	<ul style="list-style-type: none"> On-going consultations with UNCTAD and ITC focal points to ensure concept of independence is clearly understood, coupled with early warning system to alert the OIOS OUSG of any issues
Lack of consistent data to measure results at outcome level	Medium	High	<ul style="list-style-type: none"> Acknowledge shortcomings in the data and rely on qualitative and / or proxy indicators where no quantitative data exist
Sensitive political environment	Low	Medium	<ul style="list-style-type: none"> Extensive consultations with UNCTAD and ITC focal points, as well as consultation networks within each, throughout the evaluation process Careful wording of final evaluation reports

C. Timeline and Evaluation Work Plan

77. OIOS-IED will implement the evaluation in four phases, as follows:

- **Phase 1: Scoping/planning** (April to June 2014), culminating in this inception paper;
- **Phase 2: Data collection** (July to October 2014), including the data collection methods described in Sections IV (D) and V (D);
- **Phase 3: Data analysis** (October–December 2014). Consolidation and analysis of data.
- **Phase 4: Report writing** (November 2014–January 2015). Development of evaluation results and recommendations and drafting of report.
- **Phase 5: Report finalization** (February–March 2015). Dissemination of draft reports to UNCTAD and ITC for comments, inclusion of comments into final report, and finalization of report.

78. OIOS-IED expects to be able to share its draft evaluation reports for comment by UNCTAD and ITC, respectively, by the end of December 2014. The evaluation report will be submitted to DGACM by end March 2015. The report will be available for CPC consideration in June 2015. Figure 13 demarcates these and other milestones.

Figure 13: Work Plan and Schedule: April 2014 to March 2015

Task	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
Inception Paper												
Instruments / Analysis Plan developed												
Analysis plan developed												
Data collection												
Data analysis												
Report drafting												
Report review												
Final report												

D. Resource Requirements

79. OIOS-IED will carry out the evaluation of UNCTAD with a team consisting of 1 team leader and 1 team member, each devoted to the project full-time (90%), supported by a Chief of Section devoting 33% time to this evaluation. OIOS-IED will also engage three of the evaluation Advisory Panel members to assist in the desk review of UNCTAD outputs, each engaged for two weeks. OIOS-IED will undertake the evaluation of ITC with the assistance of a full-time consultant reporting directly to the Chief of Section, who will devote 33% time to this evaluation. Figure 14 provides a detailed overview of staff and financial resources allocated to these evaluations.

