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**External evaluation of UNCTAD subprogramme
1: Globalization, interdependence and
development, 2008–2012**

Supporting materials*

Executive summary

This document contains supporting materials to the external evaluation of the United Nations Conference on Trade and Development (UNCTAD) subprogramme 1: Globalization, interdependence and development.

* This evaluation was prepared by an independent evaluation team: Dr. Ralf Maurer, Ms. Mihoko Saito, and Mr. Leulseged Tadese Abebe. The related main report can be found in document TD/B/WP/252.

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Annex I

Supplementary information on gender mainstreaming in the globalization, interdependence and development subprogramme and on the Unit on Economic Cooperation and Integration among Developing Countries

A. Gender mainstreaming in the globalization, interdependence and development subprogramme

1. The UNCTAD strategy to mainstream gender in its work was approved by the Secretary-General in December 2011, largely as a response to the United Nations System-Wide Action Plan on Gender Equality. A dedicated section on gender was established in 2012 to act as the focal point of gender issues within UNCTAD, be a liaison for gender issues with other United Nations bodies and conduct substantive work on gender, including research and analysis as well as providing trainings.

2. In the *Trade and Development Report 2012*, the gender perspective was included in the topic of “inequality”. The gender perspective should be further incorporated into the work of subprogramme 1 since even macroeconomic policies have gender implications and a direct impact on women. This effort should be accompanied by strong leadership from the senior management level, and interdivisional coordination, to achieve maximum impact.

B. Economic Cooperation and Integration among Developing Countries

3. The Unit on Economic Cooperation and Integration among Developing Countries was created in 2009 as part of the UNCTAD Division on Globalization and Development Strategies in response to the renewed interest expressed in the South–South dimension as part of the Accra Accord. It took the Branch 1.5 years to fill the five professional posts under the United Nations development pillar as per General Assembly resolution A/RES/63/260.

4. Notionally the Unit on Economic Cooperation and Integration among Developing Countries is to coordinate South–South work across the house. In practice it does research on South–South issues from a development perspective, not a technical cooperation angle. It is cross-cutting in its coverage and therefore a microcosm of what UNCTAD is about. Even though it is notionally about supporting the coordination of South–South work across UNCTAD, it operates as a research outfit along the lines and in the intellectual tradition of the overall globalization, interdependence and development subprogramme. It has started to generate research outputs and to undertake outreach activities, but became fully operational only in 2012.

Annex II

Resources allocated to subprogramme 1

Category	Resources (thousands of United States dollars)			Posts*		
	2008–2009	2010–2011	2012–2013 (before recosting)	2008–2009	2010–2011	2012–2013
Regular budget						
Post	15 873.9	17 787.5	17 787.5	58	57	57
Non-post	2 682.0	2 731.0	2 662.1	—	—	—
Subtotal	18 555.9	20 518.5	20 449.6	58	57	57
Extrabudgetary	10 519.9	9 730.0	9 500.0	2	1	1
Total	29 075.8	30 248.5	29 949.6	60	58	58

Sources: A/62/6 (Sect.12), A/64/6 (Sect.12), A/66/6 (Sect.12).

* Excludes (only) extrabudgetary posts of the Debt Management and Financial Analysis System and the project on responsible lending and borrowing.

Annex III

Terms of reference for the evaluation

External evaluation of UNCTAD subprogramme 1: Globalization, interdependence and development, 2008–2012

1. Introduction and purpose

The Trade and Development Board, at its fifty-sixth executive session, requested the UNCTAD Secretariat to conduct an independent evaluation of the UNCTAD subprogramme on globalization, interdependence and development. The Board agreed that its subsidiary organ, the Working Party on the Strategic Framework and the Programme Budget, would consider the results of the evaluation at its sixty-fifth session under the agenda item on evaluation.

The objective of the evaluation is to assess the relevance, effectiveness (including impact), and efficiency of work implemented by the subprogramme in relation to its mandates, and to propose enhancements if and when appropriate.

