



**Joint evaluation studies under the 3Cs Initiative of
the Group of Heads of EU Evaluation Services for
External / Development Cooperation (EU HES)**

Joint Evaluation of Co-ordination of Trade Capacity Building in Partner Countries

Lead agency: European Commission

Partners: France, United Kingdom, Belgium, Netherlands

Final Report

Annexes

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This report has been prepared by ADE
at the request of the European Commission.

The views expressed are those of the
consultant and do not represent the official
views of the European Commission.

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List of Acronyms

ACP	Africa, Caribbean and Pacific (countries)
ACWL	Advisory Centre on WTO Laws
AFD	Agence Française de Développement
AIDCO	EuropeAid Co-operation Office
AIDS	Acquired Immunodeficiency Syndrome
AIF	Agence Intergouvernementale de la Francophonie
AITC	International Association of Conference Translators
AM	Aide Mémoire
AMREF	African Medical Research Foundation
APE	Accord de Partenariat Economique
APEC	Asia-Pacific Economic Cooperation
AsDB	Asian Development Bank
ASEAN	Agreement of Southern and Eastern Asian Nations
ASYCUDA	Automated System for Customs Data
ATC	Agreement on Textiles and Clothing
ATRIP	African Trade Investment Program
BIO	Belgian Investment Company for Developing Countries
BMZ	German Ministry for Economic Co-operation and Development
BTC	Belgian Technical Cooperation
CAC	Codex Alimentarius Commission
CAPE	Comité d'Appui au Pilotage de la relance Economique
CARICOM	Caribbean Community and Common Market
CBI	Centre for the Promotion of Imports for Developing Countries
CCI	Centre du Commerce International
CEPR	Centre for Economic Policy Research
CFSP	Common Foreign and Security Policy
CGN	Country Guidance Note
CIDA	Canadian International Development Agency
CNUCED	Conférence des Nations Unies sur le Commerce et le Développement
CODEV	Council's Working Party on Development Co-operation
COMESA	Common Market for Eastern and Southern Africa
ComSec	Commonwealth Secretariat
CREAM	Centre de Recherche d'Etudes et d'appui à l'Analyse Economique à Madagascar
CRS	Creditor Reporting System
CSP	Country Strategy Paper
CTA	Technical Centre for Agricultural and Rural Cooperation
DAC	Development Aid Committee (OECD)

DAG	Donor Assistance Group
DANIDA	Danish International Development Agency
DDA	Doha Development Agenda
DDAGTF	Doha Development Agenda Global Trust Fund
DFID	Department for International Development
DG	Directorate General
DG AGRI	Directorate General for Agriculture of the European Commission
DG DEV	Directorate General Development of the European Commission
DG ENV	Directorate General for Environment of the European Commission
DG RELEX	Directorate General for External Relations of the European Commission
DG RTD	Directorate General for Research of the European Commission
DG SANCO	Directorate General for Health and Consumer Protection of the European Commission
DG TRADE	Directorate General for Trade of the European Commission
DGCD	Belgian Directorate General for Development Cooperation
DGCID	French Directorate General for International Development Cooperation
DGDC	Belgian Directorate-General for Development Cooperation
DGIS	Directorate General for International Cooperation of the Netherlands Ministry of Foreign Affairs
DGTPE	Direction générale du trésor et de la politique économique (France)
DIPO	Danish Import Promotion Office for Products from Developing Countries
DKK	Danish Krone
DOM	Département d'Outre-mer
DREE	Direction for External Economic Relations of the French Ministry of Economy
DTIS	Diagnostic Trade Integration Study
EAR	European Agency for Reconstruction
EBA	Everything But Arms
EC	European Community
ECAP	EC-ASEAN Intellectual Property Rights Co-operation Programme
ECBP	Engineering Capacity Building Program
ECDPM	European Centre for Development Policy Management
ECHO	Directorate General for Humanitarian Aid of the European Commission
ECOWAS	Economic Community Of West African States
EDF	European Development Fund
EPA	European Partnership Agreement
EPIC	Etablissement Public Industriel et Commercial (Industrial and Commercial Public Establishment)
ETV	Euro-Tap Viet
EU	European Union
EVD	Netherlands Agency for International Business and Cooperation
FAO	Food and Agriculture Organization of the United Nations

FED	Fond Européen de Développement
FMI	Fonds Monétaire International
FTA	Free Trade Area/Arrangement
GAERC	General Affairs and External Relations Council of the European Union
GAPCM	Groupement des Aquaculteurs et Pêcheurs de crevettes à Madagascar
GATS	Government Agreement on Trade in Services
GATT	General Agreement on Tariffs and Trade
GB	Great Britain
GBF	Groupement des Bailleurs de Fonds
GDP	Gross Domestic Product
GEM	Growing Ethiopian Market
GoE	Government of Ethiopia
GOTICOM	Groupement des Opérateurs de Technologies d'Information et de Communication
GTZ	Gesellschaft für Technische Zusammenarbeit
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
HQ	Headquarter
ICP	International Cooperating Partners
ICTSD	International Centre for Trade and Sustainable Development
IDA	International Development Agency
IEDOM	Institut d'Emission des Départements d'Outre-Mer
IEOM	Institut d'Emission d'Outre-Mer
IF	Integrated Framework
IFC	International Finance Corporation (World Bank)
IFSC	Integrated Framework Steering Committee
IFTF	Integrated Framework Trust Fund
IFWG	Integrated Framework Working Group
IMF	International Monetary Fund
IOB	Policy and Operations Evaluation Department of the Netherlands Ministry of Foreign Affairs
IPCC	International Plan Protection Convention
IPO	Import Promotion Office
IPR	Intellectual Property Rights
IT	Information Technologies
ITC	International Trade Centre
JBSM	Joint Budget Support Mission
JICA	Japan International Cooperation Agency
JITAP	Joint Integrated Trade Assistance Programme
KfW	German Development Bank
LDC	Least Developed Country
MAE	French Ministry of Foreign Affairs

MDGs	Millenium Development Goals
MFA	Ministry of Foreign Affairs
MINEFI	Ministry of Economy and Finance
MISA	Media Institute of Southern Africa
MRL	Minimum Residue Level
MS	Member States
MTS	Multilateral Trading System
MUTRAP	Multilateral Trade Policy Assistance Programme (Vietnam)
NEPAD	New Partnership for Africa's Development
NGO	Non Governmental Organisation
NIS	New Independant States
NL	The Netherlands
NORAD	Norwegian Agency for Development Cooperation
NT	Negotiation Traning
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
OHADA	Organisation pour l'Harmonisation en Afrique du Droit des Affaires
OIE	Office International des Epizooties/World Organization for Animal Health
OMC	Organisation Mondiale du Commerce
OSCE	Organization for Security and Co-operation in Europe
PNSP	Programme National d'appui au Secteur Privé
PNUD	Programme des Nations Unies pour le Développement
PRCC	Programme de Renforcement des Capacités Commerciales
PRIDE	Programme Régional Intégré de Développement des Echanges des Pays des Pays de l'Océan Indien
PRS	Poverty Reduction Strategy
PRSP	Poverty Reduction Strategy Paper
PSD	Private Sector Development
PSOM	Programme for Cooperation with Emerging Markets
PTB	German Metrology Institute
QUNO	Quaker United Nations Office
RNM	Caribbean Regional Negotiating Machinery
RSP	Regional Strategy Paper
RTA	Regional Trade Arrangements
SADC	Southern Africa Development Community
SCAC	Services de Coopération et d'Action Culturelle
SDPRP	Sustainable Development Poverty Reduction Programme (Ethiopia)
SDPRPII	Second Sustainable Development Poverty Reduction Programme (Ethiopia)
SECO	State Secretariat for Economic Affairs (Switzerland)
SEK	Swedish Krona
SIA	Sustainability Impact Assessment
SIDA	Swedish International Development Agency

SMB	Secrétariat Multi-Bailleurs
SME	Small and Medium Enterprises
SPS	Sanitary and Phyto-Sanitary measures
SSA	Subsaharian Africa
STDF	Standards Trade and Development Facility
SWAp	Sector wide approach
SWEPRO	Swedish Trade Procedures Council
TA	Technical Assistance
TBT	Technical Barriers to Trade
TCB	Trade Capacity Building
TCBDB	Trade Capacity Building Data Base
TD	Trade Development
TF	Trade Facilitation
TOR	Terms of Reference
TRA	Trade Related Assistance
TRCB	Trade Related Capacity Building
TRIPS	Trade-related intellectual property right
TRTA	Trade Related Technical Assistance
TRTA/CB	Trade Related Technical Assistance and/for Capacity Building
TRTE	Trade Related Training and Education
TSSP	Trade Sector Support Strategy
UGP	Project Management Unit
UK	United Kingdom
UN	United Nations
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNIDO	United Nations Industrial Development Organisation
UPDR	Unité de Politique de Développement Rural
USA	United States of America
USAID	United States Agency for International Development
WAEMU	West African Economic and Monetary Union
WB	World Bank
WHO	World Health Organisation
WSSD	World Summit on Sustainable Development
WTO	World Trade Organisation

Annex 1 - Terms of Reference



EUROPEAN COMMISSION
EuropeAid Co-operation Office

General affairs

Evaluation

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Evaluation studies under the 3Cs Initiative

Evaluation of Coordination of Trade Capacity Building in Partner Countries

Draft Terms of Reference

September 2004

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TERMS OF REFERENCE FOR AN EVALUATION OF COORDINATION OF TRADE CAPACITY BUILDING IN PARTNER COUNTRIES

1. **Introduction: the framework, background and objectives of the study**

The Group of Heads of Evaluation Services for External Cooperation of the Member States and the European Commission (EU-HES) agreed in 2000 to the desirability of joint evaluations to assess the role played by the Maastricht Treaty concepts of co-ordination, complementarity and coherence¹, in the European Union's development co-operation policies and operations. General aim of the evaluations is to determine how far these so-called "3Cs" have been applied and with what impact. The evaluations are expected to produce evidence, lessons and recommendations to strengthen the quality of European development assistance.

These Terms of Reference are part of the general Terms of Reference for Evaluating and Learning about Coherence, Coordination and Complementarity, that were proposed to the EU-HES meeting in Brussels on June 16, 2004. During that meeting, it was agreed to undertake initially a set of 6 specific evaluation studies that are relevant to the 3Cs initiative². Each of these will be undertaken by a group of interested Member States and/or the European Commission. The present study was adopted by the Evaluation Service of the Relex family of services (lead agency), and on the other hand partners Belgium, France, the UK, while the Netherlands will be a silent partner.

This evaluation seeks to research *coordination* and *complementarity* of trade capacity building (TCB) initiatives undertaken by the MS and the EC. Besides covering coordination and complementarity throughout the broad area of TCB as such, the evaluation will also cover the sub-area of C-TCB initiatives in the field of sanitary and phyto-sanitary (SPS) measures. In this more delimited area, the third principle of *coherence (III)* will also be addressed.

The outcomes of the study should contribute to and allow for a joint learning process on 3C-matters between stakeholders in the EU MS, the EU institutions and partner countries.

Systematic and timely evaluation of its expenditure programmes has been defined as a priority of the European Commission (EC), as a means of accounting for the management of the allocated funds and of promoting a lesson-learning culture throughout the organisation.

1.1 **The area of Trade Capacity Building**

TCB programmes refer to activities that aim to strengthen trade-related institutions and trade policy processes in developing countries. Since the launch of the Doha Development Round of World Trade Negotiations (2001), TCB has become increasingly important on the

¹ A specification of co-ordination, complementarity and coherence, as referred to in this study, is in Annex 2

² The six studies are

1.1 CFSP/Development – use of CPA article 96

1.2 Coordination of Trade Capacity Building Initiatives

1.3 Coordination and Complementarity of Humanitarian Assistance

1.4 EU mechanisms that promote Policy Coherence

1.5 Evaluating 3Cs of CSPs with National Development Priorities

1.6 Coordination and Complementarity of Assistance for Local Development at district level

international trade agenda. Donors and international institutions now invest considerable amounts of resources in TCB programmes and activities.

The EC is among the main sources of TCB funding, both by means of bilateral support programmes and by contributions to international initiatives such as the Integrated Framework for mainstreaming trade, and the Doha Development Trust Fund. In 2002, global EC support for TCB programmes amounted to US\$ 712 million (*provisional estimation*). Currently, particular attention is devoted to the African, Caribbean, and Pacific countries (ACP) with which the Commission envisages to conclude regional Economic Partnership Agreements (EPAs) by 2008. EC support to the ACP is geared at the ACP's own regional integration process (mainly through the Regional Indicative Programmes (RIP) under the 9th EDF), the participation to the EPA negotiations process (such as the Programme Managing Unit -PMU), or both (the recent Trade.Com initiative³). For some ACP regions, TCB-related funding covers over 50 % of total EU funding. More details are included in Annex 1.

With the increase of resources for TCB programmes, various critical issues are gradually calling for more attention:

- *Coordination*: the sudden popularity of TCB amongst bilateral donors and international institutions has made it difficult to adequately coordinate activities and programmes around the world;
- *Complementarity*: it is often questioned whether TCB programmes that aim to stimulate developing countries' participation in trade negotiations (usually over a relatively short-term) can be of any benefit if the recipient countries do not yet have developed a clear external trade strategy (embedded in an overall development strategy) for themselves. The issue deserves even more attention when taking into account that most discussions concerning *complementarity* only refer to EC+MS policies and programmes, while definitely also *complementarity between MSx+MSy policies and programmes* (MS as donors (and as traders)) should be covered, and is an area of concern.
- *Legitimacy*: TCB is a relatively new issue on the international development agenda where currently very little research is available with respect to its effectiveness, in other words: the case for TCB still needs to be made, in particular when weighed against other objectives in development cooperation;
- *Short-term versus long-term*: the pressing need to conclude international, regional and bilateral trade negotiations plays an important, if not dominant, role in the funding-motives for TCB programmes; consequently, many actors and observers fear that design and implementation of TCB activities will be increasingly geared towards the objectives of participation to and conclusion of negotiations, at the potential expense of more sustainable (i.e. long term) trade-related institution building.
- *Biased assistance*: clearly, some issues on the agenda in present-day international trade negotiations are more important for developing countries than others. Yet, if TCB programmes are mainly driven by bilateral donors, the risk exists that some TCB assistance might be steered towards areas that will not directly compromise the interest of the donors involved, although support in other areas might actually be more in the legitimate interest of the recipients.

³ The Commission Communication *Trade and Development : assisting developing countries to benefit from trade*. Com(2002) 513 final, adopted 18/09/2002

The sub-area Sanitary and phyto-sanitary measures (SPS) of TCB addresses concerns about food safety as well as animal and plant health standards. SPS rules aim to protect consumers and animal and plant health against known dangers and potential hazards by blocking imports that fail to comply with these safety regulations. WTO rules (the SPS Agreement) outline that SPS measures should be based on scientific evidence, and solely aim to protect consumers and animal and plant health. Developing countries often perceive these health and safety regulations as also constraining access to EU markets for protectionist purposes.

Capacity building programmes tackling SPS issues are therefore important to developing countries, as their exports will have to comply with SPS provisions applied by the EU to gain access to its market. As a result, in the years 2001-2002, the global share of TCB programmes addressing issues concerning standards (SPS, and technical barriers to trade –TBT) was 6.3 %. In value terms, 4.4 % of total TCB funds were committed for programmes addressing SPS/TBT issues in developing countries.

Total TCB programmes: main commitments over 2001-2002		
	US \$ million	% of total funds committed
Business support services and institutions	1.024	22.5
Trade finance	744	16.3
Trade promotion strategy and implementation	516	11.3
Singapore issues (trade facilitation, competition, investment)	500	11.0
Market analysis and development	437	8.4
Tariff reform	302	6.6
Regional Trade Agreements	220	4.8
TBT and SPS	186	4.4
Other	627	12.8
Source: WTO/OECD TRTA & CB Database (2003)		

1.2 Further justifications for the study

Additional justifications to undertake this evaluation are the “windows of opportunity”, or challenges, to contribute to further policy evolution and impact enhancement of TCB actions, which do require however, that the study meets the following 3 conditions:

- (1) *be pertinent*: by focussing the evaluation at the right governance level, its results may well contribute to policy evolution and/or have an operational impact;
- (2) *add value*: an opportunity to elicit, and respond to, the very diverse demands and interests of different stakeholders; and
- (3) *be feasible*: as a result of earlier TCB initiatives, changes in patterns of coordination, complementarity and/or coherence can actually be expected and can therefore be assessed, which requires however appropriate evaluation methods.

Be pertinent: the EU has engaged in multilateral and bilateral/regional trade agreements and negotiations with developing countries (including the WTO Doha Round, the negotiations and/or agreements with Mediterranean countries, South Africa, Mexico, Chile, Mercosur, the ACP countries and regions in the context of EPA negotiations, etc.). At the same time, practical conditions are changing: while traditional trade barriers (tariff and quotas) have been decreasing, meeting trade standards (including SPS requirements) has become increasingly

important for exporters in developing countries. Recognizing the difficulties that developing countries and regions may encounter in defining their trade strategy, as well as negotiating and implementing trade(-related) policy reform and liberalisation agreements, the EC and the MS have devised numerous TCB programmes to assist them in this process. It is thus very relevant to consider how EC and MS have ensured coordination and complementarity of these assistance programmes.

In assessing coordination and complementarity of TCB programmes, the evaluation study should focus on the following 6 relevant levels of governance:

- (1) Global level – e.g. WTO, UNCTAD, FAO, World Bank, DAC-OECD, Integrated Framework, JITAP (Joint Integrated Technical Assistance Programme), etc.;
- (2) European Union level – e.g. EP, Council, European Commission (DGs Trade, Agri, Dev, AidCo, Relex);
- (3) Member State level – e.g. relevant ministries and aid agencies;
- (4) Regional/sub-regional level: ACP, NEPAD, RECs and other (emerging) sub-regional institutions;
- (5) Partner country/national level: national institutions, NSA platforms, donor meetings;
- (6) In-country level – focusing on (government) agencies and platforms that coordinate programmes, e.g. regional/district government institutions, local platforms, community organisations.

Add value: both EC and MS are currently looking into appropriate ways to support the gradual integration of developing countries into the world economy, and thereby also give particular attention to trade rather than just aid. In this regard, numerous trade capacity and adjustment programmes are being designed. This TCB evaluation study should be able to provide lessons from experience in this area to development policy makers in EC and MS, as well as to their colleagues in partner countries. It should also help to raise the profile of systemic issues or problems on the side of partner countries which may result from trade liberalisation processes, including questions related to constraints in supply side capacity to meet the high quality standards (health, sanitary and technical) required to access developed countries' markets (as in the case of EU SPS measures).

Be feasible: various studies and evaluations were undertaken - by MS, EC, multilaterals - on TCB support and technical assistance for trade, including in the agricultural trade sector and regarding SPS measures. The novelty of *this* evaluation is to consider to which extent coordination and complementarity have been sought in the field of TCB and, where appropriate, have been achieved by the EU. Furthermore, the analysis of the case of SPS measures will allow to also look into coherence between TCB initiatives on the one hand, and MS+EU trade and development cooperation policies/initiatives towards developing countries on the other.

This requires however to carefully define the appropriate evaluation methods and to identify and explore other donor experiences in these areas (using for instance DAC-OEDC guidelines and databases, and the experience of JITAP/IF, AIDCO, other donors' evaluations) as well as locating the relevant data and (sources of) information.

1.3 Objectives

The objective of the evaluation of Coordination of Trade Capacity Building in partner countries is to provide the European Commission with an independent and reliable assessment of its assistance strategy and its coordination with MS in this area, as well as the evolution of this strategy within its wider political setting, both in the context of the Doha Round, the EPA

preparation processes, and the changing situation in the partner countries themselves. The evaluation should thus place TCB assistance in its policy and institutional context.

In particular, the evaluation should contribute to improved EC and Member States approaches and programmes that will better meet the needs of the partner countries and regions to strengthen their trade capacities, including in meeting SPS requirements. Indeed, with the increasing significance of trade liberalisation initiatives (at multilateral, regional, bilateral and national levels), coordination and complementarity in EU development and trade strategies and its support programmes become more crucial for the developing countries' ability to reap the benefits from their gradual integration into the regional and world economy and effectively pursue sustainable development.

In view of the crucial role of the agricultural sector (and exports) in the economies of most developing countries, actions in the field of SPS measures are proposed as a relevant case study to focus this evaluation of TCB.

The study is expected to show to what extent the EU and its Member States have dedicated efforts to promote coordination and complementarity of their TCB initiatives in developing countries, and how effective the efforts have been. Based on this evaluation, recommendations should be made how to improve coordination and complementarity of TCB programmes, including attention to fostering greater ownership among local (national and regional) stakeholders (state and non-state actors).

The outcomes of the study will contribute to and allow a joint learning process among the EU evaluation services -at a later stage also among the aid agencies and other institutions- and stakeholders in partner countries in matters of building up trade capacity.

2. The coverage of the evaluation

The main issue to be addressed is to what extent the rise in TCB activities and funding has been accompanied by closer coordination between donors and moves towards greater consistency between TCB and the recipients' overall development programmes. Particular attention will be granted to capacity building support by the EC and the MS to developing countries in the field of SPS measures. The coherence of the latter initiatives with broader policy objectives in the areas of EU+MS trade and development will also be considered.

Specific issues to be considered should include the following :

- How have EC and MS coordinated their TCB efforts amongst themselves, and with a multitude of ongoing international initiatives?
- How have TCB programmes been aligned with and effectively strengthened the overall development strategy of recipient countries and regions?
- How has complementarity been observed between EC and the MS in the overall area of TCB in certain countries/regions? Do the respective initiatives reinforce each other or is there duplication of efforts? Is there scope for increased rationalisation?
- Where TCB activities concern support to the preparation for, or participation to, trade negotiations between the recipient and the donor (either EC or MS), have any instruments/approaches been used to ensure that such support would fully reflect the strategic interests of the recipient country? If so, what approaches have been used?

- How consistent are EC and MS financed TCB programmes with the strategic interests and policies of the recipient countries? Did for example, the EC and the MS spend considerable attention and resources on strengthening trade capacities in strategic areas where enhanced capacity might be at odds with their own economic interests? How does the support to SPS fare in this respect?

Whenever possible, the questions on TCB in general will be complemented by case-specific answers regarding the field of SPS measures. In this respect, two additional points of interest are:

- To which extent have TCB activities in the field of SPS been coordinated, in particular with regard to support for their regional integration processes and to the access of their products to the EU market?
- The consistency between TCB approaches in SPS between the departments/agencies of trade, agriculture, development, in the case of the EU (DG Trade, DG Agriculture and DG Development, respectively) as well as the MS?

3. The structure and follow-through of the Evaluation

3.1 The progress of the evaluation will be followed closely by a Reference Group under the Chairmanship of the Evaluation Unit AidCo/H/6, consisting of representatives of the Evaluation Services for Development cooperation from Belgium, France, the UK, the Netherlands. Furthermore will participate representatives of EuropeAid Co-operation Office, the DGs for External Relations, Development, Trade, Budget, and Economic and Financial Affairs. The Reference Group constitutes the main interface between the evaluation team, and the Member States administration and the Commission's Services.

3.2 There will be four distinct phases to this evaluation: (a) setting up its structure; (b) collection of data; (c) analysis; (d) judgement on findings, leading to a set of conclusions and recommendations.

3.3 The study will draw on the contents of (i) all relevant documentation supplied by the Commission Services and the Member States, of which a preliminary, incomplete list is given in Annex 3, and (ii) documentation from other sources which the evaluators find relevant and useful.

3.4 The approach should include the following basic elements:

- identify, explain and hierarchise the **objectives** in terms of their intervention context and logic, their **relevance** to needs, and the intended **impact** of each;
- identify all recorded impacts including unintended impacts or deadweight/ substitution effects;
- assess **effectiveness** in terms of how far the intended results were achieved (including performance against indicators defined in the programmes). Furthermore, to the extent that the interventions were effective, their **efficiency** in terms of how far funding, personnel, regulatory, administrative, time and other resource considerations contributed to or hindered the achievement of results;
- consider the **sustainability** of TCB, that is an assessment of whether the results of the strategy can be maintained over time without sustained EU funding.

4. Evaluation Work Phases

The approach to this evaluation would consist of desk research to produce an overview of relevant TCB instruments, key issues, and regions. Regions and countries in Africa (e.g. ECOWAS, UEMOA, CEMAC, COMESA, SADC, EAC, IOC) could be considered as interesting cases, given the multitude of TCB initiatives and the increasing levels of trade cooperation in this region, as well as additional dimension of reciprocal trade negotiations with the EU. Relevant evaluations from TCB and similar initiatives with new member states of the EU can be drawn upon for a comparative perspective. Next, for in-depth evaluation one region and two countries in that region will be selected that are supported by TCB programmes of various donors and are involved in trade negotiations with those donors, such as the negotiations for Economic Partnership Agreements (EPAs).

The selection of a region and countries for in-depth evaluation will ensure that the countries selected are actively involved in trade negotiations with the EU; are actively involved in their regional integration processes; have been among the main recipients of TCB programmes in their region originating from a varied range of international donors, among which the EC/MS; and have a strong strategic interest in upgrading their institutional and infrastructural capacities regarding agricultural standards (SPS) in order to better utilise their current and future market access to the EU. The region selected will include the two countries selected; is involved in bi-regional trade negotiations with the EU; has been (increasingly) targeted by a number of TCB initiatives over the past few year; has been supported by a variety of donors, among which the EC/MS; and has (initiated) a strategic regional policy or coordination mechanism in the field of SPS.

The consultants are requested to design and elaborate a theoretical approach to the issues addressed in the evaluation which permits the development of an analytical framework that allows for a further specification of the evaluation questions; the approach chosen and the methodology proposed are to take into account the particular nature of this type of process-oriented evaluation. The answers to the following set of questions may be kept in mind when defining the evaluation methodology:

- What mix of methods for data/information collection is going to be used? Examples: review of secondary sources, documentation and/or literature; ethnographic studies; semi-structured interviews with key informants; case studies; field observation studies; surveys and/or measurements.
- Is the above mix considered adequate to obtain the data/information required? Why?
- What data/information processing techniques/procedures are to be used on each type of data/information? i.e. modelling; statistical analysis; lists/matrixes; group or individual interpretation.
- What verification methods will be used? Statistical evaluation; triangulation; feedback to stakeholders; theoretical generalisations. How convincing will these be in the eyes of the different audiences addressed?
- Are key informants chosen from the organisations directly involved in the process only, or will external stakeholders such as non-state actors – private enterprise, NGOs, user organisations – be consulted as well?
- Do the above choices ensure that findings follow logically from the data analysis and interpretations based on transparent assumptions and rationale?
- Do the above choices ensure that recommendations will be fair, unbiased by personal views and sufficiently detailed to be operationally applicable?

5. Management

5.1 Inception phase

Upon request, the consultant will submit a *Launch Note* to the Evaluation Unit AidCo/H/6. This will contain the consultant's understanding of the Terms of Reference, the proposed *general* approach to the evaluation; the proposed composition of the evaluation team (CVs) and a budget proposal. Once the team of consultants is selected, agreed amendments are made to the *Launch Note* and the latter is approved by the Evaluation Unit, the consultants will assemble relevant documentation on the issues to be addressed during the evaluation, and will then produce an *Inception Report*.

This *Inception Report* will present a well-founded theoretical approach towards the issues addressed by the evaluation, leading to an analytical framework that allows a further specification of the evaluation questions; it will define adequate sources of information; set criteria for assessing the responses to each of the questions addressed; present appropriate methods for information; set criteria for assessing the responses to each of the questions addressed; present appropriate methods for information and data collection, processing and analysis, and if foreseen, suggest locations for field studies and interviews. The *Inception Report* should also detail possible limitations of the type of analysis chosen. It will be submitted to the Evaluation Unit for distributed and discussion by the Steering Group, and subsequent approval by the Evaluation Unit.

The data and information to be collected for this evaluation should include:

- CSPs, NIPs and RIPs, PRSPs, trade capacity building and adjustment programmes, as well as their evaluation when available,
- European Commission (DG Trade, DG DEV) and MS papers, reports and communications relative to trade and development, TCB and SPS initiatives
- JITAP and Integrated Framework action plans and evaluations
- Review of TCB database and main TCB reports by relevant countries (DFID, etc.)
- DAC-OECD reports and guidelines on TCB, as well as relevant UNCTAD, World Bank, WTO, FAO documents on TCB and SPS
- interviews with key actors (e.g. on SPS: International Federation for Agricultural Producers, CTA, ENDA, DG DEV, AGR, TRADE, Regional and national organisations in DCs, NGOs, experts, etc.).

5.2 Desk study phase

A brief survey of the extensive literature (reports and evaluations) on TCB programmes (including on SPS measures), their rationale, and the main constraints faced by developing countries as a result of their trade policy agendas (reforms and negotiations) is required. The desk study will lead to an identification of the various types of support to TCB (such as short term vs. long term, negotiating capacity, analytical and strategic capacities, regulatory reform and institutional issues, adjustment measures, supply capacity constraints, etc.), a 'mapping' or inventory of these various TCB initiatives in the selected case countries and region (drawing e.g. on the OECD/WTO TRTA & CB Database). Furthermore, the consultant(s) will consider initiatives in the field of SPS as an illustrative case. In the latter field, the consultant(s) will in particular review the literature on: (i) the experience of some developing countries' producers in meeting SPS requirements, and (ii) the initiatives undertaken by the

EU to support farmers in developing countries in this process. This should allow focus on the coherence between the objectives of SPS measures, EU trade policy and its development policy.

Based on this review, the study will seek to identify: (a) the mechanisms in place for TCB initiatives coordination, (b) the broad elements of complementarity among the various TCB programmes by the EC and the MS, as well as other international initiatives, (c) the strategic coherence between trade and development policy at EU and MS level, and the TCB programmes set in place. The study will also identify the possible structures in place (formal and informal), and their efficiency, to coordinate and ensure the coherence of the various TCB initiatives, in particular those related to SPS measures.

Besides, the desk study will provide the consultants with a basis to re-assess the initial proposal and methods (questionnaires, etc) formulated in the *Inception Note* as well as to propose the countries and region for the field studies. The selection proposed will comply with the criteria for selection mentioned in section 4 above.

5.3 Field study phase

Following the satisfactory completion of the Desk Phase, the consultant(s) will proceed to the field missions. The consultant(s) will present the findings of the fieldwork through a summary *Field Report* to the Delegation + MS representations concerned before travelling onward. These reports will be shared with the pertinent working groups of the 3C Task Force, for their information.

5.4 Reporting phase

The consultant(s) will deliver the Draft Evaluation Report to the Evaluation Unit no later than 15 June 2005. Upon acceptance by the Evaluation Unit, the report will be circulated for comments and discussions with the specific Reference Group. The Evaluation Unit will organise a meeting of the RG to discuss the draft report, in the presence of the consultant(s).

On the basis of comments received from the Evaluation Unit and the RG members, the consultant(s) will make final amendments and submit the Final Evaluation Report. In consultation with the RG and the 3C Task Force, the Evaluation Unit will decide on the way to proceed with the dissemination of the report.

6 Quality assessment

Annex 4 sets out the standardised quality assessment grid for final evaluation reports, a summary of which will be published alongside the final report.

7 Consultant(s) profile

The lead consultant should have a post-graduate degree in economics and/or development studies, at least 10 years of experience in trade, capacity building and development issues, as well as relevant experience in EU development programmes in the fields of trade and SPS. Besides, the lead consultant will have or include in his/her team at a senior level, extensive experience with respect to the analysis and evaluation of policy-related multi-stakeholder processes. He or she is expected to be able to form and lead an interdisciplinary team to match the specific specialist fields required by the evaluation.

Consultants should also possess an appropriate training and documented experience in the management of evaluations, as well as evaluation methods in field situations. The team should comprise consultants familiar with the main region to be covered, with at least one key team member having a substantial experience in the countries/region to be selected.

The Evaluation Unit recommends strongly that consultants from beneficiary countries be employed (particularly, but not only, during the Field Phase).

Innovativeness regarding the design of the theoretical approach and methodology for the evaluation is considered an asset. Besides the interaction with the Evaluation Unit, the consultants will be required on a regular basis to interact with the RG for this evaluation; and to promote learning with respect to the outcomes of the evaluation, by defining specific inputs into the 3C learning platform at regular intervals in their *Launch Note*.

8. Dissemination and Follow-Up

After approval of the final report, the Evaluation Unit will proceed with the Dissemination of the results (conclusions and recommendations) contained within this Report. The Unit will: (i) make a formal *Judgement on the Quality* of the evaluation (see section 6 and Annex 4); (ii) draft a 2-page *Evaluation Summary*; (iii) agree with the Reference Group and the Task Force for the 3Cs initiative on the distribution of the report.

9. Timing and Budget

9.1 Calendar

The evaluation will start in September 2004 with completion of the Final Report scheduled for June 2005. The following is the *indicative* schedule:

<i>Evaluation's Phases and Stages</i>	<i>Notes and Reports</i>	<i>Dates</i>	<i>Meetings</i>	<i>Dates</i>
Desk Phase		Starts Sept 04		
Starting Stage	Draft ToR	7-8 Sep	Prep Meeting Ref Group	20-21 Sept (Agreement of launch note)
	Launch Note	End Sept	Reference Group meeting	Mid-Oct (agreement of Launch note)
	Inception Note	Mid Oct	Reference Group meeting	End Oct
Structuring Stage				
Desk Study	Draft Desk Report	Early Jan 05	Reference Group Meeting	Mid-Jan
	Final Desk Report	End Jan 05		Early Feb (agreement of desk report)
Field Phase (exact timing to be discussed during structuring phase)		Missions from mid Feb- mid April 05		
	Draft Field Phase Report (from all missions)	End April 05	Reference Group Meeting	Early May 05
	Final Field Phase Report	mid-May		End-May (agreement of field phase report)
Final Report-Writing Phase	Draft Final Report	mid June	Reference Group Meeting	End June
	Final Report	<i>mid-July</i>		

9.2 Cost of the Evaluation and Payment Modalities

The cost of the evaluation will be established after discussion of the consultant's initial proposal in the launch note.

Payments arrangements will be as follows: 30% at the acceptance of Final Desk Phase Report; 50% at acceptance of Draft Final Report; 20% at acceptance of Final report.

The invoices will be sent to the Commission only after the Evaluation Unit confirms in writing the acceptance of the reports.

Annex 1: Overview of funding for Trade Capacity Building and for SPS

EU funded TCB programmes to ACP regions *			
<u>Beneficiary</u>	<u>TCB fund/source</u>	<u>EU trade-related funding in Euro million</u>	<u>EU trade-related funding as % of total (EU) funding</u>
Central Africa	RIP 2002-2007	14-16	25-30 %
West Africa	RIP 2002-2007	118	50 %
Eastern and Southern Africa and Indian Ocean	RIP 2002-2007	100-120	45-55 %
Southern Africa (SADC)	RIP 2002-2007	35-45	35-45 %
Pacific	RIP 2002-2007	9	31 %
Caribbean	RIP 2002-2007	43-51	75-90 %

Besides the ACP, other regions have also experienced increased EC attention where TCB programming is concerned:

EU funded TCB programmes to non-ACP regions *			
<u>Beneficiary</u>	<u>TCB fund/source</u>	<u>EU trade-related funding in Euro million</u>	<u>EU trade-related funding as % of total (EU) funding</u>
Andean Community	RIP 2002-2006	0,7	5 %
Central America	RIP 2002-2006	44,7	60 %
Mediterranean	RIP 2002-2004	10	11 %

*In some Regional Indicative Programmes (RIPs), trade-related capacity building support is included in allocations that serve a wider purpose; here only RIPs that reserve funds explicitly for support to regional integration and/or trade-related capacity building are included.

However, apart from the EC, EU MS themselves also provide substantial support in the area of TCB, either through direct bilateral programmes, or via multilateral initiatives.

TCB commitments in 2002 in US\$ million – main EU donors						
Main donors	Trade Policy and Regulations ^a		Trade Development ^b		Contributions to Multilateral TRTA/CB providers (WTO, IF, JITAP and ITC)	
	US\$ million	%	US\$ million	%	US\$ million	%
European Commission	292	41%	419	59%	0.8	0%
France	5.3	5%	112.8	93%	1.6	1%
Germany	9.0	12%	65.5	84%	1.2	2%
Netherlands	2.6	10%	22.4	82%	2.3	8%
United Kingdom	18.3	33%	35.2	63%	2.7	5%

Source: WTO/OECD TRTA & CB Database (2003)

a Concerns programmes in areas such as trade education and training, regional integration, agriculture, services, competition policy, investment rules, SPS, TBTs, TRIPs, customs procedures and trade negotiations.

b Concerns programmes in areas such as business support services, public-private networks, trade finance, market analysis and trade promotion.

Total TCB programmes: main commitments over 2001-2002		
	US \$ million	% of total funds committed
Business support services and institutions	1.024	22.5
Trade finance	744	16.3
Trade promotion strategy and implementation	516	11.3
Singapore issues (trade facilitation, competition, investment)	500	11.0
Market analysis and development	437	8.4
Tariff reform	302	6.6
Regional Trade Agreements	220	4.8
TBT and SPS	186	4.4
Other	627	12.8
Source: WTO/OECD TRTA & CB Database (2003)		

ANNEX 2

Coordination, complementarity and coherence: origin and operational definitions

The Community's competence in the field of development co-operation was established in law by adoption of the Maastricht Treaty in 1992. The Treaty created a constitutional basis for development co-operation policies, and formalises the existence of a European development policy functioning in liaison with those of Member States, while recognising their interdependence. It revolves in essence around aspects of the so-called "3Cs": *co-ordination, complementarity and coherence*; which are also inter-related. However, the Treaty is not always clear or free from ambiguities. Below, a summary of the relevant provisions are given.

