Independent Evaluation of the International Trade Centre (ITC)

Final Report

Annex VI

(Inception Report – Oct 30 2014)

:

SAANA CONSULTING

Contents

List of boxes, figures, and tables

List of Acronyms

AfT	Aid for Trade
AP	Asia and Pacific
BE	Business Environment (DBIS)
CBI	Centre for the Promotion of Imports from Developing Countries
CCITF	Consultative Committee of the ITC Trust Fund
DBIS	Division of Business and Institutional Support (ITC)
DCP	Division of Country Programmes (ITC)
DMD	Division of Market Development (ITC)
DPS	Division of Programme Support (ITC)
EC	Enterprise Competitiveness section (DBIS)
EECA	Eastern Europe and Central Asia
EIF	Enhanced Integrated Framework
EMU	Evaluation and Monitoring Unit
ESA	East and Southern Africa
FM	Financial management
GDP	Gross Domestic Product
HQ	Headquarters
HR	Human resources
ICTSD	International Centre for Trade and Sustainable Development
IDB	Inter-American Development Bank
IDRC	International Development Research Centre
IFC	International Finance Corporation
ITC	International Trade Centre
JAG	Joint Advisory Group (ITC)
LAC	Latin America and Caribbean
LDC	Least developed country
LLDC	Land-locked developing country
MDG	Millennium Development Goals
MENA	Middle East and North Africa
OECD	Organisation for Economic Cooperation and Development
OIOS	United Nations Office of Internal Oversight Services
QCPR	Quadrennial Comprehensive Policy Review of the UN
RBM	Results-based management
SME	Small and medium sized enterprise
STDF	Standards and Trade Development Facility

TRTA	Trade-related technical assistance
TS	TSI Strengthening Section (DBIS)
TSI	Trade Support Institution
UNCTAD	United Nations Conference on Trade and Development
UNIDO	United Nations Industrial Development Organization
WB	World Bank
WCA	West and Central Africa
WTO	World Trade Organisation

Executive Summary

This Inception Report sets out the detailed plan of action for carrying out the Independent Evaluation of the International Trade Centre. In accordance with good evaluation practice, the Inception Report establishes clear expectations by specifying the key information on the purposes, scope and background of the evaluation; its governance and management; the planned methodology; risk management; a communications and dissemination strategy; and the Evaluation's schedule, work-plan, reporting and deliverable products. The Report reflects the terms of reference and the selected Team's response as well as the results of an intensive initial phase of desk research (from August 2013) and consultations in Geneva (in September and early October) comprising some 35 targeted meetings at different levels.

The purposes that have been set for the Evaluation are to assess organizational and programmatic changes made in ITC since a comprehensive evaluation completed in 2006; as well as the results of ITC's work over this six-year period; and to provide independent guidance for the future. The findings in this preparatory phase confirmed the basic feasibility of carrying out the "lean, progress report" type of evaluation that has been requested, but also demonstrated that this evaluation will call for a particular combination of tested approaches and creative adaptations to fit the particular characteristics of the ITC.

The arrangements for the management, governance and independence of the Evaluation are clearly specified, together with the responsibilities and accountabilities involved for ITC's Evaluation and Management Unit (as the evaluation manager); for the Steering Committee that oversees the process; and for the independent Evaluation Team. In addition to independence, the central principles guiding and shaping the approach to the evaluation are usefulness and credibility, in accordance with UN standards for evaluation. Other key precepts are transparency, participation and learning by all stakeholders through the evaluation process.

A rigorous and tested methodology for this type of evaluation will be applied. It is centred on a structured, transparent and verifiable approach to answering the evaluation questions through two evaluation matrices - serving as the "spine" of the evaluation (see Annexes I and II), reporting and synthesizing findings, drawing well-founded conclusions, and producing solid and useful recommendations. The approach will apply the specified evaluation criteria - of relevance, effectiveness, efficiency, sustainability and potential impact - through mixed method approaches, combining quantitative and qualitative sources and techniques, and cross-checking findings from multiple sources.

The importance given in this Evaluation to the state of the organization and management of the ITC and changes made since 2006 called for a special approach. It has involved adapting and using an accepted framework of key elements for organizational assessment which is developed in the Evaluation matrix in Annex I, showing the major questions, the key aspects to deal with them, issues, indicators, data sources and methods for data collection and analysis. This matrix allows for dealing systematically with all the key questions that have been suggested for this part of the evaluation, and it will be translated into interview guides, targeted surveys and other instruments as required.

On the program side, the inception work found major challenges in assessing the *overall results of ITC's activities* against the accepted evaluation criteria, beginning with the difficulty of actually identifying and categorizing all of ITC's numerous and dispersed product lines, and then finding meaningful and strategic ways of aggregating them and their results in corporate level assessments. One technique already developed and tested has been to reconstruct structured "stories" around ITC's different products and projects. (See Annex III) The Centre's own systems for aggregating project and program information are just now taking shape and the Evaluation must both draw on them to the extent possible while at the same time assessing the validity and useability of these budding systems. Different operational Divisions are currently updating their information on the range of products and services offered and the Evaluation Team has already been working with them, testing as an early user of this information. The Matrix in Annex II, on “Assessing ITC's Operational progress and results since 2006” shows how this analysis will be organized around the three main expected accomplishments in ITC’s approved Logical Framework, which largely correlates with the principal intended beneficiary groups: SME exporters, policymakers and trade support institutions.

As spelled out in the Report, a careful sampling strategy has also been essential, with the independent Team setting clear sampling criteria (which are laid out in the Report) to ensure an objective selection of cases for examination, while taking into account specified inputs from ITC program staff. Bearing in mind that separate assessments will be needed for the substantial share of ITC’s projects and services that are global in character, and that ITC does not really have “country programs” in the same sense as many larger agencies, it is still important to assess national, multi-national and regional projects in a representative range of country contexts.

The approach being taken to assessing the portfolio of ITC’s activities in countries can be compared to a kind of narrowing funnel. At the widest end of the funnel, the entire ITC portfolio of projects will be generally surveyed and profiled as part of the Evaluation. As at the middle level of the funnel, the plan is for Team members to carry out a total of 24 portfolio analyses in individual countries distributed across the regions (as listed), and at the narrow, most-focused end to carry out seven country-missions (as allowed for in the Evaluation budget), similarly distributed. These sample missions are intended to “ground-truth” the overall findings by more direct beneficiary consultation and observation on the ground. The Team will also make special efforts to engage with potential beneficiaries who have not yet participated extensively in ITC activities.

The main methods and key sources of information for the Evaluation are laid out. They will include intensive documentary and statistical research (both at the programmatic as well as the project level), carefully-targeted interviews and surveys of key stakeholders. The Report also explicitly outlines the approach that will be taken to analysing and synthesizing the Evaluation results and drafting the Report.

This Evaluation mandate has paid more attention than is usual to building in a dissemination and communications strategy from the outset. The strategy here has been refined in cooperation with ITC’s communications experts to ensure an effective collaboration and eventual “handover” when the independent Team’s work comes to an end. An important initial step has been for the Team to set up a dedicated public page for information and input on Saana Consulting’s website. http://www.saana.com/itc-evaluation/. This website is to be maintained during the evaluation process to provide quick posting and ready access to the essential information about the Evaluation as well as a direct contact point with the Evaluation Team.

The Report has set out a list of possible risks to the success of the Evaluation, as well as their likelihood, seriousness and appropriate risk-mitigation measures. In general it shows that the prospects are positive on most fronts.

The final elements in the Inception Report are the schedule, work-plan, reporting and deliverable products of the Evaluation, As this section shows, the full implementation phase will begin immediately after review of this Inception Report, in order to complete all the “building blocks” of the Evaluation by April 2014, for full dissemination by June 2014.

1. PURPOSE AND BACKGROUND OF THE INCEPTION REPORT

1. The inception report serves as the detailed agreed mandate and implementation plan for the Evaluation, providing for clearly agreed mutual expectations around the purpose and scope of the assignment. The inception work has closely followed the proposed plan.

2. After the competition and award of the contract, an advance party of the selected Team carried out initial document research and preparatory work as well as three sets of visits to Geneva in September and early October 2013. The first visit was mainly to consult with the Evaluation Manager at ITC and carry out intensive document reviews to provide the grounding on essential issues. The second visit was for the Team Leader and three other members to come to Geneva to introduce the Evaluation to key groups of stakeholders at ITC headquarters1 as well as to deepen the preliminary analysis of both ITC's organization and management and its operations in order to guide the refinement of the Evaluation questions and methodologies. In addition to six presentations this stage included 11 selected interviews on key topics.

3. The third mission in early October involved one Team member carrying out some 25 structured interviews testing approaches and instruments for understanding and analysing ITC's many different product lines and types of projects for wider use in the full implementation of the Evaluation. At the same time the Team finalized a set of criteria for sampling ITC's country-based programs for the Evaluation's portfolio analysis and a small number of country missions for validation on the ground, with final input from ITC's Division for Country Programmes (DCP).

4. This inception work has allowed the Team to integrate the original terms of reference and its selected proposal into this detailed plan of action to carry out the Evaluation.

5. As part of the research and consultation in the inception phase of the Evaluation, the Team completed a focused "evaluability assessment" to verify in which areas the ITC programme of activities and its management fully or partially meet the preconditions for conducting a robust evaluation. This has informed how the Evaluation should be designed to be as reliable and useful as possible, given the available data, the context, the type of information the Evaluation is expected to convey, and the resources available. It has also helped to guide at which level (global, by strategic objective or priority, region, country, multi-country and/ or programme or project) each of the questions can best be assessed. The adjustments have been substantial as outlined and explained in the Report, and reflected in the detailed Evaluation workplan (including evaluation questions and matrix of evidence and methods) and the timetable.

[1] These included the Steering Committee, senior management, permanent missions of ITC beneficiary countries, ITC staff, as well as WTO and UNCTAD representatives

2. PURPOSES AND SCOPE OF THE EVALUATION

2.1 Purposes of the Evaluation

7. The analysis and consultation work during the inception phase has confirmed the basic feasibility of the three assigned purposes of the Evaluation, as set out below with the main lines of the approach that will be taken. All three purposes are considered equally important, with the forward-looking elements under the third purpose obviously dependent on the findings under the first two purposes, but with the potential value of objective outside recommendations for the future given great weight by all stakeholders, including ITC management. It is clear that the open testing and debate of emerging findings and conclusions during the Evaluation process will be important for all concerned, rather than waiting for the final Evaluation report, and this “process use” is part of good practice in ensuring that Evaluation is useful.[2]

8. **Purpose 1 - Changes since 2006:** To review progress made and lessons learnt in the follow-up to the previous ITC evaluation in 2006. The inception phase has included extensive review and discussion of the earlier evaluation, its many recommendations and the management responses and comments at the time, alongside subsequent reports on changes introduced, performance achieved and strategic directions set since 2006. This has clarified the areas where progress can be assessed directly in terms of follow-up to the 2006 evaluation as a baseline and other areas where the appropriate yardsticks for ITC’s progress since that time must be drawn from other organisational results, decisions, strategies and statements of intent. While the term "progress" is retained from the original terms of reference, the Evaluation will in fact focus on changes made, allowing for possible findings of regression as well as progress. The Evaluation will seek out lessons that have been learnt and acted upon and also search for other lessons that may have been generated but which have not yet been fully captured, learned or disseminated across ITC’s stakeholders (see Box 1: An overview of the ITC since the 2006 ITC evaluation).

9. **Purpose 2 - Results of ITC's activities:** To support accountability to parent organisations, donors and beneficiary countries of ITC by demonstrating the results and impact of ITC’s activities since 2006. The Evaluation will need to respond transparently and impartially to the priority interests and accountability requirements of these different stakeholders, recognising their likely diversity, applying the methodology and criteria for assessment in a highly transparent way. This will take place through a process of ongoing stakeholder involvement. Special weight will be given to securing the assessments of intended beneficiaries of ITC's work, both because the effects on them are the very raison d’etre of the Centre; because the ultimate generation of development results rests largely with them; and because they constitute a wide and scattered group, more difficult to reach than others. The Evaluation will yield the clearest answers possible to the agreed evaluation questions, given the coverage and reliability of the information that can be secured.

10. The inception phase has highlighted the fact that the array of ITC's products and projects is complex and diffuse and that clear results information on outcomes of ITC activities through the Centre's existing systems is still limited. The methodology section below indicates how this challenge will be handled. Moreover, the inception work has underlined that the Evaluation's findings on the development impact of ITC's activities must be expected to be very limited, given the only recent introduction of a results

[2] In its most advanced form and where circumstances permit, evaluation can take on an even more dynamic role in organizational learning and development through an intensive “accompaniment” process, as set out in Quinn Patton, M (Ed) (2012) Canadian Journal of Program Evaluation, Volume 27 No 3, Special Issue 2012 Evaluation of the Paris Declaration on Aid Effectiveness

orientation within ITC, and the diffuse nature of the portfolio. Therefore the Evaluation will be governed by a rigorous caution about any claims of direct chains of causality from many types of ITC intervention to such impacts, in view of other likely influences. Where possible, the techniques of contribution analysis[3] will be applied to test plausible linkages between ITC interventions and development changes.

11. **Purpose 3 - Lessons and guidance for strategic and operational direction to the organisation for the years ahead:** The evaluation will identify a focused number of practicable recommendations - in some cases with possible options - to the specified audiences, clearly derived from the findings and conclusions of the evaluation, and informed by extensive consultation. The recommendations, guidance and broader lessons emerging will draw on relevant models and benchmarking where possible and appropriate against other organizations with comparable features. They will also take account of ITC's place and comparative advantages/disadvantages within the rapidly-changing fields of trade-related technical assistance and Aid for Trade more generally.

Box 1: Overview of the ITC Since the 2006 Evaluation

The terms of reference for the Evaluation call for this initial overview in the Inception Report. Clearly it would be premature at this stage to venture any evaluative judgements, or even definitive analysis or description. These will be more an outcome of the Evaluation once implemented. However it is appropriate to set out some major lines of the Team’s factual understanding to date of this picture, citing some early examples but certainly not claiming any comprehensive coverage. The information has been gleaned from the substantial preparatory research and consultation on ITC in the Inception Phase and integrated with the Team’s existing insights into trade-related technical assistance and the organization and management of multilateral organizations.

It is now clear that the major 2006 evaluation of ITC, and especially the responses to it, have marked one of the watershed transitions in the relatively long history of the ITC from its early beginnings as a small, junior organization that initially held a near-monopoly on trade-related technical assistance. The evaluation arrived at 34 recommendations for follow-up, touching on:

- the levels, duration and flexibility of donor support;
- governance and accountability arrangements;
- more responsive, larger and country-based programs with a stronger field presence;
- a results-orientation with an ‘MDG lens’;
- stronger RBM, monitoring, reporting and evaluation systems;
- costing of ITC activities;
- strengthening ITC’s human resource base;
- actions to strengthen project partners and sustainable impacts;
- stronger international partnerships; and
- a ‘strategic marketing and priority identification function’.

Initial management responses were lukewarm, but soon after the evaluation, ITC underwent a change in senior management, which subsequently committed the Centre to implement a

[3] See Mayne, J (2001)’Addressing Attribution through Contribution Analysis: Using Performance Measures Sensibly’; The Canadian Journal of Programme Evaluation, Vol.6, No.1, Canadian Evaluation Society.

good many of the 2006 evaluation recommendations. Much of this effort was packaged in the form of a highly-ambitious, ITC-wide “change management process” as the evaluators had recommended.

Some six years later, after a good deal of sometimes-controversial internal change and mixed progress on the different fronts where change was attempted, ITC has introduced (and implemented to varying degrees) updated internal systems in a number of key areas and laid the base for more modern programming approaches. One of the demonstrated advances has been in stronger communications, where it is evident that ITC has told its story better, including the story of change efforts underway but not yet completed.

Reputationally, there are signs that ITC’s reform efforts have gained credit and credibility in some key multilateral and donor circles. The overall picture among beneficiaries and potential beneficiaries is not yet as clear and will be a major focus of the Evaluation - one useful step already noted has been the growing use of client surveys. Similarly, the Evaluation results will be needed to ascertain progress in dealing with what was assessed in 2006 as a fragmented organization, complex arrangements for accountability and governance, organizational cohesion, evolving challenges in human resource management, and ITC’s external partnerships.

On the program side, for such a small organization, ITC retains a very wide and complex array of more than 50 products and services, raising challenges in understanding, deploying and managing such instruments (often in combination) across program and geographical sections and against the Centre’s strategic objectives. The Evaluation needs to shed outside light on how this system functions, and on its results. This should include an assessment of the experience with the office in Mexico as a pilot ITC effort in decentralising its capacities. Meanwhile there is early evidence that ITC has been seen to maintain and refine some of its traditional strengths in trade intelligence and small-scale, practical technical assistance for developing-country exporters, while venturing further into new territory with larger-scale projects. Some of these, such as the Ethical Fashion Initiative, have gained a high international profile. Considerable efforts have also been underway to break new ground in areas such as the Women in Trade program. On other services fronts as well, there are indications of venturesome and appreciated responses by ITC to emerging demands in a number of areas – prominently including analysis of value chains and non-tariff measures, for example - where the Centre appears to have earned new niches as a valued source of expertise.

Importantly, these trends in ITC’s work have been unfolding in what are now diverse and highly competitive international markets for trade–related technical assistance. Starting with a market perspective is very fitting as ITC prepares for the next phase in its evolution and the Evaluation prepares to contribute its findings. Externally, ITC is part of a burgeoning international Aid for Trade “industry” - total flows have grown steadily, from an annual average of $24.8 billion in 2006-8 to $33.6 billion in 2011.[4] Even within the much more limited market of trade-related technical assistance, ITC’s “market share”, at $76 million in 2012, is modest and reportedly declining.

A market perspective for the Evaluation on the current and future situation of ITC is also essential for three other main reasons. First, on the supply side, ITC is dependent for some 55% of its total funding on “extra-budgetary resources”, either flexible or earmarked in various ways. This funding “market” is operationally extremely complex and uncertain, both externally and internally, but at the same time is critical to the Centre’s overall service delivery as well as its capacities, organization and management. Second, on the demand side, ITC’s clients and potential clients themselves face ever-changing priority needs for trade-related technical assistance. How ITC (and others) manage this complicated interface

[4] WTO (2013). Aid for Trade at a Glance.

between funding supply and demand is critical to good performance as well as good practice in relation to the Paris Declaration principles. Third, the market for donor funding is evidently tightening. When ITC's pipeline of large projects and other funding has slowed, in spite of a generally favourable disposition among donors, the Evaluation will offer a credible independent assessment of ITC's capabilities and performance to provide an up-to-date basis for existing and potential funders to consider future financing.