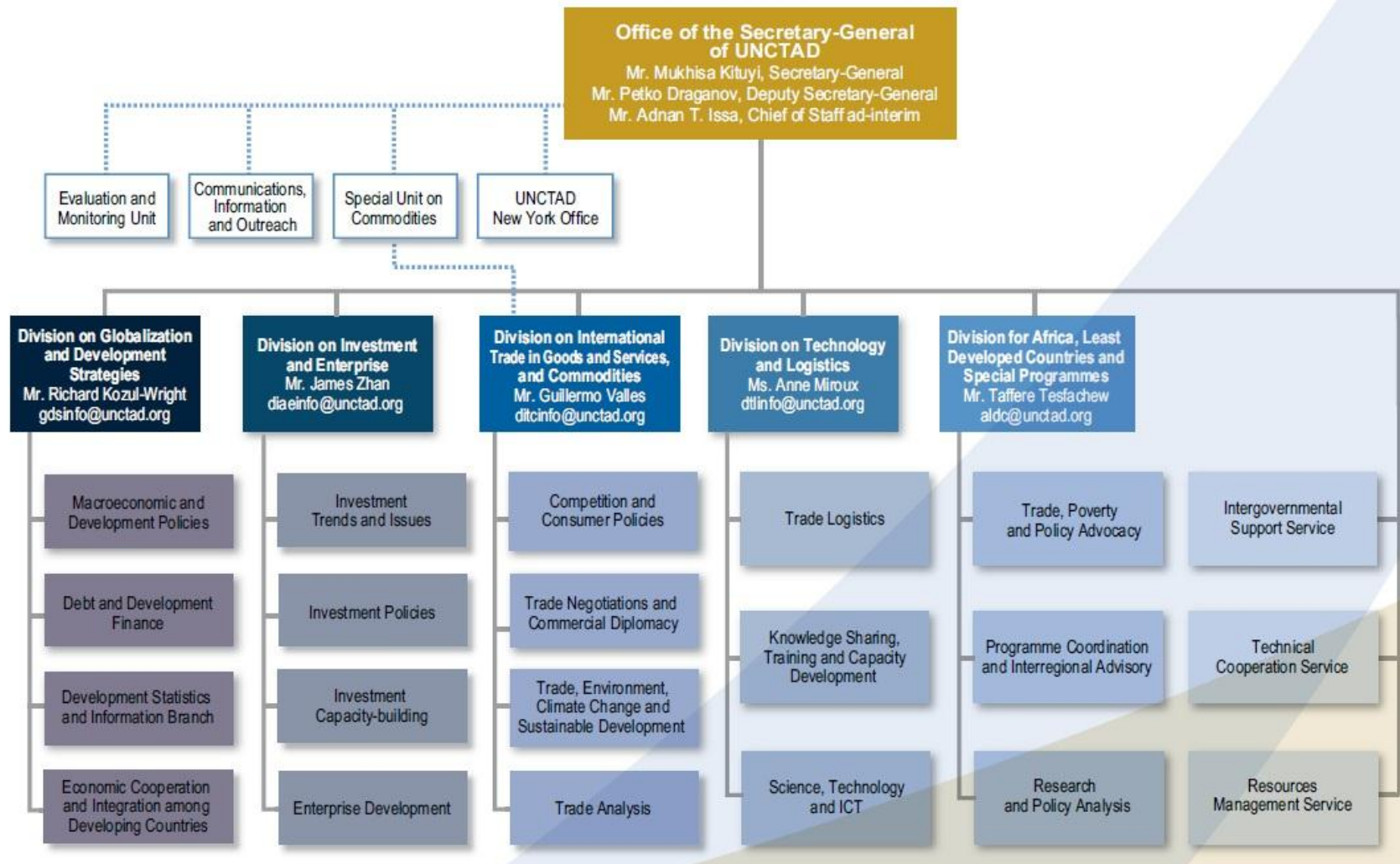
Figure 14: Evaluation Budgets

UNCTAD						
			Number of Individuals	Daily Rate	Number of Days	Total
Experts	Fee		3	\$450	10	\$13,500
	Travel (None)		0	\$0	0	\$0
Staff	Travel (3 to Geneva, 1 week)	Transport	3	\$1,000	N/A	\$3,000
		DSA	3	\$430	28	\$12,040
		Terminal	3	\$202	N/A	\$606
Other	Meltwater Software (for media scan)	\$4,000	N/A	N/A	N/A	\$4,000
SUBTOTAL						\$33,146
ITC						
			Number of Individuals	Daily Rate	Number of Days	Total
Consultant	Fee		1	\$450	150	\$67,500
	Travel (1 to London, 1 week)	Transport	1	\$800	N/A	\$800
		DSA	1	\$481	7	\$3,367
		Terminal	1	\$202	N/A	\$202
Staff	Travel (None)	Transport	0	\$0	N/A	\$0
		DSA	0	\$0	0	\$0
		Terminal	0	\$0	N/A	\$0
SUBTOTAL						\$71,869
GRAND TOTAL						\$105,015