2. Background

The UNCTAD subprogramme on globalization, interdependence and development contributes to the international debate on globalization and the management of its consequences for developing countries. The subprogramme promotes policies at the national, regional and international levels that are conducive to stable economic growth and sustainable development. It regularly examines trends and prospects in the world economy, undertakes studies on requirements for successful development strategies and on debt problems of developing countries. It also provides technical support to developing countries in their efforts to integrate into the international financial system and to manage their external debt. In particular, the subprogramme focuses on the following objective:

“To promote economic policies and strategies at the national, regional and international levels that are supportive of sustained growth, inclusive and sustainable development, full employment and decent work for all, and hunger and poverty eradication in developing countries, especially least developed countries.”¹

The subprogramme pursues its objective and goals through the following activities:

(a) Research and analysis regarding macroeconomic and development policies, as well as issues of debt and their impact on the mobilization of resources, taking into account the relevant outcomes from global conferences and summits on development;

(b) The formulation of practical policy options and recommendations for appropriate development strategies at the national, regional and international levels to take advantage of the opportunities and meet the challenges of globalization, including related assistance to regional cooperation organizations;

(c) The furtherance of consensus-building with regard to macroeconomic and development policies suited to the specific conditions of developing countries;

¹ A/66/6 (Sect.12).

(e) Technical assistance, training and support for developing countries in building national capacities related to effective debt management, in cooperation where appropriate with the International Monetary Fund, World Bank and other stakeholders;

(f) Assistance to developing countries to improve their statistical capacity in the area of trade and development through advisory services for policymakers and statistical and information services in support of the UNCTAD work programme;

(g) Assessment of the economic development prospects of the Occupied Palestinian Territory and of obstacles to trade and development and the provision of effective operational activities to the Palestinian people;

(h) Research and analysis addressing the development challenges of South–South integration and cooperation, including triangular cooperation (only since 2010).

Substantive responsibility for this subprogramme is vested in the Division on Globalization and Development Strategies. The programme of work is presently implemented in accordance with the strategy detailed under subprogramme 1 of programme 10 of the United Nations strategic framework for the period 2012–2013.² The programme of work is grounded in the mandates given by members States in the Doha Mandate, the Accra Accord and relevant General Assembly resolutions. These terms of reference (annex III) contain the logical framework of the subprogramme for the 2010–2011 biennium as an example.

For the 2012–2013 biennium, the subprogramme’s regular budget resources include 57 posts and approximately US\$610,000 in non-post resources.³ This level of resources has remained relatively unchanged since 2008. The subprogramme also utilizes extrabudgetary resources for its technical cooperation activities. The subprogramme is broadly organized into four branches of work:

- (a) Macroeconomic and development policies;
- (b) Debt and development finance;
- (c) Development statistics and information;
- (d) Economic cooperation and integration among developing countries (since 2010).

3. Scope of the evaluation

The evaluation will assess the relevance, effectiveness and efficiency of the subprogramme using the evaluation criteria stated in section 4 below, coupled with the expected accomplishments and indicators of achievement during the two bienniums from 2008–2009 to 2010–2011 and with reference as appropriate to the current 2012–2013 biennium, as the overall results framework reference. On the basis of its assessments, the evaluation should make recommendations aimed at enhancing the achievement of measurable results in the subprogramme’s implementation of its programme of work, and that could also be considered in conjunction with drafting the UNCTAD biennial programme plan for the next strategic planning cycle.

The emphasis of the evaluation is on:

- (a) Achievements of the subprogramme between 2008–2012 and how its outputs and activities contribute to the attainment of the mandate of UNCTAD;

² A/65/6 (Prog.10).

³ A/66/6 (Sect.12).

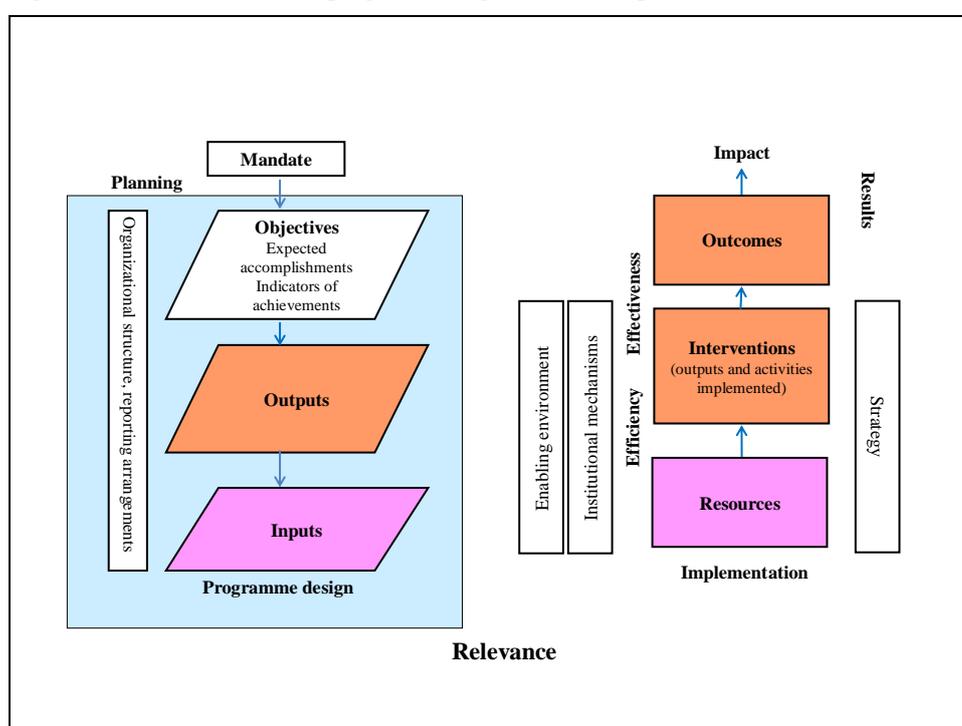
(b) Impacts made by the subprogramme at the national, regional and international levels in terms of stimulating and contributing to the debate on economic development policies and strategies that are supportive of sustained growth and inclusive and sustainable development;