It is clear that all of the areas touched upon in the 2006 evaluation, and some new ones, remain highly relevant for the current "progress report" Evaluation. Both the matrices on Centre's organization and management and on its operational progress and results will ensure systematic coverage of the full range of issues. It will also generate new evidence in a changed environment to examine again major strategic choices for ITC of the type that were broached in 2006, but have not yet been acted upon.

2.2 Scope and coverage

12. **Period to be covered:** As specified by the ToR, the Evaluation will focus on the period from 2006 to end-2012, tracking and taking account of the changes in the shape and operation of the organisation, its context and its programmes over that time.

13. **Comprehensiveness and sampling approach:** The Evaluation is expected to "cover all projects and programmes developed by ITC as well as the entirety of its governance, legislative, organisational and operational structures and processes." A cumulative multi-step approach will be taken to grapple with this substantial challenge, as detailed in the workplan and evaluation matrix outlined below.

14. **A leaner, clearer and simpler evaluation of high quality:** The Statement of Work specifies that this Evaluation, as a "progress report", is to be a "leaner, more streamlined process than the complex evaluation of 2006 in terms of the number and the dimension of deliverables, which need to be client-friendly, digestible, short and simple, useful and clear while at the same time complying with high-quality evaluation requirements." The emphasis will be placed on producing a high-quality evaluation that is useable, comprehensible and presented in clear, unpretentious and jargon-free language. It must be a credible and publicly-comprehensible evaluation, supported by an effective communications and dissemination strategy, to help ITC meet the Evaluation's objective of reaching and informing wider audiences.

15. **Lesson learning and recommendations:** The Team will follow a transparent, iterative and participatory approach to deriving and learning lessons from the Evaluation. The identification of lessons (learned or not yet learned) and recommendations will focus on the outcomes - and as far as possible in the 2006-2012 timeframe, impacts - of projects and programmes, as well as the key aspects of ITC strategy, organisational processes and management.

2.3 Management, governance and independence of the Evaluation

16. **The Evaluation Manager**: The evaluation will be managed and quality controlled by the Evaluation and Monitoring Unit (EMU) in ITC. The EMU will act as the management team for the daily management of the Evaluation. This team in ITC will act as a focal point for gathering all documentation for the evaluation. The EMU will assist the Evaluation Team as possible with travel and logistical arrangements for the Team. The Evaluation management team has worked with ITC managers to set up an internal liaison and reference group to facilitate inputs and arrangements with different parts of the organization. The roles and responsibilities of the management team/secretariat for the evaluation will be the following:

a. Manage the Evaluation and manage the Evaluation budget;
b. Establish all logistical arrangements for the Evaluation regarding Geneva-based meetings;
c. Ensure the availability of office space, computer(s), and telephone(s);
d. Consult with stakeholders and collect and consolidate their comments for the Evaluation Team about eventual factual errors, omissions or misunderstandings in the evaluation outputs and ensure that the Team gives full consideration and response to substantive comments received within the timeframes to be specified in the Inception Report;
e. Provide technical comments to the Evaluation outputs and assess the draft inception and final reports for validity and reliability of information, clarity of analysis (that conclusions are substantiated by findings, which are consistent with data collected and that recommendations and lessons learnt follow from the conclusions);
f. Assess and sign off all products by the Evaluation Team for adherence to the Terms of Reference and Inception Report guiding the work of this Team, quality against the accepted Evaluation Quality Standards, and accessibility. Quality assurance and control do not necessarily imply acceptance of the conclusions of the evaluation. The independent Evaluation Team has the final responsibility for the contents of its reports;
g. Coordinate the process of the Management Response;
h. Ensure there is no conflict of interest in any selection processes;
i. In collaboration with the Communications Unit and the Evaluation Team, ensure the dissemination and communication of the evaluation; and
j. Under the responsibility of the Senior Management of ITC, ensure follow up of the implementation of the accepted recommendations.

17. **The ITC Evaluation Steering Committee**: The Steering Committee, made up of representatives of donor and beneficiary countries is tasked with oversight of the evaluation. It is coordinated by a donor country representative. The purpose of this Group is to ensure external stakeholders' participation and buy-in to the evaluation process and results, to assure the independence of the evaluation and support dissemination and use of the results. It will monitor the process and review evaluation products, including:

    a. The Inception Report, including final methodology, evaluation questions processes and timelines and dissemination strategy;
    b. Progress reports on the Evaluation at key milestones; and
    c. The Draft and final Evaluation Reports for quality, clarity and credibility.

    The Steering Committee will review and provide comments on the products mentioned above. In order to protect the independence, credibility and utility of the evaluation, the Steering Committee will not approve or disapprove the reports produced by the Independent Evaluation Team.

18. **The Independent Evaluation Team:** The Team is responsible for:

    a. Carrying out an independent evaluation, in line with internationally-accepted norms and standards, (as well as with ITC's own Evaluation Policy and Guidelines) of the extent to which ITC's work has been relevant, effective, and efficient, what impact its activities have had, and assess the sustainability of the intervention(s). It will take stock of progress in implementing the recommendations of the 2006 evaluation. The Evaluation will respond to the Terms of Reference and the evaluation questions therein, as refined, revised and then confirmed in the Inception Report. It will apply a diversity of methods to answer the evaluation questions and relate its findings and recommendations credibly to reliable evidence.

b. Providing deliverables in English that are client-friendly, digestible, short and simple, useful and clear while at the same time complying with high-quality evaluation requirements. As a “progress report”, this strategic evaluation is mandated as a leaner, more streamlined process than the complex evaluation of 2006.

c. Following a comprehensive approach. Through desk studies, it will cover all projects and programmes developed by ITC as well as the entirety of its governance, legislative, organizational and operational structures and processes. The evaluation will also take into account other evaluations of ITC activities undertaken in the 2006-2012 period. To verify the preliminary conclusions of the desk studies and to undertake a more in-depth and detailed analysis, the evaluation will cover a representative sample of ITC’s operations, both through an assessment of ITC programming at its headquarters in Geneva as well as in seven field missions to countries or regions where the organization is active, in particular countries in Africa.

d. As part of the above, deploying a consultative and participatory methodology, including the interviewing of key stakeholders (namely: beneficiaries, in particular trade support institutions and private companies in the field, donors, staff and management of ITC, and parent and partner organizations). Stakeholder engagement will be important at all stages, so that the evaluation is conducted in a consensual and transparent way whilst applying the principle of independence and the other evaluation norms and standards. This will advance the objectives of the evaluation, while also reinforcing the necessary confidence, learning and engagement of the diverse audiences and stakeholders in both the process and results of the evaluation exercise.

e. Responding to comments by stakeholders on draft outputs, where these are received in the timeframes to be agreed in the Inception Report, and mindful of the principle of independence. The team will indicate how these comments have been reflected or, if not, why not. The Team Leader will ensure that any disagreements among the members of the Evaluation Team or between the Evaluation Team and relevant partners that are significant to conclusions and recommendations are reflected in the report, either in the form of comments in the text, footnotes or as a special section.

f. Applying internal quality assurance and control systems. The Team Leader is accountable for the organization and co-ordination of the work of the Evaluation Team (and through this ensuring the quality and relevance of Team member contributions) and assuring the delivery of emerging findings, conclusions and recommendations, as well as a comprehensive final report which meets evaluation standards, within the contracted timeframe/ specifications. The Senior Project Manager of the contract-holding firm will be accountable for management responsibilities related to contract management, cost control, cash flow and invoice management, while the firm has also appointed another senior officer to provide a further level of internal quality assurance. An updated quality assurance policy plan has been prepared based on the outline in the proposal and distributed to all of the Evaluation Team members.

g. Addressing what lessons with regard to impact, strategy and management can be learned from ITC’s operations over the past six years, and generating related recommendations.

h. Reporting - through the Evaluation Management Team, Steering Committee, and senior Management as appropriate - progress at key milestones and provide expected deliverables on time, including Inception, Draft and Final Reports, and carry out agreed tasks in disseminating and communicating the results of the Evaluation.

3. APPROACH AND METHODOLOGY

3.1 Approach

19. The central principles guiding and shaping the approach to the evaluation are usefulness, credibility and independence. The inception phase has demonstrated that this Evaluation will call for a particular combination of tested approaches and creative adaptation to fit the particular characteristics of the ITC. As a “progress report” it is more a ‘formative’ evaluation than a ‘summative one’, but it is still expected to draw together a tracking and assessment of results as well as offering guidance for the future. Responding to the important questions around organization and management has called for the adaptation of organizational assessment approaches. ITC’s overall goal of managing for development results has helped shape the evaluation approach, applying the lessons of development evaluation in general about the possibilities and limits of linking development assistance interventions and development impacts.

20. A rigorous and tested methodology for this type of evaluation will be applied. It is centred on a structured, transparent and verifiable approach to answering the evaluation questions, reporting and synthesizing findings, drawing well-founded conclusions, and producing solid and useful recommendations. The approach will apply the specified evaluation criteria – of relevance, effectiveness, efficiency, sustainability and potential impact. - through mixed method approaches, combining quantitative and qualitative sources and techniques.

21. Key components of the evaluation approach and design will be:
    a. Encouraging a growing ITC focus on results by clustering the assessments of the use and results of projects and products according to the expected accomplishments in the Centre’s approved logical framework;
    b. Preparing and following a detailed evaluation matrix as the spine of the evaluation that shows how the core questions will be answered, where data will come from, what data collection methods will be used, and how data will be analysed;
    c. Making clear how the evidence emerging from the different lines of data collection and analysis will be used to draw conclusions and shape recommendations;
    d. Ensuring clear opportunities for stakeholder participation, not only in the process of data collection but also in the validation of findings and the shaping of conclusions and recommendations;
    e. Operating to a practical workplan and budget enabling the Team to cover the ground, build findings progressively and ensure adequate time and resources for stakeholder participation.

3.2 Evaluation Process

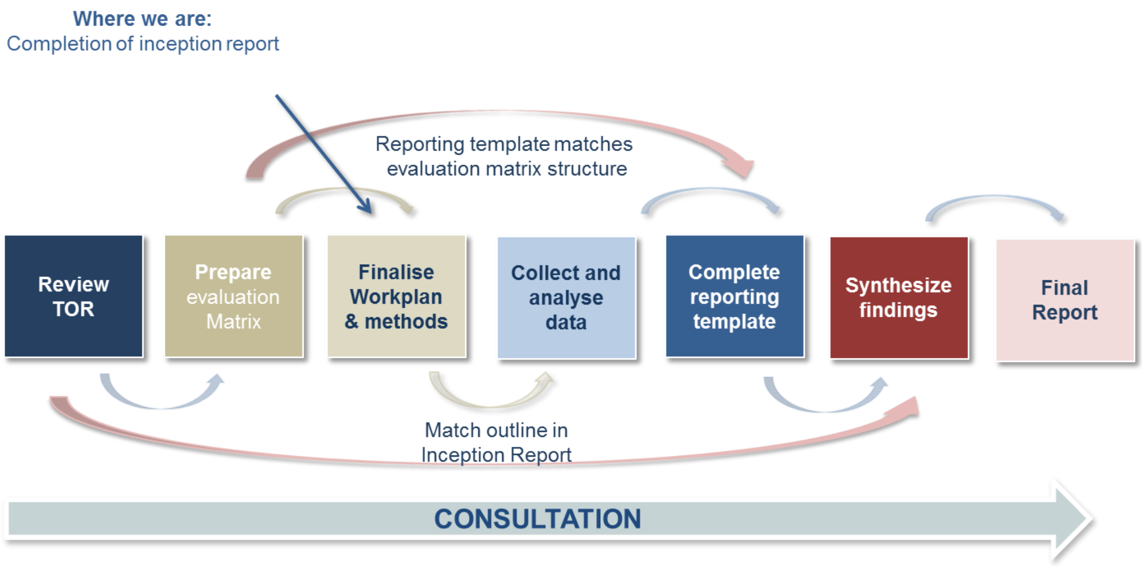
22. The basic process being followed by the Evaluation is depicted in the figure below, amplified in the following section on Methodology and in Figure 2 below. This section outlines the planned steps in the Evaluation and focuses on building the linkages between the objectives of the assignment, the approach and the main Evaluation

activities. More detail on the timing and division of labour for the tasks is found in the plan of work and the timetable and deliverables.

23. With this Inception Report the first three major preparatory tasks will have been completed (review of the terms of reference and "evaluability" assessment, preparation of the matrix and finalization of the work-plan and schedule) and the ground will be prepared for full implementation of the Evaluation. In this Evaluation, the initial research and consultation carried out in the Inception phase has been more important than in many evaluations, revealing some of the unique complexities of the ITC and its dispersed activities, especially considering that it is a relatively small programme. This has called for substantial adjustments as indicated in the section below on "evaluability."

24. The diagram below indicates the envisaged process of the Evaluation:

Figure 1: The process of the Evaluation



3.3 Methodological design

3.3.1 Results of the "Evaluability" assessment

25. As part of the inception phase of the Evaluation, the Team completed an assessment to verify where the programme meets the preconditions for conducting a robust evaluation, and how the evaluation should be designed to ensure a) credibility and b) maximum utility.

26. The first finding was that the importance given in this Evaluation to the state of the organization and management of the ITC and changes made since 2006 called for a special approach. The task is a large and complex one, but will be aided by adapting and using an accepted framework or checklist of key elements for organizational assessment which is developed in the Evaluation matrix in Annex I.[5] This assessment is also assisted by the fact that there has been a great deal of attention, and documentation,

[5] Lusthaus, Charles, Adrien, Marie-Hélène et al., Organizational Assessment: A Framework for Improving Performance. 2002, Inter-American Development Bank, Washington, D.C. and International Development Research Centre, Ottawa, Canada. "IDRC first published this framework in 1995. The IDB very quickly became involved in applying and using it, and has been instrumental in the field-testing. This greatly updated and expanded framework has grown from our combined experiences. IDRC and Universalia have applied these tools in organizations in West Africa, South Asia, and, along with the IDB, in Latin America." Foreword, p. x

around organizational and management issues in ITC over the evaluation period and that there was fairly clear baseline data and evaluation recommendations around some of these issues.

27. However, one important finding during the evaluability check was that there are strong differences of views on what the "change management process" in ITC since 2006 actually implied. It will therefore be most productive for the Evaluation's framework for assessment to set aside that label to focus instead on specific changes made or attempted on their merits. Finally, it is important to reiterate that as part of a “lean, progress report”, the Evaluation will bring an informed and objective outside assessment but will not constitute an exhaustive management and organizational study.

28. On the other hand, the inception work has found major challenges in assessing the *overall results of ITC's activities* against the accepted evaluation criteria, beginning with the difficulty of actually identifying and categorizing all of ITC's numerous and dispersed product lines, and then finding meaningful and strategic ways of aggregating them and their results in corporate level assessments. ITC's own systems for attempting to aggregate this information are just now taking shape and the Evaluation must both draw on them to the extent possible while at the same time assessing the validity and useability of these budding systems. Different operational Divisions are currently updating their information on the range of products and services offered and the Evaluation Team has already been working with them, testing as an early user of this information.

29. In terms of *basic data*, apart from the important issue noted above, a relatively strong and well-organized base of other evaluations and institutional documentation has been made available to the Team by the Evaluation and Monitoring Unit at the outset of this Evaluation, enhancing its prospects for success in some key areas.

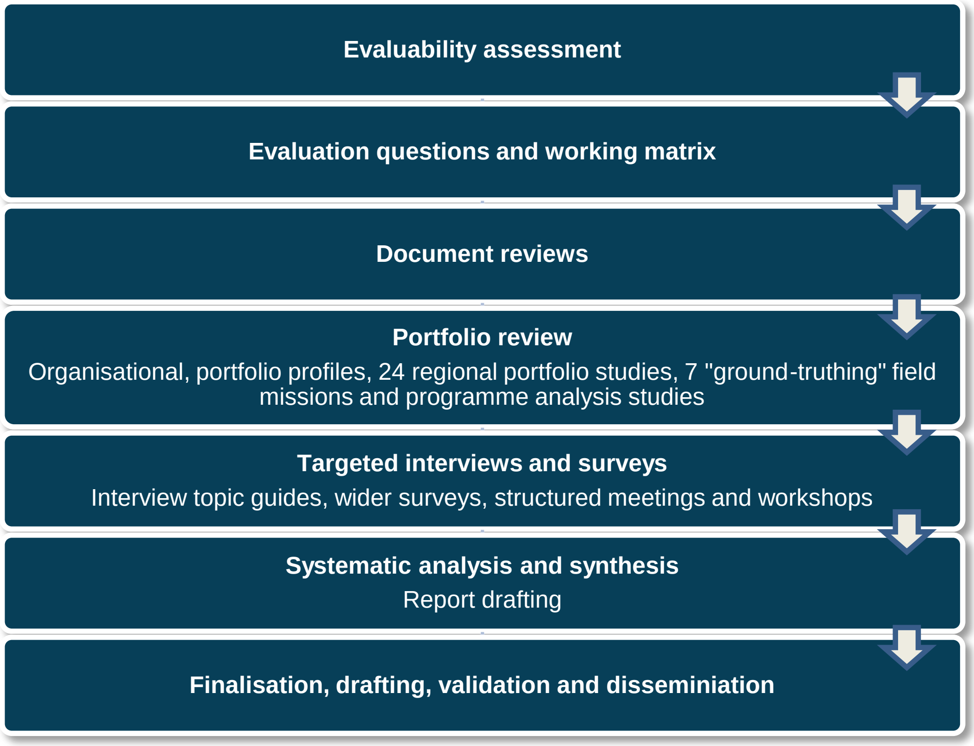
30. The indications from the inception stage are positive In terms of the *conduciveness of the evaluation context* - i.e. assuring the necessary engagement, accessibility and confidence of key stakeholders and intended users, and clarity on how the findings of the Evaluation will be employed by the key intended users. Team missions to Geneva in September and October 2013, involving some 35 meetings with a range of stakeholder groups and program staff indicated that the “progress report” Evaluation is seen by ITC senior management and program staff interviewed, steering committee members and a wide group of beneficiary representatives as timely and appropriate, coming seven years after the major evaluation of 2006 and after a period of substantial internal and external change. Its independent character, as distinct from the donor-driven effort of 2006, is welcomed by all. A first informal all-staff briefing attracted an interested cross-section from different parts of the Centre, with expectations around further consultation on both programmatic and organizational issues.