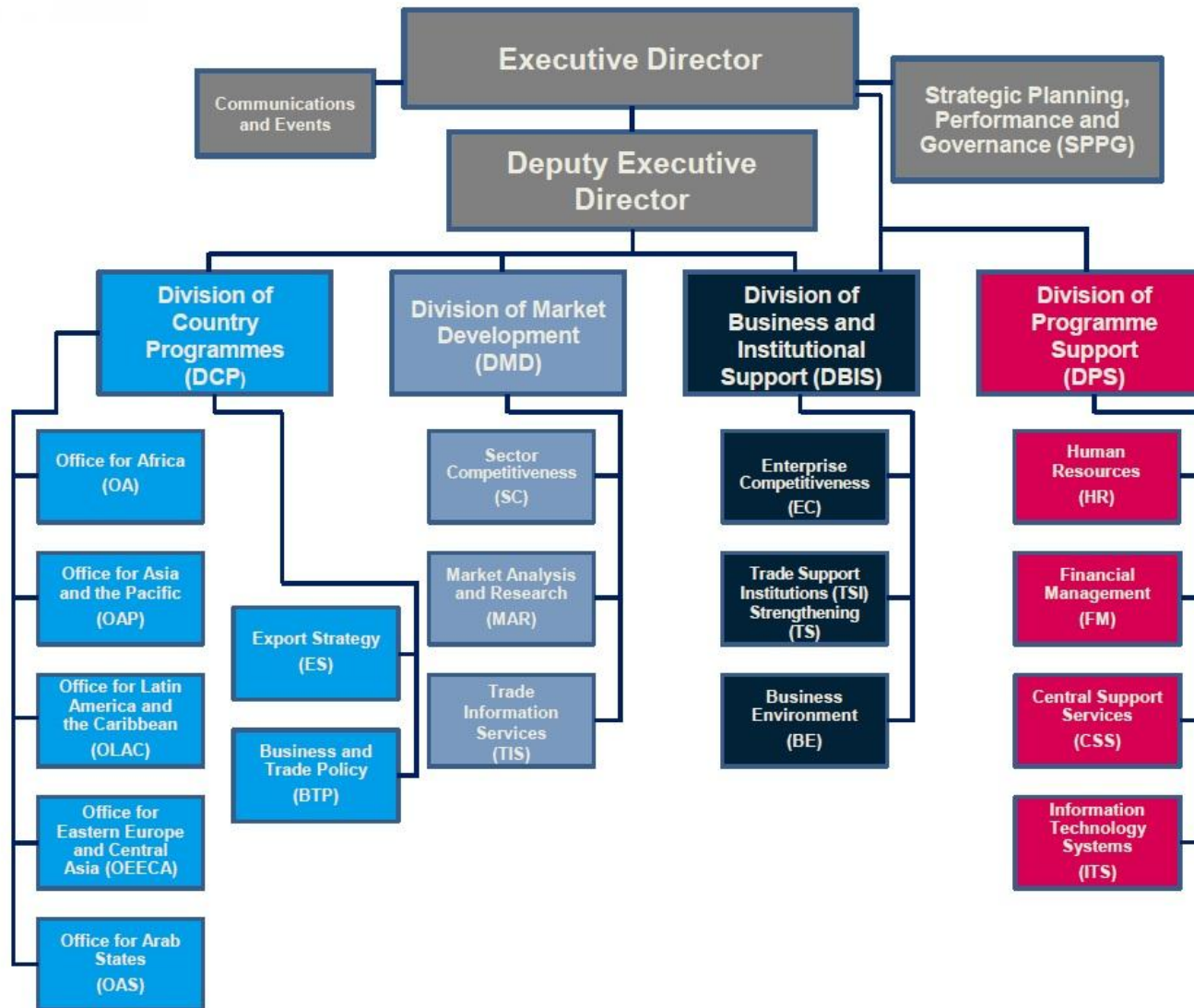
E. Plan for Dissemination and Report Follow-up

80. In response to OIOS-IED's final evaluation report, UNCTAD and ITC will be asked to prepare a management response and action plan, in which it will indicate – for each accepted recommendation – anticipated action(s), responsible entity(ies), and target date(s) for completion. These will be appended to the report in line with GA resolution 64/263. IED will assist UNCTAD and ITC with the refinement of the action-plan, ensuring that the anticipated actions are in line with the recommendations. OIOS-IED will also support learning opportunities through formal and regular informal exchanges with UNCTAD and ITC colleagues as it works to address any recommendations. Beyond this official dissemination protocol, OIOS-IED may additionally develop materials summarizing the results of either or both evaluations.