(c) Capacity of the subprogramme to undertake its work, including the institutional set-up within which it operates;

(d) Nature of the interdivisional linkages between subprogramme 1 and other subprogrammes of UNCTAD, and how the subprogramme interacts with other relevant institutions;

(e) The extent to which gender issues are incorporated into the activities and in substantive focus of the subprogramme (macroeconomics, financial policies and development strategies at the global level) and the constraints faced in this regard.

Figure 1 below illustrates the programme logic and the scope of the evaluation.



It is at the evaluators' discretion as to the actual activities to be included for assessment in the evaluation, bearing in mind factors such as the recent inclusion of the programme on South–South cooperation in subprogramme 1 and the recent evaluations on the programme on assistance to the Palestinian people and the operational activities of the Debt Management and Financial Analysis System.

A list of activities and other relevant materials will be provided to the evaluators. The latter include publications; documents and reports produced by the subprogramme; reports of intergovernmental meetings serviced by the subprogramme; project documents and reports; mission reports; material used for activities; resource-use information; list of beneficiaries, counterparts and resource persons; existing evaluation reports and feedback (assessments, letters).

4. Evaluation issues

The evaluation issues and questions are specified as below:

Relevance

(a) To what extent do the defined objective, expected accomplishments and activities of the subprogramme correspond to what it should deliver based on its mandates and the expressed needs of intended beneficiaries?

(b) How is UNCTAD's role and mandate in its work related to the subprogramme understood and perceived by key stakeholders?

(c) What are UNCTAD's role, strengths and weaknesses in comparison to other development actors in the specific subprogramme areas, including other United Nations system entities?

Effectiveness (including impact)

(a) To what extent was the subprogramme effective in achieving the planned outcomes contained in its logical framework?

(b) What were the main factors influencing the outcomes of the subprogramme?

(c) Is there room for improvement to the current programme design (including its logical framework)?

(d) What programme delivery "best practices" may be singled out?

(e) What indications are there of actual (or potential) impact of the subprogramme?

Efficiency

(a) How efficiently have human and financial resources been used to achieve programme outcomes?

(b) To what extent does the budget (regular and extrabudgetary) available to the subprogramme reflect a realistic assessment of its resource needs and capacity to deliver on its mandates?

(c) To what extent are there synergies between the subprogramme and other UNCTAD subprogrammes and what are the obstacles to greater coherence?

Gender mainstreaming: As gender equality and women empowerment is one of the cross-cutting issues of the Doha Mandate and the Accra Accord, this subprogramme evaluation will assess how gender has been mainstreamed in the subprogramme strategy when feasible.

5. Evaluation methodology

The evaluation team is expected to undertake the evaluation in as rigorous a manner as possible to produce useful information and formulate action-based recommendations. The team is expected to produce evidence-based data and utilize appropriate approaches of data collection methods and analysis. It will observe the evaluation norms and standards of the United Nations Evaluation Group (UNEG).