Article C of the Treaty on European Union (Maastricht Treaty) sets out the general parameters for the Union's external action. It stipulates that "the Union shall in particular ensure the **consistency** of its external activities as a whole in the context of its external relations, security, economic and development policies."⁴ Further, it requires the Council and the Commission to be responsible for ensuring such **consistency**. These provisions were reiterated in the Amsterdam and Nice Treaties under Article 3.

Article 130v of the Maastricht Treaty, which was taken up in the subsequent Amsterdam and Nice Treaties as Article 178, further requires the Union to "take account of the objectives referred to in Article 130u [Article 177 in both the Nice and Amsterdam Treaties] in the policies that it implements which are likely to affect developing countries". Article 130u, in turn, states that the EU development policy, which shall be **complementary** to those of the MS, shall foster the sustainable social and economic development for, the integration into the world economy of, and alleviation of poverty in developing countries.

Article 130x of the Maastricht (Article 180 of the Amsterdam and Nice Treaties) demands that "The Community and the Member States shall **coordinate** their policies on development cooperation and shall consult each other on their aid programmes, including in international organisations and during international conferences." Member States shall contribute if necessary to the implementation of Community aid programmes.⁵ Article 130x adds that the Commission may take any useful initiatives to promote this coordination.

In the context of the Amsterdam and Nice Treaties, humanitarian action is considered as one aspect of the Union's common foreign and security policy (Article 17 (2)). Provisions under this heading demand that the MS "...support the Union's external and security policy actively and unreservedly in a spirit of loyalty and mutual solidarity. The Member States shall work together to enhance and develop their mutual political solidarity. They shall refrain from any action which is contrary to the interests of the Union or likely to impair its effectiveness as a cohesive force in international relations"(Article 11).

Co-ordination

Co-ordination has been defined here, as 'activities of two or more development partners that are intended to mobilise aid resources or to harmonise their policies, programmes, procedures and practices so as to maximise the development effectiveness of aid resources'. With regard to co-ordination several levels (international, regional, national, sub-national, sectoral) can be distinguished, as well as differences in content (policies/principles/ priorities, procedures, practices) as in intensity (consultation, co-operation, collaboration). Co-ordination is seen as necessary, because a lack of co-ordination could lead to: a donor driven agenda, excessive demands on scarce management capacities, inconsistencies of approach, etc

⁴ Treaty on European Union, Official Journal of the European Communities C191, 29 July 1992 http://europa.eu.int/eur-lex/en/treaties/dat/EU_treaty.html

⁵ See Treaty on European Union, Official Journal C 191, 29 July 1992, and Consolidated Versions of the Treaty on European Union and of the Treaty establishing the European Community, Official Journal C 325/1 24 December 2002

Complementarity

Complementarity is intended to ensure that Community development policy ‘shall be complementary to the policies pursued by the Member States’. This indicates that development co-operation is a shared competence between the Community and the Member States which can be jointly exercised. It is confirmed that the Community has a specific, but not exclusive competence in the field of development co-operation. In this sense complementarity differs from the concept of ‘subsidiarity’, which refers to a distribution of competence and decision-making at the most appropriate level. In the case of complementarity both the Commission and the Member States can have competences and tasks at the same level.

The notion of complementarity poses the question of its direction, in other words, is it up to the Community to complement the activities of Member States, or the other way around? Another issue is the equal partnership between the Commission and Member States, and reciprocal participation in the elaboration of their respective policies.

Coherence

Coherence, probably the most debated of the 3Cs, is defined here as: ‘The non-occurrence of effects of policy that are contrary to the intended results or aims of policy.’

Much depends on the perspective of the viewer. For example:

- A narrow definition would be that objectives of policy in a particular field may not be undermined or obstructed by actions or activities in this same field.
- A wide definition would be that objectives of policy in a particular field may not be undermined or obstructed by actions or activities of government in that field or in other policy fields.

With regard to policy coherence this means that it can focus on one terrain or field of policy only, or try to make links with other fields, domains or policies. Along these lines, we distinguish three types of “coherence”, as a focus for evaluation:

- *Coherence I*: between different elements of European development policy itself;
- *Coherence II*: between different sets or parts of European foreign policy and development co-operation policy; and
- *Coherence III*: between development co-operation policies and policies in other fields, which can in theory, be all parts of European policy making.

An important aspect is the distinction between intended and unintended incoherence in policy-making. This stresses that there is no hierarchy in policies and that given a certain set of goals and weighing them against a set of goals in another policy field, incoherence can also be deliberate.

Final Note by EuropeAid/H/6:

The Treaty of Maastricht, as well as the consolidated EC Treaty, refers to consistency of its external activities: “**consistency** of its external activities as a whole in the context of its external relations, security, economic and development policies” (para 2 above). As it appears, this was later on supposed to mean ‘coherence’, although it is not. Therefore, *strictly speaking, the notion of ‘coherence’ cannot be associated with the EC Treaties, while for ‘coordination’ and ‘complementarity’ this is correct.*

Likewise, the consolidated EC Treaty refers in Art 181a (Title 21 on economic, financial and technical cooperation with third countries) also to consistency and not to coherence : “..Such measures shall be complementary to those carried out by the Member States and **consistent** with the development policy of the Community.” (Note PvS: “consistent with” meaning “in line with”, or “compatible with”)

The only conclusion one can draw from the above, is that we can indeed speak about complementarity between policies/actions from Community and MS by coordinating these; on the other hand, consistency refers to other policy fields and the development policy of the Community.

Annex 3: Key documentation for the evaluation

(i) General

- * Evaluation of Trade-Related Assistance by the EC in Third Countries - 05/2004 - ref. 951654
- * COM (2000) 212: – Communication from the Commission to the Council and the European Parliament: *The European Community's Development Policy*
- * DG TRADE website on bilateral and regional trade, including ACP
- * Websites of other major bodies with a specific TRA aspect – OECD, DFID, WTO, UNCTAD, ITC, World Bank
- * Cotonou and Lomé Agreements and Framework regulations for ALA, TACIS, MEDA and CARDS (previously PHARE)
- * Economic Partnership Agreements (Cotonou Convention)
- * Ministerial declaration of Doha
- * Joint Integrated Technical Assistance Programme (JITAP)
- * Country Strategy and Regional Strategy papers and Indicative programmes (see website of DG DEV, Inter-service Quality Support Group)
- * COM (2002) 513 final – Communication from the Commission to the Council and the European Parliament: *Trade and Development: assisting developing countries to benefit from trade*
- * World Bank: *Development, Trade and the WTO – A Handbook*
- * WTO Doha Development Agenda Trade-Related Technical Assistance and Capacity Building Database (DDADB)
- * *Leveraging Trade for Development*, World Bank Group Agenda, Dec 2001
- * DG TRADE website (trade and development) <http://europa.eu.int/comm/trade/miti/devel>
- * Documents of the AIDCO Thematic Group on Trade and Development: <http://forum.europa.eu.int/Public/irc/europeaid/Home>
- * *Train for Trade* – UNCTAD, 2000
- * OECD-DAC: *DAC Guidelines on Strengthening Trade Capacity for Development, 2001*
- * OECD-DAC: *Trading Competitively: A study of trade capacity-building in Sub-Saharan Africa*
- * *L'Assistance Technique au Commerce de la CE dans les Pays Tiers*”, internal Commission document, 2001
- * Documents of the Inter-service Task Force “Trade and Development” (to be supplied)
- * *Traitement des questions commerciales dans les délégations* – DG TRADE Action Plan 2001
- * *UNEP-UNCTAD Capacity Building Task Force on Trade, Environment and Development* – papers presented at Brussels seminar on 14 October 2002

(ii) Region-specific

- * Evaluation of Caribbean Regional Trade programmes – 7th and 8th EDF
- * Audit report on ACP-EU Trade Development Project 7-ACP-RPR-335, 2001
- * Evaluation report on the Transitional Phase of 7-ACP-RPR-335, January 2001
- * Financing Agreements, Preparatory Documents and Evaluations – details to be provided by AIDCO
- * Evaluation of the Cross-Border Initiative (CBI) regional economic integration programme in Southern and Eastern Africa – 3/2000- ref 951531
- * Evaluation of the EC Support to MERCOSUR - 5/2004 - ref. 951650

(others – to be supplied)

Annex 4 Quality assessment grid for evaluation report on Coordination for Trade Capacity Building

Concerning these criteria, the evaluation report is:	Unacceptable	Poor	Good	Very good	Excellent
1. Meeting needs: Does the evaluation adequately address the information needs of the commissioning body and fit the terms of reference?					
2. Relevant scope: Is the rationale of the policy examined and its set of outputs, results and outcomes/impacts examined fully, including both intended and unexpected policy interactions and consequences?					
3. Defensible design: Is the evaluation design appropriate and adequate to ensure that the full set of findings, along with methodological limitations, is made accessible for answering the main evaluation questions?					
4. Reliable data: To what extent are the primary and secondary data selected adequate. Are they sufficiently reliable for their intended use?					
5. Sound analysis: Is the quantitative and qualitative information appropriately and systematically analysed according to the state of the art so that evaluation questions are answered in a valid way?					
6. Credible findings: Do findings follow logically from, and are they justified by, the data analysis and interpretations based on carefully described assumptions and rationale?					
7. Validity of the conclusions: Does the report provide clear conclusions? Are conclusions based on credible findings?					
8. Usefulness of the recommendations: Are recommendations fair, unbiased by personal or stakeholders' views, and sufficiently detailed to be operationally applicable?					
9. Clearly reported: Does the report clearly describe the policy being evaluated, including its context and purpose, together with the procedures and findings of the evaluation, so that information provided can easily be understood?					
Taking into account the contextual constraints on the evaluation, the overall quality rating of the report is considered					

Annex 5: Outline Structure for the Reports

Outline Structure of the First Phase Report

Part 1: Reconstruction of the hierarchy, logic, related assumptions and intended impacts of the *objectives of EU (EC+MS) interventions* in TCB, for the different time periods considered;

Part 2: Presentation of the *key evaluation questions, judgement criteria, and indicators*.

Part 3: *Analysis of the information and data* available at the end of the first phase and indications of any missing data, so as to inform the work plan and choice of countries for the field phase.

Part 4: Proposed *field phase methodology* (methods of enquiry, data collection and sampling, etc. vis-à-vis the information sought) with concrete proposal and examples.

Part 5: Proposed *analysis methodology* based on sound and recognised evaluation methods.

Outline Structure of the Final Report

Length: The Final Report should not be longer than 50 pages (including the executive summary). Additional information on overall context, programme or aspects of methodology and analysis should be confined to annexes.

1. Executive Summary

Length: 5 pages maximum

This executive summary must produce the following information:

1.1 – Purpose of the evaluation;

1.2 – Background to the evaluation;

1.3 – Methodology;

1.4 – Analysis and main findings for each Evaluative Question; short overall assessment;

1.5 – Main conclusions;*

1.6 – Main recommendations.*

** Conclusions and recommendations must be ranked and prioritised according to their relevance to the evaluation and their importance, and they should also be cross-referenced back to the key findings. Length-wise, the parts dedicated to the conclusions and recommendations should represent about 40 % of the executive summary*

2. Introduction

Length: 5 pages

2.1. Synthesis of Commission and MS Strategies and Programmes: their objectives, how they are prioritised and ordered, their logic both *internally* (ie. The existence – or not – of a logical link between the EC + MS policies and instruments and expected impacts) and *externally* (ie. within the context of the needs of partner countries, government policies, and the programmes of other donors); the implicit assumptions and risk factors; the intended impacts of the interventions.*

2.2. Context: very brief analysis of the political, economic, social and cultural dimensions affecting trade development in third countries.

2.3. Purpose of the Evaluation: presentation of the evaluative questions and of how they will permit to assess the country strategy and programme.

3. Methodology

Length: 10 pages

In order to answer the evaluative questions a number of methodological instruments must be presented by the consultants:

3.1. Judgement Criteria: which should have been selected (for each Evaluation Question) and agreed upon by the reference group;

3.2. Indicators: attached to each judgement criterion. This in turn will determine the scope and methods of data collection;

3.3. Data and Information Collection: can consist of literature review, interviews, questionnaires, case studies, etc. The consultants will indicate any limitations and will describe how the data should be cross-checked to validate the analysis.

3.4. Methods of Analysis: of the data and information obtained for each Evaluation Question (again indicating any eventual limitations);

3.5. Methods of Judgement

4. Main Findings and Analysis

Length: 20 to 30 pages

4.1. Answers to each Evaluation Question, indicating findings and conclusions for each;

4.2. Overall assessment of the Strategy of EC and MS. This assessment should cover: Relevance to needs and overall context, including development priorities and coordination with other donors;

Actual Impacts: established, as well as unforeseen impacts or deadweight/substitution effects, and compare to intended impacts;

Effectiveness in terms of how far the intended results were achieved:

Efficiency: in terms of how far funding, personnel, regulatory, administrative, time and other resource considerations contributed or hindered the achievement of results;

Sustainability: whether the results can be maintained over time without EC or MS funding or other external support.

5. A Full Set of Conclusions and Recommendations

Length: 10 pages

A Full set of Conclusions* and Recommendations* (i) for each evaluation question; (ii) as an overall judgement of the strategy vis a vis the country needs.

**All conclusions should be cross-referenced back by paragraph to the appropriate findings.*

Recommendations must be ranked and prioritised according to their relevance and importance to the purpose of the evaluation (also they shall be cross-referenced back by paragraph to the appropriate conclusions).

Annex 2 - List of Persons met

Contents:

1.	HEADQUARTERS	1
2.	ETHIOPIA	2
3.	MADAGASCAR.....	4
4.	GENEVA	5

1. Headquarters

BARTON Tamsyn	DFID, Trade And Development, International Trade Department
BOSUENER Henning	European Commission - AIDCO, East & Southern Africa
DE CROMBRUGGHE Dominique	Foreign Trade And Development Cooperation of the Kingdom of Belgium, Federal Public Service Foreign Affairs
DIHM Martin	European Commission - DG TRADE, Economic Partnership Agreements
DUARTE DE CARVALHO Joao	European Commission - DG DEV, Country Officer Ethiopia, Eritrea
HINDERICK DE THEULEGOED Robert	European Commission - AIDCO, Desk Officer Ethiopia
JOURCIN Eric	French Ministry of Economy, Finance and Industry, DGTPE
KENNES Walter	European Commission - DG DEV, Development policy, coherence and forward studies, Policy Desk Officer
KUSTER Margriet	Netherlands Miniseterie Van Buitelandse Zaken, Sustainable Economic Development Department
LEEMANS Tom	European Commission - AIDCO, Business, trade and regional integration, Programme Officer
MOULIN Jean	Foreign Trade And Development Cooperation of the Kingdom of Belgium, General Directorate for Development Cooperation

MOUT Jan Pieter	European Commission - DG TRADE, Co-ordination of WTO, OECD, Trade Related Assistance; GATT; 133 Committee.
NICOLAJ Andrea	European Commission - DG TRADE, Co-ordination of WTO, OECD, Trade Related Assistance; GATT; 133 Committee.
NOËL Marcel	European Commission - AIDCO, Country Coordinator Madagascar
RENIER Françoise	Foreign Trade And Development Cooperation of the Kingdom of Belgium, General Directorate for Development Cooperation
REY Bernard	European Commission - AIDCO
SCANNELL Michael	European Commission - DG SANCO, Head of Unit International Food, Veterinary And Phytosanitary questions and Multi-Lateral International Relations
SCHULTZ Jens	European Commission - DG DEV, EPAs Coordination
SCHWAIGER Ingrid	European Commission - AIDCO, Business, trade and regional integration
STAES Véronique	Foreign Trade And Development Cooperation of the Kingdom of Belgium, Federal Public Service Foreign Affairs
VAN DEN HEUVEL Peter	European Commission - DG RELEX
VAN STEEKELENBURG Pieter	European Commission - AIDCO, Evaluation Unit
VERMAAT Bert	Netherlands Miniseterie Van Buitelandse Zaken, Sustainable Economic Development Department

2. Ethiopia

ABEBE Fekkadu	Ethiopian Ministry of Trade and Industry, Head of Planning and Monitoring Department
ABEBE Hailemeskel	Addis Ababa Chamber of Commerce, Secretary General
ABERA Ameya	Ethiopian Department for Export Promotion, Team Leader Market Research and Product Development
ABERA Gorjessa Tirfe	Ethiopian Department for Export Promotion, Head of Department
ABI Woldemeskel	Ethiopian Ministry of Trade and Industry, Commissioner, Ethiopian Investment Commission

ASSEFA Henok	Ethiopian Chamber of Commerce, Assistant Secretary General
ASSNAKU Hassen	Ethiopian Department for Export Promotion, Deputy Head
AYALEW Geremew	Ethiopian Ministry of Trade and Industry, Head of Foreign Trade Relations Dpt
BODE Eckart, Dr.	GTZ in Ethiopia
BONGER Tenkir	Addis Ababa Chamber of Commerce, Private Sector Development HUB
CARSTENSEN Nico	German Embassy in Ethiopia, Third Secretary, Economic Affairs
CORBIA Francesco	Italian Co-operation in Ethiopia, Expert for the Programme aid in support of industrial development
CORNELIO Bruno	USAID, Private Sector Advisor
DE STOOP Camille	Belgian Embassy in Ethiopia, Development
DERESSA Fuffe	Quality and Standards Authority of Ethiopia, Director
DROBNIAK Michel	Embassy of France in Ethiopia, Economic Department
DUARTE DE CARVALHO Joao	European Commission, Desk Officer Ethiopia
FEKADE Yared, Dr.	Ethio-German Micro&Small Dvpt Project Manager
GARSHAW Workneh	Quality and Standards Authority of Ethiopia, Quality Manager
GASHAW Gebeyehy	UNIDO, National Programme Coordinator, Integrated Programme for Ethiopia
HABTAMU Tadesse	Ethiopian Ministry of Trade and Industry, Head of WTO Affairs Department
HEEREN Joris	Delegation of the European Commission to Ethiopia, Second Secretary (Economic Advisor)
JIN Kimiaki	Japanese International Cooperation Agency, Deputy Resident Representative Ethiopia
KASS Oskar	UNDP, Economist Strategic Policy and Advocacy Unit
KYEI Alexander	International Monetary Fund, Resident Representative in Ethiopia
MESAY Girma	Quality and Standards Authority of Ethiopia, Director General
NEBELUNG Michael, Dr.	GTZ in Ethiopia, Senior Advisor
SENATORI Andrea	Italian Co-operation in Ethiopia, Director

SISAY Abebe	Ethiopian Customs Authority, Manager Administration and Finance
TEFERI Asfaw	Addis Ababa Chamber of Commerce, Head Relations and Media Dpt
TESHAGER Asfaw	Netherlands Embassy in Ethiopia, Policy and Commercial Officer

3. Madagascar

BERNARD Alain-Pierre	APB CONSULTING, Partner
BIJON Jean-François	French Economic Mission to Antananarivo, Chief
BOIDIN Jean-Claude	Delegation of the European Commission to Madagascar, Head of Delegation
BOTOMAZAVA Michel	UNDP in Madagascar, Programme Administrator
CASTAING Denis	Agence Française de Développement Madagascar, Director
De GROOT Berent	Delegation of the European Commission to Madagascar, Agriculture and Rural Development
DONALDSON Brian	Ambassador of the United Kingdom to Madagascar
FABEMANANJARA Fidele	USAID in Madagascar
FRANÇOIS Jean-Luc	French Service for Cooperation and Culture Action in Madagascar, Counsellor for Cooperation, Rural Development, Environment, Infrastructures
HAYE Emmanuel	Agence Française de Développement, Madagascar
HYNDERICK Robert	European Commission, Desk Officer Madagascar
LECLEF Jean J.	Decentralised Management Unit of the Centre for the Development of Enterprise at Madagascar
LORENZ Sönke	German Embassy to Madagascar
MEDORI Patrick	French Service for Cooperation and Culture Action in Madagascar, Attaché for Economic and Institutional Development
Mr. LEONNEL	Malagasy Ministry of Industrialisation, Trade and Private Sector Development
NOEL Marcel	European Commission, DG AIDCO
RABESON Elena	World Bank in Madagascar
RABIBISOA Marius	Group of the Customs Commissioners, Madagascar
RAJAONARIKNANANA Tahiriniaina	CAPE (Comité d'Appui au Pilotage de la relance Economique), Economist & Financial consultant

RAKOTOARISOA Henri	Malagasy Ministry of Industrialisation, Trade and Private Sector Development, General Director for Private Sector
RAKOTOMALATA Dominique	Friedrich Ebert Stiftung in Madagascar
RAKOTONDRAHOVA Simon	Chamber of Commerce of Antananarivo, President
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Annex 4 - Definition of Trade Capacity Building

A common definition of Trade-related Technical Assistance/Capacity Building (TRTA/CB) - known as the WTO/OECD/EC definition - is adopted by most donors providing assistance for the integration of their partner countries into the Multilateral Trading System (MTS). It is accompanied by a typology based on the DAC Credit Reporting System (CRS) codes¹.

The definition is the following:

An activity should be classified as trade-related technical assistance/trade capacity building if it is intended to enhance the ability of the recipient country to:

- (a) formulate and implement a trade development strategy and create an enabling environment for increasing the volume and value-added of exports, diversifying export products and markets and increasing foreign investment to generate jobs and trade; **or**
- (b) stimulate trade by domestic firms and encourage investment in trade-oriented industries; **or**
- (c) participate in and benefit from the institutions, negotiations and processes that shape national trade policy and the rules and practices of international commerce.

In addition, the activity should fulfil the following criteria for eligibility:

- a) trade-related technical assistance/capacity building is explicitly promoted in activity documentation; **and**
- b) the activity contains specific measures to develop trade policy and regulations, enhance the ability of enterprises to participate in international trade, or increase national capacity to participate in the multilateral trading system.

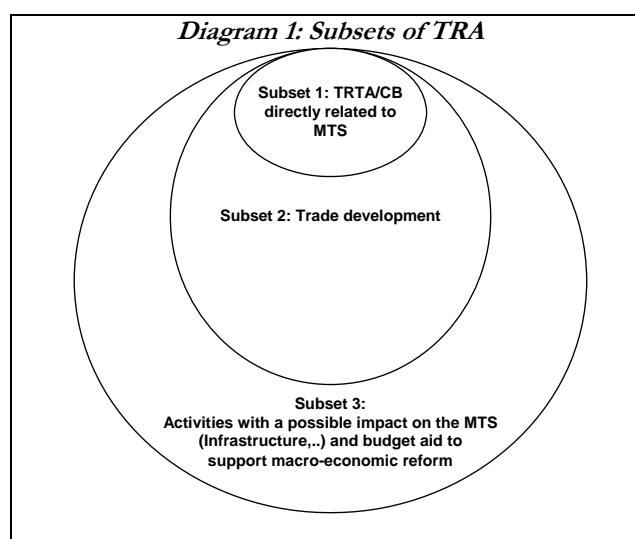
The WTO/OECD/EC definition is associated with a typology that groups interventions in different clusters corresponding to the domains subject to TRTA/CB. These fall into two broad categories corresponding respectively to the subsets 1 and 2 of TRTA/CB activities (see diagram 1). The first subset covers assistance to trade policy and regulations. It includes measures to help countries adapt their policies and institutions to the processes of rules-based liberalisation under the multilateral trading system, and in particular to accede to, implement and (as applicable) negotiate the various WTO and other multilateral trade agreements. The second subset covers trade development (for example through

¹ The list of the CRS Codes for TRTA/CB Categories is provided in the table at the end of this annex. The WTO internet site <http://tcbdb.wto.org> describes and gives examples of each TRA/TRTA/CB category and provides links to some of the work of the DAC. The website also contains a useful terminology database of 8 600 trade terms at <http://wtoterm.wto.org>.

export promotion, provision of business support services, etc.) which helps countries reap the economic benefits of liberalisation.

A set of tightly-defined terminologies is used to identify trade-related assistance (TRA) interventions and a tentative clarification is accordingly proposed.

Trade-related Assistance (TRA) is the broadest concept and encompasses the three subsets shown in diagram 1. As one moves from subset 1 to the periphery, the relationship with the MTS evolves from a direct to an indirect one. The third subset includes activities that are not directly trade-related but have an impact on trade performance such as infrastructure, support to education, etc. This third subset would also include budgetary aid in support of global macro-economic policy and structural reforms. The general TRA terminology used by the European Commission includes provision of equipment and investment funding which are not covered by the TRTA/CB concept. The TRTA/CB concerns technical assistance exclusively. Trade Capacity Building (TCB) refers to the technical assistance provided under subsets 1 and 2.



The joint WTO/OECD Trade Capacity Building Database (TCBDB) has been designed to monitor the progress of the Doha Development Agenda (DDA). Since 2001 it has recorded the TCB activities, i.e. activities corresponding to subsets 1 and 2, of more than 40 bilateral donors and bilateral agencies. It is hosted by the WTO at <http://tcbdb.wto.org>.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
331		TRADE POLICY AND REGULATIONS	
	33111	Trade mainstreaming in PRSPs/ development plans	Awareness raising; strengthening trade policy process; integrating trade in development and poverty reduction strategies.
	33112	Technical barriers to trade (TBT) and sanitary and phytosanitary measures (SPS)	Technical regulations and product standards, (for example protection of human health or safety, or plant life and health, or the environment).
	33120	Trade facilitation	Simplification and harmonisation of international trade procedures (e.g. customs or licensing procedures, transport formalities, payments, insurance); support to customs departments.
	33121	Customs valuation	Determination of the customs value of imported goods; elimination of arbitrary or fictitious customs values.
	33122	Tariff reforms	Development of simple, transparent and low uniform tariff regimes that minimize discrimination between production for domestic or export markets, and between purchases of domestic and foreign goods.
	33130	Regional trade agreements (RTAs)	Support to regional trade arrangements (e.g. SADC, ASEAN, FTAA, ACP/EU); elaboration of rules of origin and introduction of special and differential treatment in RTAs.
	33141	Accession	Identification of changes to laws, regulations and procedures necessary to complete negotiations on the terms of WTO membership; WTO awareness.
	33142	Dispute settlement	Improved understanding of WTO rights and obligations; access to legal advisory services.
	33143	Trade-related intellectual property rights (TRIPS)	Negotiations, and preparation of laws and regulations, on the protection and enforcement of copyright, trademarks, patents, industrial design, trade secrets; prevention of their abuse; strengthening of intellectual property offices.
	33144	Agriculture	Implementation of the Agreement on Agriculture. Negotiations on liberalisation in agricultural markets; impact analysis.
	33145	Services	Implementation of the Agreements on GATS. Negotiations on international trade in services; identification of markets; inventory of issues affecting trade in services.
	33146	Tariff negotiations – non-agricultural market access	Implementation of the Agreement on contingent trade remedies. Negotiations on the reduction or elimination of tariffs, tariff peaks and tariff escalation on non-agricultural products.
	33147	Rules	Negotiations and preparation of laws and regulations on anti-dumping, subsidies, countervailing measures and safeguards; clarification and improvement of disciplines on unfair trade practices; support to investigating authorities.

DAC 5 CODE	CRS CODE	DESCRIPTION	Clarifications / Additional notes on coverage
	33148	Training in trade negotiation techniques	Specialised and customised programmes to train trade negotiators.
	33151	Trade and environment	Capacity building on trade and environment, for example by increasing national policy coherence between trade and environment agencies.
	33152	Trade and competition	Support for progressive reinforcement of competition institutions, strengthening antitrust laws and eliminating local monopolies.
	33153	Trade and investment	Implications of closer multilateral co-operation in the area of trade and investment for development.
	33154	Transparency and government procurement	Identification of negotiating options for transparency in government procurement; preparation of draft legislation; strengthening of government procurement agencies.
	33181	Trade education/training	Human resources development in trade not included under any of the above codes. Includes university programmes in trade.
TRADE DEVELOPMENT			
	25011	Business support services and institutions	Support to trade and business associations, chambers of commerce; legal and regulatory reform aimed at improving business and investment climate; private sector institution capacity building and advice.
	25012	Public-private sector networking	Tools and mechanisms for improved dialogue and resource sharing between public and private sector (and within the private sector) at the national, regional and global levels.
	25013	E-commerce	Promotion of information communication technologies for enhancing trade; training and provision of software and hardware to improve e-commerce capability.
	240xx	Trade finance	Access to trade finance; reform of financial systems, banking and securities markets to facilitate trade; laws and regulations that protect and promote trade-related investment.
	311xx 312xx 313xx 321xx 322xx 33210	Trade promotion strategy and implementation	Development of a national sector-level trade strategy; workforce development in export industries; implementation of sector-specific and strategies in agriculture, forestry, fishing, industry, mining and tourism, including "fair trade programmes".
	311xx 312xx 313xx 321xx 322xx 33210	Market analysis and development	Access to market information; advice on standards, packaging, quality control, marketing and distribution channels in agriculture, forestry, fishing, industry, mining and tourism.

Annex 5 - Overview of policies and institutional mechanisms for the provision of TCB by the European Commission and Member States

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1. The European Commission

1.1 Policy priorities

Development Priorities

Article 177 of the Amsterdam Treaty (entry into force 1st May 1999) defines the EU development policy priorities, as follows:

- Sustainable economic and social development in favour of developing countries, with a particular emphasis on the most disadvantaged countries.
- Progressive and harmonious integration of developing countries in the world economy.
- Fighting poverty in developing countries.

The Declaration of 20 November 2000 on the European Community's development policy expresses the Council's and the Commission's intent to reaffirm the Commission's solidarity with developing countries, in the framework of a partnership which respects human rights, democratic principles, the rule of law and the sound management of public affairs. The principal aim of the Commission's development policy is to reduce poverty with a view to its eventual eradication.

With regards to the Declaration, the Commission's activities should be refocused on link between trade and development; regional integration and co-operation; support for macroeconomic policies and promotion of equitable access to social services; transport; food security and sustainable rural development; institutional capacity building. Moreover the following horizontal issues have to be incorporated into all aspects of development co-operation: human rights, equality between men and women, children's rights and protection of the environment. Conflict prevention and crisis management also require systematic attention.

From 1975 until 2000 the Lomé Conventions governed relations between the ACP states and the EU. Co-operation focused on two key elements: economic and commercial co-operation, and development co-operation. Development co-operation is predicated on a sectoral approach involving specific operations in various sectors such as health, education, or the environment.

The 1995 Lomé IV Convention promoted human rights and respect for democracy – key elements of the partnership – and some new objectives: enhancing the position of women and protecting the environment. Another key feature was decentralised co-operation, through involvement of civil society in the development process.

A new partnership agreement was signed on 23 June 2000: the Cotonou Agreement entered into force on 1 April 2003. It establishes a new approach and represents a new phase of the partnership whilst retaining its main instruments (institutions, financial instruments, etc.). It aims to strengthen the political dimension of the partnership, to provide new flexibility and to entrust the ACP states with additional responsibilities. Under

the Cotonou Agreement, new trade agreements compatible with the World Trade Organisation (WTO) rules will be negotiated (negotiations for the new regional economic partnership agreement began in October 2003 with the Economic and Monetary Committee of Central Africa and the Economic Community of West African States). Trade between the two parties will be liberalised, putting an end to the system of non-reciprocal trade preferences and enabling the ACP states to participate fully in international trade. Nonetheless, the current system remains in force during the transitional period, until January 1st 2008 at the latest.

TRA Priorities

Development co-operation in the trade arena dates back to the founding of the European Economic Community. The ‘smooth and gradual integration of the developing countries into the world economy’ has remained a constant objective of EU development policy since the 1957 Rome Treaty and the clear “trade into development” direction is reaffirmed in the European Commission’s Communication on Development¹. The Doha Ministerial Meeting has developed, with major inputs from the Commission, an agenda to “put development into trade”. The Commission’s 2002 Communication, “Trade and Development: assisting developing countries to benefit from trade’ (Com 513), which was published after Doha, is the reflection of the latest Commission thinking in this area. Moreover, the EU has always been concerned with the need to attain the appropriate balance between rule-making and progressive liberalisation so as to promote sustainable development. It therefore views its trade policy as one of the many instruments used to achieve this overall objective. Accordingly, the EU intends to shape its trade policy within lines compatible with sustainable development and to actively promote initiatives addressing the issues of trade and sustainable development. In particular, the EU’s commitment to supporting sustainable trade has been reflected in its approach to the Doha negotiating round as well as in its intention to carry out Sustainability Impact Assessments (SIAs) of both its multilateral and bilateral trade negotiations². In fact, the EU is committed to a larger process directed to the objective of sustainable development which comprises not only Doha but also the Monterrey Conference (March 2002) on financing for development as well as the World Summit on Sustainable Development (WSSD, Johannesburg, August 2002) and which effectively affects the design of its trade policy.

The European Commission is offering development assistance and economic cooperation worldwide. The specific aims of TRA by region of intervention may be gauged by examining the texts of the various co-operation and partnership agreements, and of the internal Commission Regulations as well as the national and regional strategy papers and indicative programmes for individual countries and regions. A comprehensive analysis of the intervention logic of the TRA provided by the Commission can be found in section 2.3 of the Final Report of the “[Evaluation of Trade-Related Assistance by the European Commission in Third Countries](#)” (ADE, June 2004). This evaluation shows that the

¹ Communication from the Commission to the Council and the European Parliament, The European Community’s Development Policy, COM (2000) 212, 26 April 2000.

² SIA’s are meant to assess how and maximise benefits of trade liberalisation and highlight where flanking measures might be needed to optimise outcomes or offset negative side effects.

Commission's TRA interventions are subordinated to the overarching objective "to integrate developing and transition economies within the global trading system with a view to maximizing mutually beneficial growth, sustainable development and poverty reduction" and pursue the overall objective of maximising the partner countries' participation in and benefits from international trade. Four intermediate objectives are pursued with various degree of emphasis according to the regions and countries of intervention:

- Trade policy is strengthened, adapted to the requirements and procedures of the MTS, and integrated into development and poverty strategies.
- International trade regulations are understood and agreed, institutional mechanisms to implement them and facilitate trade are developed, discipline is enforced, human resources are strengthened.
- Countries are prepared for negotiations, understanding of rights and obligations is enhanced, outcome of WTO negotiations is enhanced.
- The productive basis is strengthened, trade activities are enhanced and competitiveness is improved.

1.2 Institutional structure

Mandates in the EC regarding TCB

TCB is at the crossroad of trade and development. This specificity is reflected in the organisational structure of the Commission: general matters related to TCB are a shared competency of the members of the so called "Relex Family" (DG RELEX, DG DEV, TRADE and EuropeAid).

DG RELEX³ contributes to the formulation of an effective and coherent external relations policy for the European Union, so as to enable the EU to assert its identity on the international scene. To this end DG RELEX works closely with other Directorates-General composing the "Relex Family" (EuropeAid, DGs DEV and ECHO) to co-ordinate the external relations activities of the Commission. DG RELEX is the Commission's interface with the EU's General Affairs and External Relations Council (GAERC) and with the High Representative for the Common Foreign and Security Policy. It also ensures that the Commission has a clear identity and a coherent approach in its external activities. DG RELEX is also responsible for the Commission's relations with international organisations, such as the United Nations, the OSCE, and the Council of Europe, as well as the Commission's participation in the Common Foreign and Security Policy (CFSP), and the administration of the Commission Delegations.

DG DEV⁴ aims to help to reduce and ultimately to eradicate poverty in the developing countries and to promote sustainable development, democracy, peace and security. To do so, DG DEV is mandated to:

³ Source: http://europa.eu.int/comm/dgs/external_relations/general/mission_en.htm

⁴ Source: http://europa.eu.int/comm/dgs/development/organisation/mission_en.htm

- Initiate and formulate the EU's development co-operation policy for all developing countries. It works towards greater coherence of Community policies having external effects, in close cooperation with the other Relex services and other DGs of the Commission (as Fisheries and Agriculture). It is committed to strong co-ordination and complementarity between the Community, the EU Member States and multi-lateral organisations such as the World Bank, regional development banks, the OECD and the United Nations system.
- Co-ordinate the Community's relations with ACP countries and regions, through political relations with these countries, programming of resources for the EDF, preparation of strategies for co-operation with ACP countries and Overseas Countries and Territories and monitoring of their implementation.

EuropeAid Co-operation Office⁵ is entrusted to create a geographically oriented organisation which covers every stage of the project cycle, which has a clear structure and which will remain stable as management is devolved to the Delegations of the Commission.

EuropeAid groups together the management of issue-based programmes (such as food aid, NGO co-financing and human rights) in a single Directorate to ensure a consistent and co-ordinated approach.

DG TRADE⁶ has the task of conducting the Union's commercial policy in accordance with the objectives set out in Article 133 of the Treaty : *«to contribute, in the common interest, to the harmonious development of world trade, the progressive abolition of restrictions on international trade and the lowering of customs barriers»*. Together with monetary and development policies, trade policy forms the main pillar of the European Union's relations with the rest of the world. Its purpose is to promote the economic and political interests of the European Community. It covers all the main aspects of trade in goods and services as well as key aspects of intellectual property, investment and competition. The tasks of DG TRADE in this respect are as follows :

- to define and appraise the trade interests of the European Community in both defensive and offensive terms;
- to negotiate bilateral, regional or multilateral agreements on the basis of negotiating directives proposed by the Commission and adopted by the Council;
- to monitor and ensure the implementation of international agreements by using the WTO dispute settlement system and the instruments for trade promotion or defence adopted by the Community;
- to take part in devising and monitoring internal or external policies which have a bearing on the Union's trade and external investments;
- to ensure consistency within the Relex group between the commercial policy and the Union's general external relations policy on the one hand and the contribution of the European Union to global economic governance on the other;

⁵ Source: http://europa.eu.int/comm/europeaid/general/mission_fonc_en.htm

⁶ Source: http://europa.eu.int/comm/trade/whatwedo/work/index_en.htm

- to provide industry, civil society and professional circles with clear, comprehensive and up-to-date information while seeking their opinions in compliance with the rules set down in the Commission's codes of conduct.