31. As *had been noted in the selected Team's proposal, the original list of possible evaluation* questions in the Terms of Reference was unmanageably long, often repetitive, and included questions of very different orders and some that were simply not likely to be evaluable. These issues were documented and discussed during the inception phase and using the preliminary set of evaluation questions as a starting point, the questions were further structured, refined, and focused in consultation during the inception mission to Geneva and confirmed in this inception report. The questions are then amplified in the working matrix which still allows for dealing with all the original suggested questions.

3.3.2 The main Evaluation questions and Matrix

32. The diagram below sets out the main building blocks of the methodology:

Figure 2: Building blocks of the methodology



33. The methodology is centred around the main questions to be answered in the Evaluation. As noted, after preliminary examination, the Inception Report has opted to organize the main evaluation questions differently for the organizational and management assessment and the assessment of ITC's projects, products and activities. All will refer as applicable to the specified evaluation criteria of relevance, effectiveness, efficiency, sustainability, and potential impact.

34. The Team has ensured that the subject-matter of all the questions originally suggested in the Terms of Reference will be covered by these topics and will re-check that the relevant findings are apparent in the final Evaluation report.

35. In the Implementation phase, the largest share of time and effort will be devoted to the collection and analysis of data, all closely geared to the guiding questions and evaluation matrix. This will be followed by systematic reporting and synthesizing of the data collected through all methods (once again against the Matrix framework) in order to arrive at the draft Evaluation report for validation and eventual dissemination.

36. To guide data collection and analysis, and to ensure a fully rigorous and systematic approach, the Evaluation Team have developed two key matrices. These are geared to the respective evaluation questions; serve as the analytical 'spines' for the respective components, and will also form the reporting framework for outputs.

37. **Institutional assessment:** With the systematic approach adapted to ensuring coverage of the key organizational and management aspects of ITC the Evaluation will focus this part of the study on four major questions. These are centred on:

- The **enabling environment** for organizational performance in ITC and how has it changed since 2006;

- ITC's **organisational capacity** to carry out its mandate effectively and how has it changed since 2006;
- ITC's **organizational motivation** to carry out its mandate effectively and how has it changed since 2006; and
- ITC's **organizational performance** in carrying out its mandate and how has it changed since 2006 (these issues are also covered extensively, from the delivery and project level up, in Matrix 2)

38. Matrix 1 (see Annex I) sets out the key dimensions of each of these four headline questions which will be explored. It disaggregates these into relevant key issues and lines of enquiry identified through preliminary documentation analysis and early meetings in Geneva, such as ITC's results orientation. The matrix does not constitute a full institutional analysis, but sets out some focused parameters to guide data-gathering against the relevant evaluation questions. It also recognises that there will be some intersection with portfolio and project analysis and survey work.

39. Matrix 2 (see Annex II) is designed for evaluating progress and results in ITC's **delivery of its products and services**. It is geared to ITC's strategic objective areas (the "expected accomplishments" for the 2008-9 biennium have been taken as the base best reflecting changes since 2006 and remaining fairly constant since). This framework for the Evaluation, which has to be correlated with ITC's organizational structures, is intended to both test and encourage the strategic results orientation to which ITC has committed itself. These questions will be pursued first at the level of the full portfolio analysis through a documentary and statistical evidence survey, then progressively deepened in the sample of 24 more detailed portfolio studies and finally seven country-based "case studies" (both distributed across regions and types of programs) in order to ground the findings in the concrete experience of main intended beneficiaries.

3.3.3 Specific methods

40. Finalising the Evaluation matrices has confirmed the methods to be employed. As shown in the Matrices, the Team expects to call on the full arsenal of evaluation methods enumerated in the ITC Evaluation Policy and other documents, geared to the particular questions and issues involved. For example, we see possible scope for deploying quantitative and qualitative content analyses, contribution analysis to a limited extent (particularly in dealing with questions of attribution of results and impacts to ITC interventions) and benchmarking in areas where it may be appropriate.

41. It is important to be clear from the outset on the Evaluation's ability and limits in establishing causal links between activities and specific outcomes and impacts in the programme's target areas and sectors, ideally as reflected in pre-defined indicators. The ITC's logical framework at the corporate level reflects an evolving approach, underpinned to some degree by lower level log-frames, but it is clear that this results framework is still not robust enough to support such a structured evaluation. The Evaluation will analyse the relevance and effectiveness of logical framework in ITC and provide guidance for improvement by examining both "bottom-up" evidence on how the corporate results framework relates to project and program level results, and "top-down" findings on the needs, expectations and uses for measuring results and impact at the corporate level.

42. This methodological approach is well-grounded in evaluation theory and practice[6], and can be readily implemented through the proposed workplan and Team structure. The focus on evaluation building blocks and associated tools provides a clear and practical framework for delegating tasks within the Team and for relating the data and evidence collected back to the evaluation objectives and key questions, and in turn to ITC's strategic objectives.

43. **Systematic document review**: Document review checklists and interview topic guides will be derived directly from the evaluation questions. The types of documents that will be reviewed for this Evaluation include organisational documents (strategic plans, annual reports etc.), project documents (proposals, progress reports etc.) and background materials. With access to the full body of ITC documentation, and the cooperation of the EMU and the operating sections involved the portfolio review will include an analysis of all available information on the processes in different types of ITC project at all stages in the cycle. To the extent possible with such diverse activities, the portfolio review will attempt to use a mapping approach for the key processes and decision-points in the whole ITC system. The document review will also look at the key strategies, policies and programs of other providers of trade-related assistance in order to situate ITC within this overall constellation.

44. **Organizational analysis** needs to generate a comprehensive overview of ITC's strategic direction, operating model and resources, and particularly to report on changes since 2006. Time and resourcing does not permit a full institutional analysis, but the key lines of enquiry in the revised evaluation questions can be substantively covered. To ensure a systematic approach, an adapted version of the IDRC organisational assessment tool will be applied, tailored to the evaluation questions and to reflect ITC's operating conditions. This builds on the preliminary enquiry conducted during the first mission to Geneva; and applies relevant lines of enquiry, data collection methods and sources.

45. At analysis stage, the findings from the HQ perspective can be 'stress-tested' against field level enquiry, to highlight areas of coherence / differences or tensions arising between ITC's corporate-level intentions, and their playing out in practical terms at ground level.

46. **Portfolio and programme analyses** will be an especially critical part of this Evaluation, since it must cover properly a substantial number of projects, services and activities operating at very different levels. The factual documentation on each is expected to be relatively good, but a manageable number of key analytical and explanatory questions first need to be pursued in order to understand and assess how the very diverse project types and portfolios actually operate. To meet this need the Team has already tested a "project story"[7] technique during early program staff interviews, and it has proved very helpful. This will now be tightened into an interview guide/questionnaire that will also reflect more clearly a standard evaluation of the project results chain and performance against intended results.and the responses will be cross-checked among different stakeholder interviews and wider surveys. For main phase analysis, systematic tools will be developed which will allow data to be gathered against agreed fields linked to the indicators in the relevant Evaluation matrix. This should allow for robust comparison at analysis stage.

[6] Quinn Patton, M (Ed) (2012) Canadian Journal of Program Evaluation, Volume 27 No 3, Special Issue 2012 Evaluation of the Paris Declaration on Aid Effectiveness

[7] The tool devised for drawing out these structured stories on ITC products and projects is called a "product story board" and the template is attached in Annex III for information. A similar tool was also employed for early familiarization with the roles of ITC's Geographic Sections, and it is also attached in the Annex.

47. **Interviews, surveys and field missions**: Interviews and field missions will be carried out by the team members individually. To ensure that the Evaluation captures the information accurately, and to ensure a fully systematic approach to data collection, the following tools will be developed and applied to support the methods outlined in the Matrix to answer the evaluation questions:

   a. *Interview topic guides* will provide a semi-structured format for interviews. They will apply the lines of enquiry / indicators of the relevant matrix, but grouped and targeted according to the organisation or individual being interviewed at either the programme or country level. This tool will ensure systematic coverage of the central topics by Team members consulting with stakeholders at different times, while retaining the flexibility to pursue important unforeseen avenues of enquiry as they arise in the Evaluation.

   b. *Structured meetings and workshops*: The Evaluation will call for a considerable number of key informant interviews. These will mostly be managed on an individual face-to-face basis, but where appropriate groupings exist, Team members will also conduct focus group discussions; and where there is a particular need to validate or triangulate findings, structured meetings or workshops can also be used with a range of stakeholders both at the global, regional and country levels.

   c. *Wider surveys*: It will be important to go beyond the number of interviews that will be possible in order to secure the informed input and participation of a much wider group of ITC stakeholders. It will be a priority task for the Team from the outset to identify the key intended respondents and prepare the appropriate questionnaires for them, together with strategies and techniques to engage their interest and cooperation. With these elements in place it may be possible to use a cost-effective web survey for this purpose and the Team has used and adapted such tools on a number of assignments under comparable conditions.

Box 2: Portfolio Performance Analyses

As originally proposed, the approach for assessing the performance of the ITC's activities will be a four-stage one, but it will have to take account of some important factors highlighted during the inception phase. The ITC's activities are highly dispersed, by type of activity, by level (global, regional, and national) by types of intended beneficiary (policy-makers, trade support institutions and enterprises) and among countries. Country programs, as understood in larger development cooperation agencies, do not really exist as such. Rather the management of activities within ITC is also dispersed on a functional basis, while reportedly different services are often deployed in somewhat coordinated forms. These arrangements particularly affect the first stage of the portfolio study.

Full portfolio survey: (Begun in the inception phase, carrying on through to December 2013.) Taking into account the current effort by ITC to develop an up-to-date listing of all to services and products, this exercise will proceed on two fronts. The first is a major organizational and data-gathering task of trying to clearly identify all ITC's products, their purposes, volume, distribution, management arrangements and existing results information on them. This will involve analysing across the full portfolio through structured desk and statistical research and targeted headquarters inquiries and arriving at synthesised profiles. The second task, being conducted in parallel, aims at making sense of how ITC's dispersed products (the latest count is a total of some 50) are actually called upon and used in projects. This part of the work has so far involved one Team member selecting a largely random sample of some 20 projects/product uses, drawn fairly equally from the portfolios of different Sections of the Centre, and through HQ interviews structured around some of the central Evaluation themes/questions, drawing out the essential “project stories” of each. A parallel exploration has been launched on the roles and activities of geographical sections.

Regional portfolio study: (From acceptance of Inception Report until December 2013) Drawing on the lessons of the first stage, seven Team members will have responsibility for extending the portfolio analysis to the full portfolio in their designated region of responsibility. They will also prepare a total of over 70 further project “stories” structured against a standard format and distributed representatively in at least three countries in each region/sub-region across all the main product lines, but now more tightly linked to Matrix II than the more-open-ended initial approach. This structured story approach is the best way to capture the highly diverse style of ITC’s operations, while also answering the key evaluation questions. Global services and projects (and to the extent that they are not covered sufficiently through country studies, regional projects) will be analysed against separate templates that will also reflect the relevant evaluation questions.

Widening inputs: (From acceptance of Inception Report until January 2014) Simultaneously, targeted surveys and focus groups will be launched, asking the key questions of ITC’s clients (and potential clients) as well as its other stakeholders, including partner (and potential partner) institutions, beneficiary and donor country representatives, staff and others. If the work is sufficiently advanced in this period it may permit the testing of emerging hypotheses in several small focus groups, with mixed participation from ITC’s stakeholders both at headquarters and through virtual linkages. Parallel measure will be taken to secure inputs from informed respondents among ITC’s potential beneficiaries who have not yet been involved in its activities. (See ‘Consulting ITC’s Potential Beneficiaries’ below)

Country level “ground-truthing”: (November 2013 to January 2014) A final stage of data-gathering will be a more in-depth level of examination of ITC’s projects in countries – national, regional, and to the extent possible global. The objective will be one of “ground-truthing” the Evaluation’s findings and conclusions through a set of seven targeted country missions, selected against the same criteria for representativeness as the wider sample of 24 countries, and seeking the maximum representativeness of country and ITC-product-mix types among the seven. The aims at this stage will be to cross-check and triangulate more in-depth country and program findings against the cumulative hypotheses from the previous steps, viewed from the ‘other end of the telescope” – the processes and demonstrable outcomes, impacts and perspectives of ITC beneficiaries, in particular trade support institutions and enterprises in the field and other potential beneficiaries, partners and stakeholders on the ground.

Summing-up the “Funnel” assessment process

At the wide end of the funnel, the full portfolio review, through structured desk and statistical research and targeted headquarters inquiries, will arrive at broad profiles of the entire portfolio of ITC projects over the period, tracing patterns and trends in the funding, use, distribution and available results information on products (organized against the ITC’s three “expected accomplishment” areas set out in Matrix II).

At the middle level of the funnel – following the same Matrix structure and a standard reporting format - the representative sample of 24 more detailed portfolio studies will focus on three varied projects per portfolio (using the project story technique now tightened into an interview guide/questionnaire). Assuming that all generate reliable results, this will in fact yield 72 (more than 60) project cases, which will be enriched by the 20 project stories traced in the inception phase.

Finally, among the 24 country portfolios, and still following the same structure, the seven country-based "case studies" (distributed both across regions and types of programs) will serve at the narrow end of the funnel to generate findings grounded more deeply in the concrete experience of projects and their main intended beneficiaries in their actual country contexts.

A critical process of triangulation and synthesis will then be to compare the findings at these three levels, once again facilitated by the use of the same Matrix. Recognizing that the ITC-wide data that is aggregated at the HQ level is intended to serve wider purposes of management and accountability, the lower-level findings will serve to test those data in a "bottom up" reality check.

3.3.4 Triangulation and validation

48. To ensure full triangulation and validation, all findings – from institutional review, portfolio and country level - will be cross-checked by comparative analyses and targeted interviews and surveys across the portfolio, and by findings from the perspectives of staff, other agencies, donors, and knowledgeable analysts. These different streams and perspectives will then be brought together through a systematic process of triangulation at the synthesis stage, in order to arrive at overall findings and conclusions on the performance of ITC at different levels.

3.3.5 Selections for portfolio studies and country missions

49. Bearing in mind that separate assessments will be needed for the substantial share of ITC's projects and services that are global in character, and that ITC does not really have "country programs" in the same sense as many larger agencies, it is still important to assess national, multi-national and regional projects in a representative range of country contexts. It should be stressed to all stakeholders, especially beneficiaries, that these country selections are only samples for purposes of retrospective evaluation and should not have any effect, positive or negative, on the future allocations of ITC support by countries

50. The approach to assessing the portfolio of ITC's activities in countries can be compared to a kind of narrowing funnel. At the widest end of the funnel, the entire ITC portfolio of projects will be generally surveyed and profiled as part of the Evaluation. But especially because of the spread and diversity of projects it will be essential for more in-depth assessments to work with limited samples that are as representative as possible. To ensure the credibility of the Evaluation findings, it has been very important for the independent Team to set the sampling criteria and control the selection of cases for examination, taking into account specified inputs from ITC program staff.[8]

[8] The sampling process set out represents a combination of quota sampling, i.e., a set of specified categories in which cases will be selected, "distributional" sampling across those categories, and then randomised sampling among the remaining clusters of cases.

51. The terms of reference and proposal required that both Francophone and Anglophone Africa would receive special attention, while maintaining sufficient coverage across the other regions served. Consistent with this, as shown in the Table below, at the middle level of the funnel, the plan is to carry out a total of 24 portfolio analyses in individual countries distributed across the regions, and at the narrow, most-focused end to carry out seven country-missions (as allowed for in the Evaluation budget), similarly distributed. These missions are intended to "ground-truth" the overall findings by more direct beneficiary consultation and observation on the ground.

Table 1: Geographical coverage

Geographic Region	Number of countries included in Portfolio Analysis	Number of Field Missions
Africa (East and Southern) 6 Anglophone	6	2
Africa (West and Central) 5 Francophone / 1 Lusophone	6	2
Latin America & Caribbean	3	1
Asia & Pacific	3	1
Arab States	3	1
Eastern Europe & Central Asia	3	0
Total	**24**	**7**

52. To ensure the credibility of the Evaluation findings, it has been very important for the independent Team to set the criteria and control the selection of cases for examination. The basic threshold criteria for selecting countries for second and third level examination are to ensure representation across the range of regions served with sufficient recent country-level ITC activity to make the deeper examination feasible and worthwhile. Meeting this dual test, from the documentation that has been provided the Team identified 61 countries[9] where ITC country-level projects have been active from 2010 to 2012[10], with the understanding that in the selected countries older projects may also be examined. Beyond these thresholds, the Team has applied the following criteria to arrive at the most representative possible selection distribution of countries for closer examination between and within regions (see box below).

Box 3: Country case selection criteria

Basic variables:

- Income group (per capita GDP)
- Size of economy (GDP)
- Number and value of ITC projects
- Range of ITC products and services in use (including some regional and some

[9] The Team was provided a spreadsheet by the SPPG of all projects active since 2006, narrowing down to projects active from 2010 to 2012 the Team identified 61 countries with individual-country level projects. The Team is relying on the accuracy of this information, and for the present purposes of sample selection only very substantial errors or omissions would make a material difference.

[10] These three years were selected to be able to examine significant country project activity (alongside multi-country and regional projects where applicable) where the work is likely to have progressed far enough to allow for assessing outputs and outcomes, and recent enough to be sufficiently well- remembered by potential informants.

large projects)

Variables specified in ITC terms of reference:

- LDC, LLDC, small-island state or land-locked status
- Special attention to sub-Saharan Africa
- Coverage across ITC's geographic regions, and levels of development

Trade-related variables (reflecting different strengths, profiles and conditions in trade and Aid for Trade):

- Exports in Goods/Services (% of GDP)
- Manufactures export (% of merchandise exports)
- Agricultural raw materials, ores and metal exports (% of merchandise exports)
- Logistics Performance Index (2012)
- Trading across Borders Score (2013) ("Distance to frontier" i.e. measured against best score)
- WTO membership
- Scale of per capita Aid for Trade assistance from all sources

Practical considerations (for country missions):

- Availability of sufficient networks of informed sources on ITC work
- Accessibility/ cost of mission
- Current access/ security situation

53. Applying these criteria to select among the 61 possible countries the Team has arrived at the 24 highlighted below to provide a wide range of country cases for detailed study. Within this selection of some 40% of the total group it has selected the seven countries indicated with an asterix (*). These are once again selected to provide a representative mix of country and program types across regions for the third, most detailed level of examination through country missions. Each of these seven meets the additional practical criteria of having enough ITC activity to justify the investment of a mission and, all other things being equal, a discretionary factor based on the relative knowledge and ease of access by the Evaluation Team.