Annex A – UNCTAD Organigramme



Annex B – ITC Organigramme



Annex C – Summary of Inception Phase Considerations, UNCTAD and ITC

UNCTAD

Proposed Topic	Needs to be evaluated?	IED Value-Added?	Feasible for IED?	Resonates with Evaluand?
1. Full Programme Evaluation	Yes	Yes	Yes, but with reservations on team capacity	Yes
2a. Pillar 1: Consensus-building	Yes	Questionable	No (major evaluability concerns)	Mixed
2b. Pillar 2: Research, analysis & publications	Yes	Yes	Yes	Yes
2c. Pillar 3: Technical Assistance	Yes	Yes	No (evaluability and CPC concerns)	Yes
3. Mainstreaming of Africa, LDC, and Transitional Economy Focus throughout UNCTD	Yes	Yes (if evaluability addressed)	No (major evaluability and CPC concerns)	No

ITC

Proposed Topic	Needs to be evaluated?	IED Value-Added?	Feasible for IED?	Resonates with Evaluand?
Replication of an existing comprehensive programme evaluation (2012-14)	No	No	No	No
In-depth exploration of topical and data analysis gaps in existing 2012-14 programme evaluation	Yes	Yes	Yes	Mixed
Partnership/Relationship of ITC to its parent organizations (UNCTAD and WTO)	Yes	Yes	No (evaluability concerns)	Mixed

Annex D: Evaluation Design Matrix, including Preliminary Indicators - UNCTAD

	Overarching Question	Subquestions	Preliminary Indicators
Effectiveness	<p>1. Over the 2010-14 period, to what extent have UNCTAD’s research and analyses provided credible information that has increased knowledge and awareness, and positively influenced attitudes and actions, among key stakeholders in ways congruent with the UNCTAD mandate?</p>	<p>1.1. How high-quality and credible do key stakeholders, as well as independent experts unaffiliated with UNCTAD, consider UNCTAD’s research and analyses produced during this period to have been?</p> <p>1.2. To what extent did UNCTAD’s research and analyses increase stakeholders’ knowledge, awareness, attitudes and actions during this period in the areas they had targeted?</p> <p>1.3. What if any unintended consequences did they engender during this period?</p>	<ul style="list-style-type: none"> • % of stakeholders (as well as independent experts and thought leaders) reporting UNCTAD outputs to be of a high quality, high credibility, generally and by specific outputs (KIIs, FGDs, surveys) • frequency of media coverage of key pillar outputs, disaggregated on key media attributes (location, language, reach, reputation, etc.) • % of sampled academic departments citing UNCTAD in course curricula disaggregated on key variables (location, reach, discipline, etc.) • % change in knowledge, attitudinal and behavioural metrics, measured pre-post-output wherever possible (media scan, surveys, desk review of M&E documents, primary data analysis of outputs) • incidence of stakeholder mentions of ways in which UNCTAD’s research and analysis have affected their knowledge, attitudes or behaviours • incidence of unintended consequences identified in KIIs/FGDs (surveys, case studies, desk review of M&E documents, media scan, direct observations)
	<p>2. To what extent have UNCTAD’s research and analyses contributed to the targeted objectives of its consensus-building and technical cooperation pillars, and vice versa?</p>	<p>2.1. To what extent have UNCTAD’s research and analyses enhanced the expertise it renders through the consensus-building pillar during this period, thereby helping build consensus in the areas targeted by its mandate?</p> <p>2.2. To what extent have UNCTAD’s research and analyses helped enhance the capacity-building assistance it provides through the technical cooperation pillar during this period, thereby helping make assisted countries’ development strategies more conducive to the goals of the UNCTAD mandate?</p> <p>2.3. To what extent have the activities UNCTAD has undertaken in the consensus-building and technical cooperation pillars served as exponents of its research and analysis outputs’</p>	<ul style="list-style-type: none"> • % of outputs sampled from consensus-building and technical cooperation pillars that explicitly integrated research and analysis outputs in their targeted objectives (outcomes) • of these, % demonstrating evidence of research and analysis pillar’s contribution to targeted objectives (outcomes) • % change in knowledge, attitudinal, behavioural and capacity metrics associated with cross-pillar interventions, measured pre-post-output wherever possible (media scan, surveys, desk review of M&E documents, desk review of consensus-building and technical assistance outputs sampled) • statistically significant interaction terms R*C, R*T and R*C*T in multivariate analysis, where R=research and analysis output(s); C=consensus-building output(s), and T=technical assistance output(s)