Within the “Relex Family”, ECHO’s implication in TCB are less relevant. The EU’s mandate to ECHO⁷ is to provide emergency assistance and relief to the victims of natural disasters or armed conflict outside the EU.

Following the Doha Ministerial Declaration, Commissioners Lamy and Nielson proposed to create a Task Force for TRTA/CB at the level of the Relex DGs, under the leadership of AIDCO. At the initiative of Mr Franco, deputy director general of AIDCO, an inter-DG Task Force on Trade and Development was created in January 2002. The mandate of this Task Force is to:

1. Carry out stocktaking of ongoing programmes in all regions and learn from experiences.
2. Increase in-house expertise on TRTA/CB programmes with a view to improve quality, find economies of scale at the identification and implementation level, including cooperation with other institutions/donors and to accelerate delivery. In this context also to create support services to Delegations and HQ. (Guidelines, web-site, help-desk function).
3. Improve and streamline dialogue with the programming and policy DGs to ensure policy coherence and mainstreaming of TRTA/CB measures in the EC development policies.
4. Identify the need for and introduce training courses to improve knowledge and performance.

Specific case of SPS

Mandates and expertise related to SPS in the Commission are found within several Commission services, including the “Relex family” and DGs SANCO, AGRI, ENV and RTD.

With this regard, DGs DEV, TRADE and SANCO met at mid-2003 to better coordinate development, commerce and consumers’ protection issues. They decided to create an Inter-service Steering Group on SPS related issues for developing countries with participation of all above mentioned Commission services involved in SPS. Its aim is to enhance the Commission’s efforts on SPS related projects, to better coordinate between Commission services as well as between the Commission and the member States. The Group is chaired by DG DEV. It has led to important initiatives, including assessment of the impact of envisaged SPS measures on developing countries, that impacted on design of SPS regulations (e.g. the impact of the new “official feed and food controls” regulation that will enter into force from 1st January 2006).

The Commission is co-represented by DG SANCO and DG TRADE at the SPS Committee of the WTO.

⁷ Source: http://europa.eu.int/comm/echo/presentation/mandate_en.htm

1.3 Main channels for TCB interventions

In the ACP region the Commission's interventions addressing the trade policy and regulations aspects of TCB are usually supported through the regional programmes⁸ and frequently channelled through regional integration institutions. The justification is twofold:

- The willingness of the Commission to encourage regional integration, an areas in which its own successful experience constitutes a comparative advantage.
- Many trade policy and regulation reforms require a long implementation period and require relatively modest financial resources. This makes them particularly difficult to manage in the context of international assistance and the regional dimension provides valuable economies of scale.

Considerable TCB effort in also conducted in terms of trade development but it is much more difficult to identify the trade component. Apart from obvious export promotion programmes conducted at regional or bilateral level, the trade contents of many regional or bilateral private sector development support programmes, institutional development programmes, agricultural programmes, etc.. may have significant TCB components (regulatory, training, legal developments) that are not identified.

2. Belgium

2.1 Policy priorities

Development Priorities

The Law of 25/5/1999 on international cooperation provides the legal framework and sets the basic principles for the three axes of Belgian cooperation. The strategic orientations within these axes are outlined in the policy note:

- Direct bilateral cooperation is focused on maximum 25 countries or regional organizations and concentrated on 5 priority sectors (basic health care, education, agriculture and food security, basic infrastructure, conflict prevention and consolidation of the society). Currently the geographic concentration is limited to 18 countries (of which Mali, Niger, Rwanda, Tanzania are pre-selected countries for this evaluation).
- Multilateral cooperation privileges a limited number of international organisations . Currently the Belgian cooperation has selected 12 organisations. The goal is to increase the financial support and to play a more active role in their policy discussions.
- Indirect cooperation focuses on selected development NGOs and other institutions such as universities, scientific institutions, training associations, trade union cooperation and municipal cooperation.

⁸ See for instance in annex 3, table 1, the support to TCB in SPS conducted through three major regional programmes.

TRA Priorities

The Brussels LDCs Conference (May 2001), the Johannesburg Summit (2002) and several other international Conferences recognised the relationship between development, trade and integration into the world economy. The 8th objective of the Millennium Development Goals emphasises this relationship, and recommends in particular the development of an open trading system, which should include aspects related to development and poverty reduction.

The Belgian Cooperation intends to operate in line with these recommendations, and with the 2001 Doha ministerial declaration. Since Doha and Cancun (2003) the Belgian Development Cooperation Department aims to contribute to trade capacity programmes through its contribution to the Integrated Framework and the WTO Trust Fund. In 2003, two projects have also been launched with the UNCTAD: a “globalisation” project and a training in trade negotiation techniques for developing countries⁹.

2.2 Institutional structure

The implementation of the Belgian cooperation programmes is entrusted to the Directorate-General for Development Cooperation (DGDC) of the Ministry of Development Cooperation. Implementation is done by the Belgian Technical Cooperation (BTC) organisation, a public-law company with social purposes.

2.3 Main channels for TCB interventions

Although trade is not a focal area of Belgian cooperation, support is provided to TCB activities in the three directions of Belgian cooperation: bilateral, multilateral and indirect cooperation.

Bilateral cooperation

There are no specific TCB projects but trade aspects, such as SPS, are often included in broader projects. In particular rural development (in this context Belgium supports the diversification of the agricultural production line in Mali). Trade development activities are channelled through the Belgian Investment Company for Developing Countries (BIO) which provides long-term financing to micro, small and medium-sized enterprises at market conditions and in an environmentally sustainable and socially responsible manner.

Multilateral cooperation

Aside its multilateral cooperation selected international organisations, the Belgian cooperation is also participating to a series initiatives involving TCB. It should be noted that in general the financial contribution of Belgium to these multilateral funds is earmarked.

⁹ Source: General principles for the Belgian Development Cooperation Department’s policy, 2005 (French).

Doha Trust Fund

The fund finances in particular workshops and seminars on WTO procedures, on agricultural or customs rules...in response to requests formulated by developing countries. These workshops take place in beneficiary countries (generally the siege of a regional organisation).

Belgium participated in this initiative for 500 000€ (2003-2004), with funds earmarked geographically (Francophone African countries, Ghana, Kenya) and thematically (especially on services). It did not sustain its participation in this Fund due to reservations about its operations and results: insufficient analysis of the needs of the beneficiaries, insufficient coordination among international organisations providing similar services, high administrative costs due to delegation of organisation.

Integrated Framework

Since Doha, Belgium contributed twice € 0.34 million. The contribution was earmarked on the partner countries and on the “volet II” (technical assistance in support to activities identified under the strategic analysis and needs assessment “volet I”).

In its participation in the IF, Belgium has never led the donor groups in the beneficiary countries, and was hardly informed on the outcomes of the interventions. Experience with coordination varied from country to country: in Senegal there has been a distribution of work among the donors for the needs analysis. In Benin, Belgium had earmarked funds for the IF but the leading agency, UNDP, did not know it. Belgium earmarked funds for the IF in Rwanda but not was not consulted on its implementation. Recently UNDP has agreed to take a more active roles in the IF, an initiative that is welcome by Belgium.

UNCTAD

UNCTAD is no longer one of the priority partner multilateral organisations of the Belgian Cooperation, but previously Belgium supported two UNCTAD activities:

- globalization: trade in services (and their incorporation in PRSPs),
- distance learning, training for trade negotiations and investments protection.

Belgium has been approached to support the implementation of the ASYCUDA in Burundi.

UNDP African Initiative

Belgium finances the African Initiative and has redirected its funding to it instead of the Doha Trust Fund and UNCTAD. This initiative promotes integrate strengthening of trade capacities and involves work with local universities, regional studies, participation of civil society. Several seminars have already taken place in beneficiary countries (Rwanda/COMESA, Mozambique/SADC, Burkina/ECOWAS-WAEMU). This programme aims to create connexions with the IF (coordination with IF in Mauritania). A steering committee will take place in May 2005 in Brussels (participation of DfID and SIDA): it should validate an annual action plan.

OHADA activities are partly trade related. Belgian cooperation considers the organisation is well articulated with the beneficiary participation and needs. It provided €512 000 in 2001-2002 to support arbitration at Abidjan Justice. As funds were not disbursed the contribution is suspended.

Indirect cooperation

Belgian cooperation supports NGOs promoting fair trade.

3. France

3.1 Policy priorities

Development Priorities

The central objective of the French development cooperation programme is to reduce poverty and inequalities in a framework of sustainable development¹⁰. In its main policy document, the French cooperation is presented as a tool for reducing the threats or risks of globalization, and as such already offering a framework underlying the importance of insertion into the multilateral trading system.

TRA Priorities

Within the broad objective of poverty reduction, cooperation in the area of trade is aimed at integrating LDCs into world trade in order to favour economic growth and reduce poverty levels. Within this context, France espouses the positions agreed in consultation with its European partners and the other members of international financial institutions and organizations to work towards the following objectives or strategies¹¹:

- further open up industrial countries' markets to exports from developing countries;
- give the poorest developing countries a bigger say in international organizations;
- make international financial and trade institutions and multinational organizations more transparent, especially through regular open dialogue with the representatives of civil society;
- strengthen and improve the management of the international financial architecture to temper economic volatility;
- support the production and financing of "global public goods" at international level (anti-HIV, tuberculosis and malaria vaccines, research and dissemination of advanced agricultural engineering techniques, environmental and climate protection, etc.);
- upholding human rights and the establishment of the International Criminal Court of Justice.

¹⁰ Livre blanc de la politique française d'aide au développement.

¹¹ See Livre Blanc page 32 and following and Attacking poverty, Inequality and exclusion (chapter 2, section 2.5), MAE, September 2003.

Within the narrower area of TRTA/CB, France's objective is to help beneficiary countries enhance their participation in the multilateral trading system and their involvement in the development of trade flows, and to enable them to take advantage of globalisation¹².

3.2 Institutional structure

The institutional set up for the French TCB interventions is not different from that of its other aid activities:

- At headquarters level, TCB depends from Ministry of Foreign Affairs (for development assistance) and Ministry of Finances (because of important public funds are committed, in particular in structural adjustment operations).
- The operational system is articulated on two networks:
 - the embassies network, through their SCACs ([Services de Coopération et d'Action Culturelle](#)); and
 - aid-specific network: agencies, which most active are [Agence Française de Développement](#) (AFD) and [Economic Missions of Embassies](#).

These networks play an important role in identification, initiation and implementation of TCB activities. As coordination primarily takes place in the field, their direct contacts with donors and partners are of major importance. Moreover, effective cooperation at headquarters level is dependent of effective cooperation at field level.

France is revising its organisation for development aid. Currently, large-scale interventions are financed by the AFD, while embassies finance small-scale actions. For years to come, the AFD will carry on the majority of interventions but will remain under the authority of its supervising ministries. The Ministry of Foreign Affairs should concentrate on governance. The aim is to increase effectiveness of interventions, and to adapt to the restructuring of the Ministry of Foreign Affairs

AFD is an EPIC (Industrial and Commercial Public Establishment) and a Specialised Financial Establishment (lender at concessional or market rate). It is supervised by a Supervisory Board comprising the Ministry of Finance, the Treasury Department, the Ministry of Foreign Affairs, the Ministry of the DOMs and representatives of the civil society. The AFD commitments, finances and accounts are submitted to its Supervisory Board for approval. It deliberates at least six times a year and delegates part of its powers to specialised committees set up within the organisation, such as the Overseas Committee and the Foreign Countries Committee. The Chief Executive Officer is delegated to handle funding for small amounts. The Supervisory Board validates strategic directions, whereas the AFD identifies the projects and sector priorities. AFD may not decide and its activities must be validated at central level. This system tends to dull the decision process, especially for small technical cooperation projects. The average decision cycle for a development project takes about 18 months.

¹² See 'Le plan français d'aide au renforcement des capacités commerciales', November 2004, DREE (Direction des Relations Economiques Extérieures of the Ministry of Economy).

AFD is composed of 1.626 people by end 2003:

- 956 general agents recruited from headquarters (763 work at headquarters, 143 in agencies and 50 in technical assistance) ; and
- 670 agents recruited locally by network agencies. These figures include people from the Institut d'émission des départements d'Outre-mer (IEDOM) and the Institut d'émission d'Outre-mer (IEOM).

3.3 Main channels for TCB interventions

Bilateral interventions

The PRCC (Programme pour le Renforcement des Capacités Commerciales) is the most important instrument developed by France for TCB. It is developed in common by the Department for External Economic Relation (DREE) of the Ministry of the Economy, Finance and Industry and the AFD¹³. This programme aims to share networks and skills between the two institutions, and to break barriers between trade and development. It targets the two main components of trade related aid, i.e. support to export capacities and to a lesser extend institutional capacity building.

The 2002-2005 PRCC is carried out in 12 countries: Algeria, Mali, Mauritania, Senegal, Ghana, Guinea, Côte d'Ivoire, Madagascar, Ethiopia, Djibouti, Cambodia and Vietnam. It finances 100% or part of project, which are generally big amount (minimum € 500,000). The PRCC is *a priori* not strictly focused on specific sectors or activities. The annual budget for PRCC is € 10 million (out of about € 100 million annually committed by France for TRTA/CB).

But TCB is not exclusively financed by the PRCC. AFD, DGCID and several other French Ministries or institutions implement autonomous TCB interventions (Ministry of Agriculture, Ministry of Foreign Affairs, Customs...).

Multilateral interventions

Like all MS, France commits most of its budget for TCB at international level. The bilateral approach developed through the PRCC complements the French involvement at multilateral level (through the Integrated Framework and the Doha Agenda). The European level is also for the MS an important intervention channel (through financing FED's).

Ensuring that projects financed through the PRCC take account of the IF diagnostic is an essential condition for support. This is rather a downstream approach, on the field. The IF is indeed a very badly known instrument at MS institutions level. Diagnosis developed by the IF brings value-added, with regards to other multilateral instruments. However, the IF have several drawbacks: heavy bureaucratic mechanisms, lack of operability, lack of participation of the LDCs involved. Notwithstanding this the view is that it is a useful instrument.

¹³ Complementarily, the DGCID also implements individual projects through the PRCC.

4. The Netherlands

4.1 Policy priorities

Development Priorities

Dutch development cooperation policy¹⁴ embraces the overarching objective of a sustainable fight against poverty, with attainment of the MDG by 2015. In pursuing this overall goal, Dutch cooperation aims: (i) to achieve enhanced involvement of everyone in meeting the MDG by 2015, (ii) to boost the quality and effectiveness of development cooperation, and (iii) to make Dutch efforts and results more visible.

Development cooperation is considered as one of the elements of an integrated approach combining foreign policy and political, economic, diplomacy and security instruments.

TRA Priorities

The Dutch development cooperation policy in the area of trade is geared on promoting a level playing field for developing countries, or 'to bring about a development-friendly multilateral trading system'¹⁵. This, in concrete terms, translates into a number of operational objectives both at the international forum level and at partner level, as follows:

- At international level, the Netherlands pleads for a substantial decrease in tariffs and subsidies which distort trade in products important for African countries such as agricultural products in general and cotton in particular¹⁶. Furthermore, the cooperation policy aims at simplification of procedures and rules of origin, and , strengthening of existing Special and Differential Treatments agreements.
- At national level, an essential requirement for insertion into the world trading system is seen to be strengthening of the business environment which can only result from the implementation of good policies and maintenance of macro-economic stability. The development of a vibrant private sector is a central objective of the Dutch cooperation programme and of the trading sector in particular.

In order to assist developing countries to integrate in the world trading system and to maximise their benefits from it, Dutch TCB interventions aim at supporting programmes that integrate three objectives:

- 1°) Building a national trade policy process.
- 2°) Increasing the capacity to negotiate and implement trade arrangements that reflect development concerns.

¹⁴ Mutual Interests, Mutual Responsibilities ("Aan elkaar verplicht"), October 2003.

¹⁵ Mutual Interests, Mutual Responsibilities ("Aan elkaar verplicht"), October 2003.

¹⁶ However, the need expressed in the Dutch cooperation note of June 2003 calling for reforms of the common agricultural and the common fisheries policies has not been reiterated in the current October 2004 note on development cooperation with Africa.

- 3°) Improving developing countries' trade performance and ability to make more effective use of opportunities created by trade liberalisation.

SPS measures are an area of particular interest for the Dutch cooperation which has developed a two track approach consistent with these objectives and consisting in:

- i°) strengthening the concern for developing countries in the elaboration of the SPS regulations; this has been supported by the allocation of special funds to finance the travel of representatives of developing countries to international meetings, in particular of the codex alimentarius, and in conducting analysis of the consequences of SPS regulations for developing countries; the latter activity is geared to the coherence debate between trade and development policies for which the Netherlands are lobbying within the EU institutions;
- ii°) helping the partners to identify get informed on the SPS measures; this is mainly provided under the activities of the CBI (see infra).

4.2 Institutional structure

The responsibility of TCB interventions lies mainly with four institutions:

The Directorate General for International Cooperation (DGIS) of the Ministry of Foreign Affairs is in charge of development cooperation. Its main functions are:

- to formulate the TRTA/CB policy and strategy and to participate in Donor Steering Groups of IF and JITAP;
- to co-formulate policy position on WTO-related TRTA/CB issues;
- to fund bilateral and multilateral programmes, including TRTA/CB activities of Dutch co-financing organisations;
- to support embassies to integrate TRTA/CB in bilateral sector approach and in multilateral in-country activities.

The Ministry of Economic Affairs whose role is to:

- formulate and present policy position on WTO TRTA/CB issues;
- to provide annual contribution to Doha Development Agenda Global Trust Fund (DDAGTF) and the Advisory Centre on WTO Law;
- to co-formulate and implement strategies for private sector development.

The Centre for the Promotion of Imports for Developing Countries (CBI). The CBI is an Agency of the Ministry of Foreign Affairs the mission of which is to contribute to the economic development of developing countries by strengthening the competitiveness of companies from those countries on the EU market. It operates within the policy framework set by the Minister for Development Cooperation. Its main responsibilities are the implementation of support to businesses in developing countries. It is also the budget holder of Dutch contribution to ITC.

The Ministry of Agriculture, Nature Management and Fisheries is funding bilateral and multilateral projects with TRTA/CB components (notably SPS projects), and research and education programmes.

4.3 Main channels for TCB interventions

Multilateral interventions

Dutch cooperation supports the DDAGTF, the Advisory Centre on WTO Law and the European Development Fund, and three specialised multilateral organisations: ITC, UNCTAD and the World Bank (in particular the World Bank Trade Research programme).

Joint programmes by bilateral and multilateral donors

So far this has been the preferred mode of intervention because the Dutch cooperation considers that cooperation and coordination between multilateral donors is key to a coherent strategy of trade development, with the recipient country as the active owner. A complementary approach based on comparative advantage is sought. Resource intensive and large scale TCB, such as in the area of SPS, should be taken up by the large multilateral donors (EU, WB), whereas for joint programme coordination is viewed primarily in terms of complementarity and improved division of labour among the partners. When comparative advantages and efficient use of resources justify it the Dutch are willing to channel their money through another donor, or inversely to act and manage the funds of others. The Netherlands also participates in IF Steering Group and supports the IF Trust Fund and the JITAP.

Bilateral interventions

Bilateral assistance is decentralised through the embassies in the focus countries of Dutch bilateral cooperation and it is part of the sectoral approach, meaning that there may be bilateral TCB projects in countries where the productive sector is the focus of bilateral assistance.

The CBI is the main instrument for bilateral support in the area of trade. It assists businesses exporting to the EU market by providing technical assistance and marketing advice. Its activities are (1) Sectoral Export Promotion Programme, (2) Human Resource Development, (3) Market Information Programmes, Business Support Organisation Programme.

The Ministry of Economic Affairs contributes also with specific projects, some of which trade related, to private sector development. Its main agency is the Agency for International Business and Cooperation (EVD). The Programme for Cooperation with Emerging Markets (PSOM) contributes to sustainable economic development using experience, knowledge and capital of Dutch enterprises and institutions. The programme resources are € 10 million in 2004 increasing to €46 million in 2009. The trade related dimension of this programme seems quite substantial but has not been quantified yet.

Support to NGOs and academic institutions active in TCB

In financial terms, Dutch support to TRTA/CB measured in terms of commitments over 2001-2003 (OECD-WTO database) is focused mainly on trade development activities where support to trade promotion strategy and implementation claims nearly 35% of total commitments, followed by support to business services and institutions (27% of commitments) and market analysis and development (15%), thus making trade development the main area of support of Dutch TRTA/CB (77.8% of total commitments).

Tables 1a to 1c of annex 2 of this report show that Dutch identified support in the three categories of TCB activities and the pre-selected countries retained for this evaluation is significant in SPS and in trade/education training-training for trade negotiations.

5. United Kingdom

5.1 Policy priorities

Development Priorities

The Department for International Development (DFID) is the primary agency involved in TCB – and indeed in all other areas of development assistance. It argues that TCB is essential if developing countries are to take part in and benefit from the MTS. But in order to be successful TCB must take place in the context of nationally owned strategies which are themselves integrated with national development strategies and be designed to enhance the ability of policymakers, enterprises and civil society actors to work together to develop and implement effective trade policies and strategies.

A coherent set of TCB activities by donors and partners will enable the partners' trade performance to benefit from the strengthening of policy and national institutions and for them to participate in the international institutions, negotiations and processes that shape the rules and practices of international trade. This is crucial because trade, when accompanied by appropriate complementary policies, can be a key factor in promoting growth for poverty reduction and sustainable development. Developing countries can only ensure that their interests are well represented in the WTO and other negotiating bodies if they have the capacity to identify and negotiate their interests. DFID argues that it is in the trading interests of developed countries to help ensure that the MTS is responsive to the needs of all its members.

DFID believes that trade capacity may be undermined by a shortage in the number of officials working on trade issues and when this happens, the capacity of countries to develop proactive and informed national trade strategies can be severely affected. Constraints in governance are evident in weak trade institutions (such as Standards or Customs Authorities) and weak relationships between the different trade stakeholders in government, the private sector and civil society. All of these elements need to be strengthened in order to support an informed trade policy making process, to implement trade reforms effectively, to capitalise on new trade opportunities and to support

negotiations. While tariff reductions remain important, the MTS now also requires a much deeper level of technical understanding (for example, on sanitary and phyto-sanitary standards). For trade reforms that rely on more fundamental development in the governance and economic sectors, countries need resources, assistance and, most importantly, time to support a process of change. Finally, it is important to acknowledge the limits of TCB. Building trade capacity is not a quick fix but it has the potential to make a decisive and positive contribution to the ability of a country to integrate more effectively into the MTS. But this potential will be realised only in the context of viable agreements that are owned by all members and that can accommodate the needs of developing countries. These considerations inform the direction of TCB undertaken by the UK.

TCB Priorities

The main emphasis of DfID's TCB programming has - for nearly a decade now - been consciously concentrated on the contribution of trade to poverty reduction and gender equality. The goal has been to seek out projects with a direct link to poverty reduction rather than being content with an 'enabling' or indirect approach, where the emphasis is on promoting trade, and in this way economic growth and in turn poverty reduction.¹⁷ Recent DFID TRCB guidelines have stressed the need for a direct or 'focussed' approach, i.e. in which TRCB includes an explicit reference to poor people, as well as to gender equality. In TCB this direct linkage is not always easy to define. Indeed the North-South Institute evaluation "found that there were few instances of explicit linkages to poverty reduction or to gender equality in the design of projects or programmes, and sometimes even these were not followed through in implementation." (p. 7) However the designers of DfID projects - increasingly but not exclusively based in partner country offices - aim to take fully into account the development priorities and, in particular, the poverty reductions strategies of the partner country.

The broad scope of DfID's work in TCB is shown by Table?? (Master list of DFID TRCB projects for 9 preselected countries, November 19, 2004) The projects cover the whole range of typical TCB and TD interventions with some emphasis on building capacity for policy making and negotiation - with a roughly equal emphasis on participation in multilateral or regional and bilateral cooperation in the case of TCB and some bias towards bilateral cooperation in the case of TD. As the DfID 2004 evaluation pointed out moving from technical assistance to capacity building has been a challenge. To a large extent this has led to the targeting of institutions involved in trade policy and practice and this in turn has meant that the gains require continued donor support as the partner governments are often unable or unwilling to finance them from their own resources.

5.2 Institutional structure

Arguably DfID is unusual among donors in the flexibility of and willingness to adapt project design in the light of developments and newly established priorities in the partner country. This flexibility is made much easier by the increasing frequency of managing

¹⁷ See Weston, Ann, Chantal Blouin and Leelananda De Silva, *Evaluation of DfID Support to Trade Related Capacity Building, Synthesis Report*, North-South Institute, 2004, p. 7

projects in-country and giving the country staff significant decision-making autonomy. DfID uses both consultant advisers and both profit and non-profit organisations. These are often based in-country and thus contribute to maintaining local knowledge and contacts - important given the high turnover of DfID staff in the country offices.

5.3 Main channels for TCB interventions

Bilateral interventions

All DFID's bilateral programmes aim to support an informed policy making process and to build capacity for negotiation and implementation. In principle all interventions are based on intensive consultation with country stakeholders and agreement with partner governments. Sometimes a conscious decision is made to complement the work of other multilateral agencies. For example, the Africa Trade and Poverty Programme aims to reinforce the IF by adopting a similar approach but with a more explicit focus on supporting government efforts to link trade reforms with strategies for poverty reduction.

DfID works with a number of donor countries – including the Nordic Group of Norway, Finland, Sweden, Denmark, Iceland, Netherlands, Ireland and the UK – for example in Zambia over a road mix of interventions including TCB and with SIDA in Rwanda.. It also collaborates with other bilateral donors individually at headquarters level, including since 2003, with Japan as regards projects in Vietnam and Bangladesh, with the USAID as regards a new initiative on HIV/AIDS and with France on new ways to promote private sector involvement in the development of African infrastructure. While not all these collaborations involve TCB activities they show the willingness of DfID to engage with other national development offices in collaborating on development programmes in general. Similarly DfID collaborates with a large number of non-governmental organisations including Christian Aid, WaterAid and Save the Children Fund, and also volunteer-sending agencies such as Voluntary Service Overseas and International Service.

Multilateral interventions

Examples of DFID's work in a multilateral context include that within the enhanced IF for least developed countries, which includes support through the IF Trust Fund for work a number of LDCs. The UK has also contributed towards the JITAP, the first successful example of a programme integrating the efforts of the ITC, UNCTAD and WTO on TCB in selected African countries. A key focus of the programme is raising awareness on trade and developing the linkages between different stakeholders in country to inform the policy making process. The UK is actively working through OECD and directly with donor partners to encourage a greater exchange of information between capitals and country offices and to share ideas on best practice.

DfID works with UNCTAD teams in areas that accord with DfID's priorities. Examples of these include the UNCTAD Globalisation project through which DfID funds a 5-year £5 million project with the Indian Commerce Ministry which aims to support policy reflecting poverty-reduction objectives and the UNCTAD Investment post-Doha Trust

Fund. The UNCTAD WTO Accessions Trust Fund was actually a DfID-creation and is supported by a range of donors.

In the area of training-for-trade DfID supports the UNCTAD Services capacity building programme which includes a strong training element in trade in services and the WTO Doha Development Agenda Global Trust Fund. The UK is also a major player in the Geneva-based Advisory Centre on WTO law which provides legal advice and training to mainly Geneva-based developing country delegates.

In SPS there are two principal multilateral funds – those of the Standards Trade and Development Facility (STDF), which brings together FAO, OIE, the World Bank, WHO, WTO and UNIDO, and the UNIDO/WTO Trust Fund housed in UNIDO whose objective is “to provide a coordinated approach to capacity building and technical assistance in the area of product standards and technical regulations, which is country led or supported by regional organizations”. DfID contributes both to these funds and the debate on how assistance in the SPS area can be rendered most effectively.

In the period 1998 to 2004 the UK spent a total of £ 67.3 million on TCB. Of this £ 11.3 m., or 16.7 per cent, was spent on projects in Africa with somewhat more than half going to individual country projects and the rest destined for projects in Africa of a horizontal nature. Asia received 15.8 per cent of the total, the Caribbean 5 per cent and Europe 16.6 per cent. The balance – 44.9 per cent – went to world-wide horizontal projects. These included contributions to the World Bank Trade Policy Development Programme (£ 6.3 m.), contributions to the IF Fund (£ 3.1 m.), the WTO Global Trust Fund (£ 1.7 m.) and the Commonwealth Secretariat Trade and Access Facility (£ 1.7 m.). Among DfID's own horizontal TBC activities were the TRIPs Capacity Building project (£ 1.9 m.), Investment for Development (£ 0.6 m.) and 9 projects under £ 150,000 (£ 0.9 m.).

6. Denmark

6.1 Policy priorities

Development Priorities

Poverty reduction remains the fundamental challenge for Danish development cooperation¹⁸. Danish development policy is also recognised as a central and integral part of Danish foreign and security policy.

Since 2001, the Danish Government has worked consistently to reorient and reprioritise Denmark's development assistance in order for it to carefully reflect current global development challenges, threats and opportunities and with a view to ensuring maximum impact and sustainability of the development initiatives.

¹⁸ Source: <http://www.um.dk/en/menu/DevelopmentPolicy/DanishDevelopmentPolicy/>

Denmark's development assistance is focused on a selected number of developing countries (so-called programme countries) working with efficient, long-term national strategies for poverty reduction and on a selected number of multilateral organisations. Africa south of Sahara remains the main recipient of Danish aid, the aid flow to Africa accounting for around 60% every year of the Danish bilateral assistance to the Danish programme countries.

Danish assistance original goal is helping the poor by providing critical investments in education and health, infrastructure plus support for the development of a private sector as an engine for growth. Special emphasis is put not least on the effort to promote the respect for human rights and poverty reduction for women and their participation in the development process. In the coming years, Denmark will continue to strengthen its foreign and security policy through a focusing of Danish development assistance on five areas:

- Social and economic development
- Human rights, democratisation and good governance
- Stability, security and the fight against terrorism
- Refugees, humanitarian assistance and regions of origin
- Environment

The administration of Danish development assistance to the programme countries has been decentralised in 2003. Accordingly, capacity has been transferred from Copenhagen to the missions in the Danish programme countries.

TRA Priorities

The policy paper "*Trade and Development: Tackling Poverty*" (2003) highlights the importance of strengthened synergies between trade and development policies and initiatives. The strategy has been revised and updated in 2005 to take into account lessons learned since the first strategy was launched in 2003. In addition, TRTA/CB has been included under "economic and social development" heading, which is one of the five objectives of Danish development co-operation for 2004-08.

In the area of trade policy, Denmark is focusing its efforts in the following three general directions:

- 1) Supporting the participation of developing countries in international trade negotiations. This includes help for defining national priorities and developing negotiation strategies in relation to the WTO and other negotiations (e.g. the Economic Partnership Agreements between the ACP countries and the EU). In Denmark's view the task of helping developing countries participate effectively in international trade negotiations is best handled by multilateral organisations, and it accordingly provides assistance to this end, both in the WTO negotiations and in the ACP-EU negotiations over EPAs.
- 2) Support for capacity building within government, the private sector and civil society with the aim of strengthening the capacity of partner countries to comply with and implement international trade agreements. Denmark will increase its support for this

type of work through continued contributions to the General Trust Fund of the WTO. Bilateral support will also be granted in support of capacity development and implementation of agreements in developing countries.

- 3) Promotion of access to existing and future markets. Denmark will support reforms and other initiatives in the developing countries designed to enable them to benefit from market access. These efforts will be based on the Poverty Reduction Strategy (PRS) and designed in dialogue with partner governments.

The Danish Government intends to initiate a process in which the question of policy coherence will be given top priority in both Denmark and in the EU and which will emphasise identification of practical solutions.

6.2 Institutional structure

The decentralisation of the assistance, together with a greater emphasis on donor coordination and harmonisation, has significantly reduced the need for personnel assistance, whereby Denmark has obtained a substantial efficiency gain.

With additional initiatives such as the untying of Danish aid, Denmark has managed to free a substantial amount of resources to new concrete initiatives in the developing countries.

6.3 Main channels for TCB interventions

Denmark's development assistance is focused on a selected number of developing countries (so-called programme countries). Complementarily to its bilateral and multilateral interventions in the area of TCB (see below), Denmark has launched in 2004 the Nordic Africa Initiative together with the 4 other Nordic countries (Finland, Iceland, Norway and Sweden. The main purpose of this TRTA/CB activity is to increase the understanding of how African interests can be accommodated by the active and constructive participation of all WTO members in the Doha Development Round.

Bilateral interventions

The direction and specific contents of Danish bilateral assistance in the field of trade and development will be determined in a dialogue with partner countries and on the basis of the outcome of an analysis of their needs. In the short to medium term, the main emphasis will be on 15 selected 'programme' countries. Initiatives include a strong bias towards trade development and integration of national Poverty Reduction Strategies (PRS).

In relation to the three levels of intervention identified above, strengthening of partner countries' ability to participate in international negotiations and implement trade agreements is supported bilaterally to the extent that Denmark has a comparative advantage vis-à-vis other international actors.

The emphasis in the broad field of trade is on trade development rather than TCB. The Government continues and strengthen the separate, targeted efforts within trade and development introduced with the Budget for 2003 by another DKK 75 million from 2004 to 2008. Many bilateral TRTA/CB programmes relate to the development of the private sector. These activities include:

- the *Private Sector Development Programme*, supporting the establishment of long-term partnerships between Danish companies and companies in developing countries; and
- the *Danish Import Promotion Office for Products from Developing Countries* (DIPO).

DIPO seminars and workshops are primarily held in developing countries with the purpose of introducing concepts of export marketing and provide information about the Nordic market. From 1990-1998, between one and nine seminars or workshops have been held annually in developing countries of which 38% have taken place in LDC's, usually in collaboration with other Nordic IPO's.

In addition, Denmark provides general support for trade-related reforms and encourages the integration of the trade aspect in broader bilateral sector programmes.

Over the five-year period 2004-2008 the Government will accord priority to the separate, special efforts in favour of free trade and market-based economic growth to the tune of more than DKK 200 million in total¹⁹. However this remains a small share of total DANIDA assistance that was budgeted at some DKK 10 billion in 2003²⁰.

Multilateral interventions

The government has actively supported implementation of the pilot phase of the Integrated Framework (IF) and worked for the establishment of a co-ordinated and internationally supported framework for the integration of the trade dimension into the poverty reduction strategies of the least developed countries.

Denmark is a strong advocate of improved co-ordination and co-operation between agencies, based on their respective mandates and competencies. The mandates of the multilateral organisations, their key competencies and their ability to produce results are taken into account when deciding on its financial contributions. Responsibility for EU trade policy is predominantly a community matter. Denmark's success in advocating a development-friendly trade policy in the EU is therefore dependent on its ability to influence the debate within the Union. Denmark was one of the staunchest supporters of an all-inclusive EBA scheme, i.e. without transitional agreements on rice, bananas and sugar.

¹⁹ Danish Ministry of Foreign Affairs, *A world of Difference: the Government's Vision for New Priorities in Danish Development Assistance, 2004-2008*, June 2003.

²⁰ DANIDA Annual Report, 2002 :

<http://www.um.dk/Publikationer/Danida/English/DanishDevelopmentCooperation/AnnualReport2002/hcle.pdf>

7. Germany

7.1 Policy priorities

Development Priorities

Germany's development policy²¹ is aligned on the MDGs; Germany's cooperation policy aims to contribute to the global objectives of fighting against poverty, hunger and illness; provision of education; promotion of democracy, peace, human rights and equality of opportunity; and protection of the environment and natural resources.

Three particular objectives are put into the forefront in the German development policy:

- Fight against poverty
- Shaping globalisation
- Ensuring peace.

TRA Priorities

TRTA/CB is delivered on demand of developing countries as part of activities in the field of "economic development and employment", one of the priority areas of Germany's ODA.

Germany emphasizes the importance of embedding developing countries' trade policies in comprehensive national development and poverty reduction strategies. German TRTA/CB's longer-term aim is to reduce poverty by integrating developing countries into the global economy, enabling the latter to fully benefit from the advantages of globalization, while being able to respond to its risks effectively. In order to achieve that, Germany's trade-related development programmes aim to strengthen developing countries' capacity to:

- negotiate multilateral trade agreements and improve the chances of a more equitable design of trade rules;
- implement existing international trade rules, in order to achieve the greatest possible benefit for their national economies and for sustainable development;
- trade, through improved competitiveness, in order to foster better use of new and existing opportunities for market access.

Germany also highlights the importance of coherence between OECD development and trade policies. It provides developing countries advice and information on the importance and potential effects of the dismantling of barriers and subsidies in industrialised countries.

²¹ See Germany's Ministry of cooperation and development on www.bmz.de.