54. At the Team's request the regional sections of DCP provided their rapid assessments on how criteria on the range of ITC products and services, availability of sufficient networks, and current access / security situations would apply in the proposed selection of countries. This consultation resulted in one change of a proposed country mission, due to the fact that there have been other recent Aid for Trade evaluations in the originally-selected country so that an ITC Evaluation mission would result in unreasonable, duplicative demands on ITC's partners on the ground. The country has been retained for portfolio analysis which should be enriched by the other evaluation results.

Table 2: Selection of countries

	Region	Country		Region	Country
1	Africa (East and Southern)	Ethiopia*	13	AP	Bangladesh
2		Kenya	14		Cambodia*
3		Malawi	15		Fiji
4		South Africa	16	LAC	Haiti*
5		Tanzania*	17		Peru
6		Uganda	18		Uruguay
7	Africa (West and Central)	Benin	19	Arab States	Egypt
8		Cape Verde	20		Jordan
9		Congo Dem Rep	21		Tunisia*
10		Côte d'Ivoire*	22	EECA	Albania
11		Mali	23		Tajikistan
12		Senegal*	24		Kyrgyzstan

3.3.6 Consulting ITC's Potential Beneficiaries

55. There are several major reasons why it is especially important for the Evaluation to reach beyond ITC's existing groups of beneficiaries:

- They are small sub-groups of the potential beneficiaries (e.g. recently only in 61 of some 150 eligible countries) and the rationales/processes for the existing selections and distributions of activities are not yet clear;
- While it is important to assess the satisfaction of existing clients, they will tend to have a vested interest and/or built-in positive bias toward the activities they are involved with. They will not necessarily be well-placed to shed on the relative priority of those trade promotion activities or how ITC responds to overall demand in its field;
- There is evidence of unmet requests, and dissatisfaction from some stakeholders with the apparent inability of ITC to respond; and
- Looking to the future, it is important to assess ITC's potential to respond to a wider set of clients and what it would take for the Centre to do so.

56. For the Evaluation to actually identify and reach these wider groups of potential beneficiaries is not a simple challenge. We are proposing the following steps:

- To seek out evidence of past requests to ITC management and analyse and explain how they have been handled;
- To identify appropriately-placed policy-makers, trade support institutions and enterprise representatives in potential beneficiary countries and test their awareness, need and interest in ITC's services, mainly through a brief targeted survey (on-line, supplemented by hard versions as necessary). In the 48 least-developed countries where the EIF is active, the EIF focal points and National Implementation Unit Coordinators should be natural informants. Respondents to the OECD /WTO questionnaires for the Global Review of Aid for Trade would be another logical group

of informed respondents if access to them can be provided. Trade promotion organizations and/or chambers of commerce in a sample of countries not currently served by ITC country projects may be another group to be approached, both for their own possible inputs and for leads particularly to interested enterprise respondents.

3.3.7 Analysis and synthesis of Evaluation results

57. **Analytical processes:** In order to successfully analyse the material within the tight timeframe of the study, and to help meet some of the challenges above, the Team will prepare a standard reporting template for analysis. This will require Team members to identify and analyse findings from individual portfolio analyses and country missions and other sources along the parameters of the Matrix.

58. Simultaneously, to ensure that the findings being sifted out are adequately supported by evidence, reviewers will assess both the quality of the evidence presented and the clarity of the analysis. This is a necessary requirement for calibrating findings to the strength of the evidence and ensuring their robustness. It will enable a composite template per question and sub-question to be developed, also identifying where gaps and weaknesses in the evidence remain.

59. The analytical tool will include rating scales on the following parameters:

Table 3: Analytical tool

For findings	For conclusions
Data transparency and coverage	Extent to which questions were answered
Data reliability and accuracy	Clarity of analysis

60. **Aggregating emerging findings**. To bring together the diverse material available at this stage the drafting the Team will apply the following process:

- Extracting the first emerging findings in the reporting templates alongside a first check of evidence, using a rating system that will be developed in the desk phase;
- Cross-checking templates between drafting Team members to ensure rigour and completeness (each completed template will be verified / quality assured by a second member of the Team);
- Assembling findings from all reports into a compilation by question and sub-question; and
- Analysing assembled findings across reports and categorising responses, at this stage with references to specific individual reports.

61. This systematic approach, which includes an ongoing emphasis on triangulation and validation of data, will ensure that the analytical process is as rigorous as possible – and consequently that the findings arising are fully robust.

62. **Synthesis:** This stage will require the Team to synthesise the results of all the component inputs and supplementary materials, in a major policy-oriented synthesis report systematically covering the evaluation purposes, the agreed questions, and the specified criteria (relevance, efficiency, effectiveness, impact and sustainability). In assessing the range of performance, the Team will also super-impose the four additional "perspectives of ITC performance" set out in the Statement of Work and will need to be alert to possible emerging categories or trends and their explanations.

63. In terms of aggregate judgements for the synthesis report on the pace of change and the distance remaining to achieve the expected follow-up to the 2006 evaluation and other ITC objectives the Team will recognise that this is a “progress report” Evaluation, with incomplete and uneven results to be expected. Within that perspective, the standard of judgement applied on the intended outcomes will be a dual one, blending absolute and relative standards, taking account of important contextual differences.

64. **Report drafting process**: The process of drafting the synthesis report will need to be grounded systematically and demonstrably in the data, findings, and conclusions emerging from the general analyses, the country mission reports and the other agreed inputs. The report will need to refer to them and be able to account for the evidence on which it is based, without becoming a heavy, densely footnoted document.

65. The drafting process for the main synthesis report will involve a number of steps:

- Against the composite evidence base in the matrix and question-linked templates, extracting key themes for findings.
- Tracking back to ensure the logical derivation of the themes from the evidence.
- Once themes have been verified, drawing these together in narrative form.
- Once the findings narrative is in place, drawing out conclusions.
- Tracking back to ensure that conclusions are logically derived from the findings.
- Distilling key conclusions, lessons and recommendations arising from the findings. Recommendations will be focused on clear challenges identified, set at a strategic level, addressed specifically to those who can take the recommended actions, and in some cases may include options for different solutions.
- Raising the level of the report, to ensure that the text is appropriately policy-oriented and accessible. During the drafting process, particular attention will be paid to the usefulness of the report. This will include an ongoing process of checking whether the material being developed meets the criteria of relevance and usefulness to the ITC management and stakeholders as well as country and international policymakers and practitioners. It will at the same time aim to remain comprehensible and interesting to a wider interested public.

3.4 Dissemination and communication strategy

66. The whole Evaluation – both its process and products – will be guided by the objectives of learning and knowledge sharing as well as transparency, dissemination and communication of useful Evaluation results. Its main audiences will include as primary target groups those who are expected to take action (internally and externally) on the findings of the Evaluation, and as secondary target groups those who can transmit information and help create the climate for action or facilitate it directly. (See “Target groups” below). This means that the Evaluation is directed to the attention of management, staff and stakeholders including clients and beneficiaries, donors and partners, as well as others around the world interested in Aid for Trade work.

67. The principles of open two-way communication and the usefulness of both the Evaluation products and processes will shape all aspects of the Evaluation effort, including the independent Team’s interactions with Evaluation and Monitoring Unit and all groups of stakeholders. Working with multiple participants across cultural and linguistic lines, full transparency becomes not just desirable but essential to build mutual confidence and constructive cooperation and learning. Rigorous evaluation will be combined with a high degree of transparency and accessibility for all those cooperating in the Evaluation, as well as prospective clients and partners of ITC.

3.4.1 A coherent communications approach

68. The guiding principles and objectives will be applied in the following ways internally, flowing through to the Evaluation's external communications and dissemination.

- **Plain language and brevity**. The Evaluation will use plain, concise and accessible language in all reports and in internal communications among the participants - minimizing the use of acronyms, jargon and unnecessary technical language. This should increase engagement and better communicate the findings and conclusions to a wider target audience – including decision-makers and opinion leaders.
- **A dedicated public page for information and input on Saana Consulting's website.** http://www.saana.com/itc-**evaluation/** This website is to be maintained during the evaluation process to provide quick posting and ready access to the essential information about the Evaluation as well as a direct contact point with the Evaluation Team. It will include 1) Inception, progress and draft reports and other deliverables, 2) Useful research background materials, 3) All communications products and presentations and 4) An area for receiving questions and comments. One Team member acts as the designated editor for the website to make sure its contents are up-to-date and to respond to questions as necessary. This web site will also be linked from relevant pages within intracen.org and a web news highlight will be written at its launch.
- **A creative platform for dissemination and communication**. As discussed below, as the Evaluation moves into dissemination and promotional communications efforts around the report and other products, it is proposed that ITC's website will incorporate a dedicated web platform to serve as a base to ensure the coherence of all communications efforts, with the submission of the Team's commissioned products and the handover from the Saana website resource. The basic structure of the site should allow for a scalable approach depending on the opportunities and resources available – e.g. video messages and podcasts are often more useful for different audiences than written news articles.
- **Personal networks**. Having an accessible knowledge-sharing hub, together with the Evaluation's opportunities for participation and feedback, will help develop a network of informed and committed 'ambassadors' communicating the results and findings in person to their own colleagues and contacts. Such word-of-mouth communication remains highly effective, especially within defined groups, such as ITC and trade support institution staff, policymakers and key enterprises.

3.4.2 Strategic outline for dissemination and promotional communications

69. The communications vehicles should be chosen to suit the recipients' needs: the stakeholder and beneficiary interviews suggested as part of the Evaluation will provide excellent insight into the communications routines and preferred channels of the key audiences. While the independent Evaluation Team contributes to developing the strategic communications approach for the Evaluation and feeding in the commissioned products, the actual communication of the findings with different external stakeholder groups need to be chiefly undertaken by ITC, and coherent with ITC's other communications activities.

70. **Objectives:**

- To create awareness on the progress and results of the 2013 ITC Evaluation and promote dialogue and follow-up action.

- To promote knowledge and understanding of what the 2013 ITC Evaluation findings mean for ITC's activities and optimising its contributions to Aid for Trade and to development results.

71. **Target Groups:**

- Primary target groups are those who are expected to take action on the findings of the Evaluation (Joint Advisory Group members, ITC's parent organizations, WTO and UNCTAD, ITC staff and management; beneficiaries; and existing and potential donors.)
- Secondary target groups are those who can transmit information and help create the climate for action or facilitate it directly (e.g., agencies concerned with Aid for Trade, expert institutions and opinion leaders, specialised media, both internationally and in individual countries.)

72. **Key messages, products and channels:**

The substantive content and key messages in the dissemination and communication outputs of the Evaluation will focus on the answers to the three core evaluation questions, visibly synthesised from the detailed evidence and distilled in interesting and comprehensible form:

- What changes have been made and lessons learned in the follow-up to the previous ITC evaluation in 2006?
- What results and impact can be demonstrated from ITC's activities since 2006?
- What key strategic and operational direction and recommendations does the Evaluation provide to the ITC for the years ahead? How will ITC's management use the outcome of the Evaluation and what changes, if any, can stakeholders expect in dealing with ITC?

3.4.3 Planned products and services:

73. The Team will develop and deliver the following products and services in English, as specified in its contract. All products will be prepared following the ITC visual image guidelines to ensure the uniformity of all ITC communications.

74. **Reports and documents (PDF-files):**

- This recommended dissemination and communications strategy as part of the Inception Report
- The final Evaluation report synthesising all the inputs and processes, as validated and approved.
- A clear, short and interesting Executive Summary that can both introduce the main report and also largely stand alone for wider dissemination and media purposes.
- A one-page fact sheet on the Evaluation (rationale, independence, process, coverage, participation, etc.) An information note has already been prepared and circulated in Geneva, and will be refined for wider audiences in the following phase.
- Collaboration with ITC in drafting a press release on the final Evaluation report.
- A draft news item for www.intracen.com and the Forum magazine on the final Evaluation report.
- Up to three 2-page briefing notes on key issues and questions identified by ITC and stakeholders and in early discussion of the report after release.

75. **Presentations/workshops/media events**

- Availability of the Team Leader for presentations/workshops/media events in Geneva immediately after formal presentation of the Report, and then for up to three days of in-person and/or virtual events over the following weeks. (Subject to scheduling and with travel expenses to be covered by ITC).

76. **Web-based materials**

- A sub-site to www.intracen.org will be put in place to support the communications efforts, including additional information. Incorporating the online presence of the Evaluation into ITC's existing websites would be the best way to reach existing key audiences, being cost-efficient and offer exposure to the widest possible audience through search engine optimization of content. A separate domain name forwarder (e.g. www.itcevaluation2.org) will be agreed with ITC to direct to a landing page.
- A multi-purpose PowerPoint slideshow and an online presentation on Prezi (www.prezi.com) based on the Team Leader's presentation of the final report.
- Depending on how the dissemination and communications picture develops, optional supplementary dissemination products and services were also outlined in the Saana proposal and can be followed up as appropriate.

4. RISKS AND MITIGATION MEASURES FOR THE EVALUATION

77. Further to the initial scoping of the project and the inception study, the Team has identified the following risks and mitigation measures in the table below.

Table 4: Risks and risk mitigation strategy

Risk	Likelihood	Risk Level	Mitigation strategy
1. Different expectations around comprehensiveness, depth and a lean, simple strategic level "progress report" evaluation. Problems of differing expectations were encountered with the 2006 evaluation.	Medium	Medium	Inception phase consultations with all stakeholder groups have underlined the understanding and agreement on the need for a "leaner, clearer and simpler evaluation of high quality" called for in the Statement of Work. This Inception Report, especially in the Evaluation Matrices and the explicit sampling strategies make it very clear that the Evaluation will touch all the key aspects sufficiently to support informed outside assessments, but as a progress report, it will not claim to go into them all in depth. The presentation of each finding, conclusion and recommendation will be calibrated to the degree of confidence in the supporting evidence.
2. Difficulties in obtaining the essential access to ITC documentary sources and cooperation of informed respondents at HQ This could be a problem, especially but not only, for the organisational and management components of the Evaluation.	Low	High	So far, the Team has had excellent HQ access through preparatory materials from the EMU, good support from top management on access to internal documents and active support and cooperation from all staff concerned for both documentary and interview inputs. In fact handling the documentation on a very diverse and dispersed program is itself a challenge, mitigated by the sampling strategies and "story" approach. In turn, the Team provides a reciprocal commitment to protect the confidentiality of sources as necessary, and to ensure that the requests to be put to informed respondents are reasonable.
3. Difficulties in engaging informed respondents on ITC projects, especially among beneficiaries, for the portfolio studies, country missions and consultations of potential beneficiaries not yet actively involved. Even for past beneficiaries, this risk is heightened by ITC's limited country presence and mainly small and relatively short-term engagements, leaving past beneficiaries often scattered and no longer engaged with the Centre. For potential beneficiaries the risk is even greater, and raises the danger of missing input on unfulfilled needs or requests and on the further potential for	Medium to High	Medium to High	**Past beneficiaries**: The Team is seeking active support and assistance from the Evaluation and Monitoring Unit, senior management and ITC program staff, as well as beneficiary country representatives, in finding the right contacts and securing inputs in country studies, surveys and missions. Careful advance planning and scheduling will help to ensure that key informants are available for country visits (e.g., possible conflicts with the WTO Ministerial in Bali must be avoided.) **Potential beneficiaries:** representatives of potential beneficiary countries are being asked for help in reaching these as well, both in government, enterprises and TSIs. Other networks are also being pursued (e.g., the country focal points for the EIF in LDCs. If accessible, survey contacts for the Global Competitiveness Report could help reach both actual and potential beneficiaries).

ITC's work.			
4. Possible defensiveness around the Evaluation and its findings	Medium	Medium	So far, there is little evidence, of this danger although it may emerge. Pro-active transparency around the whole exercise, with ample opportunity for consultation and participation by all stakeholders, should help to anticipate and reduce this risk as much as possible Providing appropriate information about the Team and its independent and impartial status will be important, together with guarantees around the confidentiality of internal sources and inputs by interviewees.
5. Insufficient integration of cross-cutting issues	Low	Medium to high	These are fully embedded in the matrices and in the Team's skillset.
6. Lack of follow-up and lasting benefit from the Evaluation	Medium	High	Emphasis from the outset on engagement of stakeholders. Senior management, JAG and staff interest are promising. New engagement of beneficiary country missions in this exercise needs to be maintained and supported, e.g. possibly through special briefings in Geneva.

5. SCHEDULE, WORKPLAN, REPORTING AND DELIVERABLES

5.1 Schedule

78. The timetable and key outputs are highlighted below for the Evaluation is outlined below:

- **15 October**: Draft Inception report submitted
- **25 October**: Deadline for submission of comments on draft Inception report
- **30 October**: Final Inception report submitted
- **4 November**: Presentation of final Inception Report, launch of full implementation.
- **11-16 November**: Remainder of Team in Geneva for ITC and stakeholder consultations, organizational, portfolio and regional analyses and preparation of seven country case-studies.
- **December 2013- January 2014**: Country field missions
- **Mid-March 2014**: Draft Report presented.
- **End-April 2014**: Delivery of Final Report.
- **End-June 2014**: Dissemination and communication of Final Report and Evaluation results completed.