The evaluation will have five stages as follows:

- Literature review and initial consultation

- Evaluation design
- Data collection
- Data analysis
- Drafting and reporting

In terms of data collection, the evaluation will use a multiple method approach that could include, but will not be limited to, the following:

(a) A desk review of secondary documents, including UNCTAD's mandate, budget fascicles, any performance assessment and evaluation reports; reports of the annual sessions of the Trade and Development Board and other relevant intergovernmental meetings; publications and reports produced by the subprogramme; other documents as relevant;

(b) Missions to UNCTAD in Geneva to conduct face-to-face key informant interviews/focus group discussions with UNCTAD staff, partner institutions, academia and member States;

(c) Mission to the United Nations Headquarters in New York so as to conduct interviews with partner organizations, delegations and relevant stakeholders, if desirable and feasible. Organization of the visit(s) will be decided in consultation with the Evaluation and Monitoring Unit, based on the initial study of the available documentary evidence and taking into account the budgetary provisions for this purpose;

(d) An online survey to relevant stakeholders, as identified in consultation with programme managers;

(e) Follow-up telephone interviews as may be required to clarify responses provided through the online questionnaire.

6. Structure of the evaluation team

The evaluation will be conducted by an independent, external evaluation team composed of a professional evaluator who leads the evaluation and two experts who are familiar with UNCTAD's intergovernmental mandates and programmes, and can bring in the perspectives respectively of donor and beneficiary countries. The evaluation team will work under the methodological guidance of the Evaluation and Monitoring Unit.

7. Description of duties

The professional evaluator will lead this evaluation. The two other team members will contribute to the evaluation design, data collection, assessments and reporting. The evaluation team will be collectively responsible for the completion of the report and its presentation to the Working Party which commissioned the evaluation. The evaluation team must take full responsibility for the contents of its report and ensure its independence and accuracy.

The evaluation team should observe the UNEG guidelines, standards⁴ and norms⁵ for evaluations in the United Nations system, as well as the UNCTAD Evaluation Policy,⁶ in the conduct of this evaluation.

⁴ Standards for Evaluation in the United Nations System, UNEG (UNEG/FN/Standards(2005)).

⁵ Norms for Evaluation in the United Nations System, UNEG (UNEG/FN/Norms(2005)).

⁶ Evaluation Policy of UNCTAD. Latest version: December 2011.

8. Deliverables

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

- Explicitly and clearly defines what will and will not be covered, including, for example, the timeframe, programmes and activities to be included in the evaluation;
- Specifies the methods for data collection and analysis, including information on the overall methodological design and draft interview guides/surveys, as appropriate;
- Includes a comprehensive and tailored set of evaluation questions and indicators within the framework of the evaluation criteria;
- Describes the key stages of the evaluation process and the project timeline.

The final output of the evaluation is a report of strictly no more than 8,500 words, composed of three parts, namely (a) an introduction and brief description of the subprogramme and the evaluation methodology; (b) findings, assessments and conclusions according to the criteria identified in section 4 of this document; and (c) strategic and operational recommendations drawn from the assessments.

In the report, all the assessments made by the evaluation team must be supported by facts, direct or indirect evidence and/or well-substantiated logic. It follows that all recommendations made by the evaluation team should be supported by the assessments made. The evaluation team is required to submit a separate list of those interviewed for the record. If necessary, the report may be accompanied by a supplement detailing the findings of the evaluation and/or supporting materials.

9. Timetable

A draft of the report must be presented by 6 May 2013 to the Evaluation and Monitoring Unit and relevant stakeholders for verification of factual findings as well as its compliance with the terms of reference and before submission of the final report.

The deadline for submission of the final report is 27 May 2013.

The evaluation team is required to present the report to the Working Party at its session dealing with technical cooperation in the autumn of 2013 (currently scheduled for 2–4 September 2013) in Geneva.

10. Monitoring and progress control

The lead evaluator must keep the Evaluation and Monitoring Unit informed of progress made in the evaluation on a weekly basis.

Annex IV

Logical framework and mandates of subprogramme 1 for the biennium 2010–2011⁷

Subprogramme 1 Globalization, interdependence and development

Objective of the Organization: To promote economic policies and strategies at the national, regional and international levels that are supportive of sustained growth, inclusive and sustainable development, employment creation, and hunger and poverty eradication in developing countries, especially the least developed countries, based on increased gains from globalization, against a background of the increasing interdependence of international trade, investment and financial policies and arrangements and national development strategies.