7.2 Institutional structure

The German Ministry for Economic Co-operation and Development (BMZ) supervises all planned and ongoing activities. Projects are generally implemented by German Technical Cooperation Agency GTZ, or by specialized agencies such as the German Metrology Institute (PTB) -if pertaining to technical assistance related to TBT; the state-owned development bank KfW- if pertaining to support for SME financing, and InWent- if pertaining to training on trade-related issues.

The Deutsche Gesellschaft für Technische Zusammenarbeit (GTZ)²² GmbH is an international cooperation enterprise for sustainable development with worldwide operations. It provides viable, forward-looking solutions for political, economic, ecological and social development in a globalised world. GTZ promotes complex reforms and change processes, often working under difficult conditions. Its corporate objective is to improve people's living conditions on a sustainable basis.

GTZ works mainly for the German Federal Government., its main client being the BMZ. Currently, GTZ is implementing some 2,700 development projects and programmes in over 130 countries in 67 of which GTZ has offices. In 2003 GTZ's turnover was almost 900 million euro, employing circa 10,000 employees, of which some 1,000 people employed at the Head Office.

GTZ's main focus in international cooperation is on so-called Technical Cooperation which, far from being centred on transferring technical knowledge, involves primarily communicating knowledge that enables people to shape their present and future on their own. This approach, aiming for sustainability, relies on strengthening individual initiative and the capabilities of people and organisations, and laying the basis for stable development including for future generations. GTZ's development projects and programmes cover a wide range of themes and tasks, ranging from advising the government in Tajikistan, to vocational training in Argentina, to protecting the tropical forest in Indonesia or to preventing AIDS in Kenya.

The GTZ was established in 1975. It is organised as a private company owned by the German Federal Government. We work on a public benefit basis, using all funds generated as profits exclusively for projects in international cooperation.

7.3 Main channels for TCB interventions

Bilateral interventions

GTZ's bilateral *Trade Programme* –which aims to better integrate trade-related issues into German development cooperation (see below)- focuses on 2 main components:

²² Source: <http://www.gtz.de/en/unternehmen/1698.htm>

- *agricultural trade*: This component aims at improving concepts, methodology and instruments for TRTA/CB in the agricultural sector and at strengthening their integration into development cooperation projects, the strategies and programmes of partner countries and the work of the BMZ;
- *trade policy and trade and investment promotion (2003-05)*: The goal of this component is to develop innovative approaches and tools for institutional support for trade policy formulation and formulation and execution of trade and investment promotion strategies oriented towards poverty alleviation.

GTZ's bilateral Trade Programme is supported by BMZ's "Monterrey Fund" (€5 million), set up to support trade of partner countries. Yet it is interesting to note that many TRTA/CB activities are a component in larger bilateral sectoral programmes (such as private sector and agricultural programmes). LDCs are given priority.

Multilateral interventions

Germany works with multilateral organisations and multidonor frameworks, such as ITC, UNCTAD, JITAP and the IF. Germany also contributes to the DDA Trust Fund.

8. Sweden

8.1 Policy priorities

Development Priorities

The Swedish development cooperation programme stresses the overall objective of contributing to eradicating poverty in the world. To do this, economic growth and a more equitable distribution of resources are identified as essential goals.

Sweden's engagement is a component in global cooperation. By approving the Millennium Development Goals (MDGs), the international community has agreed to work together to eradicate poverty in the world. Sweden is active in the evolution of international cooperation on major development issues. The goals and norms that have taken shape at the UN conferences are also well in line with SIDA's policy for global development. Its starting point is the opportunities offered by globalisation to improve the living conditions of poor people.

SIDA administers and channels most of Sweden's international development cooperation. In addition, SIDA is responsible for a large part of Sweden's cooperation with countries in Central and Eastern Europe.

TRA Priorities

Swedish trade policy emphasizes the importance for the poorest countries of international negotiations on trade in services. The General Agreement on Trade in Services, held under the auspices of the WTO, is complicated and considerable expertise is required to interpret

the implications and effects of the various proposed agreements. SIDA is providing a contribution that aims at strengthening the possibilities available to developing countries, particularly the least developed countries, for pursuing their interests in the negotiations on services. In this context, SIDA's support to South Center (an intergovernmental developing country organisation based in Geneva) specifically aims to help developing countries obtain expert advice and other forms of assistance, for example for preparing their own proposals or analysing those made by the developed countries.

The Swedish National Board of Trade also puts particular emphasis on trade facilitation²³, a concept directed towards reducing the complexity and cost of the trade transaction process and improving the trading environment in individual countries. Swedish cooperation in this area stresses the necessity for all countries to work in the same direction, within a WTO framework.

8.2 Institutional structure

SIDA, the Swedish International Development Cooperation Agency, is a government agency that reports to the Ministry for Foreign Affairs. In August 2004 SIDA had 769 employees of whom 165 were working abroad usually at one of SIDA's approximately 40 offices in the partner countries.

The Swedish Government appoints SIDA's Director General and board. The Director General is chairman of the board which has eleven members. They represent political parties, trade and industry, the trade unions and organisations working with international development cooperation.

The government appoints the members of SIDA's board and SIDA's director general. SIDA is responsible for most of Sweden's contributions to international development cooperation. In 2004, the contributions amounted in total to SEK 21 751 millions.

The goal of SIDA's work is to improve the standard of living of poor people and, in the long term, to eradicate poverty.

8.3 Main channels for TCB interventions

The overarching aim of SIDA's development cooperation with Africa is to combat poverty. SIDA is involved in a wide range of initiatives in the individual countries, including the following:

- **Economic cooperation:** The countries of Africa have a marginalised position in the world market. Harmonisation of customs and trade regulations would make it easier for these countries to trade more with one another. SIDA is working in a number of ways to help the countries of Africa to play more of a part in the global economy, partly by providing support to the West African organisation Ecowas.

²³ Source: Sweden National Board of Trade, Trade Facilitation Discussion paper for high-level seminar Tanzania, 24-25 November 2004.

- **Regional development cooperation:** In SIDA's strategy for regional development cooperation certain issues can be identified that must be addressed at regional level, for example conflict prevention and conflict management, economic cooperation and integration, common infrastructure and natural resources. In other areas, for example health and education, regional support can be an important complement to local and national initiatives. In recent years various African cooperation organisations have expressed to an increasing degree the importance of African responsibility and ownership. This goes hand in hand with development cooperation, based on the concept of partnership, which involves recipients of aid taking responsibility for their own development.
- **Collaborating organisations:** There are a number of Pan-African organisations that cooperate in various ways. Bodies such as NEPAD also receive Swedish support. NEPAD was launched at the initiative of South Africa, among others, and develops programmes in both political and economic areas. There are also a number of independent organisations that cooperate in various regional networks. These constitute an important resource which complements the work of national players. Examples of such networks receiving Swedish support are Codesria in the field of research (see above), MISA (the Media Institute of Southern Africa), which works for the development of an independent press in southern Africa, and AMREF (the African Medical Research Foundation), which works with spreading knowledge on policy and practice in healthcare.

Annex 6 - Overview of TCB activities of the Commission and the Member States (2001-2003)

Contents:

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This annex contains information extracted from the Doha Development Agenda Trade Capacity Building Data Base (TCBDB)¹. This database was established jointly by the WTO and the OECD. It provides quantitative information on trade-related technical assistance and capacity building (TRTA/CB) projects supported by bilateral donors and multilateral or regional agencies, in favour of developing countries or regions. It identifies recipient, funding country or agency, implementing country or agency and the category of TRTA/CB activities of 42 bilateral and multilateral donor agencies. It also identifies donors' contribution to TCB Trust Funds (ITC, JITAP, Integrated Framework Trust Fund, WTO Trust Funds).

The Doha Development Agenda TCBDB identifies two main categories of TCB:

Trade Policy and Regulations covers support to aid recipients' effective participation in multilateral trade negotiations, analysis and implementation of multilateral trade agreements, trade policy mainstreaming and technical standards, trade facilitation including tariff structures and customs regimes, support to regional trade arrangements and human resources development in trade.

Trade Development covers business development and activities aimed at improving the business climate, access to trade finance, and trade promotion in the productive sectors (agriculture, forestry, fishing, industry, mining, tourism, services), including at the institutional and enterprise level.

Activities to enhance the infrastructure necessary for trade - transport, storage, communications and energy - are *excluded* from the annual TCBDB data collection.

Source: 2004 Joint WTO/OECD Report on Trade-Related Technical Assistance and Capacity Building.

¹ Doha Development Agenda Trade Capacity Building Database (TCBDB): <http://tcbdb.wto.org>

This annex presents information extracted from this database, with a view to stressing the specificities of the Commission and its MS support within the international support for TRTA/CB. In its final section, this annex details the 12 tables produced and their content. They all cover the period 2001-2003.

1. Importance of Commission and MS TCB in total TCB²

Tables A to C - Donors' TRTA/CB Commitments from 2001 to 2003

	Trade Policy and Regulations	Trade Development	Contributions to TCB Trust Funds ³	TOTAL COMMITMENTS ON TRTA/CB
Table A				
<i>Amount (US\$ Million)</i>				
Commission	979	1 392	2	2 373
Member States	171	851	52	1 073
<i>Total European Union</i>	<i>1 150</i>	<i>2 243</i>	<i>53</i>	<i>3 446</i>
Other donors	1 158	2 191	55	3 404
TOTAL COMMITMENTS ON TRTA/CB	2 308	4 434	108	6 850
Table B				
<i>% Donor per type of intervention</i>				
Commission	42.4%	31.4%	1.4%	34.6%
Member States	7.4%	19.2%	47.9%	15.7%
<i>Total European Union</i>	<i>49.8%</i>	<i>50.6%</i>	<i>49.3%</i>	<i>50.3%</i>
Other donors	50.2%	49.4%	50.7%	49.7%
TOTAL COMMITMENTS ON TRTA/CB	100%	100%	100%	100%
Table C				
<i>% Type of intervention per donor</i>				
Commission	41.3%	58.7%	0.1%	100%
Member States	15.9%	79.3%	4.8%	100%
<i>Total European Union</i>	<i>33.4%</i>	<i>65.1%</i>	<i>1.5%</i>	<i>100%</i>
Other donors	34.0%	64.4%	1.6%	100%
TOTAL COMMITMENTS ON TRTA/CB	33.7%	64.7%	1.6%	100%

Source: Table 1 (data extracted from the Doha Development Agenda TCBDDB).

Tables A to C above present a synthesis of the TCB commitments of the Commission, its Members States and other donors for years 2001-2003. The main messages emerging from these tables and from Table 1 are set out below.

² Based on tables 1 and 3.

³ Contributions to TCB trust funds include ITC, JITAP, Integrated Framework Trust Fund, WTO Trust Funds.

- Importance of the EU contribution to TCB:

The EU accounts for more than one-half of the total donors' contribution to TCB activities (US\$ 3 404 million out of a total of US\$ 6 850 million). Within the EU, the Commission is the major contributor: its total commitments on TCB represent two-thirds of the EU TCB budget (US\$ 2 373 million), the remaining one-third being committed by its MS. Among the EU MS, the major contributors are Germany (US\$ 255.6 million committed in TCB from 2001 to 2003), France (US\$ 228.3 million committed) and the United Kingdom (US\$ 200.2 million committed).

- Participation in multilateral TCB trust funds:

Total donor contribution to TCB trust funds represents 1.6% of overall TCB commitments. The EU's allocations are in line with this trend (1.5% of the EU TCB budget is allocated to TCB trust funds). However, the respective foci of the MS and the Commission in this category vary: the MS allocate 4.8% of their TCB budget to TCB Trust Funds (US\$ 52 million), while only 0.1% of the Commission's TCB support is channelled in this way (US\$ 2 million).

- Distribution of TCB interventions:

The donor community overall and the EU in particular support Trade Policy and Regulations and Trade Development in a similar manner (these two activities have respectively absorbed one-third and two-thirds of their TCB commitments). However, within the EU the MS put a stronger focus on Trade Development (almost 80% of their TCB budget) while the Commission presents a more even approach (58.7% of its TCB budget is allocated to Trade Development, 41.3% to Trade Policy and Regulations).

2. Main focus of TCB interventions of the Commission and the MS

Table 2 gives details on the categories of TCB classified under Trade Policy and Regulations. Table 3 puts an emphasis on specific MS contributions to TCB categories.

From these tables, two trends reveal the MS' approaches:

- The United Kingdom, the Netherlands and Sweden are characterised by commitments to a wide range of TCB categories. For example, notwithstanding the United Kingdom's strong emphasis on the "business support services and institutions" category, its budget represents only 36.3% of its overall TCB commitments.
- For other countries such as Germany, France or Belgium the strategy is characterised by a stronger focus on specific TCB categories. As an example, 53.7% of the French TCB budget is accounted for by the category "trade promotion strategy and implementation".

The Commission and its MS are also distinguished by different focal interventions, which suggests some form of complementarity:

- Under the item Trade Policy and Regulations, the MS obviously focus on “trade mainstreaming in PRSPs/development plans” and on “training in trade negotiation techniques”. For these two categories, cumulated MS commitments are greater than the Commission’s commitments (see Table 2). Under the item Trade Development, the MS’ total commitments for “public-private sector networking” are US\$ 42 million, compared with just US\$ 90 000 committed by the Commission (see Table 3).
- On the other hand the Commission puts particular emphasis on “SPS measures”, representing 12.9% of its TCB budget for the period, while the MS only contribute 3.3% of their budget to this category for. For “regional trade agreements” (26.4% of the Commission’s budget; 2.9% of MS commitments), the Commission has obviously built on its own experience as a major donor in this area.

Finally, Table 3 shows that for some categories both the Commission and its MS have developed a support strategy:

- The Commission and the MS have committed comparable amounts in “trade-related intellectual property rights (TRIPS)” and in “trade education/training”.
- Moreover both the Commission and the MS provide important support to “trade promotion strategy and implementation” (respectively US\$ 325 million and US\$ 284 million, with particularly strong support from France), to “trade finance” (respectively US\$ 311 million and US\$ 269 million, with strong support from Germany), and to “business support services and institutions” (respectively US\$ 594 million and US\$ 184 million, with notable support from the United Kingdom).

3. Distribution of TCB Commitments by beneficiary regions

Tables 4, 4A and 4B present the distribution of donors’ TCB commitments by beneficiary region. It must be noted at the outset that these figures extracted for the Doha Development Agenda TCBDB include important amounts classified as “unspecified”, and identified in the tables as “other regions or unspecified”. These figures could potentially include commitments for other regions; therefore findings have to be taken with caution.

The Commission’s and MS’ contributions to TCB focuses mainly on three regions⁴: Asia (17.8% of the EU TCB commitments from 2001 to 2003), Sub-Saharan Africa (SSA: 16.8%) and North Africa (11.8%). While the Commission focuses mainly on Asia (16% of its total TCB commitments), its Member States put a stronger emphasis on SSA (26.8% of their TCB commitment; 12.5% for the Commission)⁵. Individual MS contributions are however allocated in various ways: Portugal, Denmark, Austria and the United Kingdom focus their TCB activities on SSA, while other MS cover a larger geographical range.

⁴ Contribution to TCB Trust Funds non-included, see Table 4B.

⁵ In particular, 74.4% of the MS support to “trade facilitation” is provided to SSA; this region also captures 40.7% of the MS commitments for “regional trade agreements”.

For SSA, North Africa and for Oceania, the EU is also the main TCB contributor: it provides 42.2% of total TCB commitments to SSA, 55.3% to North Africa, 60.4% to Oceania and 37.8% to Asia (see Table 4A).

No TCB was provided by the MS to Oceania between 2001 and 2003. The only support identifiable from the EU is a US\$ 11.7 million Commission commitment to “regional trade agreements”. As regards the ACP countries targeted in this evaluation, particular attention should be given to the SSA region; two main findings emerge from the analysis of Commission and MS TCB support to this region:

- The European Union rarely takes the lead in donors’ TCB support to SSA (exception for “regional trade agreements” where the Commission represents 60.5% of the donors support to “South of Sahara”). EU support to SSA is particularly low in terms of “trade facilitation” (15.5% of total donor support to the region) and more generally in Trade Policy and Regulations (25.9% of donor support).
- TCB provided by the Commission and the MS in SSA is characterised by enormous disparities in preferred TCB categories. Support for “technical standards”, for “multilateral trade negotiations and agreements” and (to a greater extent) for “regional trade agreements” emphasis strong focus of the Commission and lesser concentration of the MS. As opposed to that, the MS support to “trade facilitation” in SSA represents 14.2% of the donor support to the region, compared with only 1.3% for the Commission.

4. Content of the tables

- **Table 1 – Total TRTA/CB commitments:**

Table 1 presents the contribution of major Member States, of the Commission and of other bilateral and multilateral donors to the three main TCB categories (Trade Policy and Regulations, Trade Development and TCB Trust Funds).

- The comparative budget allocated by each individual donor to each TCB category is detailed in column “% *Type of intervention per donor*”. As an example, Austria committed US\$’000 654 between 2001 and 2003 for Trade Policy and Regulations: this budget represents 26.1% of its all TCB commitments between 2001 and 2003.
- The comparative weight of each donor in a TCB category is detailed in columns “% *Donor per type of intervention*”. Taking the same example, the budget Austria committed for Trade Policy and Regulations represents 0.03% of the overall amount committed by the donor community for Trade Policy and Regulations.

- **Table 2 – Commitments on Trade Policy and Regulations:**

Table 2 focuses on the main category Trade Policy and Regulations, with detailed data for each of the sub-categories it contains. The table identifies contributions from the EU Member States, the Commission and other donors.

- *Reading example:* the EU Member States have committed US\$’000 72.610 for “Trade mainstreaming in PRPSs/development plans” from 2001 to 2003, which represents 23.4% of the overall contribution to this category, and 42.2% of the EU MS’ contribution to Trade Policy and Regulations.

▪ **Table 3 – TRTA/CB commitments for significant EU Member States:**

Table 3 provides, for selected EU Member States, detailed information on their contributions to specific Trade Policy and Regulations and Trade Development categories. The aim is also to identify their weight in the total MS contribution to TCB and to compare the scope of their TCB activities with those the other MS and of the Commission.

- *Reading example:* under the main category Trade Policy and Regulations, Belgium has committed US\$'000 2.054 for “Trade mainstreaming in PRPSs/development plans”, from 2001 to 2003. This budget represents 2.8% of the total MS contribution to this category, and 2.6% of the Belgian contribution to TCB activities.

▪ **Table 4 – Regional distribution of TRTA/CB commitments**

▪ **Table 4A – Regional distribution of TRTA/CB commitments, geographic weight of each donor by TCB category**

▪ **Table 4B – Regional distribution of TRTA/CB commitments, weight of each region in the donor's budget allocated for a specific TCB category**

Tables 4, 4A and 4B present the distribution of donors' TCB commitments by beneficiary region. It details contributions from the MS, the Commission and from other bilateral and multilateral donors.

- *Reading example for Table 4:* from 2001 to 2003, Belgium has committed a total of US\$'000 3.828 for Trade Policy and Regulations, including US\$'000 121 for Southern Sahara (SSA), US\$'000 68 for Northern Africa, US\$'000 95 for South America, US\$'000 61 for Asia and US\$'000 3.483 classified as “other regions or unspecified”⁶.
- *Reading example for Table 4A – geographic weight of each donor by TCB category:* From 2001 to 2003 Belgium's commitments to Trade Policy and Regulations has represented 0.2% of total donor support to this main TCB category. More specifically, its contribution to Trade Policy and Regulations for SSA represents 0.04% of donor commitments to the region on Trade Policy and Regulations.
- *Reading example for Table 4B – weight of each region in the donor's budget allocated for a specific TCB category:* from 2001 to 2003, Belgium's budget for Trade Policy and Regulations was allocated to the tune of 3.2% for SSA, and 1.8% to North Africa...

▪ **Table 5 – TRTA/CB commitments on Training in trade negotiation techniques:**

⁶ It must be noticed that under these tables 4, 4A and 4B, figures extracted for the Doha Development Agenda TCBD include important amounts classified as “unspecified”, and identified in the tables as “other regions or unspecified”. These figures could potentially include commitments for other regions; therefore findings have to be taken with caution.

▪ ***Table 5A – TRTA/CB commitments on Training in trade negotiation techniques for selected beneficiaries.***

Tables 5 and 5A provide information on donor contributions to the TCB category “Training in Trade negotiation techniques”. This category has been selected by the evaluation team as one of the two focal TCB categories, along with “SPS measures”. Information is detailed by region and sub-region.

- *Reading example for Table 5:* under the TCB category “Training in Trade negotiation techniques”, the United Kingdom committed US\$’000 480 for SSA between 2001 and 2003. This budget contributes to the US\$’000 3.217 British contribution to Africa in this category and to the US\$’000 5.819 British contribution totally committed for the category.
- Table 5B provides the same information on TCB category “Training in Trade negotiation techniques”, for a selection of 7 countries.

▪ **Table 6 – TRTA/CB commitments on SPS measures**

▪ ***Table 6A – TRTA/CB commitments on SPS measures for selected beneficiaries***

Tables 6 and 6A provide the same information as tables 5 and 5A, for the TCB category “SPS measures”. Please refer to Tables 5 and 5A for reading examples.

▪ **Table 7 – TRTA/CB commitments to Tanzania:**

Finally, Table 7 provides detailed information on donor commitments to TCB in Tanzania between 2001 and 2003. Please refer to table 3 for reading examples.

TABLE 1 TRTA/CB COMMITMENTS 2001, 2002, 2003	TRADE POLICY AND REGULATIONS			TRADE DEVELOPMENT			CONTRIBUTION TO TCB TRUST FUNDS (ITC, JITAP, Integrated Framework Trust Fund, WTO Trust Funds)			TOTAL COMMITMENTS ON TRTA/CB by donor		
	Amount (US\$ thousands)	% Type of intervention per donor	% Donor per type of intervention	Amount (US\$ thousands)	% Type of intervention per donor	% Donor per type of intervention	Amount (US\$ thousands)	% Type of intervention per donor	% Donor per type of intervention	Amount (US\$ thousands)	% Type of intervention per donor	% Donor per type of intervention
Austria	654	26,1%	0,03%	1 430	57,2%	0,03%	418	16,7%	0,39%	2 502	100%	0,04%
Belgium	3 828	4,9%	0,2%	72 314	93,2%	1,6%	1 436	1,9%	1,3%	77 578	100%	1,1%
Czech Republic	25	5,4%	0,001%	428	92,0%	0,010%	12	2,6%	0,011%	465	100%	0,007%
Denmark	403	0,7%	0,02%	52 944	87,9%	1,19%	6 862	11,4%	6,37%	60 209	100%	0,88%
Finland	7 042	30,7%	0,3%	13 523	58,9%	0,3%	2 403	10,5%	2,2%	22 968	100%	0,3%
France	19 921	8,7%	0,9%	204 102	89,4%	4,6%	4 273	1,9%	4,0%	228 296	100%	3,3%
Germany	21 915	8,6%	0,9%	228 111	89,2%	5,1%	5 578	2,2%	5,2%	255 605	100%	3,7%
Greece	392	73,5%	0,02%	67	12,6%	0,00%	74	13,9%	0,07%	533	100%	0,01%
Ireland	226	12,8%	0,01%	196	11,1%	0,00%	1 347	76,1%	1,25%	1 769	100%	0,03%
Italy	1 356	8,3%	0,1%	11 940	73,0%	0,3%	3 050	18,7%	2,8%	16 346	100%	0,2%
Luxembourg	56	10,8%	0,002%	286	55,1%	0,006%	177	34,1%	0,164%	519	100%	0,008%
Netherlands	19 498	14,6%	0,8%	103 853	77,8%	2,3%	10 050	7,5%	9,3%	133 401	100%	1,9%
Portugal	170	0,9%	0,01%	18 142	99,1%	0,41%	0	0,0%	0,0%	18 312	100%	0,27%
Spain	4 699	48,2%	0,2%	4 406	45,2%	0,1%	638	6,5%	0,6%	9 743	100%	0,1%
Sweden	19 146	43,3%	0,8%	15 104	34,1%	0,3%	10 003	22,6%	9,3%	44 253	100%	0,6%
United Kingdom	71 217	35,6%	3,1%	123 823	61,8%	2,8%	5 236	2,6%	4,9%	200 276	100%	2,9%
Total EU Member States	170 550	15,9%	7,4%	850 669	79,3%	19,2%	51 577	4,8%	47,9%	1 072 797	100%	15,7%
European Commission	979 474	41,3%	42,4%	1 392 198	58,7%	31,4%	1 561	0,1%	1,4%	2 373 233	100%	34,6%
Total EU (European Commission + EU Member States)	1 150 025	33,4%	49,8%	2 242 867	65,1%	50,6%	53 138	1,5%	49,3%	3 446 029	100%	50,3%
Bilateral Non-EU countries	784 839	29,5%	34,0%	1 829 292	68,8%	41,3%	44 809	1,7%	41,6%	2 658 940	100%	38,8%
Total Bilateral	955 389	25,6%	41,4%	2 679 961	71,8%	60,4%	96 386	2,6%	89,5%	3 731 736	100%	54,5%
Multilateral Non-European Commission	372 703	50,1%	16,2%	362 173	48,6%	8,2%	9 751	1,3%	9,1%	744 628	100%	10,9%
Total Multilateral	1 352 178	43,4%	58,6%	1 754 371	56,3%	39,6%	11 312	0,4%	10,5%	3 117 860	100%	45,5%
Multiple donors	26 679	41,9%	1,2%	37 042	58,1%	0,8%	/	/	/	63 721	100%	0,9%
TOTAL TRTA/CB COMMITMENTS	2 307 567	33,7%	100%	4 434 332	64,7%	100%	107 698	1,6%	100%	6 849 597	100%	100%

Source: Joint OECD & WTO Doha Development Agenda Trade Capacity Building Database (TCBDB) <http://tcbdb.wto.org>

JOINT EVALUATION OF CO-ORDINATION OF TRADE CAPACITY BUILDING IN PARTNER COUNTRIES
EVALUATION STUDIES UNDER THE 3CS INITIATIVE

TABLE 2 COMMITMENTS ON TRADE POLICY AND REGULATIONS 2001, 2002, 2003	European Union									Other Donors			TOTAL TRADE POLICY AND REGULATIONS		
	EU Member States			European Commission			European Commission + Member States			Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor
	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor						
33111 - Trade mainstreaming in PRSPs/development plans	72 610	23,4%	42,2%	60 818	19,6%	6,2%	133 428	42,9%	11,6%	177 426	57,1%	15,3%	310 854	100%	13,5%
33112 - Technical barriers to trade (TBT)	8 261	8,3%	4,8%	70 258	70,6%	7,2%	78 520	78,9%	6,8%	21 007	21,1%	1,8%	99 527	100%	4,3%
33113 - Sanitary and phytosanitary measures (SPS)	5 687	2,9%	3,3%	126 578	64,3%	12,9%	132 265	67,2%	11,5%	64 564	32,8%	5,6%	196 829	100%	8,5%
TOTAL Technical Standards	13 948	4,7%	8,1%	196 836	66,4%	20,1%	210 784	71,1%	18,3%	85 571	28,9%	7,4%	296 355	100%	12,8%
33121 - Trade facilitation procedures	26 796	4,1%	15,6%	294 389	45,1%	30,1%	321 185	49,2%	27,9%	332 142	50,8%	28,7%	653 327	100%	28,3%
33122 - Customs valuation	1 580	4,1%	0,9%	4 769	12,4%	0,5%	6 349	16,6%	0,6%	32 002	83,4%	2,8%	38 351	100%	1,7%
33123 - Tariff reforms	47	4,0%	0,0%	28	2,4%	0,0%	75	6,5%	0,0%	1 090	93,5%	0,1%	1 165	100%	0,1%
TOTAL Trade Facilitation	28 423	4,1%	16,5%	299 186	43,2%	30,5%	327 610	47,3%	28,5%	365 233	52,7%	31,6%	692 843	100%	30,0%
33130 - Regional trade agreements (RTAs)	4 907	1,4%	2,9%	259 063	71,8%	26,4%	263 970	73,1%	22,9%	96 972	26,9%	8,4%	360 942	100%	15,6%
33141 - Accession	3 176	5,7%	1,8%	25 797	46,2%	2,6%	28 973	51,8%	2,5%	26 909	48,2%	2,3%	55 882	100%	2,4%
33142 - Dispute settlement	3 955	52,0%	2,3%				3 955	52,0%	0,3%	3 655	48,0%	0,3%	7 609	100%	0,3%
33143 - Trade-related intellectual property rights (TRIPS)	6 899	18,6%	4,0%	8 690	23,4%	0,9%	15 589	42,1%	1,4%	21 473	57,9%	1,9%	37 062	100%	1,6%
33144 - Agriculture	709	3,1%	0,4%	5 015	21,7%	0,5%	5 724	24,7%	0,5%	17 431	75,3%	1,5%	23 155	100%	1,0%
33145 - Services	1 994	7,1%	1,2%	13 544	48,0%	1,4%	15 539	55,1%	1,3%	12 659	44,9%	1,1%	28 198	100%	1,2%
33146 - Tariff negotiations - non-agricultural market access	452	3,6%	0,3%				452	3,6%	0,0%	12 129	96,4%	1,0%	12 582	100%	0,5%
33147 - Rules				8 965	72,9%	0,9%	8 965	72,9%	0,8%	3 333	27,1%	0,3%	12 297	100%	0,5%
33148 - Training in trade negotiation techniques	11 491	38,6%	6,7%	5 095	17,1%	0,5%	16 586	55,7%	1,4%	13 204	44,3%	1,1%	29 790	100%	1,3%
33151 - Trade and environment	5 922	4,1%	3,4%	56 057	39,0%	5,7%	61 979	43,1%	5,4%	81 730	56,9%	7,1%	143 709	100%	6,2%
33152 - Trade and competition	1 022	1,0%	0,6%	4 253	4,2%	0,4%	5 276	5,3%	0,5%	95 116	94,7%	8,2%	100 392	100%	4,4%
33153 - Trade and investment	4 137	15,2%	2,4%	12 720	46,6%	1,3%	16 857	61,8%	1,5%	10 421	38,2%	0,9%	27 278	100%	1,2%
33154 - Transparency and government procurement	326	2,9%	0,2%	2 601	22,9%	0,3%	2 927	25,7%	0,3%	8 452	74,3%	0,7%	11 379	100%	0,5%
TOTAL Multilateral trade negotiations & agreements	40 083	8,2%	23,3%	142 739	29,2%	14,6%	182 822	37,4%	15,9%	306 512	62,6%	26,5%	489 333	100%	21,2%
33181 - Trade education/training	12 078	7,7%	7,0%	20 832	13,2%	2,1%	32 910	20,9%	2,9%	124 329	79,1%	10,8%	157 239	100%	6,8%
TOTAL COMMITMENTS ON TRADE POLICY AND REGULATIONS	172 050	7,5%	100%	979 474	42,4%	100%	1151 524	49,9%	100%	1156 043	50,1%	100%	2307 567	100%	100%

Source: Joint OECD & WTO Doha Development Agenda Trade Capacity Building Database (TCBDB) <http://tcdbd.wto.org>

TABLE 3 TRTA/CB COMMITMENTS SIGNIFICANT EU COUNTRIES 2001, 2002, 2003	Belgium			Denmark			France			Germany		
	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor
TRADE POLICY AND REGULATIONS	3 828	2,2%	4,9%	403	0,2%	0,7%	19 921	11,6%	8,7%	21 915	12,7%	8,6%
33111 - Trade mainstreaming in PRSPs/development	2 054	2,8%	2,6%	76	0,1%	0,1%	11 817	16,3%	5,2%	16 318	22,5%	6,4%
33112 - Technical barriers to trade (TBT)				13	0,2%	0,0%	714	8,6%	0,3%	115	1,4%	0,0%
33113 - Sanitary and phytosanitary measures (SPS)							324	5,7%	0,1%	119	2,1%	0,0%
Total Technical Standards				13	0,1%	0,0%	1 038	7,4%	0,5%	234	1,7%	0,1%
33121 - Trade facilitation procedures							3 403	12,7%	1,5%	188	0,7%	0,1%
33122 - Customs valuation							30	1,9%	0,0%			
33123 - Tariff reforms				45	9,4%	0,1%	2	3,6%	0,0%			
Total Trade Facilitation				45	0,2%	0,1%	3 435	12,1%	1,5%	188	0,7%	0,1%
33130 - Regional trade agreements (RTAs)	68	1,4%	0,1%	35	0,7%	0,1%	12	0,2%	0,0%	4 037	82,3%	1,6%
33141 - Accession												
33142 - Dispute settlement												
33143 - Trade-related intellectual property rights (TRIPS)							1 508	21,9%	0,7%			
33144 - Agriculture												
33145 - Services												
33146 - Tariff negotiations - non-agricultural market access												
33147 - Rules												
33148 - Training in trade negotiation techniques												
33151 - Trade and environment				6	0,1%	0,0%				836	14,1%	0,3%
33152 - Trade and competition												
33153 - Trade and investment							144	3,5%	0,1%	255	6,2%	0,1%
33154 - Transparency and government procurement												
Total Multilateral trade negotiations & agreements				6	0,0%	0,0%	1 652	4,1%	0,7%	1 091	2,7%	0,4%
33181 - Trade education/training	1 706	14,1%	2,2%	228	1,9%	0,4%	1 967	16,3%	0,9%	47	0,4%	0,0%
TRADE DEVELOPMENT	72 314	8,5%	93,2%	52 944	6,2%	87,9%	204 102	24,0%	89,4%	228 111	26,8%	89,2%
A- Business support services and institutions	106	0,1%	0,1%	22 880	12,4%	38,0%	15 949	8,6%	7,0%	28 312	15,3%	11,1%
B- Public-private sector networking							807	1,9%	0,4%	31 378	73,8%	12,3%
C- E-commerce	237	16,9%	0,3%	269	19,2%	0,4%	2	0,2%	0,0%			
D- Trade finance	42 026	15,6%	54,2%	11 584	4,3%	19,2%	57 488	21,4%	25,2%	122 326	45,4%	47,9%
E- Trade promotion strategy and implementation	27 029	9,5%	34,8%	11 986	4,2%	19,9%	122 621	43,1%	53,7%	32 443	11,4%	12,7%
F- Market analysis and development	2 916	4,3%	3,8%	6 226	9,2%	10,3%	7 235	10,6%	3,2%	13 651	20,1%	5,3%
CONTRIBUTION TO TCB TRUST FUNDS (ITC, JITAP, Integrated Framework Trust Fund, WTO Trust Funds)	1 436	2,8%	1,9%	6 862	13,3%	11,4%	4 273	8,3%	1,9%	5 578	10,8%	2,2%
TOTAL COMMITMENTS ON TRTA/CB	77 578	7,2%	100%	60 209	5,6%	100%	228 296	21,3%	100%	255 605	23,8%	100%

Source: Joint OECD & WTO Doha Development Agenda Trade Capacity Building Database (TCBDB) <http://tcdbd.wto.org>