5.2 Workplan

79. The table below lays out the workplan for the Evaluation

Table 5: Evaluation workplan

Phase and key steps	Timing and deliverables	Responsibilities (number of days allocated)
Inception Phase Evaluability assessment and finalising Evaluation questions Consult and agree on all key issues on inception report, present and revise	**Weeks 1-8** Draft inception report (Oct 15) Final inception report (Oct 30) Presentation of Inception report (Nov 4)	**Bernard** will lead the evaluability assessment and the finalisation of the evaluation questions in consultation with the Evaluation management (EMU) and the drafting of the comprehensive inception report, including overview of ITC operations 2006-12, methodology, workplan, risk mitigation plan and communications strategy, begin scoping and examining the organisational and corporate issues. (28) **Julia** will provide significant technical input into the evaluability assessment and final methodology, looking at the theories of change and relevant frameworks to stress test the final evaluation questions. Work will begin by scoping and examining the organisational and corporate issues. (8) **Joachim** will provide technical input into the evaluability assessment and final methodology and carry out intensive initial exploration of ITC programs, projects and operations. (12) **Tom, Marie-Jo, Cissy, Immaculee and Huong** will provide comments on the final Evaluation questions and the inception report. (1 each) **Ilmari** will support Bernard in the evaluability assessment and inception report; as well begin the initial document review, analysing key strategic documents, previous evaluations and available corporate and management logframes and performance materials. (16) **Petra** will support the development of the Evaluation communication strategy. (1)
Implementation Phase Full portfolio review and profile Analysis of targeted regional sample (24 countries) Country missions (7 countries) ITC and stakeholder consultations (in Geneva and through surveys) Report drafting	**Weeks 9-28** Written update and oral briefing (Mar 4) Draft report (Mar 18)	**Bernard** will lead the full portfolio review and interviews at the HQ level and oversee the targeted sample analysis, country missions and survey instruments. He will lead on the analysis for West/Central Africa and Eastern Europe and Central Asia, including undertaking a mission to one of the two selected WCA countries. Bernard will lead the synthesis and report drafting process. (48) **Julia** will act as the lead on analysis of the organisational issues, and direct interviews at HQ around these issues. She will also provide internal quality assurance on the draft report. (11) **Tom** will lead the analysis of projects under the East and Southern Africa region (including a country mission to an ESA country). He will provide overall guidance on issues around the results/progress/guidance on the corporate objective of supporting policymakers. (19) **Cissy** will work with Tom on the analysis of the ESA region portfolio and will be responsible for the second country mission for the region. (19) **Marie-Jo** will lead the analysis of operations in the MENA region (including the country mission). She will also provide guidance on the results/progress/guidance on the corporate objectives of developing TSI capacity and supporting policymakers. (19) **Joachim** will lead the analysis of operations in the LAC region (including the country mission). He will provide back-stopping on the results/progress/guidance on the corporate objectives of developing TSI capacity and strengthening SME export competitiveness, as well as providing input on the cross-cutting issue of environmental sustainability. As the leading trade promotion expert on the

		Team, he will also quality assure the regional analyses and pull together findings for the main report. (17) **Huong** will lead the analysis of operations in Asia and the Pacific and will undertake the country mission for this region. She will also provide expertise around the cross-cutting area of environmental sustainability, as well as the corporate objective of SME strengthening. (19) **Immaculee** will work with Bernard on the analysis of operations in WCA and will be responsible for the second country mission to this region. She will also provide expertise on mainstreaming and inclusiveness, focusing especially around the products/services targeted at female-led SMEs. (19) **Ilmari** will assist Bernard in the overall portfolio review, providing research backstopping to the core Team along all objectives, and coordinate interviews, surveys and country missions. He will also coordinate the distribution, collection and analysis of the electronic surveys. He will support Bernard on the regional analysis of operations in WCA and EECA, and provide significant input in the synthesis and drafting process. (56) **All the above** experts will participate in meetings in Geneva following the acceptance of the Inception report (except Joachim who conducted extensive preliminary interviews during the inception phase). This will allow for joint working time between the Team and ensure robust and comprehensive methodology for analysis of operations and the organisation. **Petra** will support the Team in consultations on analysing ITC's communication efforts and provide technical support in the dissemination of the electronic surveys. (5)
Final Phase Report finalisation and synthesis Report presentation and dissemination	**Weeks 28-44** Final report (Apr 29) Presentations (tbd)	**Bernard** will finalise the Evaluation report based on feedback from ITC and relevant stakeholders. He will also present the report to key stakeholders and oversee the electronic dissemination. (12) **Julia and Joachim** will provide final quality assurance on the final report. (1 each) **Tom, Marie-Jo, Cissy, Immaculee and Huong** will provide comments feeding into the final report. (0.5 each) **Ilmari** will support Bernard in the finalisation of the report and its dissemination. (6) **Petra** will support the execution of the dissemination strategy, including e-distribution.(5)

5.3 Responsibilities

80. The table below lays out the workplan for the Evaluation

Table 6: Division of responsibilities

Team	Regional focus							Thematic focus						
	WCA	ESA	LAC	Arab States	AP	EECA	Overall portfolio	Policymakers	TSIs	Enterprises	Environmental sustainability	Gender	Organisational	Communications
Bernard Wood	X					X	X						X	X
Immaculee Habiyambere	X							X				X		
Tom Pengelly		X						X						
Cissy-Ann Kirambaire		X								X				
Joachim Eissler			X						X	X	X			
Marie-Jo Char				X					X	X				
Bui Thi Thu Huong					X						X			
Ilmari Soininen	X					X	X							
Julia Betts												X	X	
Petra Vallila														X

6. ANNEXES

Annex I: Matrix 1- Assessing ITC's Organization and Management and Changes since 2006

	Key aspects	Issues/ lines of enquiry	Data collection methods	Key sources	Methods for analysis
A. What is the enabling environment for organizational performance in ITC and how has it changed	**A1. Governance and accountability structures and processes**	• *Role and functioning of governance structures and processes* in supporting organisational credibility, effectiveness and efficiency (formal rules; UNCTAD-WTO-UN relationships; roles of JAG and CCITF) • *Role and functioning of external accountability requirements and processes* in supporting organisational credibility, effectiveness and efficiency (e.g. reporting demands UNCTAD-WTO-UN accountability, oversight role of JAG) • *Internal, administrative, political, audit and budget requirements* (regular and extra-budgetary) and effects on efficiency/effectiveness • Overlaps or gaps.	• Systematic documentary analysis • Informed respondent interviews / focus groups	• MoUs, JAG session reports (formal and informals); strategic plans, CCTIF reports, financial reports, annual reports and recommendation (UN, WTO and UNCTAD). UN strategic frameworks, biennial plans etc., management and governance decisions, change management documentation and previous evaluations • Interviews with senior management • Interviews with Steering Committee, WTO, UNCTAD, country missions, donors	• 2006 to 2012 year on year comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources • Selective benchmarking as possible
	A2. Institutional setting	• *Effects of the surrounding environment* (Geneva location, connectedness to partners, role within the UN/multilateral system) in supporting organisational credibility, effectiveness and efficiency (supportive factors/ barriers) • *Influence of key development agendas* on organisational priority-setting (e.g. MDGs, Paris/Busan, AfT agenda, UN systems reform)	• Systematic documentary analysis • Informed respondent interviews / focus groups	• SMC meeting minutes, annual reports and recommendations, JAG session reports (formal and informal), UN strategic frameworks and biennial plans, change management documentation and previous evaluations • Interviews with senior management and operational staff • Interviews with Steering Committee, JAG, WTO, UN, country missions and donors • Key MDG/post-2015 /Busan/AfT/UN reform (e.g. QCPR) documentation	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources

	Key aspects	Issues/ lines of enquiry	Data collection methods	Key sources	Methods for analysis
	A3. ITC comparative advantages/ reputation	As identified by: • Clients and potential clients • ITC personnel and management • UN partners (UNCTAD, WTO) • Donors • Country mission and survey informants • Other stakeholders • Whether/how/where capitalised upon	• Systematic documentary analysis, including updating the "comparative advantage" assessment from 2006 • Informed respondent interviews / focus groups • Targeted survey (country level)	• ITC strategic plans, CPDs, and annual reports, 2006 comparative advantage assessment • Strategic objectives and operations of other AfT institutions • Interviews with UN partners, donors, country missions and other partners • Survey responses (country level)	• Situational analysis of AfT agenda and players • Analysis and interpretation of interview and survey results • Triangulation among different sources
B. What is ITC's organisational capacity to carry out its mandate effectively and how has it changed since 2006?	**B1. Strategic leadership**	• *Role of organisational goals* in providing strategic direction (clarity, credibility, results orientation, ownership) • *Effects of leadership and strategic planning process* on building organisational credibility, effectiveness and efficiency (change management process; gearing to results) • *Role of leadership and strategic planning* in identifying/ deploying ITC's comparative advantages and opportunities, as well as tackling weaknesses and capacity to design and conduct activities under a single, coordinated perspective • *Resource allocations deployed* at strategic level for maximum effectiveness (the achievement of strategic goals) and efficiency (timeliness, cost-efficiency etc.)	• Systematic documentary analysis • Informed respondent interviews / focus groups • Targeted survey (country level)	• ITC strategic plans, CPDs, case for support, change management documentation, previous evaluations • OIOS audits and evaluations • Interviews with senior management and operational staff • Interviews with Steering Committee, UN partners, donors, country missions and other partners • Previous staff surveys	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources
	B2. Organizational structure and deployment of capacities	• *Design of organisational structure* vis-a-vis its fitness for *purpose* (achievement of organisational goals / mandate realisation) • *Distribution and balance of capacities* vis-à-vis optimisation for organisational effectiveness and efficiency (HQ / regional balance; experience with the decentralisation pilot in Mexico; project and country-linked capacities, management layers)	• Systematic documentary analysis • Informed respondent interviews / focus groups • Targeted survey (country level)	• ITC organisational structure and business lines, strategic plans, CPDs, case for support, change management process documentation, previous evaluations • OIOS audits and evaluations • Interviews with senior management and operational staff	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different

	Key aspects	Issues/ lines of enquiry	Data collection methods	Key sources	Methods for analysis
				• Interviews with Steering Committee, UN partners, donors, country missions and other partners • Previous staff surveys/targeted survey	sources
	B3. Human resources	• *Volume / recruitment of expertise and skills* commensurate with achievement of strategic results (technical and managerial, recruitment polices, contracting, tenures, vacancies, etc.). • *Role of UN rules and procedures* in ITC human resource planning, policies and procedures • Diversity and gender mainstreaming planning and accountability mechanisms in place, institutionally owned and operationalized • Quality and use of professional development and performance management /assessment systems in supporting organisational effectiveness and efficiency	• Systematic documentary analysis • Analysis of HR statistics • Informed respondent interviews / focus groups with staff	• ITC HR policy documents and UN/WTO rules and procedures, gender / diversity plans and policies • ITC HR statistics • OIOS audits and evaluations • Interviews with management ,and operational staff, particularly HR • Performance management / professional development frameworks, systems, mechanisms • Previous staff surveys/staff management committee records and minutes	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources
	B4. Financial Management	• Role of financial planning, accountability and monitoring systems in transparency and organisational credibility/efficiency • *Influence of surrounding UN systems* on financial management systems and processes	• Systematic documentary analysis • Financial and budget analysis • Informed respondent interviews	• ITC FM (budget preparation and implementation control, accounting) , case for support and project cycle management procedures • OIOS audits and evaluations • Interviews with DPS staff	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources
	B5. Infrastructure	• *Availability of technology and information systems* to support organisational efficiency, credibility and transparency (internal and external; information availability and dating)	• Review of IT management policies and	• Review of RBM system, intranet and website • OIOS audits and evaluations	• 2006 to 2012 comparative and trend

	Key aspects	Issues/ lines of enquiry	Data collection methods	Key sources	Methods for analysis
			systems • Analysis of intranet and website • Informed respondent interviews	• Interviews with DPS, senior management and operational staff, key external partners (UN, country mission and donors) • Previous staff and client surveys	analysis • Analysis and interpretation of interview results • Triangulation among different sources
	B6. Project and Program Management *also covered extensively in operational analysis – *HQ analysis to focus on process rather than content*	• *Function of project identification process* in supporting demand-driven approach / deployment of ITC's comparative advantage / optimal use of capacities • *Influence of scale of projects identified / designed* (including experience with larger and regional projects) in gearing ITC capacities for optimal use / maximum effectiveness and efficiency • *Volume and quality of skills training and development* in supporting robust project intervention logics (MDG-guided) and designs (guidance manuals, toolkits, equity and gender etc.) • *Role of project cycle management process* in supporting efficient implementation processes and tracking implementation/results (also equity and gender considerations) • *Extent of adaptive capacity* and ability to take corrective actions in the light of contextual change • *Selection processes for delivery channels and partners* as appropriate for implementation context / maximisation of efficiency (TSI and others) • *Role of project and programme monitoring and evaluation systems* in optimising effectiveness and efficiency (independent evaluations, management responses, equity and gender considerations)	• Systematic review of key documents (process / project and programme) • Informed respondent interviews • Targeted surveys	• ITC programme cycle management / monitoring and evaluation procedures • Sample of project/programme documentation, monitoring reports and evaluations • Interviews with selected DCP and DBIS operational (business line) staff • Previous staff/client surveys • Previous client surveys • Survey responses (country level)	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources
	B7. Process Management	• *Role of internal decision-making processes* in enhancing effectiveness and efficiency (decision-making flows, communications of decisions) • *Functioning of internal communications procedures* in	• Systematic documentary analysis • Analysis of intranet	• Analysis of planning, communications, M&E, internal review and management documentation	• 2006 to 2012 comparative and trend analysis

	Key aspects	Issues/ lines of enquiry	Data collection methods	Key sources	Methods for analysis
		enhancing efficiency and effectiveness (speed and frequency of communications, accessibility of information) • *Use of internal oversight* to optimise systems and processes (review types, content, information capture and flows)	• Informed respondent interviews	• Analysis of intranet • Interviews with DPS, senior management, and selected operational staff • Previous staff surveys/ staff management committee meeting minutes • Previous evaluations	• Analysis and interpretation of interview and survey results • Triangulation among different sources
	B8. Inter-organizational Linkages	• *Role of partnerships, joint ventures and networks* in supporting inter-agency coherence and co-ordination and the achievement of broader results (WTO-UNCTAD, One UN, inter-agency cluster work, TSI partners) • *Functioning of client relationship management systems* in supporting organisational credibility and legitimacy (design, implementation, training) • *Role of regional and national level partnerships* in driving coherence / co-ordination / the achievement of results at regional / national level	• Systematic documentary analysis • Informed respondent interviews • Targeted surveys	• ITC strategic plans, annual reports, CPDs, MoUs, etc. • Project and programme documentation (key partnerships and networks) • Relevant meeting minutes (partnerships and networks) • Client management system and records • Interviews with senior management and selected operational staff • Interviews with Steering Committee, JAG, WTO, UN/UNCTAD and other partner institutions (UNIDO, ICTSD, IFC/WB, STDF, CBI, regional development banks and institutions, etc.) • Previous staff/client surveys • Previous evaluations • Survey responses (country level)	• Analysis of how partner organisations are chosen and the criteria applied; • 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources

C. How strong is ITC's organizational motivation to carry out its mandate effectively and how has it changed since 2006?	**C1. Vision and Mission**	• *Influence of ITC's vision* in promoting clarity of purpose to its main audience and an understanding of being 'greater than the sum of the parts' • *Extent of understanding / 'buy in'* of ITC's vision among key partners and staff • Extent to which strategic direction and internal systems are geared towards realisation of ITC's vision	• Review of management and governance decisions • Systematic document analysis • Informed respondent interviews • Targeted surveys	• ITC strategic plans, annual reports, CPDs, etc. • Change management documentation • Interviews with senior management and selected operational staff • Interviews with Steering Committee, JAG, WTO and UN • Previous staff /client surveys • Previous evaluations	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources
	C2. Culture and incentives	• Any key defining characteristics and values of the organisation • (E.g. transition from the 'artisanal'; equity and diversity including gender) • Nature of incentives and disincentives as identified by staff and partners • (E.g. Performance, retention, recruitment etc.)	• Systematic document analysis • Informed respondent interviews	• ITC strategic plans, CPDs, etc. • Interviews with senior management and selected operational staff • Interviews with key partner organisations • Previous staff/client surveys • Previous evaluations	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources
D. How strong is ITC's organizational performance in carrying out its mandate and how has it changed since 2006? (These issues are also covered extensively, from the delivery and project level up, in the operational analysis set out below.)	**D1. In relation to effectiveness**	• *Quality and role of corporate results framework* in shaping ITC's strategic direction / ownership and 'buy in' (including results orientation, integration of equity and gender considerations) • *Quality and role of RBM system* in enabling continuous monitoring/reporting of results, (impact-level gearing, equity and gender considerations) • *Quality and role of independent evaluation function* in supporting accountability and achievement of results, and influencing strategic decision-making	• Systematic document analysis • Analysis of RBM system • Informed respondent interviews	• ITC RBM and Evaluation systems, policies, reporting lines and documentation • OIOS audits and evaluations • Interviews with governance stakeholders, senior management and selected operational staff • Previous evaluations	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources
	D2. In relation to efficiency	• Role of financial accountability framework and systems in enabling oversight of administrative efficiency • Deployment of cost transparency mechanisms and systems to support internal accountability	• Document review • Informed respondent interviews •	• ITC financial reports, annual reports, strategic plans and cases for support • OIOS audits and evaluations	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of

				• Previous ITC evaluations • Interviews with DPS and selected operational staff • Interviews with Steering Committee, JAG, WTO and UNCTAD, donors	interview and survey results • Triangulation among different sources • •
	D3. In relation to ongoing relevance	• Application of key development frameworks (MDG, national needs) in identifying and adapting to client (beneficiary) needs and priorities • Prioritisation of interventions for maximisation of development results • Application of key AfT frameworks to respond to the changing environment (trade negotiations etc.)	• Document review • Informed respondent interviews • Targeted surveys • Findings from project portfolio analysis	• ITC strategic plans, CPDs, annual reports and cases for support, previous evaluations • Change management documentation • Interviews with JAG,WTO and UNCTAD, donors and other informed sources on needs and priorities in Aid for Trade • Interviews with DPS, DBIS and DCP senior management and selected operational staff	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources
	D4. In relation to financial viability	• Effects of resource mobilisation strategy on the generation of required resources for short, medium and long term, growth • Extent of diversified resource flows (sources of resources mobilized/available)	• Document review • Informed respondent interviews • Targeted surveys	• ITC financial reports, annual reports, strategic plans and cases for support • OIOS audits and evaluations • Previous ITC evaluations • Interviews with DPS, senior management and selected operational staff • Interviews with Steering Committee, JAG, WTO and UN • Interviews with current and potential donors	• 2006 to 2012 comparative and trend analysis • Analysis and interpretation of interview and survey results • Triangulation among different sources