	<p>3. What key factors helped or hindered UNCTAD in achieving maximum effectiveness through its research and analysis pillar in 2010-14?</p>	<p>effectiveness?</p> <p>3.1. What key internal and external factors affected the pillar's effectiveness during this period?</p>	<p>(primary data analysis of outputs)</p> <ul style="list-style-type: none"> incidence of stakeholder mentions of ways in which UNCTAD's research and analyses have influenced the effectiveness of the consensus-building and technical cooperation pillars incidence of stakeholder mentions of ways in which UNCTAD's consensus-building and technical cooperation activities have influenced the effectiveness of its research and analyses <p>indications of, and frequency of, key internal and external factors identified in KIIs/FGDs (surveys, case studies, desk review of M&E documents, media scan, direct observations)</p>
<p>Relevance</p>	<p>4. Over the 2010-14 period, how effectively has UNCTAD identified the most salient issues and countries to prioritize through its research and analysis pillar, in alignment both with its mandate and with emerging trends and key discussions, debates and decisions at the global and national levels?</p>	<p>4.1. What if any mechanisms has UNCTAD had in place for identifying the issues, trends, and countries to prioritize in its work in the pillar, in accordance with its mandate and with current policy debates (e.g., UNCTAD sessions, the SDG and post-2015 discussions, and so on)?</p> <p>4.2. How well aligned with the most salient issues, trends, countries, and current policy debates do key stakeholders, as well as independent experts unaffiliated with UNCTAD, consider the research and analyses UNCTAD produced during this period to have been?</p> <p>4.3. How closely has UNCTAD actually aligned its work in the pillar with the highest-priority issues, trends, with its mandate, and with current policy debates?</p> <p>4.4. How effectively has UNCTAD mainstreamed gender in its research and analyses?</p>	<ul style="list-style-type: none"> presence, as well as stage and degree of implementation, of relevance-enhancing mechanisms (desk review, direct observation) % of stakeholders (as well as independent experts and thought leaders) reporting UNCTAD outputs to be of high relevance along dimensions described, generally and by specific outputs (KIIs, FGDs, surveys) degree of clear alignment of sampled outputs to UNCTAD mandate, issues, trends, countries, and current policy debates described in thought leader survey (desk review) % of stakeholders (as well as independent experts and thought leaders) reporting UNCTAD outputs to sufficiently incorporate a gender perspective, generally and by specific outputs (KIIs, FGDs, surveys, desk review) % of university course curricula, among those sampled, explicitly incorporating any UNCTAD research or analysis (scan) degree of clarity of sampled outputs' treatment of gender (desk review)