TABLE 3 TRTA/CB COMMITMENTS SIGNIFICANT EU COUNTRIES 2001, 2002, 2003	Netherlands			Sweden			United Kingdom			TOTAL EU MEMBER STATES			European Commission	
	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor	Amount (US\$ thousands)	% Donor per type of intervention	% Type of intervention per donor	Amount (US\$ thousands)	% MS /all MS Donors per type of intervention	% Type of intervention per donor	Amount (US\$ thousands)	% Type of intervention per donor
TRADE POLICY AND REGULATIONS	19 498	11,3%	14,6%	19 146	11,1%	43,3%	71 217	41,4%	35,6%	172 050	100%	16,0%	979 474	41,3%
33111 - Trade mainstreaming in PRSPs/development	8 446	11,6%	6,3%	373	0,5%	0,8%	28 737	39,6%	14,3%	72 610	100%	6,8%	60 818	2,6%
33112 - Technical barriers to trade (TBT)				4 244	51,4%	9,6%	718	8,7%	0,4%	8 261	100%	0,8%	70 258	3,0%
33113 - Sanitary and phytosanitary measures (SPS)	1 617	28,4%	1,2%	1 560	27,4%	3,5%	405	7,1%	0,2%	5 687	100%	0,5%	126 578	5,3%
Total Technical Standards	1 617	11,6%	1,2%	5 803	41,6%	13,1%	1 123	8,0%	0,6%	13 948	100%	1,3%	196 836	8,3%
33121 - Trade facilitation procedures	1 072	4,0%	0,8%	298	1,1%	0,7%	20 328	75,9%	10,2%	26 796	100%	2,5%	294 389	12,4%
33122 - Customs valuation	428	27,1%	0,3%	56	3,6%	0,1%	1 066	67,5%	0,5%	1 580	100%	0,1%	4 769	0,2%
33123 - Tariff reforms										47	100%	0,0%	28	0,0%
Total Trade Facilitation	1 500	5,3%	1,1%	355	1,2%	0,8%	21 394	75,3%	10,7%	28 423	100%	2,6%	299 186	12,6%
33130 - Regional trade agreements (RTAs)				37	0,8%	0,1%	717	14,6%	0,4%	4 907	100%	0,5%	259 063	10,9%
33141 - Accession				30	0,9%	0,1%	3 059	96,3%	1,5%	3 176	100%	0,3%	25 797	1,1%
33142 - Dispute settlement	162	4,1%	0,1%	1 130	28,6%	2,6%	1 904	48,1%	1,0%	3 955	100%	0,4%		
33143 - Trade-related intellectual property rights (TRIPS)	1 149	16,7%	0,9%	1 025	14,9%	2,3%	3 149	45,6%	1,6%	6 899	100%	0,6%	8 690	0,4%
33144 - Agriculture	520	73,4%	0,4%							709	100%	0,1%	5 015	0,2%
33145 - Services				1 689	84,7%	3,8%	150	7,5%	0,1%	1 994	100%	0,2%	13 544	0,6%
33146 - Tariff negotiations - non-agricultural market access										452	100%	0,0%		
33147 - Rules													8 965	
33148 - Training in trade negotiation techniques	2 382	20,7%	1,8%	1 956	17,0%	4,4%	5 819	50,6%	2,9%	11 491	100%	1,1%	5 095	0,2%
33151 - Trade and environment	166	2,8%	0,1%	3 221	54,4%	7,3%	1 669	28,2%	0,8%	5 922	100%	0,6%	56 057	2,4%
33152 - Trade and competition	297	29,0%	0,2%	41	4,0%	0,1%	685	67,0%	0,3%	1 022	100%	0,1%	4 253	0,2%
33153 - Trade and investment	212	5,1%	0,2%	2 049	49,5%	4,6%	1 399	33,8%	0,7%	4 137	100%	0,4%	12 720	0,5%
33154 - Transparency and government procurement				326	100,0%	0,7%				326	100%	0,0%	2 601	0,1%
Total Multilateral trade negotiations & agreements	4 888	12,2%	3,7%	11 465	28,6%	25,9%	17 834	44,5%	8,9%	40 083	100%	3,7%	142 739	6,0%
33181 - Trade education/training	3 047	25,2%	2,3%	1 112	9,2%	2,5%	1 412	11,7%	0,7%	12 078	100%	1,1%	20 832	0,9%
TRADE DEVELOPMENT	103 853	12,2%	77,8%	15 104	1,8%	34,1%	123 823	14,6%	61,8%	850 669	100%	79,2%	1 392 198	58,7%
A- Business support services and institutions	36 029	19,5%	27,0%	2 419	1,3%	5,5%	72 693	39,3%	36,3%	184 806	100%	17,2%	594 489	25,0%
B- Public-private sector networking	90	0,2%	0,1%	191	0,4%	0,4%	8 800	20,7%	4,4%	42 522	100%	4,0%	90	0,0%
C- E-commerce										1 402	100%	0,1%	4 486	0,2%
D- Trade finance	1 236	0,5%	0,9%				33 651	12,5%	16,8%	269 156	100%	25,1%	311 265	13,1%
E- Trade promotion strategy and implementation	46 599	16,4%	34,9%	7 019	2,5%	15,9%	3 298	1,2%	1,6%	284 766	100%	26,5%	324 979	13,7%
F- Market analysis and development	19 899	29,3%	14,9%	5 475	8,0%	12,4%	5 381	7,9%	2,7%	68 017	100%	6,3%	156 888	6,6%
CONTRIBUTION TO TCB TRUST FUNDS (ITC, JITAP, Integrated Framework Trust Fund, WTO Trust Funds)	10 050	19,5%	7,5%	10 003	19,4%	22,6%	5 236	10,2%	2,6%	51 577	100%	4,8%	1 561	0,1%
TOTAL COMMITMENTS ON TRTA/CB	133 401	12,4%	100%	44 253	4,1%	100%	200 276	18,6%	100%	1 074 296	100%	100%	2 373 233	100%

Source: Joint OECD & WTO Doha Development Agenda Trade Capa

TABLE 5 TRTA/CB COMMITMENTS Training in trade negotiation techniques 2001, 2002, 2003 Amount (US\$ thousands)	Africa				America			Asia					Europe			Oceania	Developing countries unspecified	TOTAL
	North of Sahara	South of Sahara	Unspecified	TOTAL Africa	North & Central America	South America	TOTAL America	Far East	Middle East	South & Central Asia	Unspecified	TOTAL Asia	CEEC/NIS	Europe	TOTAL Europe			
Austria																		
Belgium																		
Denmark																		
Finland																		1 034
France																		1 034
Germany																		
Greece																		
Hungary																		
Ireland																		
Italy								300				300						300
Netherlands			56	56														2 325
Portugal																		2 382
Spain																		
Sweden			186	186														1 770
United Kingdom		480	2 737	3 217	2 401		2 401											202
Total EU Member States		480	2 979	3 459	2 401		2 401	300				300						5 331
European Commission								3 570		1 073		4 644						452
Total EU (European Commission + EU Member States)		480	2 979	3 459	2 401		2 401	3 870		1 073		4 944						5 783
16 586																		
Australia			49	49						8		8						57
Japan											2 626	2 626	200		200			2 826
New Zealand		14		14				58				58						72
Switzerland																		4 720
Thailand																		0
United States	870			870														870
<i>Total Bilateral Non-EU countries</i>	<i>870</i>	<i>14</i>	<i>49</i>	<i>933</i>	<i>0</i>		<i>0</i>	<i>58</i>		<i>8</i>	<i>2 626</i>	<i>2 691</i>	<i>200</i>		<i>200</i>		<i>5 025</i>	
Total Bilateral	870	494	3 028	4 392	2 401		2 401	358		8	2 626	2 991	200		200			10 356
20 340																		
AsDB																		550
Isl.Dev Bank										5		5						5
UNDP											1 684	1 684						1 684
WTO	74	643		717	175	93	267	295	183	367		845	59	20	79	204	4	2 116
<i>Multilateral Non-European Commission</i>	<i>74</i>	<i>643</i>		<i>717</i>	<i>175</i>	<i>93</i>	<i>267</i>	<i>295</i>	<i>183</i>	<i>372</i>	<i>1 684</i>	<i>2 534</i>	<i>59</i>	<i>20</i>	<i>79</i>	<i>204</i>	<i>554</i>	<i>4 355</i>
Total Multilateral	74	643		717	175	93	267	3 865	183	1 446	1 684	7 177	59	20	79	204		1 006
9 450																		
Multiple donors																		305
TOTAL commitments on Training in trade negotiation techniques	944	1 137	3 028	5 109	2 575	93	2 668	4 223	183	1 453	4 310	10 169	259	20	279	204	11 362	29 790

Source: Joint OECD & WTO Doha Development Agenda Trade Capacity Building Database (TCBDB) <http://tcdbd.wto.org>

TABLE 5A TRTA/CB COMMITMENTS Training in trade negotiation techniques Selected Countries 2001, 2002, 2003 Amount (US\$ thousands)	Africa							America	Asia	Europe	Oceania	Developing countries unspecified	TOTAL commitments on Training in trade negotiation techniques	
	Africa - South of Sahara													
	Kenya	Madagascar	Malawi	Mauritius	Seychelles	Zambia	Zimbabwe							
Austria														
Belgium														
Denmark														
Finland												1 034	1 034	
France														
Germany														
Greece														
Hungary														
Ireland														
Italy									300				300	
Netherlands							56					2 325	2 382	
Portugal														
Spain														
Sweden												1 770	1 956	
United Kingdom							480	3 217	2 401			202	5 819	
Total EU Member States							480	3 459	2 401	300		5 331	11 491	
European Commission										4 644		452	5 095	
Total EU (European Commission + EU Member States)							480	3 459	2 401	4 944		5 783	16 586	
Australia								49		8			57	
Japan									2 626	200			2 826	
New Zealand							14	14		58			72	
Switzerland												4 720	4 720	
United States								870					870	
<i>Total Bilateral Non-EU countries</i>							<i>14</i>	<i>933</i>	<i>2 691</i>	<i>200</i>		<i>5 025</i>	<i>8 849</i>	
Total Bilateral							494	4 392	2 401	2 991	200	10 356	20 340	
AsDB												550	550	
Isl.Dev Bank										5			5	
UNDP										1 684			1 684	
WTO		20	10	9		10	643	717	267	845	79	204	2 116	
<i>Multilateral Non-European Commission</i>		<i>20</i>	<i>10</i>	<i>9</i>		<i>10</i>	<i>643</i>	<i>717</i>	<i>267</i>	<i>2 534</i>	<i>79</i>	<i>204</i>	<i>4 355</i>	
Total Multilateral		20	10	9		10	643	717	267	7 177	79	204	9 450	
Multiple donors												305	305	
TOTAL commitments on Training in trade negotiation techniques		20	10	9		10	1 137	5 109	2 668	10 169	279	204	11 362	29 790

TABLE 6 TRTA/CB COMMITMENTS Sanitary and phytosanitary measures (SPS) 2001, 2002, 2003 Amount (US\$ thousands)	Africa				America				Asia					Europe			Oceania	Developing countries unspecified	TOTAL	
	North of Sahara	South of Sahara	Unspecified	TOTAL Africa	North & Central America	South America	Unspecified	TOTAL America	Far East	Middle-East	South & Central Asia	Unspecified	TOTAL Asia	CEEC/NIS	Europe	TOTAL Europe				
Austria																				
Belgium																				
Denmark																				
Finland																				
France	1	22		23		24	24	3	45			49	222	6	229				324	
Germany						119	119												119	
Greece																				
Hungary																				
Ireland																				
Italy	182			182					395			395							577	
Netherlands								508				508						1 109	1 617	
Portugal																				
Spain	232			232	18	245	55	318	98			98		437	437				1 085	
Sweden		40	376	416										334	334			809	1 560	
United Kingdom					324		324			81		81							405	
Total EU Member States	415	62	376	853	342	388	55	785	610	440	81	1 131	222	778	1 000			1 918	5 687	
European Commission		985	1 969	2 955					5 691	5		169	5 865	47 028	2 299	49 327		68 431	126 578	
Total EU (European Commission + EU Member States)	415	1 047	2 346	3 808	342	388	55	785	6 300	445	81	1 169	6 996	47 251	3 076	50 327		70 350	132 265	
Australia									501			2 271	2 772						2 772	
Canada	80	1 911		1 990	134	98	4 324	4 556	14 934			14 934	807		807			4 390	26 677	
Japan	7	52		58	8	36		44	1 172	6	6	1 184	0		0		6		1 294	
New Zealand												312	312				579		891	
Switzerland		1 016		1 016									1 016		1 016				2 033	
United States	5 930	4 766		10 696	5 865	1 263	190	7 318	28	446	586	10	1 070	1 286	1 286			3 062	23 432	
<i>Total Bilateral Non-EU countries</i>	<i>6 016</i>	<i>7 745</i>		<i>13 761</i>	<i>6 007</i>	<i>1 397</i>	<i>4 514</i>	<i>11 918</i>	<i>16 635</i>	<i>452</i>	<i>592</i>	<i>2 592</i>	<i>20 271</i>	<i>3 109</i>	<i>141</i>	<i>3 250</i>	<i>586</i>	<i>8 009</i>	<i>57 796</i>	
Total Bilateral	6 431	7 807	376	14 614	6 349	1 785	4 569	12 703	17 245	892	673	2 592	21 402	3 331	919	4 250	586	9 927	63 483	
APEC																			217	217
FAO		920		920	153	94	700	947	157	597	217		971					1 126	3 964	
IDA		150		150															150	150
UNDP											28		28						28	28
UNIDO		733		733	222			222					114		114				1 069	1 069
WTO	37	450		487	151	155		305	110	100	177		388	107	41	148	5	7	1 340	
<i>Multilateral Non-European Commission</i>	<i>37</i>	<i>2 253</i>		<i>2 290</i>	<i>526</i>	<i>249</i>	<i>700</i>	<i>1 474</i>	<i>267</i>	<i>697</i>	<i>422</i>	<i>0</i>	<i>1 387</i>	<i>221</i>	<i>41</i>	<i>262</i>	<i>5</i>	<i>1 350</i>	<i>6 768</i>	
Total Multilateral	37	3 238	1 969	5 245	526	249	700	1 474	5 958	702	422	169	7 252	47 250	2 339	49 589	5	69 781	133 346	
Multiple donors														141	141				557	698
TOTAL commitments on Sanitary and phytosanitary measures (SPS)	6 467	11 045	2 346	19 859	6 875	2 034	5 269	14 178	23 202	1 594	1 096	2 762	28 654	50 581	3 258	53 839	590	79 709	196 829	

Source: Joint OECD & WTO Doha Development Agenda Trade Capacity Building Database (TCBDB) <http://tcbdb.wto.org>

TABLE 6A TRTA/CB COMMITMENTS Sanitary and phytosanitary measures (SPS) Selected Countries 2001, 2002, 2003 Amount (US\$ thousands)	Africa								America	Asia	Europe	Oceania	Developing countries unspecified	TOTAL commitments on SPS
	Africa - South of Sahara													
	Kenya	Madagascar	Malawi	Mauritius	Seychelles	Zambia	Zimbabwe							
Austria														
Belgium														
Denmark														
Finland														
France								22	23	24	49	229		324
Germany										119				119
Greece														
Hungary														
Ireland														
Italy									182		395			577
Netherlands											508		1 109	1 617
Portugal														
Spain										232	98	437		1 085
Sweden								40	416			334	809	1 560
United Kingdom										324	81			405
Total EU Member States								62	853	785	1 131	1 000	1 918	5 687
European Commission					985			985	2 955		5 865	49 327	68 431	126 578
Total EU (European Commission + EU Member States)					985			1 047	3 808	785	6 996	50 327	70 350	132 265
Australia											2 772			2 772
Canada								1 911	1 990	4 556	14 934	807	4 390	26 677
Japan								52	58	44	1 184		6	1 294
New Zealand												579		
Switzerland								1 016	1 016			1 016		2 033
United States	43	18	18	18	18	36	18	4 766	10 696	7 318	1 070	1 286	3 062	23 432
<i>Total Bilateral Non-EU countries</i>	<i>43</i>	<i>18</i>	<i>18</i>	<i>18</i>	<i>18</i>	<i>36</i>	<i>18</i>	<i>7 745</i>	<i>13 761</i>	<i>11 918</i>	<i>20 271</i>	<i>3 250</i>	<i>586</i>	<i>57 796</i>
Total Bilateral	43	18	18	18	18	36	18	7 807	14 614	12 703	21 402	4 250	586	63 483
APEC													217	217
FAO				290				920	920	947	971		1 126	3 964
IDA	150							150	150					150
UNDP											28			28
UNIDO	111							733	733	222		114		1 069
WTO	28		10	3	10	12	6	450	487	305	388	148	5	1 340
<i>Multilateral Non-European Commission</i>	<i>289</i>		<i>10</i>	<i>293</i>	<i>10</i>	<i>12</i>	<i>6</i>	<i>2 253</i>	<i>2 290</i>	<i>1 474</i>	<i>1 387</i>	<i>262</i>	<i>5</i>	<i>6 768</i>
Total Multilateral	289		10	293	995	12	6	3 238	5 245	1 474	7 252	49 589	5	69 781
Multiple donors												141	557	698
TOTAL commitments on SPS	332	18	28	311	1 013	48	24	11 045	19 859	14 178	28 654	53 839	590	79 709

Source: Joint OECD & WTO Doha Development Agenda Trade Capacity Building Database (TCBDB) <http://tcbdb.wto.org>

TABLE 7 TRTA/CB COMMITMENTS Tanzania 2001, 2002, 2003 Amount (US\$ thousands)	Austria	Belgium	Denmark	Finland	France	Germany	Greece	Ireland	Italy	Netherlands	Portugal	Spain	Sweden	United Kingdom	Total EU Member States	European Commission	Total EU (European Commission + EU Member States)	Bilateral Non-EU countries	Total Bilateral	Multilateral Non-European Commission	Total Multilateral	Multiple donors	TOTAL GENERAL
	TRADE POLICY AND REGULATIONS	121																	3 169	3 169	855	855	
33111 - Trade mainstreaming in PRSPs/development plans																		2 487	2 487	44	44		2 531
33112 - Technical barriers to trade (TBT)																				19	19		19
33113 - Sanitary and phytosanitary measures (SPS)																		18	18	333	333		351
Total Technical Standards																							
33121 - Trade facilitation procedures																				77	77		77
33122 - Customs valuation																		12	12	34	34		46
33123 - Tariff reforms																							
Total Trade Facilitation																							
33130 - Regional trade agreements (RTAs)																		93	93				93
33141 - Accession																							
33142 - Dispute settlement																				12	12		12
33143 - Trade-related intellectual property rights (TRIPS)																							
33144 - Agriculture																				14	14		14
33145 - Services																		40	40	6	6		46
33146 - Tariff negotiations - non-agricultural market access																				30	30		30
33147 - Rules																				3	3		3
33148 - Training in trade negotiation techniques																				10	10		10
33151 - Trade and environment																		333	333	9	9		342
33152 - Trade and competition																				17	17		17
33153 - Trade and investment																				7	7		7
33154 - Transparency and government procurement																				19	19		19
Total Multilateral trade negociations & agreements																							
33181 - Trade education/training	121																	186	186	220	220		406
TRADE DEVELOPMENT	165	532	5 396	627										6 720	330	7 050	14 964	21 684	16 357	16 687	795	38 371	
A- Business support services and institutions																	1 164	1 164	1 166	1 166	790	2 330	
B- Public-private sector networking					627									627		627	158	785					785
C- E-commerce																	29	29			5	29	
D- Trade finance																	38	38	15 000	15 000		15 038	
E- Trade promotion strategy and implementation	165	532	5 396											6 093		6 093	12 182	18 275	98	98		18 373	
F- Market analysis and development															330	330	1 394	1 394	93	423		1 817	

Annex 7 - The intervention logic of the coordination process

The reconstruction of the intervention logic is a prerequisite for an evaluation since it amounts to an understanding of the objectives assigned to the projects, programmes and policies being evaluated and how their effects are expected to lead to the materialisation of their intended objectives.

The intervention logic underlying the TCB coordination process is represented in the form of two diagrams¹ recommended for evaluating the Commission's activities. Diagram 1 reconstructs the hierarchy of objectives that the coordination of TCB activities aims to achieve. It is matched by Diagram 2 that represents for each layer of objectives the corresponding effects.

The construction of Diagram 1 is based on the official documents that prescribe coordination of TCB activities or specify the rationale for such coordination. These documents are listed in the bibliographical references of annex 6. The most important ones allowing identification of the hierarchy of objectives are:

- The Treaties establishing the European Community and the European Union (Maastricht, Amsterdam and Nice).
- Guidelines for strengthening operational coordination between the Community and the Member States in the field of development cooperation (Council, March 1998)².
- Guidelines on operational coordination between the Community and the Member States (Council, 2001)³.
- The European Community's Development Policy, Communication of the Commission to the Council and the European Parliament, COM(2000) 212, 26/4/2000.
- Trade and Development: Assisting Developing Countries to Benefit from Trade, Communication of the Commission to the Council and the European Parliament, COM(2002) 513, 18/9/2002.

This selection calls for the following comments:

- The reconstruction of the intervention logic is based exclusively on official documents of the Commission or the Council and not on Member States' documents. It is the Treaty of Maastricht (article 130x) that imposes coordination between the Community and the Member States and the sets of guidelines enacted in 1998 and 2001 by the Council define clearly and completely the objectives and modalities of coordination between the Member States and the Commission.

¹ See European Commission, Directorate-General for the Budget, *Evaluating EU Activities, A practical guide for the Commission services*, July 2004. Annex B: Different elements and concepts of intervention logic.

² Referred to as G1998 in Diagram 1.

³ Referred to as G2001 in Diagram 1.

- Many other documents, internal or external to the Commission, were also considered as potentially complementary to these official sources. However they turned out to be either too recent to be considered as determinants of the intervention logic supporting the coordination efforts of the Commission and the MS⁴, or else they contained useful indications but could not be regarded as prescriptive or official documents from which an authoritative view of the objectives assigned to coordination could be derived⁵. Finally, many important prescriptive documents confirm the hierarchy of objectives as described in Diagram 1 but they do not include elements that would contradict or complement the overall logic⁶ as presented here.
- This evaluation deals with the coordination of TCB activities. The intervention logic stems from official statements dealing (with the exception of COM (2002, 513) with coordination in cooperation and development activities rather than just TCB activities. This is reflected in Diagram 1 which is not TCB specific (apart from the definition of the overall objectives), whereas Diagram 2 concentrates on the effects expected from coordination of TCB activities.

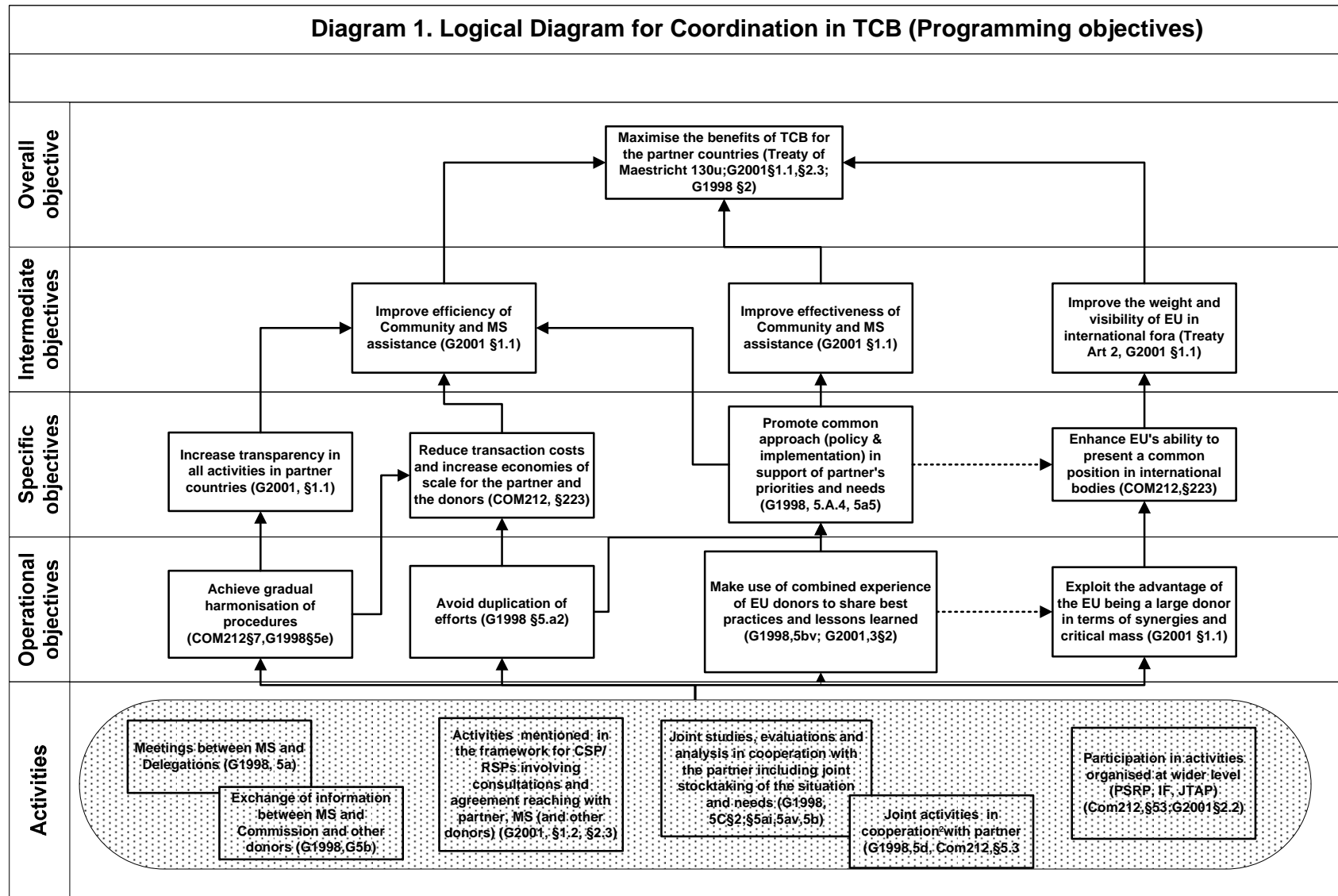
The lower tier of Diagram 1 lists the various coordination activities that are imposed on or recommended to EU actors in the official documents. Moving upwards, the second layer identifies, with reference to the texts, the *operational objectives*. These correspond to the *outputs* mentioned in the lower layer of Diagram 2. These are the most immediate delivered outputs from the coordination activities. They relate to the sharing of information and experience and the harmonisation of programmes and procedures. The third layer of Diagram 1 represents the *specific objectives* that can be assessed by materialisation of the *results*, i.e. the short-term direct effects on the partners. They include improved transparency of donors' and partner's programmes, reduced demand on the partner's resources, an improved response to the partner's needs and also the development of a common EU position in international bodies. The fourth layer (upwards) of Diagram 1 lists the *intermediate objectives* expected from coordination activities. These are, according to the official texts, improvements in the efficiency and effectiveness of EU assistance and an increased weight and visibility of the EU in the international fora that address development and cooperation. The corresponding layer in Diagram 2 indicates the *intermediate impacts*, i.e. the short-to-medium-term direct and indirect effects of coordination on the partners. Finally, the *overall objective* of coordination (top layer of Diagram 1) concerns the effective and efficient realisation of the overall objectives of the activities coordinated, in the present case TCB, so as to maximise their benefits for the partners. The matching *global impacts* permitting an assessment of the degree of realisation of the overall objectives are therefore the medium long-term impacts of TCB activities, that is a profitable insertion into the world economy, sustainable growth and ultimately poverty reduction.

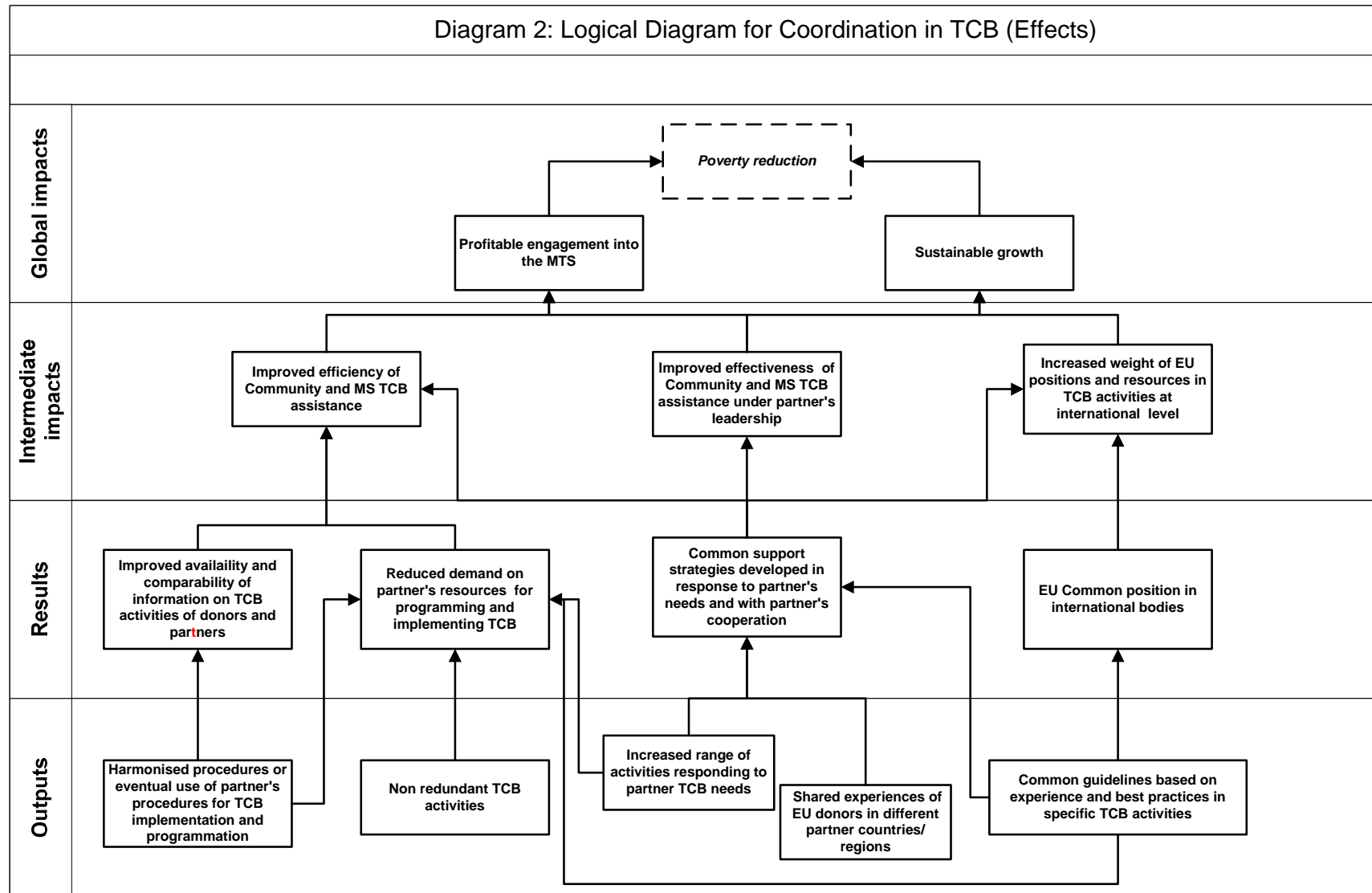
⁴ For instance, the essential Communication "Translating the Monterrey Consensus into practice: the contribution by the EU, 5/3/2004".

⁵ For instance, the reports from the Commission on the coordination between the Community and the MS in the field of development cooperation, or the WTO/OECD Reports on TRTA/CB and the reports providing overviews of donor policies and activities.

⁶ For instance, the Council Conclusions of November 2000 on a Standard Framework for Country Strategy Papers.

This intervention logic will serve as the benchmark for this evaluation and the Evaluation Questions of the next section will be directly derived from it. One would expect that the intermediary objectives include the provision of added value to the policy dialogue with the partner. This point is explicitly mentioned in the Report of the Commission on Coordination (2000) but not in any of the documents defining the coordination objectives. However, the numerous references made in the documents to the need for helping partners to own and lead the assistance process imply a central role for the policy dialogue; this issue will be taken up amongst the Evaluation Questions.





Annex 8 - Indicators/sub-questions to substantiate the validation of the judgement criteria

NB: When consulting this annex the reader should keep in mind that the terms EU, EU activities, EU approach etc. always refer to the Commission and the Member States.

- EQ.1** To what extent are the mechanisms that have been set up at headquarter level to develop coordination between the European Commission and the Member States, and between the Member States, appropriate for achieving complementarity (and coherence) of TCB activities (resource allocation, preparing common TCB activities and facilitating programming of TCB activities)?
- EQ.2** To what extent are the consultation mechanisms that have been set up at partner country or regional level between the European Commission, the Member States, and the partner appropriate to ensure coordination in programming and implementation of TCB activities?
- EQ.3** To what extent did the Commission and MS participation in multilateral initiatives or in TCB activities that are organised and/or managed at a wider multilateral level achieve its expected benefits (i.e.: economies of scale, knowledge sharing in TCB implementation, promotion of EU objectives in wider fora, optimisation of EU influence in TCB activities, leverage)?
- EQ.4** Have the EU coordination mechanisms set up at headquarter level been successfully exploited for preparation, adoption and implementation of complementary and/or mutually reinforcing TCB strategies and for facilitating coordination of the programming of TCB activities?
- EQ.5** Have the consultation mechanisms set up at partner country or regional level between the European Commission, the Member States, and the partner been sufficiently exploited to ensure coordination of programming and implementation of TCB activities?
- EQ.6** Does EU coordination lead to a more consistent and coherent framework for the programming of TCB interventions?
- EQ.7** Does EU coordination lead to better performing mechanisms for the implementation of all or some TCB interventions?

- EQ.8** Does coordination contribute to the elaboration of a TCB strategy that is owned by the partner, addresses its needs and priorities and is shared and supported by the donors?
- EQ.9** To what extent has coordination of TCB at HQ level and in-country helped the partners to cope with EU policy measures that affect their trade environment, and to negotiate effectively any new agreements?

EQ.1	To what extent are the mechanisms that have been set up at headquarter level to develop coordination between the European Commission and the Member States, and between the Member States, appropriate for achieving complementarity (and coherence) of TCB activities (resource allocation, preparing common TCB activities and facilitating programming of TCB activities)?	Field level							EU		Wider level			
		regional authorities	National or agencies	Implementing agencies and stakeholders	Final beneficiaries	EC Delegations	MS representations in partner countries	Non-EU donors	MS administrations	Brussels	EC Services in institutions	MS representations in international institutions	EC representation in international institutions (WTO, EC representation in international institutions)	International
J.1.1	<i>The mechanisms (coordination committees, consultation procedures, working groups, etc.) are designed so as to facilitate the sharing of information, the appropriate allocation of resources to TCB, the adoption of best practices in the sphere of TCB and the development of common and/or complementary approaches.</i>													
I.1.1.1	Evidence that the mandate and status (formal, informal) of the various coordinating bodies dealing with or set up for TCB at headquarter level allow for the coverage of the following fields:													
	- information on participants's policies, strategies, activities and resources allocated and disbursed to TCB activities									X	X			
	- the monitoring of the evolution of the common understanding of main issues and partner's needs in terms of TCB									X	X			
	- identification of best practices in terms of TCB									X	X			
	- information and consensus on participant's respective comparative advantages									X	X			
	- identification of the problems of coherence in the TCB activities of different donors									X	X			
	- preparation of common positions in multilateral fora									X	X			
I.1.1.2	Evidence that the operational modalities are adapted to the mandate and status of the coordination groups such as:													
	- Criteria for the identification of the members of the coordination groups									X	X			
	- Frequency of meetings									X	X			
	- Procedural aspects (chairmanship, agendas, existence of minutes..)									X	X			
I.1.1.3	Ways of dissemination of the outcomes of the coordination meetings such as:													
	- instruments of dissemination (website, donor internal meeting, guidelines...)									X	X			
	- channels of communication from headquarters to in-field implementing agencies									X	X			
	- evidence (complaints, messages) of insufficient communication of information or results of coordination activities									X	X			

EQ.1	To what extent are the mechanisms that have been set up at headquarter level to develop coordination between the European Commission and the Member States, and between the Member States, appropriate for achieving complementarity (and coherence) of TCB activities (resource allocation, preparing common TCB activities and facilitating programming of TCB activities)?	Field level							EU		Wider level				
		regional authorities	National or agencies	Implementing and stakeholders	Final beneficiaries	EC Delegations	MS representations in partner countries	Non-EU donors	MS administrations	MS administrations in Brussels	EC Services in institutions	institutions in international	MS representations in international	EC representation in international	International institutions (WTO, EC representation in international)
<i>J.1.2</i>	<i>The persons participating in these mechanisms work within the TCB area in their own institutions and their feed back to their home institutions is taken into account and, possibly, acted upon.</i>														
I.1.2.1	Status of the documents produced in the coordination exercises ? (e.g.: information notes, draft regulations, guidelines, prescriptive norms)								X	X					
I.1.2.2	Evidence that the participants in these coordination mechanisms influence practices in their own institution. (Opinions of members of the institutions, organisation of debriefing sessions, or information seminars/workshops)								X	X					
I.1.2.3	Status of the documents aiming at communicating the outcomes of the coordination meetings to the Commission and MS representations in the field and channels of communication,								X	X					

EQ.2	To what extent are the consultation mechanisms that have been set up at partner country or regional level between the European Commission, the Member States, and the partner appropriate to ensure coordination in programming and implementation of TCB activities?	Field level						EU		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS Administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions	International institutions
<i>J.2.1</i>	<i>The mechanisms (coordination committees, consultation procedures, working groups, etc.) are designed to facilitate sharing of information, the adoption of best practices and development of common approaches in the sphere of TCB.</i>											
I.2.1.1	Have specific coordination mechanisms been set up for TCB or is TCB one specific issue amongst others on a more global/general agenda?	x	x		x	x	x					
	If a specific mechanism exists, is it considered as a sub-group of a larger coordination mechanism or is it quite independent (are participants entitled to speak for the organisations they represent and are they entitled to make decisions on behalf of the organisations they represent)?	x	x		x	x	x					
I.2.1.2	How do these mechanisms reflect or respond of the coordination mechanisms at HQ level?	x	x		x	x	x					
I.2.1.3	Who participates in this consultation mechanism (EU and non-EU, partner, stakeholders...)?	x	x	x	x	x	x					
	Are the meetings formally prepared and organised (e.g.mandate/brief, organisation responsibility assigned, nomination of chairmanship and secretary, frequency and place of meeting established, list of participants known, agenda drawn up, minutes taken, speakers invited, papers/analysis presented etc.)?	x	x	x	x	x	x					
	Who chairs the meetings?	x	x	x	x	x	x					
	Is there a chef de file for TCB activities, or even different chefs de file for different TCB activities, and are some members representing more than one donor?											
I.2.1.4	What kind of TCB activities are handled during these meetings? Is the frequency of regular meetings appropriate to the needs (need for quick responses, availability of resource persons, availability of materials and analysis..)?	x	x	x	x	x	x					
I.2.1.5	With regards to TCB activities, what kind of publications or reports are produced as a result of these mechanisms and what is their scope of dissemination?	x	x	x	x	x	x					
<i>J.2.2</i>	<i>The TCB interventions in the partner countries reflect the priorities established in the mechanisms of coordination of the Commission and Member States activities.</i>											
I.2.2.1	Has it been possible to implement the cooperation agreements made at headquarter level between the Commission and MS without adapting them to local circumstances?											
I.2.2.2	What kind of difficulties (if any) have been encountered when implementing the agreements made at headquarter level through 'coordination in advance' to the situation at field level?											
<i>J.2.3</i>	<i>These mechanisms are designed and operated in such a way as to optimise the role of the partner.</i>											
I.2.3.1	Does the partner participate in the consultation mechanisms?	x	x	x	x	x	x					
	If so, has it played a role in establishing this mechanism?	x	x	x	x	x	x					