Annex II: Matrix 2 - Assessing ITC's Operational progress and results since 2006

ITC's expected accomplish-ments Linked to the three core client groups	**Issues/indicators** As relevant, applying primarily the criteria of relevance (R), effectiveness (F), efficiency(C), impact (I) and sustainability (S)	**Data collection methods**	**Key sources** (primary & secondary data sources)	**Methods for analysis**
Policy makers Supporting policymakers in integrating the business sector into the global economy[11]	• Appropriate selection of countries/activities/ delivery agents (beneficiary input/ needs assessment process// influence of funding) [R] • Rigorous and responsive design (including the basis for RBM, integrating gender equity, poverty reduction and environmental sustainability) [F] • Adequate capacity to implement and efficiency of resource use; On-time, on budget delivery. [C] • Effectiveness of implementation (beneficiary assessments will be central) and insights on "value for money" [F] • Monitoring and evidence of results/plausible contributions to impacts, including relevant MDGs. [F,I] • Effectiveness of coordination/cooperation with other actors, national and international (value added in AfT agenda) [R,F,C] • Notable accomplishments, innovations, sustainability issues, quality improvements or expanded uses for existing tools [R,F, I] • Implications for the size and duration of ITC projects, outlook and obstacles for large projects [F,C] • Main problems or constraints	• Systematic document review • Informed respondent interviews • Targeted surveys • Portfolio analysis/ country case missions	**<u>Secondary Data Sources:</u>** • Annual reports, strategic plans, CPDs, case for support • Prior evaluations of programmes/projects • Existing client surveys • Relevant OIOS audits **<u>Primary Data Sources:</u>** • Interviews with selected managers and staff from DCP, DMD and BE (DBIS) • Interview/survey results from selected developing country policymakers (e.g. ministries responsible for trade and SME issues, national export agencies, etc.) • Interview/survey results from selected informants on the ground (e.g. policy advisers, donors, etc.)	• 2006 to 2012 year on year comparative and trend analysis to measure progress • Analysis and interpretation of interview and survey results • Triangulation among different sources • Selective benchmarking as possible • Impact contribution analysis
TSIs Developing the capacity of trade support institutions to	• Appropriate selection of countries/ TSIs/ activities/ delivery agents (beneficiary input/ needs assessment/ / influence of funding /certification processes) [R] • Rigorous and responsive design (including the basis for RBM, integrating gender equity, poverty reduction and environmental	• Systematic document review • Informed respondent	**<u>Secondary Data Sources:</u>** • Annual reports, strategic plans, CPDs, case for support • Prior evaluations of	• 2006 to 2012 year on year comparative and trend analysis to measure progress

[11] NOTE: this should include trade intelligence activities (available to all client groups) and policy products

ITC's expected accomplish-ments Linked to the three core client groups	Issues/indicators As relevant, applying primarily the criteria of relevance (R), effectiveness (F), efficiency(C), impact (I) and sustainability (S)	Data collection methods	Key sources (primary & secondary data sources)	Methods for analysis
support businesses	sustainability) [F] • Adequate capacity to implement and efficiency of resource use. On-time, on budget; Delivery [C] • Effectiveness of implementation (beneficiary assessments will be central) and insights on "value for money" [F] • Monitoring and evidence of results/plausible contributions to impacts, including relevant MDGs [F,I] • Effectiveness of coordination/cooperation with other actors, national and international (value added in AfT agenda) [R,F,C] • Notable accomplishments, innovations, sustainability issues, quality improvements or expanded uses for existing tools [R,F,C] • Implications for the size and duration of ITC projects, outlook and obstacles for large projects [F,C] • Main problems or constraints	interviews • Targeted surveys • Portfolio analysis /country case missions	programs/projects • Monitoring and RBM reporting • Existing client surveys • Relevant OIOS audits **Primary Data Sources:** • Interviews with selected managers and staff from DCP, DBIS (in particular TS), and DMD • Interview/survey results from TSIs (management and operations levels) • Interview/survey results from selected SME stakeholders • Interview/survey results from selected informants on the ground (e.g. advisors, donors, etc.)	• Analysis and interpretation of interview and survey results • Triangulation among different sources • Selective benchmarking as possible • Impact contribution analysis
Enterprises Strengthening the international competitiveness of enterprises (and growing exports)	• Appropriate selection of countries/ sectors/ activities/ enterprises/ delivery agents (beneficiary input/needs assessment processes/ influence of funding) [R] • Rigorous and responsive design (including the basis for RBM, integrating gender equity, poverty reduction and environmental sustainability) [F] • Adequate capacity to implement and efficiency of resource use. On-time, on budget; Delivery [C] • Effectiveness of implementation (beneficiary assessments will be central); Insights on "value for money" [F] • Monitoring and evidence of results, possible impacts including relevant MDGs [F,I] • Effectiveness of coordination/cooperation with other actors, national and international (value added in AfT agenda) [R,F,C] • Notable accomplishments, innovations, sustainability issues,	• Systematic document review • Informed respondent interviews • Targeted surveys • Portfolio analysis/ country case missions	**Secondary Data Sources:** • Annual reports, strategic plans, CPDs, case for support • Prior evaluations of programmes/projects • Monitoring and RBM reporting • Existing client surveys • Relevant OIOS audits **Primary Data Sources:** • Interviews with EC, DCP (regional sections), and selected DMD where relevant • Interview/survey results from SME operators, chambers of commerce, and other private sector bodies	• 2006 to 2012 year on year comparative and trend analysis to measure progress • Analysis and interpretation of interview and survey results • Triangulation among different sources • Selective benchmarking as possible • Impact contribution

ITC's expected accomplish-ments Linked to the three core client groups	**Issues/indicators** As relevant, applying primarily the criteria of relevance (R), effectiveness (F), efficiency(C), impact (I) and sustainability (S)	**Data collection methods**	**Key sources** (primary & secondary data sources)	**Methods for analysis**
	quality improvements or expanded uses for existing tools [R,F,I] • Implications for the size and duration of ITC projects, outlook and obstacles for large projects [F,C] • Main problems or constraints		• Interview/survey results from selected informants on the ground (e.g. policy advisers, donors, etc.)	analysis
Integrated overall performance	• Capacity to combine different skills to deliver, coordinated and coherent solutions [F,C,S] • Overall coherence of projects and programmes [R,I]	• Systematic document review • Informed respondent interviews • Targeted surveys • Portfolio analysis/ country case missions	**Secondary Data Sources:** • Annual reports, strategic plans, CPDs, case for support • Prior evaluations of programmes/projects • Existing client surveys • Relevant OIOS audits • Central RBM reports to date **Primary Data Sources:** • Interviews with EC, DCP (regional sections), and selected DMD where relevant • Interview/survey results from SME operators, chambers of commerce, and other private sector bodies • Interview/survey results from selected informants on the ground (e.g. policy advisers, donors, etc.)	• Synthesis of: • 2006 to 2012 year on year comparative and trend analysis to measure progress • Analysis and interpretation of interview and survey results • Triangulation among different sources • Selective benchmarking as possible • Impact contribution analysis

Annex III: Product and Geographic Section "Story Boards"

PRODUCT STORY BOARD – ITC

Product/Service: **Division:**

Project Name/Budget: **Section:**

Time Frame: **Unit:**

Aspect	Brief Description
Project Initiation: - How did it start? - Who initiated contact? - Who was champion in ITC? - Selection of country? Rationale? - Involvement/s of beneficiaries? Stage?	
Needs Assessment & Design: - What kind of needs assessment done? - Alignment with national/institutional strategies of beneficiaries? - Design process/ tools used? Results reporting built in? - Evidence of focus on specific priorities of beneficiaries in this case?	
Management: - Who was given responsibility for managing the project? How was that decided? - Was that a substantive leadership role or more administrative? - Who were the other key players in ITC? - Was cooperation/coordination smooth? If problems, why?	
Financing: - At what stage was funding secured, received? - Did the terms and conditions of financing support the success of the project? Problems or limitations?	
Capacity & Implementation: - How did implementation go? - on time? - on budget? - need for adjustments? Flexibility? - Strengths and constraints	
Coordination & Cooperation: - Internal: within ITC? - External: with project partners/beneficiaries, other Aid for Trade providers, donors, stakeholders?	
Measurement of Results & Impact	

- Project level: indicators, log-frame, actual monitoring and reporting - Corporate level: link to RBM - Evidence on? - Economic impact - Social impact - Environmental impact - Sustainability	
Key Lessons Learned: - Notable accomplishments, innovations, sustainability, quality improvements or expanded uses for existing tools? - Main problems or constraints?	
Additional Comments & Suggestions:	

GEOGRAPHIC SECTION STORY BOARD

Geographic Section: **Division:**

Section Head: **Number of staff (total):**

Aspect	Brief Description
Structure of Section: - How many staff does section have? - Break-down by staff category? - Consultants? - Staff numbers: stable, growing, decrease? during past 3 yrs. - Other?	
Country Section´s Main Role: - Main role(s)? - Key responsibilities? - Other?	
Capacity of Section: - Staff number vs. workload? - Staff skills and qualifications related to work? - Other?	
Involvement in Project Life Cycle: - What does typical involvement of the section look like at different stages of a life a project (Finding countries/partners/ funding for activities, design, Implementation, monitoring)? - Other?	
Project Portfolio: - Projects between 2006-2012? - Most important project(s)? Why? - Most challenging project(s)? Why? - Most innovative project(s)? Why?	
Cooperation & Coordination - Internal: within ITC? Divisions, sections, units - External: with project partners (public and private sector), other providers of Aid for Trade, donors, stakeholders? - Other?	
Measurement of Results & Impact - Involvement in RBM process? - Other?	
Key Lessons Learned: - Notable accomplishments, innovations, sustainability, quality improvements or expanded uses for existing tools?	

- Main problems or constraints? - Other?	
<u>Additional Comments & Suggestions:</u>	

Annex IV: ITC Independent Evaluation Team responses to draft Inception report comments

Note: As agreed in the Terms of Reference, the Proposal for the Evaluation and the inception mission presentations and discussions, the Team has prepared the following responses to all of the comments received in time. As noted in the Report (para. 18 e) the Team is responsible for: "Responding to comments by stakeholders on draft outputs, where these are received in the timeframes to be agreed in the Inception Report, and mindful of the principle of independence. The team will indicate how these comments have been reflected or, if not, why not. The Team Leader will ensure that any disagreements among the members of the Evaluation Team or between the Evaluation Team and relevant partners that are significant to conclusions and recommendations are reflected in the report, either in the form of comments in the text, footnotes or as a special section." It is understood that this set of comments and responses is a document of record that accompanies the final Inception Report. Any comments submitted after the agreed deadlines will obviously be taken into account as much as possible by the Team in its work.

	Date	Contact	Para	Comment	Response
1	22.10 .13	Olov Atterfors, Program Manager SIDA (olov.atterfors@sida .se)	9	Agree with your standpoint of cautiousness regarding impacts. However, we would like to have a bit further understanding regarding the obtained results. Where does ITC stand today? What about cross-cutting issues such as gender and environment?	Yes, Para. 9 is intended to stress that the Evaluation will push the analysis of the results – outputs, outcomes and contributions to development impacts - of ITC projects as far as the evidence and plausible causality will support. These assessments will be based on evidence both from ITC's own reporting systems, from other reliable primary evidence as applicable and from structured interviews with informed respondents, especially beneficiaries, further validated in the Team's sample of country portfolios and missions. Matrix 2 includes "Rigorous and responsive design (including the basis for RBM, integrating gender equity, poverty reduction and environmental sustainability)" and "evidence of results/plausible contributions to impacts, including relevant MDGs." These issues will be incorporated in the specific Evaluation tools and are also reflected I Matrix 1, at the institutional level.
2	22.10 .13	Olov Atterfors, Program Manager SIDA (olov.atterfors@sida .se)	53-54	Our opinion is that the chosen LAC countries do not give a representing view of Latin America. Haiti is an interesting country, but totally different from the Latin America. Peru is a good "representative" for South America, but Central America is left out. Would prefer to include one of following countries, El Salvador, Honduras or Guatemala, and exclude Uruguay.	We understand, and share, the view that Haiti is a distinctive case in Latin America and the Caribbean, but it is important to stress that in order to guard against any biased sampling the selection process had to follow a rigorous set of criteria that were specified in para. 53 and Box 3 on p.18. As para, 53 notes, "The basic threshold criteria for selecting countries for second and third level examination are to ensure representation across the range of regions served, with sufficient recent country-level ITC activity [2010-12] to make the deeper examination feasible and worthwhile." Among the 61 countries found to meet the second threshold criterion, there were

					only six in the LAC region: (Brazil, Cuba, Haiti, Mexico, Peru, Saint Lucia, and Uruguay), none in Central America. Haiti in fact has been involved in interesting Caribbean regional and global projects with the potential to shed wider light, as well as meeting a number of other important criteria (LDC, SIS). At the same time, we are now informed that activity in Haiti is now in the pipeline, so we have reassessed one more time in consultation with the regional section. In fact, the current consideration and preparation of several important activities, in this challenging post-disaster setting, will make for a revealing case, alongside the two more "typical" Latin American cases of Peru and Uruguay, as well as the rest of the sample across other regions. We can mention that the Team had originally selected Peru for the country mission, but when informed by ITC officers that that country has just recently hosted major Aid for Trade evaluations (SECO sponsored) we concluded that it would be good practice to draw on those results for a desk -based analysis and not add to mission-overload on Peruvian partners. Uruguay is included as a higher income country with interesting ITC experience and prospects – even with the emphasis on lower-income levels there is still a strong ITC interest in some of these countries.
3	22.10.13	Olov Atterfors, Program Manager SIDA (olov.atterfors@sida.se)	53-54	We would prefer countries such as Moldavia and/or Georgia, instead of Turkey when it comes to EECA	In the EECA region, the countries meeting the threshold of sufficient recent projects were (Albania, Georgia, Kyrgyzstan, Poland, Tajikistan, and Turkey). The inclusion of Turkey met the criterion of including some higher income countries. In light of the concerns raised by several commenters from different perspectives. Particularly given the unique situation of Turkey and minimal ITC activity there (see Comment nos. 46 and 47) the Team has re-checked the data for the EECA selections with the ITC regional section and, still within the set criteria, has revised the country selections to Albania, Kyrgyzstan and Tajikistan.
4	22.10.13	Olov Atterfors, Program Manager SIDA (olov.atterfors@sida.se)	Annex 1, A1	In this context we would like to include the discussion regarding a board. And also include a discussion regarding core support related to the guidelines for Window 1 funding.	Yes, the issues around the actual and possible alternative governance structures for ITC will be included (see Matrix l, A1) but the Team has in mind that the comprehensive 2006 evaluation recommended a process to explore this which was then launched but reached no satisfactory conclusion. As a more modest "progress report" evaluation, this exercise will still explore these issues on their merits and in light of the changed situation and will be prepared to recommend actions or options as the findings suggest. As indicated in Box 1, ITC's funding mechanisms will clearly have to be a major set of issues in the Evaluation, including the guidelines for

					Window 1 funding. These issues – which involve both resourcing and accountability challenges- come up specifically in sections A1 and D4 of the organizational and management Matrix I, and elsewhere, and in the operational Matrix II where the “influence of funding” is to be assessed in relation to the projects and programs studied.
5	23.10.13	Nneka Henry, Adviser ITC (henry@intracen.org)	box 2 and para. 49	There are at least 2 references to ITC not having “country programs” (e.g. box 2 and para. 49). I do not know what this means and seems to contradict our efforts in Tajikistan, Ivory Coast, Myanmar and Pakistan. If this means that we don’t have a country office running a country program, then this needs to be expressly stated. Please Explain	Our information to date, and initial interviews in ITC, had indeed indicated that “ITC does not really have ‘country programs’ in the same sense as many larger agencies.” To have them might imply, for example, having an adequate capacity for continuing dialogue with the relevant national stakeholders, an articulated strategy and regular, coordinated monitoring and reporting for all ITC interventions at the country level, but not necessarily a country office on the ground. It is interesting to have this information that activities in these four countries at least might be considered to constitute country programs, and the Team will explore this information and its implications, particularly as one of the named countries is slated for a country mission.
6	23.10.13	Nneka Henry, Adviser ITC (henry@intracen.org)	Table 2 page 19	There are no country visits planned for the Eastern Europe and Central Asia region (see page 19) and I think this is could be a red flag esp. since we have done good work in Tajikistan, Kyrgyzstan and Kazakhstan; and also in light of the future interventions we hope to build up with Moldova, Ukraine and Georgia (ref to FTA with EU). Please explain	As noted in the responses to questions 4 and 5 above, the Team has reviewed the country selection for the three portfolio analyses in the EECA region one more time, and revised the selection, still adhering to the criteria set out. As the Inception Report has stressed, the importance of the final small sample for country missions should not be overemphasized, and the main reason that one of ITC’s regions is not covered at the mission stage is a budget limitation. In its bid, the Team met the ToR requirement to deploy seven missions, with an emphasis on Africa, and with specialists speaking four languages – English, French, Spanish, and Arabic. This did not include Russian speaking capability, which would be required in missions to much of the region, although the Team will have reading capacity as required. Both the Kyrgyzstan and Tajikistan programs have been evaluated relatively recently for the donor, which will provide additional useful input for the Team. If a mission to the region were to be added, it would require an additional budget allocation for working days of a Team member, as well as supplementary resources for Russian interpretation.