Expected accomplishments of the secretariat

Indicators of achievement

- | | |
|---|--|
| <p>(a) Contribute within its mandate to increased understanding of the global economic environment and of policy choices at the national and international levels, including with respect to South–South cooperation, as a complement to North–South trade and economic cooperation, as a result of policy advocacy (Accra Accord, paras. 36–39, 42 and 43)</p> | <p>(a) (i) Increased number of responses from member States to readership surveys</p> <p><i>Performance measures</i></p> <p>2006–2007: not applicable</p> <p>Estimate 2008–2009: 50 responses</p> <p>Target 2010–2011: 70 responses</p> |
| | <p>(ii) Increased number of member States reporting a better understanding of policy choices at the national and international levels based on UNCTAD research</p> <p><i>Performance measures</i></p> <p>2006–2007: not applicable</p> <p>Estimate 2008–2009: 30 member States</p> <p>Target 2010–2011: 40 member States</p> |
| <p>(b) Progress towards a durable solution to the debt problems of developing countries by fostering better understanding at all levels of the interplay between successful development finance strategies and effective debt management (Accra Accord, para. 40)</p> | <p>(b) (i) Number of institutions/countries using the capacity-building services of the Debt Management and Financial Analysis System programme</p> <p><i>Performance measures</i></p> <p>2006–2007: 97 institutions, 65 countries</p> <p>Estimate 2008–2009: 100 institutions, 66 countries</p> <p>Target 2010–2011: 103 institutions, 66 countries</p> |

⁷ Extracted from A/64/6 (Sect.12) and A/63/6/Rev.1.

(ii) Number of international and national policy positions and initiatives in the area of debt and development finance incorporating contributions from UNCTAD and number of countries assisted by UNCTAD through the Debt Management and Financial Analysis System having improved external debt positions as measured by stable or decreasing external debt to gross national product ratio, recognizing that many factors have an impact on this indicator

Performance measures
(measured by number of international and national policy positions and initiatives)

2006–2007: not applicable

Estimate 2008–2009: 20

Target 2010–2011: 23

Performance measures
(measured by number of countries)

2006–2007: not applicable

Estimate 2008–2009: 19

Target 2010–2011: 19

(c) Improved empirical, and reliable and timely statistics for decision-making at the national and international levels on economic policies and development strategies, including on South–South cooperation (Accra Accord, paras. 36(e) and 43)

(c) (i) Number of increased statistical variables and derived indicators developed and maintained by UNCTAD Central Statistical Service

Performance measures
(measured by statistical variables and derived indicators)

2006–2007: not applicable

Estimate 2008–2009: 220

Target 2010–2011: 240

(ii) Number of institutions using UNCTAD statistical data on trade, financial and economic policies

Performance measures
(measured by number of institutions)

2006–2007: not applicable

Estimate 2008–2009: 1,400

Target 2010–2011: 1,700

(d) Improved policy and institutional capacities, and enhanced international cooperation for the recovery and sustained development of the Palestinian economy (Accra Accord, para. 44)

(d) Number of Palestinian development initiatives and institutions benefiting from UNCTAD research findings, recommendations and technical cooperation activities

Performance measures

2006–2007: not applicable

Estimate 2008–2009: 10 initiatives/institutions

Target 2010–2011: 10 initiatives/institutions

Strategy

The subprogramme is under the responsibility of the Division on Globalization and Development Strategies. In its work, the Division will focus on (a) identifying specific needs and measures arising from the interdependence between trade, finance, investment, technology and macroeconomic policies from the point of view of their effect on development, (b) contributing to a better understanding of coherence between international economic rules, practices and processes on the one hand and national policies and development strategies on the other, (c) creating an enabling environment for the private sector and entrepreneurial investment, (d) promoting, at the national level, poverty eradication, income distribution and public revenue systems, and (e) supporting developing countries, especially the least developed countries, in their efforts to formulate development strategies adapted to the challenges of globalization, including economic cooperation among developing countries. In this context, UNCTAD will continue to support the development efforts of middle-income countries. The objective will be pursued through policy advocacy based on (a) timely and forward-looking research and analysis of macroeconomic and development policies as well as debt and finance, taking into account the outcomes of relevant major international conferences, (b) the formulation of practical policy recommendations for appropriate development strategies at the national, regional and international levels to meet the opportunities and challenges of globalization, (c) furthering consensus-building on macroeconomic and development policies that are suited to the specific conditions of developing countries, (d) training and capacity-building related to effective debt management, and (e) the operation of the global network of development think tanks.

External factors

The subprogramme is expected to achieve its objectives and expected accomplishments on the assumption that: (a) up-to-date and accurate economic and financial information and data at the country and regional levels will be available; (b) there will be no significant shortfalls in extrabudgetary funding of technical cooperation programmes; and (c) political and security conditions in the Palestinian territory and region will be favourable.