EQ.2	To what extent are the consultation mechanisms that have been set up at partner country or regional level between the European Commission, the Member States, and the partner appropriate to ensure coordination in programming and implementation of TCB activities?	Field level						EU		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS Administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions	International institutions
	Does it play an active role in organising and running the mechanism: in particular does it produce (in advance of the meetings) the appropriate statistics/data and/or analytical papers upon which discussions can be based and decisions can be taken?	x	x	x	x	x	x					
I.2.3.2	Evidence that partner government programming decisions, in particular with regard to budgetary and human resources allocated to TCB activities, are influenced by the outcome of the consultation procedures in place. In particular, have the consultation mechanisms enabled the government to take better account of donor programming in its budget such as to	x	x									
	(i) improve complementarity in financing of TCB activities and	x	x									
	(ii) improve complementarity in the choice of TCB activities programmed.	x	x									
	--> does government 'hear' and 'act upon'?	x	x									
I.2.3.3	Evidence that partner government takes this consultation mechanism as an opportunity to air opinions/analyse the situation.	x	x		x	x	x					
	If yes, is there evidence that the coordination mechanism has enabled the government's voice to be better heard and acted upon within the donor community: e.g. can examples be cited where actual changes of programme/project design and/or timing of donor financed and implemented programmes/projects have been made following government's participation in the consultation mechanisms.	x	x									
	--> do donors 'hear' and 'act upon' ?	x	x									
I.2.3.4	Does the partner government have its own national or regional consultation mechanisms with stakeholders and beneficiaries on TCB issues (If yes, please describe frequency, participants, issues treated etc)? Evidence that the government considers the outcome of this national mechanism as a useful input/contribution to the questions treated in the wider consultation forum.	x	x	x								

EQ.3	To what extent did the Commission and MS participation in multilateral initiatives or in TCB activities that are organised and/or managed at a wider multilateral level achieve its expected benefits (i.e.: economies of scale, knowledge sharing in TCB implementation, promotion of EU objectives in wider fora, optimisation of EU influence in TCB activities, leverage)?	Field level							EU level		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS Administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions	International institutions	
J.3.1	The Commission and/or MS participation in these initiatives is coordinated in advance and organised to optimise EU influence in these activities.												
I.3.1.1	Was there a chef de file designated among the (or a group of) EU donors? Or was a MS or the Commission given a delegation of mandate to represent the EU positions or the position of several EU donors?	X		X	X	X	X	X	X	X	X	X	X
	If yes, on which criteria was this chef de file designated / this delegation of mandate given?	X		X	X	X	X	X	X	X	X	X	X
I.3.1.2	Views of partners and donors on whether the influence of the Commission in designing the programmes was generally helpful. If so more at field level than at headquarters level.	X		X	X	X	X	X	X	X	X	X	X
	Views of partners and donors on whether the influence of the MS in designing the programmes was generally helpful? If so more at field level than at headquarters level.	X		X	X	X	X	X	X	X	X	X	X
	Views of partners and donors on whether the influence of the Commission in the management of the programmes at field level was generally helpful.	X		X	X	X	X						
	Views of partners and donors on whether the influence of the MS in the management of the programmes at field level was generally helpful.	X		X	X	X	X						
I.3.1.3	Evidence that the priorities of the EU were reflected in the design of the programmes.	X		X	X	X	X	X	X	X	X	X	X
	Is the Commission and/or MS participation in these initiatives a silent one or an active one (sleeping partner or not)? Does this depend on the type of activity?												
J.3.2	The TCB interventions in the partner countries reflect the priorities established in the mechanisms of coordination of multilateral activities												
I.3.2.1	Has it been possible to implement the cooperation agreements made at headquarter level between the Commission/MS and multilateral institutions without adapting them to local circumstances?	X	X	X	X	X	X	X	X				
I.3.2.2	What kind of difficulties (if any) have been encountered when implementing the agreements made at headquarter level through 'coordination in advance' to the situation at field level?	X	X	X	X	X	X	X	X				
J.3.3	The Commission and/or MS participation in these initiatives provides information and lessons drawn from their experience to other participants and vice versa.												
I.3.3.1	In particular was there a sharing of experience? (contribution to databases, sharing of evaluation reports, secondment of officials between MS and/or the Commission...)	X		X	X	X	X	X	X				X
I.3.3.2	To the extent that there was such a sharing of experience, views of donors and partners on who were the main gainers (the partners, the Commission the MS or the non-EU donors)?	X		X	X	X	X	X	X				X
I.3.3.3	Was there a specific mechanism for the sharing of experience e.g. regular seminars?	X		X	X	X	X	X	X				X
I.3.3.4	Views of partners and donors on the need for more formal mechanisms for the sharing of experience, for example through workshops, for example, in Brussels or Geneva.	X		X	X	X	X	X	X				X
I.3.3.5	Alternative views and arguments of partners and donors that the sharing of experience should be more usefully done in the field?	X		X	X	X	X	X	X				X

EQ.3	To what extent did the Commission and MS participation in multilateral initiatives or in TCB activities that are organised and/or managed at a wider multilateral level achieve its expected benefits (i.e.: economies of scale, knowledge sharing in TCB implementation, promotion of EU objectives in wider fora, optimisation of EU influence in TCB activities, leverage)?	Field level						EU level		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS Administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions	International institutions
J.3.4	<i>The Commission and/or MS participation in these initiatives offers opportunities for economies of scale, greater effectiveness and efficiency.</i>											
I.3.4.1	What are the reasons advocated for participating in basket funding or other initiatives?	X		X	X	X	X	X	X			X
I.3.4.2	Evidence of division of labour among participants including non-EU donors.	X		X	X	X	X	X	X			X
I.3.4.3	Evidence of economies of scale from such coordination.	X	X	X	X	X	X	X	X			X
J.3.5	<i>The benefits (i.e.: economies of scale, knowledge sharing in TCB implementation, promotion of EU objectives in wider fora, optimisation of EU influence in TCB activities, leverage) derived from participation to these coordination mechanisms compensate for transaction costs related to the coordination efforts.</i>											
I.3.5.1	Opinions and views of partners and donors on the benefits or drawbacks of multilateral coordination mechanisms for:											
	- identification of common needs and goals ;	X		X	X	X	X	X	X			X
	- design of a coordination structure;	X		X	X	X	X	X	X			X
	- testing of the coordination structure;	X		X	X	X	X	X	X			X
	- institutionnalisation of the coordination structure;	X		X	X	X	X	X	X			X
	- selection of the TCB activities to be implemented in common;	X		X	X	X	X	X	X			X
	- monitoring of the coordination process;	X		X	X	X	X	X	X			X
	- management of conflicts among donors.	X		X	X	X	X	X	X			X
I.3.5.2	Opinions and views of partners and donors on whether, at multilateral level, the coordination efforts compensate for loss of autonomy due to partnership, specifically by contributing to better:	X		X	X	X						
	- monitoring of implementation;	X		X	X	X	X	X	X			X
	- review of implementation;	X		X	X	X	X	X	X			X
	- management of conflicts with partners;	X		X	X	X	X	X	X			X
I.3.5.3	Opinion of partners and donors on whether the effectiveness of EU aid was significantly enhanced by coordination at a multilateral level, more than compensating for transactions costs of such coordination?	X		X	X	X	X	X	X			X
I.3.5.4	Views on specific gains of coordination at multilateral level or through multilateral initiatives:	X		X	X	X	X	X	X			X
	- for SPS initiatives	X		X	X	X	X	X	X			
I.3.5.5	- for trade facilitation initiatives	X		X	X	X	X	X	X			
I.3.5.6	- for training for trade and trade negotiations activities.	X		X	X	X	X	X	X			
I.3.5.7	Views on whether these gains could be found by such coordination more widely among TCB activities?	X		X	X	X	X	X	X			X
I.3.5.8	Comparison of EU Coordination mechanisms with those of multilateral organisations or the IF or JITAP.											
	Views of partners and donors on these different mechanisms with respect to											
	- the application of the comparative principle											
	- the gains from co-financing											
	- the ownership of TCB programmes by the partner.											

EQ.4	Have the EU coordination mechanisms set up at headquarter level been successfully exploited for preparation, adoption and implementation of complementary and/or mutually reinforcing TCB strategies and for facilitating coordination of the programming of TCB activities?	Field level							EU		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions	International institutions (WTO, UNCTAD...)	
<i>J.4.1</i>	<i>The mechanisms (coordination committees, consultation procedures, working groups, etc..) have been used to coordinate and develop complementarities in the provision of TCB.</i>												
I.4.1.1	Is there evidence that the outcomes of the coordination mechanisms are taken into account by the participants in preparing their policies, strategies and activities?							X	X				
I.4.1.2	Is there evidence that the outcomes of the coordination mechanisms have influenced the division of labour and distribution of responsibilities among Commission and MS?							X	X				
<i>J.4.2</i>	<i>The mechanisms (coordination committees, consultation procedures, working groups, etc..) have led to the sharing of information and the adoption of best practices in the sphere of TCB and permitted/ facilitated the elaboration of mutually reinforcing approaches.</i>												
I.4.2.1	Do the coordination mechanisms set up at EU headquarters level lead to the creation of common and structured information bases on EU TCB activities?							X	X				
	If yes, are these instruments regularly updated and used by participants?							X	X				
	Evidence that they provide for added-value, with regards to those developed by other (multilateral) institutions.							X	X				
I.4.2.2	Do the coordination mechanisms set up at EU headquarters level lead to the creation of common guidelines for TCB activities (distinguish between the different phases of planning, implementation and monitoring and evaluation)?							X	X				
	If yes, are these instruments used by participants (distinguish by phase again)?							X	X				
I.4.2.3	Do the coordination mechanisms set up at EU headquarters level directly or indirectly lead to improved identification of the TCB needs of the partner?	X				X	X	X	X				
I.4.2.4	Do the coordination mechanisms set up at EU headquarters level directly or indirectly influence the distribution of responsibilities and activities among the EU donors?	X				X	X	X	X				
I.4.2.5	Do the coordination mechanisms set up at EU headquarters level directly or indirectly lead to EU joint planning, implementation, monitoring and evaluations of EU TCB activities?					X	X	X	X				

EQ.5	Have the consultation mechanisms set up at partner country or regional level between the European Commission, the Member States, and the partner been sufficiently exploited to ensure coordination of programming and implementation of TCB activities?	Field level						EU		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS Administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions	International institutions
<i>J.5.1</i>	<i>The consultation mechanisms (coordination committees, consultation procedures, working groups, etc.) have been used to coordinate and develop complementarities in the provision of in-country TCB.</i>											
I.5.1.1	Evidence that the coordination mechanisms have enabled donors to develop a common understanding of TCB needs and priorities in-country? Has this common understanding extended to the development of a common approach to TCB in-country? If a common approach has been developed, did it need to be agreed upon by headquarter level or did the local representative of the donor have independent decision making power over this topic?				x	x						
I.5.1.2	Evidence that a common understanding and a common approach to TCB issues enabled economies of scale in dealing with the government. In dealings amongst donors (one donor being able to represent other donors if a common stance has been obtained)?				x	x						
I.5.1.3	What have been the bases upon which a common understanding and a common approach have been developed (studies commissioned, government needs assessment, government strategy, headquarter level approach adapted to local needs...)?				x	x						
I.5.1.4	Evidence that the diversity of approaches to TCB as witnessed in donor and nationally financed projects/programmes been notably reduced since coordination mechanisms were put into place? Has one witnessed a reduction in the overlap of TCB projects/programmes?	x	x	x								
<i>J.5.2</i>	<i>The EU approach, including its internal coordination mechanisms and contacts with other donors, has involved the partner in view of increasing its participation in the overall coordination process covering all donors in this field</i>											
I.5.2.1	Evidence of developments in terms of local participation in the consultation mechanisms put into place for TCB.	x	x	x	x	x	x					
	Opinions on the extent to which the role of the government has evolved from the level of participant to active participant and/or organiser of such consultation events.											
I.5.2.2	Have TCB consultations been extended over time to include other non-EU donors?											

EQ.6	Does EU coordination lead to a more consistent and coherent framework for the programming of TCB interventions?	Field level					EU level		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS Administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions
<i>J.6.1</i>	<i>EU coordination has led to the development, use or sharing of a common analytical approach to needs and priorities assessment.</i>										
1.6.1.1	Is the development of a common analytical approach to the assessment of needs and priorities continuing as a priority on the part of the Commission and/or the MS?	X		X	X	X		X			
1.6.1.2	Do the MS and the EU share common guidelines or methodological approaches for the assessment of needs?	X		X	X	X		X			
1.6.1.3	To the extent that such an approach has been adopted has the process been led by the Commission or certain MS?	X		X	X	X		X			
1.6.1.4	Which MS have been most active in leading such an approach?	X		X	X	X		X			
1.6.1.5	Which MS have most frequently diverged from a common approach?	X		X	X	X		X			
1.6.1.6	Opinion of donors and partners on whether such a common approach has been developed most successfully at the field level or the EU level?	X		X	X	X		X			
1.6.1.7	Evidence that this approach contributed to the identification of complementarities and/or duplications between donor interventions for TCB.	X		X	X	X	X	X			
1.6.1.8	Has the coordination led by the EU enabled the government to gain better understanding of the importance of TCB issues and developed its capacity to formulate its needs in this area (for example has there been mutual sharing of studies and needs assessments)?	X		X	X	X	X				
<i>J.6.2</i>	<i>The EU approach (including in-country coordination and relations with partner and other donors) has led to a more appropriate answer to the partner's needs in terms of TCB.</i>										
1.6.2.1	Opinions on the contribution of an EU approach - to the extent that such has been adopted in particular countries - to a better assessment of the partner's TCB needs.	X		X	X	X		X			
1.6.2.2	To what extent do the TCB interventions developed by EU members take account of the assessments the partner's TCB needs made by other donors?	X		X	X	X		X			
1.6.2.3	To what extent do the assessments of the partner's TCB needs take account of the partner's programming documents?	X		X	X	X		X			
1.6.2.4	Has this contribution been across all areas of TCB or in particular fields? If the latter which fields?	X		X	X	X		X			

EQ.7	Does EU coordination lead to better performing mechanisms for the implementation of all or some TCB interventions?	Field level					EU level		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS Administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions
<i>J.7.1</i>	Coordination has led to the establishment and implementation and monitoring of a clear schedule including the distribution of tasks, the sequencing and the funding of TCB activities.										
I.7.1.1	Is coordination leading towards a common implementation schedule for the whole set of TCB activities implemented by the EU (Commission + MS)?	X	X		X	X					
I.7.1.2	Is the status of TCB activities implemented by a single EU member transmitted to other EU actors for information?	X	X		X	X					
I.7.1.3	Are there common EU monitoring mechanisms developed for implementation of EU members TCB activities?	X	X		X	X					
I.7.1.4	Is the partner involved in the monitoring of EU TCB activities implemented? If yes, to which extent ?	X	X		X	X					
I.7.1.5	Are there shared documents produced on these monitoring exercises?	X	X		X	X					
<i>J.7.2</i>	Coordination has led to the adoption of common procedures or the procedures of the partner, and simplified implementation procedures.										
I.7.2.1	Has implementation of TCB activities led to the development of harmonised procedures adopted by the EU, other donors and/or the partner? If yes, to what extent do these harmonised procedures impose on donors?	X	X		X	X		X	X		
I.7.2.2	Was the partner actively involved in designing these procedures?	X	X		X	X		X	X		
I.7.2.3	To what extent are these harmonised procedures based on the partner's procedures?	X	X		X	X		X	X		
I.7.2.4	View on the risks of conflicts between the harmonised procedure and the partner's rules and regulations.	X	X		X	X		X	X		
I.7.2.5	Views on the extent to which these harmonised procedures facilitate and simplify implementation of TCB activities ?	X	X		X	X		X	X		
<i>J.7.3</i>	Coordination has facilitated the application of lessons learned by donors in TCB experience both in the partner country or region and elsewhere.										
I.7.3.1	Evidence that coordination enabled to share lessons learned from experience between donors in the field .	X	X	X	X	X		X	X		
I.7.3.2	How far does this sharing of information result in dissemination of lessons learned (in the beneficiary country and with other partners)?	X	X	X	X	X		X	X		
I.7.3.3	Views of separate donors: how far does dissemination of lessons learned impact on implementation of YOUR TCB activities in the beneficiary country and with other partners? (introduction of new delivery systems for YOUR TCB activities)?	X	X	X	X	X		X	X		
I.7.3.4	Views of separate donors: how far does dissemination of lessons learned impact on implementation of OTHER DONORS TCB activities in the beneficiary country and with other partners? (introduction of new delivery systems for THEIR TCB activities)	X	X	X	X	X		X	X		
<i>J.7.4</i>	Coordination has led to the allocation of responsibilities among EU donors that reflects their comparative advantages.										
I.7.4.1	Evidence that coordination contributes to better complementarity of donors's specificities in their TCB interventions to a given partner country (or region). (preferred TCB categories, preferred channels of implementation...)	X	X		X	X	X	X	X		
I.7.4.2	Does it result in a distribution of tasks for the programming of TCB activities in the given partner country or region ?	X	X		X	X	X	X	X		
I.7.4.3	If yes, is this distribution based on "comparative advantages" of donors in managing or implementing TCB activities ? (experience, critical mass...) Or is this distribution based on different criteria?	X	X		X	X	X	X	X		
I.7.4.4	Is this principle of distributed responsibilities extended to other partner countries or regions?	X	X		X	X	X	X	X		

EQ.8	Does coordination contribute to the elaboration of a TCB strategy that is owned by the partner, addresses its needs and priorities and is shared and supported by the donors?	Field level					EU level		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS Administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions
J.8.1	<i>There exists a policy dialogue on TCB and related areas (which may develop gradually in terms of number of donors involved and depth of dialogue).</i>										
I.8.1.1	Beyond the well established coordination meetings where the focus may be on informing donors and government on TCB activities, have these meetings also enabled donors and government to discuss policy issues with regards to TCB?	x			x	x	x				
	In particular has there been the development of a common stance on ways to identify needs, a common understanding of these needs and a common approach developed to address these needs? (A list of topics discussed and copies of the minutes would be appreciated)										
I.8.1.2	Evidence that the design of the government's trade policy benefited from donor support (which might have taken the form of training of government officials for trade, financing of technical assistance, joint studies and the like)?	x			x	x	x				
I.8.1.3	Is there a specific schedule of meetings set up by the government and/or donors to discuss policy, strategy and implementation issues in the area of trade and TCB in particular (round tables or sector wide reviews)?	x			x	x	x				
J.8.2	<i>The combined efforts of the Commission and Member States have contributed to the capacity of the partner to lead the policy dialogue on TCB and related areas.</i>										
I.8.2.1	Have relevant civil servants, representatives of the local business community and/or other interested stakeholders benefitted from training courses organised or financed by the EU/MS (or participated in study tours/workshops etc) with the aim of strengthening understanding and knowledge of trade-related areas and aiming at building up a local capacity for analysis of trade related issues?	x	x	x							
I.8.2.2	Are analytical documents on trade issues affecting the partner's economic performance produced on a regular basis by the government, local research bodies and/or business community representative bodies? Is this production supported in any way by the Commission's/MS' efforts?	x	x	x	x	x					

EQ.8	Does coordination contribute to the elaboration of a TCB strategy that is owned by the partner, addresses its needs and priorities and is shared and supported by the donors?	Field level						EU level		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS Administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions	International institutions
I.8.2.3	Views on whether the government has changed its attitude towards the consultation and coordination mechanism (greater active participation in it and/or the gradual taking over of the responsibilities attached to the organising and conducting of these mechanisms)?	x										
I.8.2.4	Have the consultation mechanisms set up initially by the Commission and MS been 'taken over' by the government and led to the participation of an increasing number of non-EU donors?	x			x		x					
J.8.3	<i>The strengthened policy dialogue has led to the elaboration of a trade-related strategy which has full partner ownership and is validated by the alignment of donors to it.</i>											
I.8.3.1	Evidence that the role of trade in the country's national development strategy has been highlighted and taken on greater importance as a result of the EU approach.	x			x							
I.8.3.2	Following on from the common understanding of needs and approach to address them, has a trade strategy been elaborated by the government which reflects its priorities and to which all donors have been able to rally around?	x			x	x	x					
	In particular, have there been instances where a potentially conflicting donor strategy has been abandoned in favour of the strategic solution designed at local level?											
I.8.3.3	Has the place given to trade in the government's development policy been more prominent over the last 5 years compared to the 1990's (has trade been retained as a core sector within the Poverty Reduction Strategy Paper)?	x										
I.8.3.4	Are TCB specific expenditures identifiable within the government's budget?	x										
	Has the government budget received any specific donor support in this area?											
	Has there been a shift from stand-alone donor projects towards integrating donor support to TCB within the budget (proof that donors are buying into the national sector strategy for trade rather than implementing their own projects on the side)?											

EQ.9	To what extent has coordination of TCB at HQ level and in-country helped the partners to cope with EU policy measures that affect their trade environment, and to negotiate effectively any new agreements?	Field level						EU level		Wider level		
		National or regional authorities	Implementing agencies	Final beneficiaries and stakeholders	EC Delegations	MS representations in partner countries	Non-EU donors	MS Administrations	EC Services in Brussels	MS representations in international institutions	EC representation in international institutions	International institutions
<i>J.9.1</i>	<i>The Commission and the MS coordinate the provision of information to the partners about the policy changes and their implications in terms of market access and trade conditions.</i>											
I.9.1.1	Evidence that the Commission and MS inform partners on changes in EU bilateral trade policy and explain the implications.	X		X	X	X		X	X			
I.9.1.2	Evidence that the Commission and MS inform the partners on the stance of the EU in negotiations at the WTO, the World Bank and other multilateral organisations, and explain the implications.	X		X	X	X		X	X			
<i>J.9.2</i>	<i>The Commission and the MS coordinate to identify and implement the TCB measures that would help the partner countries to mitigate the negative effects or to take advantage of these changes.</i>											
I.9.2.1	Evidence that the Commission and MS coordinate the provision of TCB measures to help the partners mitigate the negative effects or benefit from changes in EU bilateral trade policy.	X		X	X	X			X			
I.9.2.2	Evidence that the Commission and MS coordinate the provision of TCB measures to help the partners mitigate the negative effects or benefit from changes in international trade agreements.	X		X	X	X			X			
<i>J.9.3</i>	<i>The Commission and the MS coordinate to identify and implement TCB measures that help the partners negotiate to their greater advantage new trading arrangements.</i>											
I.9.3.1	Evidence that the Commission and MS coordinate the provision of TCB measures to help the partners negotiate to their advantage new trading arrangements with the EU?.	X		X	X	X			X			
I.9.3.2	Evidence that the Commission and MS coordinate the provision of TCB measures to help the partners negotiate to their advantage new trading arrangements in multilateral fora.	X		X	X	X			X			
I.9.3.3	Where TCB activities concern support in the preparation for, or participation in, trade negotiations between the partner and the EU or in international fora, evidence that the Commission and the MS coordinate to ensure that the strategic interests of the partner are fully taken into account?	X		X	X	X			X			
I.9.3.4	Where TCB activities concern support in the preparation for, or participation in, trade negotiations between the partner and the EU or in international fora, evidence that the Commission and/or the MS have developed any specific approaches to ensure that the strategic interests of the partner are fully taken into account?	X		X	X	X			X			

Annex 9 - Questionnaire Survey

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1. Introduction

1.1 The questionnaire survey and the evaluation methodology

The evaluation team adopted a four-stage methodological approach consisting of reconstructing the intervention logic, then formulating the Evaluation Questions, collection the information and finally processing to analysis of the findings, synthesis of the evaluation and formulation of conclusions and recommendations. This questionnaire survey enters in this approach as part of the methods and tools developed to collect the information, so as to complete the Indicators, validate the Judgement Criteria and answer the Evaluation Questions. This survey aims to complement information provided during field visits, meetings with the Commission and MS at HQ level, and information from documents collected. The value added of this tool is its capacity to provide a broader the picture on opinions and practices of actors involved in coordination of TCB interventions, in the partner countries or at HQ level.

Three types of audiences were targeted and to each audience a different questionnaire was addressed (also see sections below):

- Staff of the Commission Delegations and MS Representations in a selection of partner countries or regions (questionnaire A).
- Officials and stakeholders in the same countries (questionnaire B).
- Persons who have participated in the work of the Joint Trade & Development Expert Group which was designed to enable MS and Commission experts to discuss issues related to trade and development (questionnaire C). This Group is targeted because it is the main EU coordination group for TCB at HQ level. Other groups, such as the Article 133 Committee, the Council's Working Party on Development Cooperation (CODEV), and the ACP Working Group, could also be sent a questionnaire but their activities only marginally involve TCB.

1.2 Three questionnaires

Content

Three types of questionnaires have been developed for three different audiences targeted (see above). Their presentation and content has been refined and tested with the assistance of professionals skilled in questionnaire surveys.

The three questionnaires are adapted to the specific target group. However their structure is fairly similar, as it aims basically to collect information and opinion on the operational aspects, outcomes and benefits from the TCB coordination instances identified. The generic structure of the three questionnaires is presented below:

Questionnaire A <i>(Commission Delegations and MS Representations)</i>	Questionnaire B <i>(Partners)</i>	Questionnaire C <i>(Joint Trade & Development Expert Group)</i>
Identification of the respondent		
Institution, functions, etc...		
Operational aspects including costs		
Existing coordination mechanisms, how they are operated in terms of participants, frequency of meetings, etc.		
Relevance of topics addressed		
Views of the participants on the relevance of the issues addressed in the coordination mechanisms in which they participate.		
Outcomes		
Outcomes of the coordination process (programming, implementation, monitoring and evaluation)	Gains from the coordination process (for programming, implementation, monitoring and evaluation)	Dissemination of the results
	Issues relating to the activities of multilateral organisations	Outcomes of the meetings
Outcomes in terms of ownership and leadership by the partner	/	
Value for money		
To what extent is the cost of coordination is justified by its results? Distinction between the value for individual participation and in terms of overall outcomes.		
/	Specific coordination between the country and the EU donors Questions specific to questionnaire B to capture whether, from the point of view of the partner, coordination has improved the delivery of EU TCB assistance.	/
Recommendations		
Views of the participants on the relevance of the issues addressed in the coordination mechanisms in which they participate.		

The content and structure of each of these three questionnaires has been revised and tested with the support of professional experts, specialised in survey and quantitative analysis.

Target population and selection of countries

Questionnaires A and B:

Questionnaire A was sent to the Delegations of the Commission and the Representations of the Member States in a selection of ACP and non-ACP developing countries. People targeted were those involved in trade-related issues within these institutions. The questionnaire was designed to capture factual and judgemental information on the operational aspects, the coverage and the outcomes of cooperation for TCB in the country.

For the same selected countries, Questionnaire B was sent to local officials and stakeholders. Contacts for sending this questionnaire were theoretically identified by respondents to questionnaire A. Sending this Questionnaire B was indeed dependant of answers to Questionnaire A.

49 countries have been selected for sending these two questionnaires: 36 ACP and 13 non ACP. The aim was to identify coordination instances that exist for TCB in ACP countries, but it was also intended to collect “good practices” in this area from developing countries that are not ACP countries, in order to potentially recommend promoting these practices to ACP countries.

The two countries selected for the field visits (Ethiopia and Madagascar) as well as the seven other countries pre-selected for these visits have been included in the selection. For other countries, the selection was based on the following criteria:

- commitments of EU donors in TCB (on the basis of the information provided by the OECD TCBDDB and on information provided by the MS);
- the fact that the country is the seat of a regional integration organisation;
- existence of a JITAP and/or and Integrated Framework for the country.

Below, the list of the 36 ACP countries selected (in bold the countries pre-selected for the field visits):

Ethiopia	Niger	Burkina Faso	Fiji	Mauritania	Senegal
Ghana	Rwanda	Burundi	Gambia	Mauritius	Seychelles
Guinea	Tanzania	Cameroon	Guyana	Mozambique	South Africa
Madagascar	Barbados	Cent. Afr. Rep.	Jamaica	Namibia	St. Lucia
Malawi	Benin	Côte d’Ivoire	Kenya	Nigeria	Uganda
Mali	Botswana	Dominican R.	Lesotho	Papua New G.	Zambia

And the selection of 13 non ACP countries:

Bangladesh	Ecuador	India	Macedonia	Morocco
Cambodge	Egypt	Laos	Moldova	Pakistan
Tunisia	Ukraine	Vietnam		

Questionnaire C:

Questionnaire C was addressed to the members of the Joint Expert Group on Trade and Development. This informal group of representatives of the MS and the Commission is specifically designed to discuss issues related to trade and development. It is not a Council institution and therefore does not vote and does not produce official minutes of its meetings. Its objective is to help bridge the gap between trade and development by bringing together trade and development experts from all the MS and the Commission.

Topics for discussion in this Group are, among other:

- Discussion of EU positions on Trade and Development and TRA in the context of ongoing multilateral, plurilateral and bilateral negotiations.
- Co-ordination of TRA.
- Identification of best practices in TRA.

The purpose of Questionnaire C is to collect the views of the persons who have been involved regularly or occasionally in the activities of the Group on the operational aspects, the relevance, the outcomes and the value for money of this.

This questionnaire has been sent to all participants to one or all meetings organised by the Group (66 persons), plus to persons non participating in the meetings but registered on the restricted website of the Group¹ (89 persons).

2. Results of the survey

2.1 Questionnaire B: rate of response

Recipients of and Respondents to Questionnaire B				
	Recipients		Respondents	
Officials and stakeholders in ACP countries	69	85%	3	100%
<i>Incl. in Ethiopia</i>	11	14%	2	67%
<i>Incl. in Madagascar</i>	13	16%	1	33%
Officials and stakeholders in non-ACP countries	12	15%	0	0%
TOTAL	81	100%	3	100%
<i>Rate of response</i>			3,70%	

Only three responses were received for this Questionnaire B. The three of them do not provide for relevant nor sufficient information: several questions were not answered, and answers do not provide valuable for the study, especially comparing to answers to Questionnaire A that generally give a clear picture of the situation in targeted countries.

¹ Joint Trade & Development Expert Group website: http://trade-info.ccc.eu.int/cgi-bin/trade_dev/index.pl

2.2 Questionnaire A: rate of response and synthesis of answers

See pages 6 to 24.

2.3 Questionnaire C: rate of response and synthesis of answers

See pages 25 to 35.

Synthesis of answers to Questionnaire A

This note is a synthesis of all answers to Questionnaire A. With respect for privacy of respondents, answers are not quoted attributably. For this purpose, a reference code "A#" corresponds to each respondent, and information susceptible to enable identification of respondents is hidden in open questions.

0. Identification of the respondent

Recipients of and Respondents to Questionnaire A						
	Recipients		Respondents		Answered but did not complete questionnaire	
European Commission Delegations	49	19%	20	71%	1	9%
<i>Incl. in ACP countries</i>	36	14%	13	46%	1	9%
<i>Incl. in non-ACP countries</i>	13	5%	7	25%	0	0%
Representations of EU Member States	214	81%	8	29%	10	91%
<i>Incl. in ACP countries</i>	162	62%	7	25%	7	64%
<i>Incl. in non-ACP countries</i>	52	20%	1	4%	3	27%
TOTAL	263	100%	28	100%	11	100%
Rate of response			10,6%		4,4%	

We received 11 e-mail responses from contacts who did not answer Questionnaire A. These people estimate that coordination for TCB does not exist in their working country.

The programming and management of Trade Capacity Building (TCB) projects/programmes is:		
Your main responsibility	3	11%
An important but not dominant responsibility	13	46%
A marginal responsibility.	12	43%
TOTAL	28	100%

1. Operational aspects including cost

1.1 - Are there one or several committee(s)/working groups set up in this partner country/region which deal with the coordination of donors' TCB activities?		
Yes	18	64%
No	10	36%
TOTAL	28	100%

1.2 - If yes, please list the 3 most important of these committee(s)/working groups:

Census by country	Detail
Bangladesh	<ul style="list-style-type: none"> Trade Working Group of the Private Sector Local Consultative Group
Benin	<ul style="list-style-type: none"> Coordination group on "private sector" Informal EC+MS private sector coordination Informal "fish" group for capacity building on exports
Botswana	<ul style="list-style-type: none"> Programme Steering Committee of DFID "Regional Trade Facilitation Programme" to which several donors participate
Cambodia	<ul style="list-style-type: none"> Sub-Steering Committee on Trade Facilitation (reporting to the Steering Committee for Private Sector Development)
Dominican Republic	<ul style="list-style-type: none"> Donor's General Coordination Group: it is the set up for exchange and sharing of donor's information about cooperation activities in the country, including, but not specifically, TCB Caribbean Regional Negotiating Machinery: Regional structure dealing with all trade negotiations engaged by the Caribbean, including search and implementation of donor's funds fro TCB. The Dominican Republic is now incorporated in this structure to negotiate the EPA with the EU
Ecuador	<ul style="list-style-type: none"> Monthly meetings where joint problems are discussed, ideas exchanged and possible solutions are looked, but not trade capabilities for this or another sector
Ghana	<ul style="list-style-type: none"> Private Sector/Trade and Financial Sector Donor Work Group (three different groups that have metamorphosed into one single working group that covers all three areas) There have been broad and extensive ad hoc consultations with key stakeholder groups (including donors) to design a National Trade Policy and a Trade Sector Support Strategy. The latter will be presented to Government and the donor community in summer 2005. There is not a specific group or a coordination mechanism on TBC activities as yet.
Kenya	<ul style="list-style-type: none"> Private Sector Donor Group Trade Policy Donor Group
Madagascar	<ul style="list-style-type: none"> Steering Committee of the Integrated Framework
Malawi	<ul style="list-style-type: none"> Integrated Framework Steering Committee / Task Force – focuses on the IF programme, but also attempts to coordinate donor interventions – Other committees for each project
Mali	<ul style="list-style-type: none"> Integrated Framework
Mauritania	<ul style="list-style-type: none"> Integrated Framework Steering Committee
Rwanda	<ul style="list-style-type: none"> Private Sector Cluster Integrated Framework
Senegal	<ul style="list-style-type: none"> EU trade officers meetings Private sector donor group

Census by country	Detail
Tanzania	<ul style="list-style-type: none"> ▪ Integrated Framework Steering Committee ▪ Integrated Framework Trade Related Assistance Committee (newly set up) ▪ Development Partner Group on Private Sector (NB the future composition, mandate and relationship of these three groups is currently under discussion) ▪ Informal meeting by EC on trade capacity building activities
Tunisia	<ul style="list-style-type: none"> ▪ No working group on TCB but quarterly meetings of trade/economic counsellors of the EU embassies + EC. the answers will be focused on these meetings.
Vietnam	<ul style="list-style-type: none"> ▪ Trade Donor Working Group

Based on this list of committees/working groups identified by respondents, the evaluation team has identified **three categories of “generic” TCB coordination groups**, that will be used hereafter to aggregate information collected:

- the so-called “**Integrated Framework**” groups are those created and managed under the auspice of an Integrated Framework.
- the so-called “**PSD & Trade**” group are those dealing with private sector or trade issues, but with no connection to the Integrated Framework.
- The third category identifies “**Other**” categories of groups identified by respondents, that are dealing with trade or TCB among other issues.