7	23.10 .13	Nneka Henry, Adviser ITC (henry@intracen.org)	Annex I and II	In the Annexes, I've spotted some gaps in key resource documents (and resource people like Siba Das). Is this a closed list?	No, this is certainly not an exhaustive or closed list – either as to sources or resource persons - and the Team would certainly appreciate receiving additional suggestions, indicating the Matrix questions of particular relevance.
8	25.10 .13	François Jérôme Michel, Ministre conseiller Mission of Haïti (francoisjeromem@yahoo.com)	paragraph 20, page 9	Ne pourrait-on pas inclure la tenue des tables rondes et des débats interactifs dans le cadre de l'approche à appliquer .	Oui, c'est l'intention d'inclure la tenue des tables rondes et de débats interactifs comme méthodes de collecte des données. (Voir les mentions des : « focus groups » dans le paragraphe 47 c, Box 2, et à plusieurs reprises dans la Matrice I. Cette méthode devrait aussi avoir été incluse dans la Matrice II en combinaison avec les « informed respondent interviews » et nous allons l'intégrer maintenant.
9	25.10 .13	François Jérôme Michel, Ministre conseiller Mission of Haïti (francoisjeromem@yahoo.com)	General	Du point de vue général, on a constaté qu'on n'a pas beaucoup mis l'accent sur l'évaluation de la production et l'offre .Pour certains PED et les PMA en particulier, l'accès aux marchés d'exportation ne leur suffit pas à devenir compétitifs à l'échelle internationale .Pour participer pleinement aux activités commerciales, ces pays ont besoin d'une aide visant principalement à augmenter leur offre exportable en vue de leur permettre de surmonter d'obstacle au commerce non tarifaire. La méthodologie d'approche doit aussi prendre en compte la mise à disposition d'une aide garantissant l'accès au crédit	Nous avons bien enregistré ces observations sur l'orientation des programmes du CCI comme contributions à l'analyse. Merci beaucoup.
10	25.10 .13	Miguel Jiménez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	15	1. I would add something like that: To conduct its quality check and support function, EMU will be informed/ provided by the evaluation team with a. The evidence and the analysis collected at the successive deliverables/steps(?) of the evaluation process (overall portfolio study, project studies, regional portfolio studies, country mission reports, etc.) and b. The description of the functioning and of the criteria used in evaluation tools and methodologies to collect evidence and organize/interpret data (filter templates, data aggregation systems, targeted interviews, questionnaires, etc.)	The Team will be prepared to provide EMU, in its capacity as quality assurer, with full access to these working raw materials of the Team with the submission of the draft evaluation report. While it would not be possible or appropriate to add extensive formal reporting requirements or constant detailed reporting or control that could jeopardize the independence of the Evaluation, the Team is fully committed to continuing transparency on its work with EMU as Evaluation Manager. In fact the Team finds this cooperation highly constructive and indispensable in understanding and working with ITC.

11				See the following 10 questions/comments	We are happy to elaborate here in response to the EMU questions on the details of how these tools and methods will be applied and to have this document serve as a record on these points. But since the "how to" issues at this level are primarily of interest among professional evaluators, in most cases we do not propose to amend the Inception Report at the risk of losing other readers. We will do so in a few cases where the questions have pointed to the need for clarification.
12	25.10.13	Miguel Jiménez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	43	1. In terms of document review checklists and interview topic guides, when are they developed and when are they used? 2. In terms of the mapping approach for identifying key processes and decision-points in the whole ITC system: - When is the mapping approach developed? Who does it? - Is it bridging the findings collected on operational aspects with those findings related to organizational aspects? When is that happening and who does it? - What is the connection with the inverse stream explained in paragraph 45 where you go back to HQ perspective from the perspective of the findings observed in the 7 country-based programme analysis studies?	1. As noted in para. 43, "Document review checklists and interview topic guides will be derived directly from the evaluation questions." As the questions (and supporting Matrices) are endorsed through the process now underway, this task can now commence. It will be carried out by Julia Betts (with support of Ilmari Soininen and Bernard Wood) in relation to Matrix I and Ilmari Soininen (with the support of Bernard Wood and Joachim Eissler in relation to Matrix II. The document checklists will be based on organisational documents (strategic plans, annual reports etc.), project documents (proposals, progress reports etc.) and background materials. Many of these materials have been reviewed in a preliminary way, and can now be checked more thoroughly, and additional materials are likely to be assembled throughout the further research. 2. a. Mapping is becoming clearer now, in part through the "story board" technique, and the Team's securing the project design guidelines and templates of July 2012 and previous versions. But in fact the Team will not over-invest or over-promise to produce any simple, uniform maps, because of the extreme diversity of ITC products and how they are handled. b. Bridging the findings between operational and organizational findings will mainly happen at the synthesis stage led by the Team Leader, although the designated analysts will cross-check with each other throughout (as they already have begun to do) for information purposes and on overlapping issues, particularly in relation to the Organizational Performance aspects (section D) of Matrix I. c. Going back to the HQ perspective from the operational findings is also part of the synthesis process, led by the Team Leader, drawing on the component inputs from these different perspectives.

13	25.10 .13	Miguel Jiménez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	46	1. How does the "project story" technique fit with the evaluation questions in evaluation matrix Annex II? 2. What are the systematic tools that will be created to link data gathered (through project studies?) to the evaluation matrix questions and indicators? 3. When are they developed – on the basis of the 60 project studies or after the 24 regional portfolio studies? Who does it?	1. The "project story" technique has provided: i.an initial way for the Team to make sense of some of the diverse ways that different ITC products and projects actually take shape and unfold; and, ii. a test of the ground to be covered in interview guides and questionnaires to be built around the questions in Matrix II. The process of moving to the draft interview guides, informed by the story board results, is already underway. 2. The data gathered through portfolio and project studies will automatically be linked to the evaluation questions and indicators in Matrix II by indexing the data gathering instruments to the same question numbers used in the Matrix. 3. The compilation will be done by Ilmari Soininen, with assistance as necessary by other Saana staff, and the interpretation by the Team Leader, as part of the synthesis process, crosschecking inputs with the originators as necessary, as well as the resulting synthesis points.
14	25.10 .13	Miguel Jiménez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	47	1. I would add "surveys" after "interviews,"	Yes, agreed.
15	25.10 .13	Miguel Jiménez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	Box 1	1. Where in this sequence is taking place the jump between project story and the data that fits the questions in the evaluation matrix?	See response to question 14 (1) above
16	25.10 .13	Miguel Jimenez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	48	1. When is triangulation taking place? Is it an on-going process or is it taking place at synthesis and evaluation of results phase?	Part of the triangulation of findings will be provided throughout by identifying the perspectives of different informed respondents and sources, and then aggregating and comparing the responses coming from these different vantage points. Similarly, results from different countries and types of projects will be earmarked so that they can be aggregated and compared as the findings are assembled. The comparison of findings from the three levels of the funnel analysis is a vital process of triangulation on the operational results (see response 23 below). A higher level triangulation then takes place at

					the synthesis stage, carried out by the Team Leader and validated with contributing Team members.
17	25.10.13	Miguel Jiménez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	57 & 58	1. When is it happening and who are the reviewers? It would be nice to explain what standard data format is and how it bridges with data analysis.	The standard reporting (or "filter") template for analysis is the key tool in the process of the responsible Team members identifying, analysing (especially for quality of data and triangulation of sources), aggregating and raising their findings from individual portfolio analyses and country missions and other sources to a higher level, once again closely following the organization of the questions in the Matrix. This happens as they pull together the final results of their regional and country studies. The reviewers are mutual reviewers among the Team members, drawing on their own experience in their different regions and using the tool set out in Table 3.
18	25.10.13	Miguel Jiménez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	60	1. Same with filter templates, what is it and how does it work?	See response 18 above. Our apologies for any confusion caused by using the terms "standard reporting" and "filter" templates for the same instrument - a result of very tight drafting deadlines. The term filter simply implies that in raising the analysis to a higher level, it is extracted from excessive detail, while ensuring that the aggregated results faithfully reflect the more detailed findings.
19	25.10.13	Miguel Jiménez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	77	1. The 2006 evaluation wasn't able to prioritize its findings and recommendations because it couldn't figure out the big picture perspective. Because of scattered data and complicated context, there is today again, a risk for the 2014 evaluation not to be in a position to build a concise perspective on the ITC (including on ITC's theory of change for beneficiaries). I understand the funnel approach is a response to this situation in terms of operations and results, but I am afraid the question goes beyond and also involves organizational aspects.	On the basis of our further work in the Inception Phase, we fully share the concern about the challenge of "figuring out the big picture perspective" on ITC, given its extreme complexity for an organization of its size. It is highly probable, for example, that there is no single "theory of change" (even implicitly) for all of ITC's beneficiaries at any but the most general level. It is also worth noting that ITC's public materials, such as the Annual Report and Website at this stage present a somewhat different set of key objectives from the "expected accomplishments" in the formal submission approved by the UN, and this in turn is slightly different from what was approved by the JAG. The Evaluation will examine the implications. We take it as part of our mandate to be able to pick through some of these issues in their context and give an independent policy-level assessment of their significance and possible improvements, both on the organizational and operational aspects. As noted, we have devised a means of organizing and analysing a manageable and reasonably representative sample of projects on the operational side

					through the "funnel" process. On the organizational side, we are confident that the framework we have adapted will allow for the best possible assessment within the time and resources available. In both cases, these tools and methods are backed by the accumulated skills and experience of the Team, which will also come into play in bringing the organizational and operational dimensions together. Wherever this 'progress report" evaluation cannot come to definitive assessments, it will calibrate the strength of its findings and recommendations on individual questions to the strength of the evidence, and offer options where no single answer is apparent.
20	25.10.13	Miguel Jiménez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	79	1. I would further develop the work plan. It would be nice to organize it by deliverable (or key steps) in the evaluation process and assign responsibilities to team members according to these deliverables 2. More details are particularly needed for the activities under the implementation phase. When evaluators are specialized in a geographical area + a category of client, while each of the deliverables is a synthesis that requires their joint work and an overall supervision / single strategic view. How are all the pieces coming together?	1. It is not appropriate or even possible, at the Inception Report stage, to set out the suggested further breakdown of the Team's work-plan in such intricate details. As soon as the go-ahead is given on this Inception Report blueprint, it is the essential professional responsibility of the Team – and a highly demanding set of tasks in the short time between 30 October and the departure of the Team members for the November mission- to flesh out the necessary instruments, task mandates for individual Team members, etc., working under the blueprint. These more detailed materials will be available to EMU in its capacities as Evaluation Manager as they are completed, or if support is required it will be requested. 2. These questions are answered in responses 13- 19 above.
21	25.10.13	Miguel Jiménez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	Annex 1	1. Under B1, to add: Capacity to design and conduct activities under single and coordinated perspective. (Maybe this is not the correct place to raise this issue but it seems to me that it is missing and it is a very much crucial dimension according to previous evaluation findings). 2. Under C2, add internal mobility as additional dimension to retention, recruitment etc.	1. Yes, this point is implicit under B1 but can be made explicit. See also response 23 (2) below. 2. Yes, internal mobility can be included as an issue, although we must reiterate as details are added that all these dimensions cannot be exhaustively treated in the progress report evaluation (see discussion of Risk 1).

22	25.10.13	Miguel Jimenez Pont, Head, Monitoring & Evaluation Unit ITC (jimenez@intracen.org)	Annex 2	1. How are findings under matrix 2 related to data gathered through the funnel process, in particular the full portfolio review, the 60 project stories and the 24 country/regional portfolio studies. 2. It seems to me that indicators under the last expected accomplishment(?) “integrated overall performance” require lots of development. Previous evaluations systematically indicate that the value for beneficiaries is hampered because of lack of strategic perspective in design, during implementation and because of no follow up.	In case the draft inception report is not clear enough for all on these points, we will integrate some of the points below to clarify further. 1. At the wide end of the funnel, the full portfolio review, through structured desk and statistical research and targeted headquarters inquiries, will arrive at broad profiles of the entire portfolio of ITC projects over the period, tracing patterns and trends in the funding, use, distribution and available results information on products (organized against the ITC’s three “expected accomplishment” areas set out in Matrix II). At the middle level of the funnel – following the same Matrix structure and a standard reporting format - the representative sample of 24 more detailed portfolio studies will focus on three varied projects per portfolio (using the project story technique now tightened into an interview guide/questionnaire). Assuming that all generate reliable results, this will in fact yield 72 (more than 60) project cases, which will be enriched by the 20 project stories traced in the inception phase. Finally, among the 24 country portfolios, and still following the same structure, the seven country-based “case studies” (distributed both across regions and types of programs) will serve at the narrow end of the funnel to generate findings grounded more deeply in the concrete experience of projects and their main intended beneficiaries in their actual country contexts. A critical process of triangulation and synthesis will then be to compare the findings at these three levels, once again facilitated by the use of the same Matrix. Recognizing that the ITC-wide data that is aggregated at the HQ level is intended to serve wider purposes of management and accountability, the lower-level findings will serve to test those data in a “bottom up” reality check. 2. Although it is not strictly an “expected accomplishment” area, the assessment of “integrated overall performance” has been included as a major issue in the Matrix precisely because of the importance of this theme in previous evaluations and the Team’s inception findings. The approach to assessing in this area has intentionally been left broad because it will in large part be a task of reaching conclusions and syntheses among findings from the three component areas, and indeed findings from the organizational assessment. The indicators in the other three areas and in Matrix I, will in fact provide evidence around each of the issues raised in this comment as hypotheses, as well as other possible explanations, but without pre-judging.

23	25.10 .13	Kebur Azbaha, 1st Secretary, Trade and Development UK Mission Geneva (kebur.azbaha@fco. gov.uk)	Executive Summary, page v, 2nd paragraph	I agree with your approach for this evaluation to produce “a lean, progress report,” covering the period 2006 to 2012. However, at the same time we should ensure in our effort to be “lean” we do not leave any major evaluation questions from the ToR unanswered in the final report.	The interpretation of the balance in this “progress report” evaluation between leanness, brevity and simplicity on the one hand and comprehensiveness on the other is clearly set out in Risk and Mitigation strategy 1 in Table 4. The limits are clearly set by the resources and time allowed for the exercise, explicitly contrasted in the ToRs and budget with the 2005-06 experience.
24	25.10 .13	Kebur Azbaha, 1st Secretary, Trade and Development UK Mission Geneva (kebur.azbaha@fco. gov.uk)	Executive Summary, page v, 5th paragraph	Assessing the management and organizational aspects and the “change management reforms” in ITC since 2006 will be crucial in help set the strategic direction of ITC for the next 5 to 8 years. It will be important to tackle these issues head on and objectively, highlight what is working and not working with the current governance and management structure. We would hope that you can provide specific and tailored recommendations on improvements could be made to ensure ITC continues to be an effective and efficient agency for its ultimate beneficiaries (SMEs and people in developing countries).	Yes, as reflected in Matrix I, assessing the management and organizational aspects of ITC and the substantive outcomes of the change efforts since 2006 is accepted as a key part of our mandate and a major area for the Evaluation findings and recommendations.
25	25.10 .13	Kebur Azbaha, 1st Secretary, Trade and Development UK Mission Geneva (kebur.azbaha@fco. gov.uk)	Executive Summary, 3rd paragraph, page vi	The “narrowing” funnel model for selecting what ITC programmes, projects and countries to evaluate is a sensible sampling method to give you the big and small picture of ITC’s performance. In addition you may want to double check when you are finalizing the programmes and countries you will be doing a case study on, that you have actually covered the regions where ITC has major interventions and that these sample programmes/countries includes those where there was most and least success. This is in order to identify what really works and doesn’t work in the why ITC initiatives, designs and implements and evaluates programmes.	By definition, of course, no sample is totally exhaustive, but our sampling strategy has been transparent and rigorously designed to provide as representative coverage as possible on the various axes of ITC’s complex programs. Within the set criteria, we are making a last check for the best geographical representation in at two regions and will build proportionate coverage into the more detailed project selection across ITC’s product areas. We cannot pre-judge “that these sample programmes/countries includes those where there was most and least success,” but we are certainly committed “to identify what really works and doesn’t work in the way ITC initiates, designs and implements and evaluates programmes.”

26	25.10.13	Kebur Azbaha, 1st Secretary, Trade and Development UK Mission Geneva (kebur.azbaha@fco.gov.uk)	Chapters 1 to 3	A good outline of your evaluation plan of action, which is broadly in line with the ToRs.	Thank you, we are glad that this is apparent.
27	25.10.13	Kebur Azbaha, 1st Secretary, Trade and Development UK Mission Geneva (kebur.azbaha@fco.gov.uk)	paragraph 8, Chapter 2, Purposes and Scope of the Evaluation, sub chapter 2.1	Purpose 2 – assessing ITC's activities in terms of the results achieved (or not) for the UK is the most important element of this whole evaluation. We need to see what ITC's US$80 million year is achieving in terms of actual development outcomes and impacts. We are also very interested to see what has been the long term and sustainable impact of ITC's support to the key beneficiaries in the developing countries and LDCs in particular (i.e. Micro, Small and Medium Enterprises; Trade Support Institutions; Trade/Commerce Ministries etc…). It would be important in the body of the final report or as an annex you list as many examples as possible of actual ITC development outcomes and impacts. We would specifically want to see information as requested above on the major Women and Trade programme and the Non Tariff Measures research project.	On the first point, please see response 3 above. As to the "long term and sustainable impact of ITC's support to the key beneficiaries in the developing countries and LDCs in particular" the Evaluation will make every effort to dig out credible existing and new evidence on these points, and if necessary also propose measures to strengthen the generation of such evidence in the future. "It would be important in the body of the final report or as an annex you list as many examples as possible of actual ITC development outcomes and impacts." Yes, the Matrix questions explicitly seek examples and explanations of such notable accomplishments as well as problem cases wherever it can find the credible supporting evidence. "We would specifically want to see information as requested above on the major Women and Trade programme and the NonTariff Measures research project." The Evaluation's coverage will shed independent light on significant examples of both of these but please keep in mind that we are not able to conducting separate evaluations of these or other individual program initiatives.