	<p>5. What if any unique value-added has UNCTAD brought to the discussions, debates and decisions in the areas under its mandate compared to other actors engaged in similar work during this same period?</p>	<p>5.1. What if any mechanisms does UNCTAD have in place for mapping the research and analyses other actors have produced in the areas covered by its mandate, for analysing its comparative advantage in relation to these other actors, and for defining a work plan that seizes on this comparative advantage and seeks to add complementary value instead of unnecessarily duplicating such work?</p> <p>5.2. How well aligned with UNCTAD's comparative advantage do its key stakeholders as well as independent experts unaffiliated with UNCTAD, consider the research and analyses UNCTAD produced during this period to have been, and what if any areas of specific value-added do they find these to have had compared to other actors' work?</p>	<ul style="list-style-type: none"> • presence, as well as stage and degree of implementation, of relevance-enhancing mechanisms (desk review, direct observation) • % of stakeholders (as well as independent experts and thought leaders) reporting UNCTAD outputs to be of high relevance along the dimensions described, generally and by specific outputs (KIIs, FGDs, surveys) • incidence of stakeholder mentions of UNCTAD's specific forms value-add through the research and analysis pillar
	<p>6. How effective has UNCTAD been in targeting and pursuing the most fit-for-purpose strategies to help it achieve maximum visibility and effectiveness of the pillar's outputs during this period?</p>	<p>6.1. What of any strategies has UNCTAD had in place for maximizing the visibility and effectiveness of the pillar's outputs during this period, for tracking their visibility and effectiveness, and for using this information to inform subsequent dissemination and communications activities?</p> <p>6.2. How effective have these strategies been in maximizing the visibility and effectiveness of UNCTAD's research and analyses during this period?</p>	<ul style="list-style-type: none"> • presence, as well as stage and degree of implementation, of visibility- and effectiveness-enhancing mechanisms, including but not limited to knowledge management, internal and external communications (desk review) • % of stakeholders (as well as independent experts and thought leaders) reporting UNCTAD visibility- and effectiveness-enhancing efforts to be adequate, successful, generally and by specific outputs (KIIs, FGDs, surveys) • statistically significant number of media mentions of outputs, pre-post visibility- and effectiveness-enhancing event (media scan, secondary analysis of existing M&E data, primary data analysis)
	<p>7. What key factors have helped or hindered UNCTAD in achieving maximum relevance in its research and analysis pillar in 2010-14?</p>	<p>7.1. What key internal and external factors affected the pillar's relevance during this period?</p>	<ul style="list-style-type: none"> • Incidence of key internal and external factors identified in KIIs/FGDs (surveys, case studies, desk review of M&E documents, media scan, direct observations)
<p>Efficiency</p>	<p>8. How timely have UNCTAD's research and analyses been in influencing the key discussions, debates and</p>	<p>8.1. What has been the time to delivery of UNCTAD's research and analyses during this period?</p> <p>8.2. How timely do key stakeholders, as well as independent experts unaffiliated with UNCTAD, consider the research</p>	<ul style="list-style-type: none"> • median days from final ToR to delivery of UNCTAD's sampled research and analyses, overall and by specific output (desk review) • % of stakeholders (as well as independent experts and thought leaders) reporting UNCTAD outputs to be timely on the dimensions indicated,

	<p>decisions at hand during the 2010-14 period?</p> <p>9. Overall, how adeptly has UNCTAD harnessed its human and financial resources, as well as other inputs such as policies, partnerships, strategies and internal processes to achieve maximum results through its research and analysis pillar during this period?</p> <p>10. What key factors have helped or hindered UNCTAD in achieving maximum efficiency in its research and analysis pillar?</p>	<p>and analyses UNCTAD produced during this period to have been, both in terms of their success in anticipating and exploring emerging issues, and in being available to inform key discussions, debates and decisions?</p> <p>9.1. What have been the human and financial investments in the pillar, and in its specific outputs, and how cost-effective have these been in achieving their targeted results?</p> <p>9.2. How effectively has the agency managed its human and financial resources to achieve maximum relevance, effectiveness and efficiency through the pillar – for example, through:</p> <ul style="list-style-type: none"> • Clear roles and responsibilities in the production, dissemination and communication of its work? • Formal and informal modes of horizontal coordination and collaboration to achieve maximum coherence, consistency and complementarity among the pillar’s outputs, and between the research, analysis and publication pillar and the other two pillars – including but not limited to the Publications Working Group, information and knowledge management systems, and so on? • Internal processes to enable the pillar’s success • Effective executive direction and management, clear policies and other sources of strategic guidance, and other forms of vertical coordination and collaboration that enable the pillar? • Any other material and non-material aspects of efficiency? <p>10.1. What key factors, both internal (e.g., internal processes such as policy clearance budget process, Publications Board) and external (e.g., outside editing and translation, DGACM’s role), affected the pillar’s efficiency during this period?</p>	<p>generally and by specific outputs (KIIs, FGDs, surveys)</p> <ul style="list-style-type: none"> • dollars, as % of total budget, devoted to pillar outputs, by specific sampled outputs (desk review) • dollar value of monetized staff time devoted to pillar outputs, by specific sampled outputs (desk review, interviews) • ratio of these staff and non-staff costs to output effectiveness metrics indicated above, by specific sampled outputs • dollars, as % of total budget, devoted to aforementioned visibility- and effectiveness-enhancing mechanisms (desk review) • ratio of these staff and non-staff costs to metrics of visibility- and effectiveness-enhancing effectiveness indicated above, by specific sampled outputs • presence of policy and strategy documents to articulate roles and responsibilities, foster horizontal linkages across subprogrammes, pillars, and specific outputs (desk review) • % of staff reporting vertical and horizontal management of human and financial resources to be occurring and to be well functioning (staff survey, interviews, direct observations, meetings of the Publications Committee) • self-reported frequency and level of functioning of such horizontal linkages across subprogrammes, pillars, and specific outputs reported by staff (staff survey) <ul style="list-style-type: none"> • incidence of key internal and external factors identified in KIIs/FGDs, surveys, case studies, desk reviews, media scan, direct observations
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Annex E: Evaluation Design Matrix, including Preliminary Indicators – ITC