Census by type of Committee/ Working group	Occurrence		Detail
Integrated Framework	7	26%	<ul style="list-style-type: none"> ▪ Madagascar: Steering committee of the Integrated Framework ▪ Malawi: Integrated Framework Steering Committee / Task Force – focuses on the IF programme, but also attempts to coordinate donor interventions ▪ Mali: Integrated Framework ▪ Mauritania: Integrated Framework Steering Committee ▪ Rwanda: Integrated Framework ▪ Tanzania: Integrated Framework Steering, and Integrated Framework Trade Related Assistance Committee (newly set up, future composition, mandate and relationship currently under discussion)
PSD & Trade Group	14	52%	<ul style="list-style-type: none"> ▪ Bangladesh: Trade Working Group of the Private Sector Local Consultative Group ▪ Benin: Coordination group on "private sector, and Informal EC+MS private sector coordination ▪ Cambodia: Sub-Steering Committee on Trade Facilitation (reporting to the Steering Committee for Private Sector Development). ▪ Ghana: PSD, Trade and Financial Sector Donor Work Group. There have also been broad and extensive ad hoc consultations with key stakeholder groups (including donors)

Census by type of Committee/ Working group	Occurrence		Detail
			<p>to design a National Trade Policy and a Trade Sector Support Strategy.</p> <ul style="list-style-type: none"> ▪ Kenya: Private Sector Donor Group, and Trade Policy Donor Group ▪ Rwanda: Private Sector Cluster ▪ Senegal: EU trade officers meetings ▪ Senegal: Private sector donor group ▪ Tanzania: Development Partner Group on Private Sector (the future composition, mandate and relationship of this group is currently under discussion) ▪ Tunisia: no working group on TCB but quarterly meetings of Trade/Economic Counsellors of the EU Embassies + EC. the answers will be focused on these meetings. ▪ Vietnam: Trade Donor Working Group
Other	6	22%	<ul style="list-style-type: none"> ▪ Benin: Informal "fish" group for capacity building on exports ▪ Botswana: Programme Steering Committee of DFID "Regional Trade Facilitation Programme" to which several donors participate ▪ Dominican Republic: Donor's General Coordination Group for exchange and sharing of donor's information about cooperation activities in the country, including, but not specifically, TCB. Another "group" is the Caribbean Regional Negotiating Machinery: regional structure dealing with all trade negotiations engaged by the Caribbean, including search and implementation of donor's funds fro TCB. The DR is now incorporated in this structure to negotiate the EPA with the EU. ▪ Ecuador: Monthly meetings where joint problems are discussed, ideas exchanged and possible solutions are looked, but not trade capabilities for this or another sector ▪ Malawi: Other committees for each project
TOTAL	27	100%	

1.3 - For each of the Committees/ Working groups you listed above, please answer the following questions:

	Integrated Framework	PSD & Trade Group	Other
How many times did the committee/ working group meet in the last 2 years?	<i>Average</i> 6 times in last two years	<i>Average</i> 9 times in last two years	<i>Average</i> 10 times in last two years
How many days per year does it involve (including preparation time)?	<i>Average</i> 9 days per year	<i>Average</i> 11 days per year	<i>Average</i> 9 days per year
Are you satisfied with the frequency of the meetings?			
- Not sufficiently frequent	5	2	0
- Satisfactory	2	11	5 ^a
- Too frequent	0	1	0
Who established it?			
- your government	3	2	2
- the Commission Delegation	1	4	1 ^b
- a Member State (specify)	0	4 ^c	2 ^d
- other donors (specify)	6 ^e	6 ^f	1 ^g
Who participates in the meetings? <i>Reference is average number of participants. Example: for the working groups related to the Integrated Framework, on average 5 persons represent the partner country at each meeting.</i>			
- The partner country	<i>Average number of participants: 5</i>	<i>Average number of participants: 1</i>	<i>Average number of participants: <1</i>
- The Commission Delegation	<i>Average number of participants: 1</i>	<i>Average number of participants: 1</i>	<i>Average number of participants: 1</i>
- Member States (specify)	<i>Average number of participants: 2^h</i>	<i>Average number of participants: 3ⁱ</i>	<i>Average number of participants: 1ⁱ</i>
- Other donors (specify)	<i>Average number of participants: 1^k</i>	<i>Average number of participants: 3^l</i>	<i>Average number of participants: 2^m</i>
Are TCB activities the specific mandate of the committee/ working group ?			
- Yes	2	1	2 ⁿ
- No	5	13	3
Are TCB activities one of its mandates, among other issues?			
- Yes	4	10	2 ^o
- No	3	4	3
Does it deal with:			
- Integrated Framework (IF)?	7	6	0
- Joint Integrated Technical Assistance Programme (JITAP)?	2	2	0
- Other multilateral TCB activities? (specify)	2 ^p	6 ^q	0
Does the EU (Commission/MS) designate a principal spokesperson to it?			
- Yes	3	13	2 ^r
- No	4	1	3

	Integrated Framework	PSD & Trade Group	Other
Who most often chairs the meetings?			
- Official from the partner government	7	4	3 ^s
- Official from EU (specify which MS or representative of the Commission Delegation)	3 ^t	7 ^u	1 ^v
- Official from multilateral organisations	1	3	1
- Official from non-EU donors (specify)	0	4 ^w	0
In the case of Integrated Framework (IF) activities, is the chairman an official from the IF facilitator country?			
- Yes	3	1	0
- No	4	5	1

2. Relevance of topics addressed

2.1 - In view of the mandate of the coordination mechanisms you listed above, can you give your views on:

2.1.1 - The importance that should be given to the following aspects. [INTEGRATED FRAMEWORK]				
	Not important	Important	Very important	TOTAL
Information on common approaches and visions agreed at HQ level on TCB	2	2	2	6
Information on changes in EU bilateral trade policies and stances of the EU in negotiations at the WTO, WB and other multilateral organisations	5	2	0	7
Information on donors TCB policies, strategies, activities of participants in the country	1	2	4	7
Improvement of common understanding of TCB main issues and partner's needs	0	2	5	7
Identification of best practices in terms of TCB	2	3	2	7
Make use of donors' comparative advantages	1	2	4	7
Identification of the problems of coherence in the TCB activities of different donors	3	3	1	7
Other (specify)	0	2 ^x	1 ^y	2

2.1.2 - The extent to which this importance is reflected in the agenda [INTEGRATED FRAMEWORK]				
	Not addressed	Addressed	Main topic of the agenda	TOTAL
Information on common approaches and visions agreed at HQ level on TCB	3	2	1	6
Information on changes in EU bilateral trade policies and stances of the EU in negotiations at the WTO, WB and other multilateral organisations	6	0	0	6
Information on donors' TCB policies, strategies, activities of participants in the country	1	5	0	6
Improvement of common understanding of TCB main issues and partner's needs	1	4	1	6
Identification of best practices in terms of TCB	5	1	0	6
Make use of donors' comparative advantages	3	2	1	6
Identification of the problems of coherence in the TCB activities of different donors	3	3	0	6
Other (specify)	0	1 ^z	1 ^{aa}	2

2.1.1 - The importance that should be given to the following aspects. [PSD & TRADE GROUP]				
	Not important	Important	Very important	TOTAL
Information on common approaches and visions agreed at HQ level on TCB	2	5	6	13
Information on changes in EU bilateral trade policies and stances of the EU in negotiations at the WTO, WB and other multilateral organisations	2	8	3	13
Information on donors' TCB policies, strategies, activities of participants in the country	1	5	7	13
Improvement of common understanding of TCB main issues and partner's needs	1	9	3	13
Identification of best practices in terms of TCB	1	8	4	13
Make use of donors' comparative advantages	1	7	5	13
Identification of the problems of coherence in the TCB activities of different donors	1	9	3	13
Other (specify)	0	3 ^{bb}	2 ^{cc}	5

2.1.2 - The extent to which this importance is reflected in the agenda [PSD & TRADE GROUP]				
	Not addressed	Addressed	Main topic of the agenda	TOTAL
Information on common approaches and visions agreed at HQ level on TCB	4	6	3	13
Information on changes in EU bilateral trade policies and stances of the EU in negotiations at the WTO, WB and other multilateral organisations	5	6	2	13
Information on donors TCB policies, strategies, activities of participants in the country	3	4	6	13
Improvement of common understanding of TCB main issues and partner's needs	5	6	2	13
Identification of best practices in terms of TCB	8	3	2	13
Make use of donors' comparative advantages	3	8	2	13
Identification of the problems of coherence in the TCB activities of different donors	6	5	2	13
Other (specify)	0	2 ^{dd}	1 ^{ee}	3

2.1.1 - The importance that should be given to the following aspects [OTHER]				
	Not important	Important	Very important	TOTAL
Information on common approaches and visions agreed at HQ level on TCB	0	4	1	5
Information on changes in EU bilateral trade policies and stances of the EU in negotiations at the WTO, WB and other multilateral organisations	1	3	1	5
Information on donors TCB policies, strategies, activities of participants in the country	0	3	2	5
Improvement of common understanding of TCB main issues and partner's needs	0	4	1	5
Identification of best practices in terms of TCB	0	4	1	5
Make use of donors' comparative advantages	0	3	2	5
Identification of the problems of coherence in the TCB activities of different donors	0	2	2	4
Other (specify)	0	0	0	0

2.1.2 - The extent to which this importance is reflected in the agenda. [OTHER]				
	Not addressed	Addressed	Main topic of the agenda	TOTAL
Information on common approaches and visions agreed at HQ level on TCB	4	0	1	5
Information on changes in EU bilateral trade policies and stances of the EU in negotiations at the WTO, WB and other multilateral organisations	4	0	1	5
Information on donors' TCB policies, strategies, activities of participants in the country	1	2	2	5
Improvement of common understanding of TCB main issues and partner's needs	2	3	0	5
Identification of best practices in terms of TCB	3	2	0	5
Make use of donors' comparative advantages	1	3	1	5
Identification of the problems of coherence in the TCB activities of different donors	1	3	0	4
Other (specify)	0	0	0	0

2.2 - If the coordination mechanisms involve participation of representatives of the partner country, is this participation		
Very active	3	17%
Fairly active	10	56%
Passive	2	11%
No role	3	17%
TOTAL	18	100%

2.3 - If the partner does not participate in the discussions, do you consider that the group manages nevertheless to align donor support to TCB activities on the objectives and priorities of the partner's development strategy?		
Fully	3	30%
Partially	7	70%
Not at all	0	0%
TOTAL	10	100%

3. Outcomes of the coordination process

3.1 For programming

3.1 - Have the coordination mechanisms favoured a common approach to the identification of TCB needs? (many possible answers)		
No	6	25%
Yes, between EU donors (=EU Member States and the Commission)	5	21%
Yes, between EU donors and other donors	6	25%
Yes, between the partner and EU donors (specify which)	7 ^{ff}	29%
TOTAL	24	100%

3.2 - Have the coordination mechanisms enabled programming a set of TCB donor supported activities that are:		
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3.2.1 - Complementing each other and avoiding duplications?		
Not at all	6	46%
Fully	7	54%
TOTAL	13	100%
<i>No reply</i>	5	

3.2.2 - Reflecting donors comparative advantage or relative experience in specific TCB areas?		
Yes	8	57%
No	6	43%
TOTAL	14	100%
<i>No reply</i>	4	

3.2.3 - Generally better designed than previously?		
Yes	12	80%
No	3	20%
TOTAL	15	100%
<i>No reply</i>	3	

3.3 - Have the coordination mechanisms led to the adoption of common mechanisms for TCB interventions?		
Yes	5	28%
No	13	72%
TOTAL	18	100%

3.3.1 - If yes, what sort of common mechanisms? (many possible answers)		
Co-financing	2	18%
Basket funding	3	27%
Sector wide approach	5	45%
Other (specify)	1 ^{ss}	9%
TOTAL	11	100%

3.2 For implementation

3.4 - In general did the coordination mechanisms lead to:		
--	--	--

3.4.1 - A common implementation schedule for the whole set of TCB activities?		
Yes	2	11%
No	16	89%
TOTAL	18	100%

3.4.2 - Information sharing on the status of TCB activities implemented by EU donor?		
Yes, formal	3	17%
Yes, but only informal	9	50%
No	6	33%
TOTAL	18	100%

3.4.3 - Involvement of the partner in the coordination of TCB implementation?		
Yes, as leading actor	5	28%
Yes, as participant	7	39%
No	6	33%
TOTAL	18	100%

3.4.4. Adoption of harmonised procedures for all or specific TCB interventions?		
Yes	2	11%
No	16	89%
TOTAL	18	100%

3.4.4.1 - If yes are these procedures based on the partner's procedures?		
<i>Entirely</i>	0	0%
<i>Partially</i>	2	100%
<i>Not at all</i>	0	0%
<i>Do not know</i>	0	0%
TOTAL	2	100%

3.4.5 - Dissemination of information on best practices resulting from the participants experience?		
Yes	5	28%
No	10	56%
Do not know	3	17%
TOTAL	18	100%

3.4.6 - Adoption of best practices of others		
Yes	3	17%
No	11	61%
Do not know	4	22%
TOTAL	18	100%

3.3 For monitoring and evaluation

3.5 - Are there common mechanisms for monitoring implementation of TCB activities? (many possible answers)		
No	14	78%
Yes, between EU donors (=EU Member States and the Commission)	1	6%
Yes, between EU donors and other donors	0	0%
Yes, between the partner and EU donors (specify which)	3 ^{hh}	17%
TOTAL	18	100%

3.6 - Are there common mechanisms for evaluating implementation of TCB activities? (many possible answers)		
No	14	78%
Yes, between EU donors (=EU Member States and the Commission)	1	6%
Yes, between EU donors and other donors	0	0%
Yes, between the partner and EU donors (specify which)	3 ⁱⁱ	17%
TOTAL	18	100%

3.7 - What are the mechanisms for feeding the results back to the headquarters?		
None	4	22%
Common feed back to Member States and the Commission	2	11%
Bilateral feed backs	12	67%
TOTAL	18	100%

4. Outcomes in terms of ownership and leadership by the partner

4.1 - Did the coordination mechanisms improve the policy dialogue with the Government:

4.1.1 - By permitting a better common understanding of the issues at hand? <i>(Rank from 1 – not at all – to 5 – completely)</i>			
1 = not at all ↓ 5 = completely	Answer 1	1	6%
	Answer 2	4	22%
	Answer 3	8	44%
	Answer 4	4	22%
	Answer 5	1	6%
TOTAL		18	100%

4.1.2 - By allowing a single dialogue between the Government and EU donors? <i>(Rank from 1 – not at all – to 5 – completely)</i>			
1 = not at all ↓ 5 = completely	Answer 1	3	17%
	Answer 2	7	39%
	Answer 3	6	33%
	Answer 4	1	6%
	Answer 5	1	6%
TOTAL		18	100%

5. Value for money

5.1 - Do you consider that <u>for your work</u> the benefits of your participation to the coordination mechanisms outweigh the costs (time, travel, etc.)?		
Yes, Entirely	5	28%
Partially	9	50%
Not at all	2	11%
No opinion	2	11%
TOTAL	18	100%

5.2 - Do you consider that overall the outcomes of the coordination mechanisms outweigh the resources put in it by the EU donors? in the following aspects:
--


5.2.1 - It reduces the cost for the partner		
Yes	11	69%
No	5	31%
TOTAL	16	100%
<i>No reply</i>	2	

5.2.2 - It reduces the time (and the cost) spent in bilateral meetings		
Yes	10	63%
No	6	38%
TOTAL	16	100%
<i>No reply</i>	2	

5.2.3 - It produces worthwhile results		
Yes	10	71%
No	4	29%
TOTAL	14	100%
<i>No reply</i>	4	

6. Recommendations

6.1 - Do you think that the coordination mechanisms should devote more attention to the allocation of EU resources to the various TCB categories within the overall assistance programme?		
Yes	13	76%
No	4	24%
TOTAL	17	100%
<i>No reply</i>	<i>11</i>	

6.2 - Do you think that the coordination mechanisms improve awareness of the role of TCB in the development process? <i>(Rank from 1 – not at all – to 5 – completely)</i>			
<i>1 = not at all</i>  <i>5 = completely</i>	Answer 1	0	0%
	Answer 2	2	11%
	Answer 3	11	61%
	Answer 4	5	28%
	Answer 5	0	0%
TOTAL		18	100%
<i>No reply</i>		<i>10</i>	

6.3 - Open question: Suggestion to improve the coordination mechanisms.
A1: Stronger commitment by member states to coordination.
<p>A2: The objective of the coordination mechanisms on TCB should go together with an overall strategy to integrate "trade assistance" in the overall development and cooperation strategies. But today, for example, there is no reference in the EC development strategy in Benin to Trade Capacity Building, and the need of some actions by the government are most often not implemented (port reform, elimination of abusive controls on the main routes, etc.).</p> <p>There is very specially the need to incorporate the private sector (representatives from the Chamber of Commerce and local and foreign investors. The administration has not the ability to understand most issues and implement most solutions. A local change can only be achieved through the pushing by the private sector, and donors can contribute to it associating directly the private sector to discussions with the administration.</p>
<p>A3: There is one overall coordination task force composed of SADC and all interested International Cooperating Partners (ICP) already in existence. It does not deal specifically with TCB but has identified a number of cross-cutting issues for better coordination. It has also commissioned a comprehensive study on how coordination could be improved. One of the outcomes of the work of the task force is the recent agreement to establish specific thematic coordination groups for a number of relevant sectors, notably in trade and in finance and investment.</p> <p>These groups will be set up in the second semester 2005 and will deal with TCB issues in a more systematic way than the more project oriented DFID led Committee could do in the past. SADC appointed as lead donors the EC (for the trade group) and DFID (for the finance and investment group). Due to the recent nature of this decision no experience with these instruments can be reported to date.</p>
<p><i>A4: message in e-mail:</i> <i>Réponse à la question 1.: il n'existe pas au [...] de mécanisme de coordination des initiatives des bailleurs de</i></p>

fonds en matière de renforcement des capacités dans le domaine du commerce. Les autres questions n'appellent donc pas de réponse.

Toutefois, on peut faire les quelques commentaires suivants: au [...], il existe une certaine "concurrence" entre les différents programmes de renforcement des capacités dans le domaine commercial, dont les montages élaborés par la CNUCED, le CCI, l'OMC, sont, bien souvent, des programmes "prêts à porter", ne prenant pas toujours en compte les réalités du terrain pour la mise en oeuvre de leurs activités (grandes faiblesses des ministères du commerce dans la mobilisation des contre-parties nationales, notamment).

Par ailleurs, on constate que la coordination et la complémentarité des activités de ces différents programmes fait souvent défaut.

A6: So far the co-ordination mechanism has focused only on Trade Facilitation, which was considered the most important priority area in view of the end of the MFA (and the consequent threat to the Cambodian garment industry).

The Government, under the leadership of the Ministry of Commerce, is now starting preparation for a Sector Programme, that is expected to be supported through a SWAp in the months to come. The EC is providing assistance to the Ministry of Commerce on this issue. The co-ordination mechanism will be an integral part of the new system, which should be seen as a development of a successful Integrated Framework. In early 2006 we are expecting to see the first results.

A7: message in e-mail:

As you will see there is no specific coordination mechanism set up in [...] dealing with TCB activities either at the initiative of donors or Government. Thus, it is not possible to reply to most of the questions. However, there is a multi-donor committee set up to examine all PRSP-related activities (including when and if necessary/appropriate trade related matters). In reality, trade has rarely been discussed in the committee in terms of TCB measures but the Delegation has given presentations on other trade related matters e.g. the Economic Partnership Agreement negotiations. This committee meets monthly, is chaired in turn by a donor but does not include a representative of the Government (donors include WB, IMF, EC, UN, Japan, Canada, Germany, France).

A9: Besides the general donors coordination group, there are several sector-oriented donors coordination groups (health, education, etc). It could be useful to set up a sector group on TRA and TCB. BUT from the knowledge I have, donors in [...] have none or extremely limited interventions in this area and thus, no interest in such a group. There also exists a National Commission for Trade Negotiations: an inter-service govt. commission dealing and consulting on trade negotiations which has also a coordinating role on TRA and TCB. It is a govt. structure.

A10: Although it does not give a committee in [...] working in such activity, the Delegation within the Member States works in issues which have to do with these actions. For example, the monthly meetings between the Delegation and MS in trade and economic issues, which treat problems related with the lack of the trade capacity in non oil productivity sectors, which annual increase related to the national GDP is only the 2%, a percentage under the 2,1% corresponding to the annual demographic population increase. Having in account, that the GDP increase for 2005 was of 6%, the differential stays in the oil prices increase and not in a no oil productivity, which means for the national economy a strong dependency of the oil productivity and its actual prices and not of the trade capacity of the country. Referred to other parts of the questionnaire and, although as mentioned, does not exist a Committee for TCBs, it is possible to answer a lot of questions to your form, otherwise impossible to do without these. It is also very important to explain, that the government has even not resolved, by no legislate, lie over, political interests or non interest, organic laws, marked as essential by the IMF in it initial stand-bye agreement with the Government, related between others, to competence, quality, customs, public administration, financial system, etc. Understandably, with so a lack in the security of the legal system, it is very difficult for business men and companies to make or try to do investments or business. Even it, and as said before, the Delegation and the MS treat to help to improve the situation with actions and activities, executed through programmes and political instruments. By this, and even here

is not formally applied the TCBs, please take the answers to your questionnaire as a work of approximation and approach to your exercise. Thus, please take in account the Committee/Working Group A as the only one for validation purposes.

A11: 1. Establish a database of trade related donor initiatives that is updated regularly and that is accessible by all participating donor agencies;
2. Establish rotational chairmanship every six months as against a year to speed up the introduction of new perspectives and expedite their implementation.

A12: Currently TCB is only one of many elements included in the TSSP. In July 2005, all concerned parties (all the signatories of the MoU under Group 1) Ministry of Trade will present to the Government, the donor community and civil society at large the Trade Sector Support Programme for the implementation of the National Trade Policy, which will include TCB. It will be only then that we will be able to fully respond to most of the question in this questionnaire (particularly those related to implementation mechanisms and impact/results).

Donor Group on PSD: Monthly meetings, but in the last 6 months the group met more frequently to draft a MoU to coordinate joint donor support to the implementation of the National Strategy on PSD and Trade (2005-2009).

+ *Message in e-mail:*

We would like to take this opportunity to raise some concerns on the nature and focus of the questionnaire, which might be considered whilst writing the report.

- 1) The Europe-centred nature of the questionnaire seems to clash with the increasing international efforts to move towards joint/harmonised donor approaches in the provision of aid*
- 2) there should have been less focus on EC/MSs initiatives/strategies and greater attention on assessing TCB relevance in government-led initiatives, processes, national strategies and programmes*
- 3) the underlying suggestion that greater EC or MS focus (hence resources) could be channelled to TCB, seems to contradict the general trend to move towards sector and budget support, where donors do not specify their preference and governments take the lead over resource allocation.*

To help the consultants interpret our responses, we have added a brief background on the on going process for the development of a Trade Sector Support Strategy (TSSP) that will include TCB and on the donor coordination process in [...]. Until the TSSP is approved, most donors will not support/implement any TCB related activity.

A13: In Guinea, there is not a working group dealing with implementation of EU donors resources. There are informal contacts with Member States staff and Government officials based in personal relationship.

Guinean Authorities have requested to EC Delegation to finance several capacity building projects, what has not been possible until now because the 9 FED has not yet signed due to political difficulties.

Nevertheless, Delegation meets on a regular basis Trade Authorities in order to identify TCB projects that could be eligible for future funding.

A14: The following should be noted:

TCB/TRTA is not near the list of priority areas for donors to [...]; neither Government nor donors have identified it as a key issue in recent years. There are only a limited number of donors in [...] and there is only one active EU MS (UK) that beside the EC is a large donor. [...] is among the most well-resourced and institutionally capable countries of following the wide agenda of trade negotiations, albeit this agenda remains very heavy for a small country like [...].

To the Delegations knowledge, TRTA/TCB benefiting [...] is mostly implemented at the regional level (CARICOM, RNM, etc.), for which the Delegation has no managing responsibilities. There are of course projects ongoing that possibly affect [...]s trade performance indirectly (e.g. in infrastructure or private sector development) but these cannot be considered TCB or TRTA as such as their objectives are much broader formulated.

<p>In [...], donors, including EC and MS (UK) have recently seriously stepped up their coordination mechanisms and joint monitoring of key areas (security and justice, social sectors, macroeconomic performance and disaster mitigation), however these do not include TCB or TRTA.</p> <p>For the purpose of the Regional Preparatory Task Force in the context of the EPA negotiations, Caribbean delegations comprised a list of ongoing and recent TRTA/TCB projects. It should be noted that this list, which is attached, caters for a very wide definition of TRTA/TCB and is therefore very large.</p>
<p>A15: TCB has only started recently as a coordinated activity amongst the donors. With the cooperation of the Ministry of Trade and Industry, there is ample scope for improved results. However, the interest in sector-wide donor supported programme as opposed to the traditional stand-alone project must be there from the Government.</p>
<p>A16: At the moment there is no dedicated coordination mechanism in the field of trade in the Former Yugoslav Republic of Macedonia. This is not to say that the different stakeholders have no contacts at all.</p> <p>1) the EAR organises on a monthly basis a European Union Member States meeting in which all EU member states participate and in which different subject are discussed. Trade occasionally is one of these subjects.</p> <p>2) Both EAR and other international agencies organise ad-hoc meetings to discuss issues related to trade. These meetings are generally called when important outputs of projects or missions are available and need discussions. Or they are organised as part of the programming for future assistance.</p> <p>3) As part of the EU Member States meetings, an ongoing initiative is to stimulate the emergence of sector-focused coordination mechanisms between the government and the international community, basing on the principals of the Paris Declaration. Although trade is not yet on the agenda, private sector development (which is linked to trade issues) is and will be discussed in the coming few months.</p>
<p>A17: a strong leadership from the Government's side is necessary but lack of human resources/capacity in this area is too important to be overcome in the short-medium term</p>
<p>A18: There is a lack of understanding within the Ministry of Trade and Private Sector Development of the advantages of improving coordination of donor inputs. Those donors resident in [...]are very concerned about the poor coordination and are working together to take a common approach. Our efforts to encourage the government are, however, undermined by the approach taken by non-resident donors, such as ITC, UNCTAD and World Bank Washington based staff who come to [...]with a particular objective and without a good understanding of the local context and existing structures.</p>
<p>A19: Dans le cas [...]nous sommes toujours au stade de préparation du plan d'action du Cadre Intégré. Il est donc prématuré d'emettre un avis sur l'efficacité et la plus value de ce processus mais nous pouvons déjà signalé que les partenaires financiers montrent peu d'intérêt à participer Il faudrait, donc, une plus grande implication des bailleurs surtout des EM pour augmenter les chances de réussite de cette démarche.</p>
<p>A20: Le Comité de pilotage du "Cadre intégré" est à ce jour le seul Comité de coordination dans le domaine du TCB. Projet de création d'un sous-groupe au sein de la coordination "Délégation de la CE / Etats membres" (septembre-octobre 2005)</p>
<p>A21: As far as the Delegation is aware, there is no coordination mechanism related to the TCB activities in [...]. At the Government level, there is a donor coordination meeting which is only information sharing and no decision making with regard to planning of new activities and needs on TCB. It is chaired by the Ministry of Commerce, Government of [...]and is attended by the donors agencies (including the IFIs and EU MS working in the area of trade and trade related activities including capacity building.</p>
<p>A22: To my knowledge, there is no coordination mechanism as such related to TCB in [...]. During the EU Economic & Commercial Counsellors meetings organised by the EU local Presidency (in principle twice per semester) there is an opportunity to discuss these matters.</p>

A24: message in e-mail:

As the Netherlands government does not have a private sector development program in Senegal I might not be aware of all developments. The US and the WB are actively involved in this field in Senegal. However we had the local presidency of the EU over the last 1,5 years in Dakar and were organizing the trade officers meetings.

I hope the information is useful for your evaluation.

A25: There is need to bring in both TCB and PSD programmes together under one coordination process. The nature of activities undertaken in the context of trade and PSD require a mixed approach, e.g. global budget support and Multidonor Projects (Basket funds). More progress is required on coherence with EC Regional programmes and links to regional institutions with trade/customs union responsibilities.

A28: The Delegation has organised number of briefing and consultations meetings with EU Member States representatives and donors as well as with the government agencies on EC funded activities (MUTRAP II, TRTA Asia Trust Fund, Trade Needs Assessment mission, EC-ASEAN ECAP II programme on Intellectual Property Rights). Information sharing on EC funded projects (European Technical Assistance Programme ETV 2, EC-ASEAN Standards and Quality Programme, etc.) frequently done in donors and bilateral meetings organised on other subjects.

Synthesis of answers to Questionnaire C

This note is a synthesis of all answers to Questionnaire C. With respect for privacy of respondents, answers are not quoted attributably. For this purpose, a reference code “C#” corresponds to each respondent, and information susceptible to enable identification of respondents is hidden in open questions.

0. Identification of the respondents

Recipients of and Respondents to Questionnaire C				
	Recipients		Respondents	
European Commission	25	16%	6	32%
EU Member States	126	81%	13	68%
Other (Candidate countries, European Council)	4	3%	0	0%
TOTAL	155	100%	19	100%
Rate of response	Total		12,3%	
	<i>Incl. participants in the Group:</i>		28,8%	

This questionnaire has been sent to all participants to one or all meetings organised by the Group (66 persons), plus to persons non-participants in the meetings but registered on the restricted website of the Group² (89 persons).

Are you from a department dealing mainly with trade or with development?		
Trade mainly	9	47%
Development mainly	1	5%
Integration of both aspects	9	47%
TOTAL	19	100%

² Joint Trade & Development Expert Group website: http://trade-info.ccc.eu.int/cgi-bin/trade_dev/index.pl

1. Operational aspects

1.1 - Your participation in meetings organised by the group:		
You never attended the meetings of the group <i>(in this case, please go directly to question 2.2 and then skip to section 4)</i>	1	5%
You normally attend all meetings of the group	13	68%
You participate exclusively when certain topics are discussed	5	26%
TOTAL	19	100%

1.1.1. - To the extent that you only participate when certain topics are discussed, what are these topics?
<i>C1: Integrated Framework - WTO Training Programme - WTO-OECD Trade Capacity Building Data Base</i>
<i>C10: Trade related assistance in ACP Countries, EPA negotiations and other general TRA issues</i>
<i>C14: EPA</i>
<i>C15: Trade Related Technical Cooperation, Doha Development Round, Trade Facilitation (Other colleagues might participate when Services or European Partnership Agreements are a major topic on the agenda)</i>
<i>C17: Services</i>

1.2 - Why were you designated to participate regularly in the meetings of the group? (many possible answers)		
Because you expressed an interest in the topics discussed.	3	10%
Because your institution appointed you to represent it.	14	48%
Because your job includes responsibility in coordination with other MS and/or the Commission.	12	41%
Other (specify)	0	0%
TOTAL	29	100%

1.3 - Are you satisfied with the frequency of the meetings?		
Too many	1	6%
Satisfied with the frequency	17	94%
Too few	0	0%
TOTAL	18	100%

1.4 - Are you satisfied with the procedures of the meetings? In terms of:

1.4.1 - Recording notes:		
Yes	12	67%
No	4	22%
TOTAL	16	100%

If No, why?

C2: which notes?

C3: coming too late

C13: Following the meeting, the recording notes are issued several months after (too late).

C19: With reservation that there are no official recording notes since February 2005

1.4.2 - Status of participants		
Yes	14	78%
No	3	17%
TOTAL	17	100%

1.5 - Are you satisfied with informal status of the Group?

Yes	15	83%
No	3	17%
TOTAL	18	100%

If No, why?

C14: it is not clear, if the group has any impact

C15: The Group has no real mandate to advise the 133 the Committee, which therefore can ignore the work of the group.

2. Relevance of topics addressed

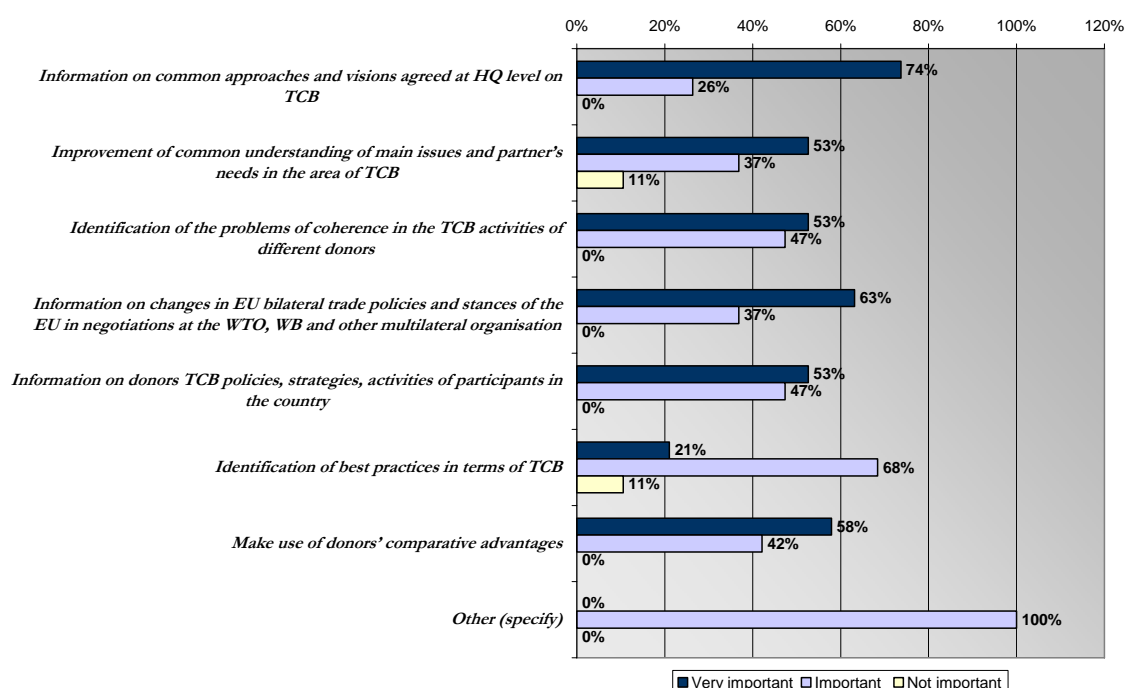
2.1 - Is the planned agenda of the meetings:

In phase with the TCB activities planned by the MS and the Commission?	8	44%
Only in phase with the TCB activities planned by the Commission?	3	17%
Determined on the proposals or requests from participants?	10	56%
TOTAL	21	100%

2.2 - In view of the mandate of the Group, can you give your views on:

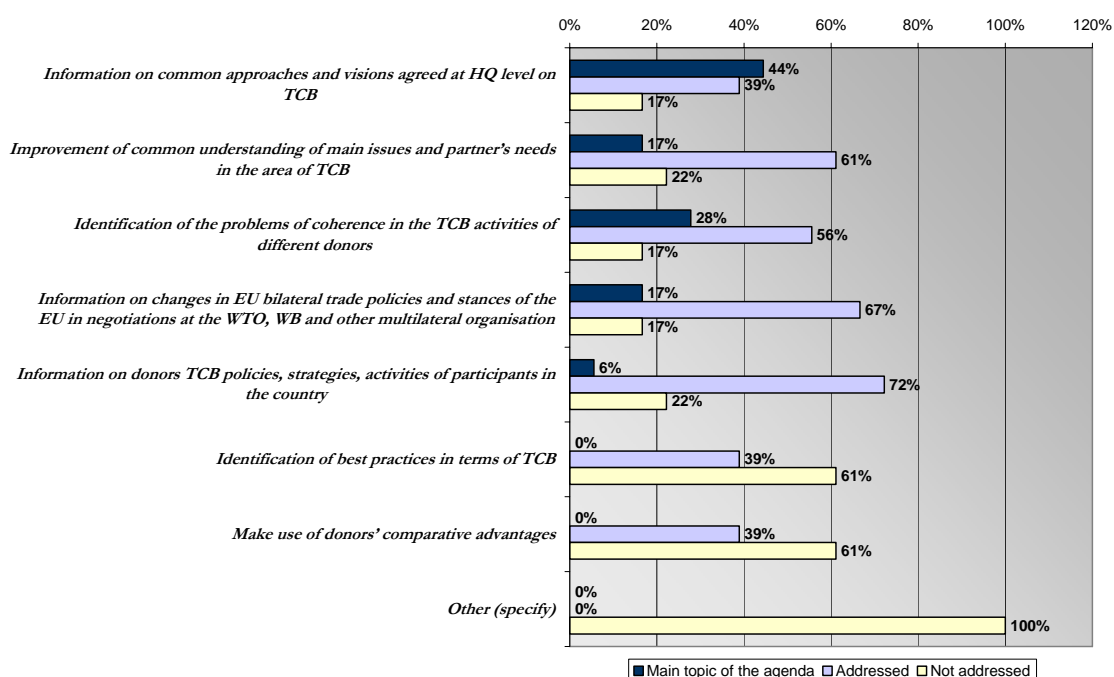
2.2.1 - The importance that should be given to the following aspects.				
	Very important	Important	Not important	TOTAL
Information on common approaches and visions agreed at HQ level on TCB	14	5	0	19
Improvement of common understanding of main issues and partner's needs in the area of TCB	10	7	2	19
Identification of the problems of coherence in the TCB activities of different donors	10	9	0	19
Information on changes in EU bilateral trade policies and stances of the EU in negotiations at the WTO, WB and other multilateral organisation	12	7	0	19
Information on donors TCB policies, strategies, activities of participants in the country	10	9	0	19
Identification of best practices in terms of TCB	4	13	2	19
Make use of donors' comparative advantages	11	8	0	19
Other (specify)	0	1	0	1

C18: *Identification of strategies to implement Paris Declaration on Aid effectiveness, including coordination and harmonisation with non-EU donors*



2.2.2 - The extent to which this importance is reflected in the agenda					
	Main topic of the agenda	Addressed	Not addressed	TOTAL	
	Information on common approaches and visions agreed at HQ level on TCB	8	7	3	18
	Improvement of common understanding of main issues and partner's needs in the area of TCB	3	12	3	18
	Identification of the problems of coherence in the TCB activities of different donors	0	7	11	18
	Information on changes in EU bilateral trade policies and stances of the EU in negotiations at the WTO, WB and other multilateral organization	3	11	4	18
	Information on donors TCB policies, strategies, activities of participants in the country	5	10	3	18
	Identification of best practices in terms of TCB	1	13	4	18
	Make use of donors' comparative advantages	0	7	11	18
	Other (specify)	0	0	1	1

C18: Identification of strategies to implement Paris Declaration on Aid effectiveness, including coordination and harmonisation with non-EU donors



3. Dissemination of the results of the meetings

3.1 - What feed back do you produce after the meetings of the group?		
Nothing	1	3%
A note for the file	4	13%
A note for your department	9	30%
3.1.1 - If so, which?		
Trade	8	36%
Development	6	27%
Foreign affairs	7	32%
Treasury/finance	0	0%
Other (specify) C15: GTZ <=	1	5%
TOTAL	22	100%
A note for other departments or DGs	9	30%
A debriefing meeting	1	3%
3.1.2 - If so, who attends this meeting?		
Only officials from your own department	2	66%
Officials from other departments (specify) C2: <=	1	33%
Within the Committee 133 coordination meetings only if subject matter arises.		
TOTAL	3	100%

Other (specify)	6	20%
<p><i>C4: Depending on the topics discussed, short e-mail and/or verbal exchanges are made between persons dealing with trade and development policy in the Ministry of Foreign Affairs or the [...]representations in Geneva and Brussels. These exchanges are often based on the useful Commission minutes of the meetings, that are disseminated systematically/routinely to the persons concerned.</i></p> <p><i>C8: A report of the meeting is sent to Member States and relevant Commission services.</i></p> <p><i>C10: Only occasional verbal reports to Head of Unit</i></p> <p><i>C13: Actually, it depends on the issues addressed during the meetings of the Group</i></p> <p><i>C15: On items that require a follow-up an e-mail to the person in charge of the issue may in some cases supplement the note on the full meeting</i></p> <p><i>C18: A note sometimes, regularly debriefing during staff meetings</i></p>		
TOTAL	30	100%

3.2 - Is the information resulting from you participation in the meetings of the Group disseminated to your representatives in the partner countries?