28		Kebur Azbaha, 1st Secretary, Trade and Development UK Mission Geneva (kebur.azbaha@fco.gov.uk)	46	In the methodology section, they have said that they would make use of ‘product story’ technique. Broadly it sounds fine but I would like them to focus more on ‘evaluating’ the validity of the ‘Results chain’ in specific projects and to identify as to how far the initial hypothesis of reaching a desired outcome/impact through a particular set of inputs/activities held true in major programmes (i.e. Women and Trade , and NTM). This would help us to make adjustments in follow up activities if the initial hypothesis is holding up in any case.	Yes. The story technique was initially essential to understanding how ITC’s different products and project cycles actually function, and an element of this will still be necessary. But as noted, the tools for assessing projects are now being tightened and will also reflect more clearly a standard evaluation of the project results chain and performance against intended results.
29	25.10.13	Kebur Azbaha, 1st Secretary, Trade and Development UK Mission Geneva (kebur.azbaha@fco.gov.uk)	Box 1, pages 3 to 4	It is interesting that you plan to compare the ITC’s performance with that of other similar trade support related agencies. I commend this effort. Objectively comparing ITC’s performance against its competitors in the market is one good way of highlighting where ITC value added is in the global aid for trade initiative.	Yes, we take it as an essential part of the Evaluation mandate to objectively compare ITC’s performance against its competitors in the market as a good way of ascertaining where ITC value added lies in the global aid for trade initiative. This will have to take into account the different mandates and auspices of such providers, so it is not simple, but the Team is ready to exercise the independent knowledge and judgement required.
30	25.10.13	Claudia Uribe, Chief for Latin America and the Caribbean office ITC (uribe@intracen.org)	7	Purpose 1. Changes since 2006. This could also cover an additional issue such as the ITC offices/ presence in the field, notably the office in Mexico. The opening of the office in Mexico was based on the “Danish – led” evaluation (2006) of ITC that strongly recommended to ITC to increase its presence in the field with a view to closely assess clients’ needs and optimize effectiveness. The office in Mexico was opened at the end of 2007 and was set on a pilot basis to decentralize its work from Geneva headquarter to the field. Currently the office in Mexico is the unique ITC’s field decentralized office not associated to implementing projects. Finally, Box 1 could also include a mention to the ITC office in Mexico.	Yes, the experience with the office in Mexico is definitely to be considered in the Evaluation and it will be mentioned in the final Inception Report. It arises both as one of the changes made since 2006 and as an element in the overall picture of ITC’s organization and management, with its challenges of being close and responsive to client needs at the global, regional and country levels. It will not be possible to carry out an extensive assessment of this experience, but the Team would find it most helpful to have copies of the one or two key original documents setting out the rationale, expectations and criteria for assessing the Mexico office as a pilot effort in decentralisation.
31	25.10.13	Claudia Uribe, Chief for Latin America and the Caribbean office ITC (uribe@intracen.org)	52. Box 3	Variables specified in ITC terms of reference: Middle income countries and emerging economies Offices in the field	Yes, the “level of development of the countries” was mentioned among the original criteria and this has been taken, in consultation with ITC, to mean coverage of the different levels in the sample and this is reflected in the sample selected. This has been added to Box 3 for the record. “Offices in the field” was not mentioned as a criterion, although the

					sample did check for a selection of countries with and without project support units.
32	25.10.13	Claudia Uribe, Chief for Latin America and the Caribbean office ITC (uribe@intracen.org)	54. Table 2.	Haiti. This is the only one LDC in the region. Nonetheless projects in the country are at the pipeline level the latest were implemented in 2008. Peru is fine Uruguay is another South American country that fine but the evaluation could be considered to shift it by Mexico or Jamaica	See Answer 4 above on country selections in Latin America and the Caribbean. The fact that Haiti shows projects in the project portal but that they are apparently only in the pipeline had not been clear. However, perhaps it should not disqualify the country as a case study, as it offers the chance to study how the pipeline functions. Peru will offer a large and well-documented portfolio study. There would need to be a specific rationale to support a shift from a Uruguay case to Mexico or Jamaica.
33	25.10.13	Zorica Maric Djordjevic, Perm. Representative of Montenegro to the WTO & Ambassador to the UN HRC (zmaric@msn.com)	General	I commend the quality of the Independent evaluation of ITC Inception Report. We support your selection of the countries for the EEC and Central Asia region, but would appreciate the clarification on why the region is not covered by the planed filed mission activities.	Thank you for the appreciation of the approach. Please see answers No. 5 and 8 above regarding a country mission in EECA.
34	25.10.13	Katja Karppinen-Njock, First Secretary Permanent Mission of Finland (katja.karppinen-njock@formin.fi)	9	We drew attention to para 9 on page 2 where results orientation is described recent. Results based management issues have been introduced on the agenda of ITC already years ago. Thus, we would like the evaluation to study whether the current results based management systems are appropriate. That is, do they allow measuring impacts in the future? If not, the evaluation should give recommendations on results orientation.	Yes the evaluation will study whether the current results based management systems are appropriate, from both a bottom-up perspective (under Matrix II) and top-down through Matrix I. It will include an assessment of the prospects for measuring impacts in the future, and offer relevant recommendations on the results orientation.
35	25.10.13	M. Williams, Ambassador, Barbados (Geneva2foreign.gov.bb)	General	The inception report shows that the evaluation is expected to be quite extensive and thorough, The design seems quite thoughtful. Has any consideration been given to whether it is likely to impact current tasks? Or will recommendations and insights only be acted upon on conclusion and a decision to implement ?	Thank you for the appreciation of the approach. Yes, it is expected that there will be feedback and dialogue at milestones during the evaluation process to enable ITC to draw upon emerging directions and Evaluation findings without having to wait for the draft and final reports.

36	25.10.13	M. Williams, Ambassador, Barbados (Geneva2foreign.gov.bb)	19-21	How do the guiding principles usefulness, credibility, and independence dovetail with the RBM approach, in so far as results are the main plank of the RBM approach. Is there a weighting system being applied, or is this judgmental?	The Evaluation's own guiding principles of usefulness, credibility, and independence are consistent with a focus on assessing results. The Evaluation design had also explicitly tried to support and test ITC's results orientation by building the operational Matrix (II) around the expected accomplishments in the approved results framework.
37	25.10.13	M. Williams, Ambassador, Barbados (Geneva2foreign.gov.bb)	66-68	Many of the beneficiaries on the ground may not have access to the kind of sophisticated technologically modern systems to interact effectively with the team. How is this being handled? Or is interaction at the level of officials?	It will be a challenge to reach beneficiaries (and potential beneficiaries) on the ground and the Inception Report mentions some of the special efforts planned to identify and reach them. Survey mechanisms will be very necessary in this and the Team will have to make provisions for manual as well as electronic submission as we have done in other cases.
38	25.10.13	Yeun Ching Ho, Chief, Evaluation and Monitoring Unit United Nations Conference on Trade and Development (UNCTAD) (yuen.ching.ho@unctad.org)	10	The report mentions 'the difficulty of identifying and categorizing all of ITC's numerous and dispersed product lines' but there is no indication that the evaluation will look into underlying reasons for this. To what extent are the linkages between the official purpose/mandate(s) of the ITC and what it actually does? We believe that this would be important for proper analysis of the last element in Purpose 3, which could be helpful in addressing issues of work overlap and dispersion of ITC's expertise and resources.	The difficulty of 'identifying and categorizing all of ITC's numerous and dispersed product lines' was mentioned in the Inception Report as one of the challenges in designing and carrying out the Evaluation. It is a factual observation, based on extensive comparative experience, and does not imply any prior judgement as to whether this is a either a problem for ITC and its substantive contributions or a reflection of distinctive approaches which may have a sound rationale. The evaluation will indeed look at the reasons, within the context of its mandate and the changing arena of Aid for Trade, once again without any prior assumptions about "work overlap" or "dispersion of ITC's expertise and resources".
39	25.10.13	Yeun Ching Ho, Chief, Evaluation and Monitoring Unit United Nations Conference on Trade and Development (UNCTAD) (yuen.ching.ho@unctad.org)	18d	Insert reference to parent/partner organizations when talking about "key stakeholders. Hence: "As part of the above, deploying a consultative and participatory methodology, including the interviewing of key stakeholders (namely: beneficiaries, in particular trade support institutions and private companies in the field, donors, staff and management of ITC, and ITC's parent organizations").	Yes, done. ITC's parent and partner organizations should have been included in the list as they were elsewhere. Amended.

40	25.10.13	Yeun Ching Ho, Chief, Evaluation and Monitoring Unit United Nations Conference on Trade and Development (UNCTAD) (yuen.ching.ho@unctad.org)	Annex I; A2	There is some general mention of this in the matrix, but we wish to stress the necessity of examining ITC's current and future identity and position within the UN system and its linkages to UNCTAD and the WTO, and the resulting implications for all of the entities mentioned.	As the comment notes, the Team plans to examine ITC's current and future identity and position within the UN system and its linkages to UNCTAD and the WTO, as well as the wider arenas of Aid for Trade and the resulting implications. We have taken note of UNCTAD's stress on this point.
41	25.10.13	Yeun Ching Ho, Chief, Evaluation and Monitoring Unit United Nations Conference on Trade and Development (UNCTAD) (yuen.ching.ho@unctad.org)	Annex I; B3	1. Propose insertion of "effectiveness and efficiency" with reference to the UN rules and procedures on HR. Hence: "Role, effectiveness and efficiency of UN rules and procedures in ITC human resource planning, policies and procedures"; 2. We also believe that the role of the parent organizations on HR matters and the delegation of authority from the Office of Human Resources Management of the United Nations Secretariat merits examination in the context of ITC's organizational needs and business model; 3. Under the "Key sources column", we believe that interviews with UNCTAD, the WTO and the Policy Service of the Office of Human Resources Management of the United Nations Secretariat are essential to informing assessments on this subject.	These helpful points are appreciated and noted for the implementation of the Evaluation, with the repeated caution that this Evaluation cannot be the last word on some of these large issues going well beyond the ITC itself.
42	25.10.13	Yeun Ching Ho, Chief, Evaluation and Monitoring Unit United Nations Conference on Trade and Development (UNCTAD) (yuen.ching.ho@unctad.org)	Annex I; B8	Under the "Key sources column", we believe that interviews with UNCTAD are also necessary to informing assessments on this subject, particularly given our lead role on the Inter-agency Cluster on Trade and Productive Capacities. Full information on the work of the Cluster can be accessed via this weblink: http://unctad.org/en/Pages/TC/TC_United-Nations-Inter-Agency-Cluster.aspx	Yes, UNCTAD was subsumed under "UN" in this summary, but can be specified as it is elsewhere. Amended. The implications of the UN "Inter-agency Cluster" will be considered.

43	25.10 .13	Yeun Ching Ho, Chief, Evaluation and Monitoring Unit United Nations Conference on Trade and Development (UNCTAD) (yuen.ching.ho@unctad.org)	Annex I; D1	Under the "Key sources column", interviews with ITC staff are envisaged, but perhaps external stakeholders could also be helpful in informing assessments as to the effectiveness of the ITC's accountability framework and products?	Thank you, certainly with respect to the quality and role of these accountability framework systems, stakeholders with a governance role should also be interviewed. With respect to the effectiveness of products themselves, the emphasis is strongly on consulting intended beneficiaries. Done.
44	25.10 .13	Yeun Ching Ho, Chief, Evaluation and Monitoring Unit United Nations Conference on Trade and Development (UNCTAD) (yuen.ching.ho@unctad.org)	Annex I; D3	Under the "Key sources column", interviews with external stakeholders are envisaged, but perhaps ITC's Senior Management and relevant staff would be better placed to inform assessments against this subject?	We believe that both are necessary and indeed some other informed sources on needs and priorities in Aid for Trade. Of course again, the primary emphasis will be on findings from the portfolio analyses and the structured assessments of intended beneficiaries, though the work around Matrix I. Done.
45	25.10 .13	Elena Boutrimova, Chief, OEECA/DCP ITC (Boutrimova@intracen.org)	51/table 1	No mission is foreseen for EECA region whereas at least one mission is planned for all other regions. Why?	See also response No. 8 above, regarding the budgetary and linguistic constraints. Even stressing that the country missions have a limited function, we agree that is a danger of not doing full justice to some of the unique elements in working in post-Soviet countries. As you informed us, both the Kyrgyzstan and Tajikistan programs have been evaluated relatively recently for the donor, which will provide additional useful input for the Team. If a mission to the region were to be added, it would require an additional budget allocation for working days of a Team member, as well as supplementary resources for Russian interpretation.

46	25.10 .13	Elena Boutrimova, Chief, OEECA/DCP ITC (Boutrimova@intracen.org)	53/table2	In our view, the selection of Turkey is not correct. ITC has not been active in Turkey since long time. Furthermore, ITC's current objective is to engage Turkey as a donor for ITC projects in other countries. Therefore, Turkey does not qualify for a 'traditional' ITC beneficiary. We suggest replacing Turkey by Kyrgyzstan or Kazakhstan.	See also response No. 5 above. The selection of Turkey took into account our information from the project portal that there were active projects in the country. After re-checking this information with you, we have adjusted – Tajikistan also met the threshold and has replaced Turkey for this purpose. It is interesting to learn that it is ITC's current objective to engage Turkey as a donor for ITC projects in other countries – a prospect that the evaluation will explore further, with respect to Turkey and others.
47	26.10 .13	Stephan Blanc, Chief, Trade Information Services (blanc@intracen.org)	Page v	Please clarify what is meant by the reference to: "…the evaluation will apply some "creative adaptations"" to fit the particular characteristics of ITC (Page v Executive summary). What is perceived special in ITC to have to apply creative adaptations? What are the creative adaptations?	The responses to this large question are signposted in the draft Report, and could lead to a further extended methodological discussion, but just to summarize a few: i. Combination of org/mgt and operational evaluation in the ToR– thus adaptation of org. asst . framework to ITC ii. Requirement to mesh product-based analysis and geographic assessment – thus "Funnel" sampling strategy, and info. from the different perspectives iii. Understanding the wide variety of customized ITC projects and processes: One technique already developed and tested has been to reconstruct structured "stories" around ITC's different products and projects
48	26.10 .13	Stephan Blanc, Chief, Trade Information Services (blanc@intracen.org)	Annex I p.31 (left column – Key aspects)	) there is some reference to reviewing administrative systems and procedures and internal support functions in ITC (HR, Finance) in addition to our TRTA projects / programmes. Can Evaluation Team elaborate on the approach to evaluate, in terms of effectiveness and efficiency, areas such as our review and approval mechanisms of Legal Unit, Finance, Hiring processes in HR, SPPG monitoring processes and ITC's own approach to evaluation and impact assessment.	As noted in the Inception presentations, the Report and response to the DFID comment No. 25, this progress report evaluation will look at all the issues in these areas touched in the Matrix, but will obviously not be able to provide in-depth analyses and recommendations on every point.
49		Stephan Blanc, Chief, Trade Information Services (blanc@intracen.org)	General	This evaluation will be reviewing – among other things - progress made and lessons learnt in the follow up to the 2006 evaluation. How will Saana take account of the very different environment ITC works in now compared to 2006, in terms of the global economy, trading environment, impact the economic downturn in Europe has had on donors, UN's own constraints	The Report clearly recognizes the changed environment, and our Team has extensive knowledge on every front in these areas. There is clearly no intention of doing simply a lock-step follow-up to the 2006 evaluation.

				(eg budgetary), evolving needs of clients etc. In short, the world has changed a lot since 2006, and ITC had to evolve in line with this, and some of the recommendations of 2006 may not, with the benefit of hindsight, be relevant any more.	
50	26.10.13	Stephan Blanc, Chief, Trade Information Services (blanc@intracen.org)	General	Will the evaluation look at ITC's new corporate outcome / outputs and their related indicators and targets; and particularly the process to define them internally and communicate them to NY?	Yes.
51	26.10.13	Stephan Blanc, Chief, Trade Information Services (blanc@intracen.org)	General	How will the evaluation team ensure confidentiality of feedback provided in the context of individual projects / field visits?	We have the demonstrated experience, skills, systems and ethical commitments to do this successfully.
52	26.10.13	Stephan Blanc, Chief, Trade Information Services (blanc@intracen.org)	General	Can the aggregated feedback given to the Evaluation team on the inception report be shared with ITC staff?	We understand so, though EMU.
53	26.10.13	Hanna Bucher, Associate Expert, Division of Market Development (bucher@intracen.org)	Page v	what is meant exactly by "creative adaptions". Can you provide examples?	See question No. 48 above.

54	26.10 .13	Hanna Bucher, Associate Expert, Division of Market Development (bucher@intracen.org)	9	how much time, and in how much depth will the team try and "test plausible linkages between ITC interventions and development change"? ITC has several individuals working on methodologies on impact evaluation who have spent probably over a year in refining the approaches. Is it possible for the eval. team to provide more information on the methodology as well as the underlying premise of "rigorous caution" to interested staff?	The Team will provide its independent test through its analysis, drawing on the methodological approaches and authorities specifically mentioned in the Report , and its own leading expertise in handling just such issues, for example in the award-winning Evaluation of the Paris Declaration. The Evaluation will also examine the work on impact evaluation underway internally. We find that the stated commitment to exercise a rigorous caution on attributing impact is clear, together with its premise.
55	26.10 .13	Hanna Bucher, Associate Expert, Division of Market Development (bucher@intracen.org)	10	"the recommendations, guidance.... will draw on relevant models and benchmarking where possible ... against other organizations with comparable features" -- Which organizations are being used as a benchmark?	This is not yet decided.
56	26.10 .13	Hanna Bucher, Associate Expert, Division of Market Development (bucher@intracen.org)	Box 1	"For such a small organization, ITC retains a very wide and complex array of more than 50 products and services" / pg. 10 paragraph 23 " ...revealing some of the unique complexities of the ITC and its dispersed activities especially considering that is it is a relatively small org. " pg. 2 par. 9 "inception phase has highlighted that the array of ITC's products is complex and diffuse and that clear results info on outcomes...through the existing system is still limited": the report mentions several times the large number of products and services of ITC and usually with a wording which indicates that the team considers these too many or not always coherent. I would recommend that the team not pre-judge this for the following reasons: 1. individual products and services may not be clear when taken out of context -- e.g. at least for our Division, we were requested to submit all products and services in form of a list (taken out of the strategy papers, which provide the strategic purpose and results orientation). 2. as pointed out in the inception report in box 1 "ITC's clients themselves face ever-changing priority needs for TRTA..." indicating that ITC has to keep innovating and updating its products and services to adequately serve the needs of its clients.	See question and response No. 39 above

57	26.10 .13	Hanna Bucher, Associate Expert, Division of Market Development (bucher@intracen.org)	43	will the liaison team have access to the list of documents being reviewed by the eval team? -- This could help in identifying potential gaps (i.e. liaison team could help in providing further documents and reports where seen necessary).	Yes, thank you. We will update the initial working list and invite suggestions, through EMU.
58	26.10 .13	Hanna Bucher, Associate Expert, Division of Market Development (bucher@intracen.org)	58	" to ensure that the findings... are adequately supported by evidence reviews will assess both the quality of the evidence and the clarity of the analysis" -- who are the reviewers?	The initial reviewers are Team peers, through a rigorous and tested approach at that stage. Subsequently, of course, all stakeholders will have the opportunity to make their own assessments on the draft report from mid-March 2014, as specified in the Report. EMU, in its capacity as quality assurer, will have access to the Team's working materials at the time of submission.