	Overarching Question	Subquestions	Preliminary Indicators (<i>Drawn from Existing ITC Evaluation Wherever Possible</i>)
Effectiveness Impact	1. Over the 2006-14 period, to what extent has ITC’s trade-related technical assistance (TRTA) to small and medium-sized enterprises built these enterprises’ capacity for increased exports, particularly in LDCs and countries with transitional economies, compared to the period before ITC’s assistance and compared to other countries and enterprises ITC did not assist?	1.1. To what extent did ITC’s TRTA increase the capacity of small and medium-sized enterprises for exports during this period, compared to the period before ITC’s assistance?	<ul style="list-style-type: none"> • % of beneficiaries reporting ITC TRTA to have increased their export capacity compared to pre-intervention period • % of beneficiaries for which there is concrete, objective, case-specific evidence of increased capacity compared to pre-intervention period, as a result of ITC TRTA • these same measures, compared to small and medium-sized enterprises in these same countries that did not receive ITC TRTA
		1.2. To what extent did ITC’s TRTA increase the capacity of small and medium-sized enterprises for exports during this period, compared to other enterprises ITC did not assist in these countries?	
	2. Over this same period, to what extent have exports increased among ITC-assisted countries and enterprises compared to the period before ITC’s assistance and compared to other countries and enterprises ITC did not assist?	2.1. To what extent did ITC’s TRTA increase actual exports by small and medium-sized enterprises it assisted during this period, compared to other enterprises ITC did not assist in these countries? 2.2. To what extent did ITC’s TRTA increase actual exports by small and medium-sized enterprises it assisted during this period, compared to the period before ITC’s assistance? 2.3. To what extent did ITC’s TRTA increase overall exports by small and medium-sized enterprises in the countries it assisted during this period, compared to other countries it did not assist? 2.4. What if any unintended consequences did ITC’s TRTA engender during this period?	<ul style="list-style-type: none"> • % of beneficiaries for which there is concrete, objective, case-specific evidence of increased exports compared to pre-intervention period as a result of ITC TRTA, holding constant historical export trends • % of beneficiaries for which there is concrete, objective, case-specific evidence of increased exports compared to pre-intervention period, as a result of ITC TRTA compared to small and medium-sized enterprises in these same countries that did not receive ITC TRTA, and holding constant historical export trends • high positive correlation coefficient between level of ITC TRTA assistance in given countries and increase/decrease in countries’ exports • same statistic, subjected to statistical control covariates • documented evidence of unintended consequences of ITC TRTA
3. What key factors helped or hindered ITC in achieving its targeted objectives in 2006-14?	3.1. What key internal and external factors have affected ITC’s effectiveness from 2006-14?	<ul style="list-style-type: none"> • frequency of key internal and external factors identified 	
Relevance	4. Over the 2006-14 period, how effectively has ITC identified those countries, sectors, industries and enterprises to prioritize through its TRTA, in light of its comparative advantage?	4.1. What mechanisms has ITC had in place for identifying the countries, sectors, industries and enterprises to prioritize through its TRTA? 4.2. What mechanism has ITC had in place for systematically mapping the TRTA other actors provide and identifying its own comparative advantage within this landscape?	<ul style="list-style-type: none"> • presence, as well as stage and degree of implementation, of relevance-enhancing mechanisms • % of stakeholders reporting ITC’s TRTA projects to be of high relevance along dimensions described, generally and by specific outputs • % of TRTA projects deemed to be clearly aligned with ITC mandate and comparative advantage, and with the countries, sectors, industries and enterprises that need its assistance the most, as per ITC’s own project approval mechanism and stakeholder KII
	5. How effectively has ITC identified the most fit-for-purpose solutions to provide	4.3. How well aligned has ITC’s TRTA been with the countries, sectors, industries and enterprises that need its assistance the	

	<p>to specific sectors, industries and enterprises through its TRTA, in light of its comparative advantage?</p> <p>6. What key factors have helped or hindered ITC in achieving maximum relevance in its TRTA in 2006-14?</p>	<p>most, and with its own comparative advantage?</p> <p>4.4. How effectively has ITC mainstreamed the lens of gender in its TRTA?</p>	<ul style="list-style-type: none"> • % of TRTA projects deemed to sufficiently incorporate a gender perspective
		<p>5.1. What mechanisms has ITC had in place for identifying the most fit-for-purpose solutions for the countries, sectors, industries and enterprises it will assist?</p> <p>5.2. How well aligned has ITC's TRTA been with the expressed needs of these countries, sectors, industries and enterprises?</p>	<ul style="list-style-type: none"> • presence, as well as stage and degree of implementation, of relevance-enhancing mechanisms • % of TRTA projects in which the specific assistance provided was deemed to be clearly aligned with the self-expressed needs of the countries, sectors, industries and enterprises assistance, as per ITC's own project approval mechanism and stakeholder KIIs
		<p>6.1. What key internal and external factors have affected ITC's relevance from 2006-14?</p>	<ul style="list-style-type: none"> • frequency of key internal and external factors identified
Efficiency	<p>7. Overall, how adeptly has ITC harnessed its human and financial resources, as well as other inputs such as policies and partnerships, to achieve maximum results through its TRTA during the 2006-2014 period?</p> <p>8. What key factors have helped or hindered ITC in achieving maximum efficiency in its TRTA during this period?</p>	<p>7.1. What have been the human and financial investments in the ITC's TRTA, and how cost-effective have these been in achieving their targeted results?</p> <p>7.2. How effectively has the ITC managed its human and financial resources, as well as other inputs, to achieve maximum relevance, effectiveness and efficiency through its TRTA – for example, through:</p> <ul style="list-style-type: none"> • Formal and informal modes of horizontal coordination and collaboration to achieve maximum coherence, consistency and complementarity in its work – including but not limited to information and knowledge management systems, and so on? • Clear roles and responsibilities, including accountability lines, coordination and collaboration with its parent organizations clear policy guidance, and other forms of vertical coordination and collaboration, in the provision of its TRTA? 	<ul style="list-style-type: none"> • dollars, as % of total budget, devoted to TRTA outputs • dollar value of monetized staff time devoted to TRTA outputs • ratio of these staff and non-staff costs to output effectiveness metrics indicated above • presence of policy and strategy documents to foster horizontal and vertical linkages in the provision of TRTA • % of staff and parent organizations (and JAG members) reporting adequate frequency and level of functioning in vertical and horizontal management
		<p>8.1. What key internal and external factors have affected ITC's efficiency from 2006-14?</p>	<ul style="list-style-type: none"> • frequency of key internal and external factors identified