Systematically	2	11%
Depending on the topics discussed	9	50%
No dissemination	7	39%
TOTAL	18	100%

3.3 - After dissemination of the results of meeting do you get demands for information or further details on the subjects discussed? (many possible answers)

From colleagues in your departments	11	50%
From other departments in your home administration or the Commission	5	23%
From representatives in partner countries	2	9%
No demand for information	4	18%
TOTAL	22	100%

4. Outcomes of the meetings

4.1 - Did the meetings lead to further bilateral or multilateral contacts (on the subject) between your administration and those of other MS or Commission?		
Yes	12	67%
No	6	33%
TOTAL	18	100%

4.2 - Did the meetings of the group lead to progress in the elaboration of a common EU approach to TCB activities? at the following levels:		
---	--	--

4.2.1 - The exchange of information on on-going and planned activities.		
Yes	15	83%
No	3	17%
TOTAL	18	100%

4.2.2 - The development of a structured information basis on on-going and planned activities.		
Yes	5	28%
No	13	72%
TOTAL	18	100%

4.2.3 - The development of or the sharing of common guidelines for particular TCB activities or for particular phases of the TCB project cycle (from needs assessment to evaluation).		
Yes	7	39%
No	11	61%
TOTAL	18	100%

4.3 - Did the meetings of the group help to define a common approach to multilateral TCB activities (e.g.: WTO seminars, Integrated framework, JITAP)? in terms of		
--	--	--

4.3.1 - Their objectives		
Significant contribution	3	17%
Quite important contribution	6	33%
Some contribution	9	50%
No contribution at all	0	0%
TOTAL	18	100%

4.3.2 - Their contents		
Significant contribution	0	0%
Quite important contribution	10	56%
Some contribution	8	44%
No contribution at all	0	0%
TOTAL	18	100%

4.3.3 - Participation of EU donors		
Significant contribution	0	0%
Quite important contribution	7	39%
Some contribution	7	39%
No contribution at all	4	22%
TOTAL	18	100%

4.3.4 - A common position by those EU donors in the management of these activities		
Significant contribution	2	11%
Quite important contribution	7	39%
Some contribution	6	33%
No contribution at all	3	17%
TOTAL	18	100%

4.3.5 - A common position by those EU donors in the funding of these activities		
Significant contribution	0	0%
Quite important contribution	4	22%
Some contribution	9	50%
No contribution at all	5	28%
TOTAL	18	100%

4.3.6 - Other (specify)		
Significant contribution	0	0%
Quite important contribution	0	0%
Some contribution	0	0%
No contribution at all	0	0%
TOTAL	0	100%

5. Value for money

5.1 - Do you consider that <u>for your work</u> the benefits of your participation to the coordination mechanisms outweigh the costs (time, travel, etc.)?		
Yes, Entirely	7	39%
Partially	10	56%
Not at all	0	0%
No opinion	1	6%
TOTAL	18	100%

5.2 - Do you consider that <u>overall</u> the outcomes of the coordination mechanisms outweigh the resources put in it by the EU donors?		
Yes, Entirely	5	28%
Partially	8	44%
Not at all	1	6%
No opinion	4	22%
TOTAL	18	100%

6. Recommendations

6.1 - Do you think that the group should devote more attention to the allocation of EU resources to the various TCB categories?		
Yes, but only in terms of information sharing	12	63%
Yes, active contribution to EU funding decisions for TCB	7	37%
No	0	0%
TOTAL	19	100%

6.2 - Do you think that the group should be more involved in preparing common positions for the EU participation in multilateral fora relative to the following aspects:

6.2.1 - Design of multilateral activities (e.g. WTO training sessions, IF activities, etc.)		
Yes	15	79%
No	4	21%
TOTAL	19	100%

6.2.2 - Funding (e.g.: earmarked funding, basket funding.)		
Yes	12	63%
No	7	37%
TOTAL	19	100%

6.2.3 - Implementation (e.g.: identification of IF facilitator, allocation of tasks, formation of clusters of EU donors, etc.)		
Yes	15	79%
No	4	21%
TOTAL	19	100%

6.2.4 - Monitoring and evaluation		
Yes	19	100%
No	0	0%
TOTAL	19	100%

6.3 - Do you have any suggestions for alternative topics that could be handled by the group?
<p>C2: No suggestions on alternative topics, but two other remarks:</p> <ul style="list-style-type: none"> ▪ the Group meetings need more structure and more complementarity with both the Geneva WTO agenda and the Committee 133 agenda in Brussels. ▪ the document distribution should change and only the Committee 133 distribution mechanism should be used.
<p>C3: NB: Please note that I have been participating in the group only from March 2005!</p>
<p>C4: I do not believe that the group should necessarily attempt to formulate 'common positions' in a strict sense. In my opinion, the group should, chiefly through information exchange, strive to ensure coherency and complementarity of EU Member State and Commission trade and development policy.</p> <p>The group could to a greater degree be used as an informal forum of sparring partners for the Commission and Member States. Views on potential Commission initiatives in the area of trade and development could thus be exchanged before more formal discussions take place in the EU. The Commission could, for example, present an early draft of the report on the EPA-negotiations before it is finalized by mid September this year.</p> <p>Such a process would probably attract more expert participants from Member State capitals, and thus heighten the level and value of the exchange of views in the group.</p>
<p>C6: The group already discusses a wide range of topics, with a focus on TCB related subjects, but also covering trade & development policy issues. The group has been more responsive to topics coming from the trade side than to topics coming from the development side. Development side involvement has been less than trade side involvement.</p>
<p>C10: The representativity of the EU MS representatives is not relevant for the TRA activities in ACP countries and, hence, the relevance of the Group was not high for our activities. I have requested access to the website so as to follow some of the issues but did not get it.</p>
<p>C12: [<i>request for more focus on</i>] Trade and development policies and their effectiveness.</p>

C15: I would like to point out that on some questions (e.g. 4.2) it would have been good to have some intermediate answer between the black and white answers yes and no.

On question 5: My positive answers here may seem to be somewhat contradictory to my answers under 4.3. However, as a representative of the development ministry (which does not sit in the 133) the meetings of the group are the only occasion where we have an opportunity to discuss issues directly with the commission and other Member States. It is therefore valuable to have the group meetings, even if some of the specific outcomes are not rated all that high.

C18: 1. *[request for more focus on]* Concrete examples of policy coherence for development in relation to trade and development;

2. Generally, the group's agenda should include at least 40% trade & development issues, and involve officials from both trade and development ministries.

^a A18: varies by committee.

^b A18: varies by committee.

^c A25: UK; A24: EU- Presidency; A12: DFID & DANIDA; A2: Holland + France.

^d A10: That which has the rotatory Presidency. Actually is the UK; A3: DFID.

^e A25: World Bank and UNDP; A25: World Bank and UNDP; A20: UNDP; A19: Banque Mondiale+ USAID (facilitateur); A18: Various IF Donors and Malawi Government; A17: Banque Mondiale

^f A28: World Bank; A25: Dutch and DFID; A24: US, WB; A15: World Bank; A15: EC/UNDP; A2: Heads of Mission.

^g A9: WB

^h A26: about 5 including SIDA, DANIDA, DFID; A19: France, Pays Bas, Allemagne; A18: DFID.

ⁱ A27: All MS present in Tunisia; A24: EU Delegations in Dakar: SP, FR, GE, NL, IT, PO, etc.; A12: DFID, EC, GTZ, DANIDA, AFD, Italian Cooperation; A6: France; A1: Dfid.

^j A10: All MS with representation in Ecuador: Belgium, Netherlands, Luxembourg, Italy, Germany, France, Spain and UK; A3: DFID, GTZ; A2: Belgium.

^k A25: World Bank and UNDP; A20: UNDP; A19: Suisse, FMI, PNUD, USAID; A18: UNDP, WB, Other visiting donors (e.g. ITC, UNCTAD etc.).

^l A25: WB, UNDP; A24: WB, US, KFW etc.; A15: World Bank; A15: EC/UNDP; A12: JICA, Switserland, WB/IFC, USAID; A12: JICA, Switserland, WB/IFC USAID, 16 Donors all together; A6: JICA, WB, IMF, UNDP, UNCTAD, AusAid, etc; A2: USAID, WB, Suisse Cooperation, PNUD; A1: CIDA, NORAD, JICA, IFC, World Bank.

^m A9: 10 donors total; A3: USAID; A2: FIDA, FAO, MCA.

ⁿ A18: varies by committee.

^o A18: varies by committee.

^p A25: other donor projects; A25: other donor projects.

^q A28: Donor matrix on TRTA; A25: other donor projects; A24: WB programs; A12: Ghana is not a LDC, a government led process has been developed to achieve a national trade strategy with a prioritised list of actions; A12: All donor coordination issues related to PSD, Trade and Finance; A2: Other studies and initiatives by WB, EC, MS and MCA.

^r A18: varies by committee.

^s A18: varies by committee.

^t A20: Representative of the Commission Delegation, as Facilitator for IF in the identification phases. A25: SIDA is the IF facilitator for Tanzania.

^u A27: Official from EU country that holds the EU presidency; A24: NL did for last 1,50 year. Now GB; A15: i/c Private Sector Development; A12: The Donor group has two chairs: DFID and DANIDA; A2: Commission Delegation; A1: EC Delegation.

^v A10: The MS which has the rotatory Presidency.

^w A28: World Bank; A25: NL; A24: US; A2: Holland.

^x A18: Main focus: taking forward IF agenda and spending IF window II resources; A25: relationship with regional integration and regional programming issues is a key area requiring greater attention.

^y A19: Identification and project financment.

^z A18: Main focus – taking forward IF agenda and spending IF window II resources.

^{aa} A19: Identification and project financment.

-
- bb A25: The Delegation attempts to update periodically other DPs, especially EU Member States, on trade policy developments, notably relating to EPAs. This has been done in meetings, papers etc (examples available on request); A2: Follow-up of private sector environment and coordination of positions regarding to it; A1: Impact of end of ATC on Bangladesh.
- cc A2: Comments and coordination on new programs being designed (EC program of support to private sector, MCA); A12: Identify a common approach to support TCB in country.
- dd A12: Identify a common approach to support TCB in country; A2: Follow-up of private sector environment and coordination of positions regarding to it.
- ee A2: Comments and coordination on new programs being designed (EC program of support to private sector, MCA).
- ff A12: but the leadership in identification of needs is left with the Government of Ghana; A20: UNDP; A25: but EU has had no interventions in the private sector under recent EDFs so this is limited; A27: World Bank.
- gg A24: Messages to Government on private sector improvement.
- hh A12: and all concerned parties; A20: UNDP.
- ii A20: EC; A11: Joint Review Meeting, Performance Assessment Reports, Monitoring & Evaluation Framework.

Annex 10 - Review of three categories of TCB: SPS, Trade Facilitation and Training for Trade/Negotiation Training

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This annex provides a review of three selected categories of TCB activities to highlight the issues faced by the partner countries in these fields and to review the instruments developed to meet them. Table 1 shows the relative importance of these three categories of TCB in total TCB assistance as well as the relative weight of EU donors in each category. The data are extracted from the Trade Capacity Building Data Base of the WTO/OECD (TCBDB) since it is the only comprehensive source of data on TCB donor-funded activities worldwide; it captures TCB data over the period 2001-2004¹. The table can only give an indication in terms of an order of magnitude as it suffers from several limitations. One of the main limitations is that substantial assistance in the selected categories is provided through development projects which are not necessarily and typically categorised under 'trade development' whereas they (or large sub-components of them) do have trade development characteristics (for instance SPS in agricultural projects): these activities might not be reported on in the TCBDB. Similarly, interventions via the multilateral Trust Funds cannot be categorised in the database.

¹ More detailed extracts from the TCBDB are presented in annex 5 of *Evaluation of Coordination of Trade Capacity Building in Partner Countries – Evaluation studies under the 3Cs Initiative*, Revised Inception Note, 16th March 2005.

Together the three TCB categories represent about 16% of total TRTA/CB over the period 2001-2003, which is about half the commitment on trade policy and regulations. The EU donors dominate the SPS category with 67% and provide nearly half of the assistance on trade facilitation. Their share in trade education and training, and in training for trade negotiation, is smaller. It is worth noting that the EU donors are contributing 50% of total commitments to the multilateral Trust Funds but the share of these in total TRTA/CB is marginal (2%). The large share of commitments in trade development suggests that it will be important to check in the field visit countries whether trade development projects include activities in the TCB categories selected for this evaluation.

Table 1 - Commitments on TRTA/CB (2001 to 2003)

	Commitments in \$ million			Distribution by category (all donors)	Share of EU donors in each category
	EU donors	Other donors	All donors		
Trade policy and regulations	1 150	1 158	2 308	34%	50%
Sanitary and phytosanitary measures (SPS)	132	65	197	3%	67%
Trade Facilitation	328	365	693	10%	47%
Trade education/training and training in trade negotiation techniques	49	138	187	3%	26%
Trade development	2 243	2 191	4 434	65%	51%
Contributions to TCB Trust Funds (ITC, JITAP, Integrated Framework Trust Fund, WTO TF)	53	55	108	2%	49%
Total Commitments on TRTA/CB	3 446	3 404	6 850	100%	50%

Source: Joint OECD & WTO Doha Development Agenda Trade Capacity Building Database (TCBDB) <http://tcbdb.wto.org>

1. Sanitary and Phyto-Sanitary Measures (SPS)

1.1 Definition of SPS measures and WTO mandate

a) Definition

Sanitary and phytosanitary measures are a sub-set of technical measures, and are defined within the WTO as any action applied (WTO, 1994):

- (a) to protect animal or plant life or health within the territory of the Member from risks arising from the entry, establishment or spread of pests, diseases, disease-carrying organisms or disease-causing organisms;
- (b) to protect human or animal life or health within the territory of the Member from risks arising from additives, contaminants, toxins or disease-causing organisms in foods, beverages or feedstuffs;
- (c) to protect human life or health within the territory of the Member from risks arising from diseases carried by animals, plants or products thereof, or from the entry, establishment or spread of pests; or
- (d) to prevent or limit other damage within the territory of the Member from the entry, establishment or spread of pests.

These SPS measures aim to ensuring that Members are not prevented from adopting or enforcing measures necessary to protect human, animal or plant life or health, subject to the requirement that these measures are not applied in a manner which would constitute a means of arbitrary or unjustifiable discrimination between Members where the same conditions prevail or a disguised restriction on international trade.

Source: http://tcbdb.wto.org/trta_subcategory.asp?cat=331&subcat=13

b) The legal basis: the WTO's SPS Agreement²

The international community has addressed the impact of SPS standards on trade in agricultural and food products through the Agreement on Sanitary and Phytosanitary Measures (the SPS Agreement). The aim of the Agreement is to minimise the negative trade effects of SPS measures and the abuse of these measures as trade barriers. As part of the 1994 GATT Agreement the new Agreement on SPS Measures entered into force with the establishment of the WTO on 1 January 1995. It grew out of several trade disputes, most notably between developed countries, that could not be resolved under the existing Technical Barriers to Trade (TBT) Code or through the then existing GATT dispute settlement procedures. The SPS Agreement prevails over the GATT Agreement of 1994.

² Sources:

Impact of sanitary and phytosanitary measures on developing countries, Henson S.J., Loader R.J., Swinbank, A., Bredahl, M. and Lux N. - Department of Agricultural and Food Economics - The University of Reading, June 2002.

Comparing EU free trade agreements: Sanitary and Phytosanitary Standards, Rudloff, B. Simons, ECDPM with CTA -the Technical Centre for Agriculture and Rural Cooperation ACP-EU, June 2004.

The SPS Agreement aims to:

- protect and improve the current human health, animal health, and phytosanitary situation of all member countries.
- protect the Members from arbitrary or unjustifiable discrimination due to different sanitary and phytosanitary standards.

The Agreement permits individual countries to take legitimate measures to protect the life and health of their consumers given the level of risk they deem 'acceptable', provided such measures can be justified scientifically and do not unnecessarily impede trade.

The SPS Agreement emphasises a number of key principles:

- Member States are free to choose the **level of protection they deem necessary** and to establish measures to implement the targeted protection level.
- **Harmonisation** requires national standards to be based on standards developed by the three accepted and recommended international standard setting organisations³. These are the *Codex Alimentarius Commission* (CAC, administrated by the FAO and the WHO) for food safety, the *Office International des Epizooties – World Animal Health Organization* (OIE), and the *International Plant Protection Convention* (IPCC).
- Any stricter protection must be justified by a scientific **risk assessment**.
- **Equivalence** is recommended in the acceptance of different measures that achieve similar protection levels. The exporting country must demonstrate equivalency of measures to the importing country.
- Definition of risk-free areas should take account of **regional circumstances** such as diseases of special regional relevance or the existence of control programmes for certain regions.
- **Special and differential treatment** provides for the encouragement and facilitation of developing countries' participation in relevant organisations, as well as for longer implementation periods. This is developed in sub-section (c) hereafter

c) *Provisions for developing countries under the SPS Agreement*

The SPS Agreement should help facilitate trade from developing to developed countries by improving transparency, promoting harmonisation and preventing the implementation of SPS measures that cannot be justified scientifically. Much of this is dependent, however, on the ability of developing countries to participate in the Agreement effectively.

The Standards and Trade Development Facility (STDF) is provided through the World Bank's Development Grant Facility and the Doha Development Trust Fund, in complement to the WTO SPS Agreement. Its main objective is to help developing countries meet SPS requirements by extending technical skills and supporting participation in relevant organisations.

³ The institution pre-existed the WTO and have been confirmed.

The Food-Specific Codex Trust Fund, jointly launched by the World Health Organization and the FAO and coordinated by the STDF, aims to support developing countries participating in the process of establishing standards, for example by joining the relevant meetings and conferences. More specifically:

- Members are instructed to take account of the special needs of developing countries, and in particular least developed countries, in the development of SPS measures.
- Where the appropriate level of protection permits scope for the phased introduction of new SPS measures, longer periods should be given for products of special interest to developing countries so as to maintain their opportunities for exporting,.
- The SPS Committee is permitted to grant developing countries time-limited exemptions from obligations under the Agreement, taking into account their financial, trade and development needs.
- Members should encourage and facilitate the active participation of developing countries in international organisations such as Codex Alimentarius, OIE and IPPC.
- Members are encouraged to provide technical assistance to other Members, in particular developing countries, for the purpose of allowing such countries to meet the level of SPS protection required in their export markets.

1.2 Main issues faced by developing countries in the area of SPS.⁴

a) *SPS measures involve costs but also potential benefits.*

The developments described in section 2.2.1 lead on to an examination of the major issues associated with SPS measures:

- SPS is a vast and very technical domain. It involves a large number of stakeholders at the crossroads of trade, development, public health, environment and so on, and requires extremely specialised expertise at different levels: capacity to negotiate on the basis of scientific evidence, elaboration of certification and control mechanisms, and assimilation of the rules by the trade operators.
- SPS is a politically sensitive domain because the border between justified SPS measures and protectionist technical barriers to trade is sometimes difficult to establish. Its components (food safety, animal health and plant health) are generally covered by wider agricultural or trade-related programmes rather than by autonomous SPS interventions.

The two issues are interdependent because the technical weakness of the developing countries increases their political vulnerability. However, it would be a mistake to consider that SPS measures involve costs only for the developing countries. Developing countries are also importers and SPS measures are equally relevant for their imports from developed and other developing countries as well as for their internal trade. Moreover, adequate compliance with internal standards is increasingly a determinant factor of international competitiveness for countries whose main exports are agro-food products.

⁴ Source: *Impact of sanitary and phytosanitary measures on developing countries*, Henson S.J., Loader R.J., Swinbank, A., Bredahl, M. and Lux N. - Department of Agricultural and Food Economics - The University of Reading, June 2002.

b) SPS and trade distortion

Further to reduction of tariffs and quantitative restrictions to trade, there has been growing recognition that SPS measures can impede trade in agricultural and food products. Developing countries in particular experience problems in meeting the SPS requirements of developed countries. This can seriously impede their ability to export agricultural and food products.

The WTO SPS Agreement attempts to reduce the trade distortion effects of SPS measures, but structural problems persist, as developed countries typically apply stricter SPS measures than developing countries and as SPS controls in many developing countries are weak and overly fragmented. Furthermore, in certain circumstances SPS requirements are incompatible with the prevailing systems of production and marketing in developing countries. In consequence wholesale structural and organisational change may be required in order to comply, and the associated costs can act to restrict trade in a similar manner to tariffs.

c) Technical complexity of SPS

SPS regulations and their implementation involve several dimensions: the international agreements and rules; certification; verification of compliance; adaptation of operators to comply with the rules. A particularly acute problem is access to appropriate scientific and technical expertise. In many developing countries knowledge of SPS issues is poor, both within government and the food supply chain, and the skills required to assess the SPS measures applied by developed countries are lacking. Key problems are insufficient ability of developing countries to assess the implications of developed country SPS requirements following notifications; to participate effectively in dispute settlement procedures, and to demonstrate that domestic SPS measures are equivalent to developed country requirements. Their scientific capacities are simply insufficient to enable them to contribute their voice in international fora. Many developing countries are not represented at SPS Committee meetings or at meetings of the international standards organisations and, as a result, may fail to utilise to their advantage the provisions and mechanisms laid down by the Agreement.

Potential solutions to these issues can be found, including⁵.

- First, enhanced capacity of developing countries to comply with SPS requirements can be attained through:
 - initiatives to improve access to scientific and technical expertise;
 - development of domestic SPS control systems that are effective and appropriate to local circumstances.
- Second, the reform or the development of international institutions responsible for SPS matters (revisions to the transparency arrangements of the SPS Agreement, greater harmonisation of international SPS standards, changes to the decision-making procedures of the international standards organisations, and development of

⁵ Source: *Impact of sanitary and phytosanitary measures on developing countries*, Henson S.J., Loader R.J., Swinbank, A., Bredahl, M. and Lux N. - Department of Agricultural and Food Economics - The University of Reading, June 2002.

mechanisms for legal or technical assistance relating to SPS matters within the context of the WTO) could allow the needs of developing countries to be better addressed.

- Third, greater recognition of the problems faced by developing countries is required if their needs are to be more consistently taken into account when designing and applying SPS requirements. This may necessitate changes in institutional structures to incorporate developing country interests into the SPS standard-setting process.

1.3 The response of the EU

The response of the EU to the problems faced by developing countries is examined at two levels. Trade policy, on the one hand, and in particular the way the EU is handling SPS in its free trade agreements with developing countries, TCB interventions of the Commission and the MS in the area of SPS, on the other.

a) *SPS in EU free trade agreements*

The EU has always maintained a strong body of legislation related to consumer health and safety in the area of foodstuffs. However, in recent years these SPS measures have increased significantly to the extent that they are regarded as a barrier to imports from ACP countries, whose exporters have difficulty in complying with EU requirements. These difficulties are compounded by the continuing reduction in ACP competitive advantage derived from EU preferences.

As the definition of norms and standards is predetermined by the higher-level WTO rules, bilateral arrangements mainly focus on procedural issues. In this respect a common characteristic of all EU Free Trade Area Arrangements (FTA) is their emphasis on facilitating the application of the WTO SPS provisions. This is done in two main ways:

- fostering consistent application of WTO SPS measures by pursuing a common understanding of the existing WTO provisions; and
- harmonisation, through consistency with WTO standards and mutual recognition provisions.

The FTA differ from the WTO SPS provisions in four main respects:

- the extent to which they reaffirm WTO rules,
- the emphasis on cooperation on SPS measures,
- the adoption of a general exception clause similar to GATT Art. XX, and
- the specification of technical assistance in SPS issues.

Only very rarely do the agreements contain individual provisions that go beyond WTO SPS commitments; these concern a limited number of specific products, procedural provisions on fixed time schedules or decision procedures and equivalence provisions.

The WTO commitments regarding SPS measures increase the flexibility of the parties in the event of disagreements. The parties have the opportunity to settle disputes either according to the dispute procedures of the specific FTA or according to the WTO dispute settlement procedures.

b) *The Commission⁶ and MS approaches to TCB in SPS*

SPS measures are at the crossroads of two major domains:

- trade, where SPS measures appear as one of the non-tariff barriers;
- agriculture development and fisheries, where SPS measures specifically target food products and commodities.

Because of that specificity, SPS measures are generally a component of wider programmes, rather than specific interventions.

Mandates in the Commission with regards to SPS are found within several Directorates-General:

- The RELEX Family (DG RELEX-AIDCO-DEV) for programming and implementation of appropriate programmes to tackle SPS measures in developing countries.
- DG SANCO, especially concerning general guidance for third countries' authorities on the procedures to be followed when importing living animals or animal products into the EU. Specifically, when drafting technical assistance projects addressing access to EU market, DG SANCO should be consulted.
- DG TRADE, for coordinating with sector DGs on trade negotiations concerning SPS matters; for contributing to the definition of Commission policy on SPS issues in trade relations with third countries; for coordination responses to SPS-related market access complaints concerning EU imports from and exports to developing countries; for providing rapid, targeted technical assistance to developing countries; and for providing input into the definition and prioritisation of technical assistance and capacity-building activities under programmes managed by the Commission.

An Inter-Service Thematic Group on SPS-related issues for developing countries brings together several Commission DGs (DEV, RELEX, AIDCO, TRADE, SANCO, RTD and AGRI) to share information and promote a common approach among all DGs directly or indirectly involved in SPS activities.

Annex 3 provides an overview of SPS interventions by EU donors. As evident from this annex (and from table 1 at the beginning of this section) most SPS TCB is provided by the Commission through the major regional programmes it finances in the three main SPS domains (food, animal health and plants). These interventions focus on technical issues and on institutional support to authorities for implementation of SPS measures.

- Food safety: technical assistance and expertise, training and investments in a limited range of products which nonetheless represent most of the exports from ACP countries in these areas, i.e.:
 - Maximum Residue Level (MRL) for the horticulture sector,
 - Sanitary and hygienic conditions for fisheries products.
- Animal health: relates to some of the OIE list A of diseases:

⁶ The Thematic Review on SPS produced by the Commission's Taskforce on Trade and Development provides useful general background on SPS issues, on institutions involved with this domain, on the Commission's activities in SPS, and on impact of SPS measures for developing countries.

- Rinderpest and others,
- Foot and mouth disease in SADC countries,
- African Swine fever: Caribbean programme.
- Plant health :
 - Support to quarantine systems (Caribbean, Pacific),
 - Phytosanitary harmonisation (Indian Ocean).

The Thematic Review⁷ includes lessons and recommendations worth mentioning:

- Most relevant existing SPS programmes are those focusing on the preparation of countries to comply with and to adjust to SPS standards. These programmes appear more efficient when implemented at regional level.
- SPS issues are often highlighted when a crisis occurs. But lack of qualified expertise and rigid procedures hardly contribute to resolving conflicts. Therefore country preparation to SPS is paramount and should not be diverted by the debates taking place when a SPS crisis occurs.

Member States activities in SPS are limited and generally under the cover of trade development or agricultural projects. Interventions in standards (SPS) are usually conducted via participation in multilateral facilities (see for instance, DFID).

2 Trade facilitation

2.1 Definition of Trade Facilitation and WTO mandate

a) *Definition*

The WTO defines Trade Facilitation as:

Simplification and harmonisation of international trade procedures. Trade procedures include the activities, practices and formalities involved in collecting, presenting, communicating and processing data and other information required for the movement of goods in international trade.

Trade facilitation relates to a wide range of activities such as import and export procedures (e.g. customs or licensing procedures); transport formalities; and payments, insurance, and other financial requirements. For example, companies need to be able to acquire information on other countries' importing and exporting regulations and how customs procedures are handled. Cutting red tape at the point where goods enter a country and providing easier access to this kind of information are two ways of "facilitating" trade.

http://tcbdb.wto.org/trta_subcategory.asp?cat=331&subcat=21

⁷ With the limitation that both data from the WTO/OECD TCBDB and data from individual donors fail to capture adequately the substantial trade related interventions embodied in projects that are not specifically trade related.

The objective of trade facilitation is to reduce the cost of doing trade business by eliminating unnecessary or illegal constraints applied to movements of goods. In this view, trade facilitation refers to (i°) the simplification, standardisation and automation of all requirements and procedures applied by government and other agencies involved in the management of trade operations, (ii°) the transparency of these regulations, (iii°) and their correct enforcement.

The procedures applied by customs and similar agencies for import, export and transit operations, are particularly important elements of trade facilitation.

b) Legal basis

The legal basis for TF within WTO can be found in Articles V, VIII and X of the GATT and in the mandate agreed under paragraph 27 of the Doha Declaration⁸. Trade facilitation is one of the so-called Singapore Issues, the others being competition policy, trade and investment and transparency in government procurement. The EU argued in favour of a multilateral agreement covering all of these issues – and later of an agreement to cover each separately – at the WTO Ministerial Meeting in Cancun in September 2003. The EU's arguments were rejected by the developing countries and, indeed, disagreement over these issues was considered by many to be one of the triggers that led to the breakdown of negotiations at Cancun. The main argument against an agreement on TF within the WTO was that the problem is not one of purposeful exploitation of border procedures as barriers to trade but rather simply a lack of financial and human resources on the part of the developing countries.⁹ The developing countries argued that they would willingly accept and implement more efficient border procedures if they had the financial and technical resources to do so. The issue, they argued, is not one of imposing disciplines to force countries to reform their procedures, but one of identifying the most cost-effective instruments for delivering financial and technical assistance to these countries, and then delivering the assistance.

⁸ Article 27 of the Doha Declaration reads as follows;

'Recognizing the case for further expediting the movement, release and clearance of goods, including goods in transit, and the need for enhanced technical assistance and capacity building in this area, we agree that negotiations will take place after the Fifth Session of the Ministerial Conference on the basis of a decision to be taken, by explicit consensus, at that session on modalities of negotiations. In the period until the Fifth Session, the Council for Trade in Goods shall review and as appropriate, clarify and improve relevant aspects of Articles V, VIII and X of the GATT 1994 and identify the TF needs and priorities of members, in particular developing and least-developed countries. We commit ourselves to ensuring adequate technical assistance and support for capacity building in this area.'

⁹ Article 45 of the main Cotonou Agreement commits parties to: "implement national or regional rules and policies including the control and under certain conditions the prohibition of agreements between undertakings....which have as their object or effect the prevention, restriction or distortion of competition." It should be noted that the EU proposed that any future WTO agreement on TF should include measures to build capacity in developing countries, and allow a reasonable time period for implementing improvements. The Commission went further proposing that individual transitional periods would be established for each member seeking more time, in conjunction with a specific technical assistance programme that would be worked out and agreed with the country in question. (European Communities submission to the WTO Council for Trade in Goods of 12 July 2002 on Improvements to GATT Article VIII on Fees and Formalities Connected with Importation and Exportation, see/http://www.wto.org/english/tratop_e/tradfa_e/tradfa_overview2002_e.htm)

The EU negotiators are now expected to push for some agreement on the Singapore issues in the course of the EPA negotiations¹⁰. As expected at the initial technical meetings for EPA negotiations in Central and West Africa, TF has been high on the agenda. “As a first step, priority areas have been identified, such as sanitary and phytosanitary measures, technical barriers to trade and TF, where the promotion of regional cooperation and rules will help to remove significant barriers to trade, first between the ACP countries and then between the ACP and the EC”¹¹.

2.2 Main issues facing developing countries in trade facilitation

a) *Contribution of trade facilitation to profitable participation in the MTS*

It is estimated that, on average, border costs contribute up to 15% of the overall value of an international trade transactions¹². Increased efficiency would, moreover, improve compliance with standards, reduce illicit trade, cut costs through elimination of duplication and unnecessary procedures and increase tariff and tax revenue.

Improved trade facilitation is essential to permit the access of SME and new producers from developing countries to the MTS.

b) *Cost of trade facilitation and shortage of skills*

The process of TF reforms may imply significant administrative and equipment costs, which means, for instance, that customs reform must compete with other developmental priorities. There may be substantial developmental costs in, say, the rebuilding of port facilities and associated supply-side components such as the transport infrastructure – which cannot be defined as TF or even as TCB – but are required if TF is going to yield major developmental returns.

Moreover in developing countries there are often critical shortages of the skills necessary to introduce effective reforms. Up to a point training may address this constraint but there may be a deeper and much less tractable problem in inadequacy of the basic educational requirements. Thus there are broader developmental obstacles to TF processes. This is why

¹⁰ The Commission has declared that “in parallel to the WTO work, the EC is also pursuing trade facilitation provisions in its bilateral or regional initiatives. These provisions should – where possible – extend beyond what the EU has suggested in the WTO (i.e. they should be “WTO+”) through, e.g.:

- negotiating stronger commitments;
- providing enhanced co-operation on specific and practical aspects on trade facilitation, e.g. promoting a single administrative document/message;
- introducing specific “add-ons”, e.g. regional transit arrangements;
- integrating the development dimension of trade facilitation by providing trade related (technical) assistance.

European Commission: Information on EU Bilateral and Regional Initiatives on Trade Facilitation. Internal note.

¹¹ EPA Watch, *Joint Report on the State of Play of Regional EPA Negotiations*, 2004 (available on <http://www.epawatch.net/general/text.php?itemID=243&menuID=26>)

¹² OECD, Trade Facilitation, Policy Brief, 2003.

donors insist that TF and the required training needs be assigned the appropriate priority and sequencing in the overall development process¹³.

c) *Inefficient border procedures*

The costs of inefficient and fraudulent border procedures clearly impact on business and later on intermediate and final users in terms of delays, unnecessary paperwork and missed opportunities. Significant gains can be won through improved border procedures, and these gains could accrue mainly to the developing countries.

Trade facilitation does not only cover customs procedures; the wider aspects of border management processes are also at stake. Globalisation, which means greater international specialisation in production and reliance on international trade, will mean that border-related costs will increasingly discourage trade with the countries concerned as they represent a burden on consumers of imported products. Moreover successive reductions in tariff barriers, together with increased dependence on a range of suppliers and reliance in supply chain management on ‘just-in-time’ techniques have meant that the costs of border procedures has become increasingly significant. In addition there are problems with lack of rapid legal redress in the event of a complaint, insufficient co-ordination between the customs and other inspection agencies, weakness or absence of mechanisms for pre-customs clearance, and inadequate use of information technology.

d) *Corruption*

Another aspect of TF is elimination of corruption. The nature of border procedures can create fertile ground for corrupt practices ranging from the “petty” to the very significant. Indeed, it often involves one-to-one contact between customs and other officials and traders or their agents and carriers, the importance of rapid processing of goods and associated documentation, and the often arbitrary nature of customs valuation.

For governments, fraud induces costs of shortfalls and delays in revenue collection and of the lack of transparency associated with the trade regime. From a macro viewpoint there will be the loss of output, and of output growth, associated with loss of competitiveness of exports and the higher cost of imports. “Countries that have carried out reforms in this area have achieved a substantial increase in Customs revenue, despite the reduction in duties brought by trade liberalisation”¹⁴.

Trade facilitation could help reduce corrupt practices in several ways, such as through proper electronic recording of processing, transparency in valuation and other processes, mechanisms for rapid resolution of disputes and improved training of staff at all levels.

¹³ DFID, Department for International Development, March 2003, *Building Capacity for Trade* (<http://www.dfid.gov.uk/pubs/files/bbp4.pdf>).

¹⁴ OECD, Trade Facilitation, Policy Brief, 2003.

2.3 The response of the donors

a) *A privileged channel: the Integrated Framework*

Trade facilitation issues require a multi-dimensional and systemic response. This is why the Integrated Framework has become deeply involved in the process of TF in a number of LDCs and 14 donor countries have decided to contribute through this mechanism. It also largely explains the establishment of the Joint Integrated Technical Assistance Programme (JITAP) in eight selected African countries and its stress on the close linkages between trade and development.

The developing countries have for some years been the recipients of significant amounts of TCB directed towards TF. As recorded in the TCBDB, TF received \$ 693 million or 10% of total TCB commitments over the period 2001-2003. EU donors provided \$ 328 million or 47% of this total. (See Table 1 above).

b) *Main EU donors' trade facilitation projects*

Annex 3, table 1b, also extracted from the TCBDB, lists the TF projects from all donors in the nine pre-selected countries or the regional groups to which they belong. This amounts to a total of \$ 51.2 million¹⁵. Information additional to that in table 1b has been obtained from the EU donors and is also included in annex 3 as tables 2 and subsequent.

In general the WTO definition of trade facilitation is very broad and lends itself to an elastic interpretation. There is inevitably a major TF component in a large number if not the majority of multilateral TCB, tax reform, training and regional integration programmes. Within the EU, both the Commission and the MS, in particular DFID, are running a great number of such programmes. It is impossible – and given the conceptual problems would be unwise – to try to evaluate in monetary terms the TF component of each of these. The figure of 10% of total TCB as calculated from the WTO database is likely to be an underestimate.

The details of the TF programmes are not always available. Even in an area like customs, in which improved procedures may stimulate trade - and indeed form part of the current TF agenda¹⁶ - projects may not always be classified as TCB particularly if their primary purpose was improved tax management. Secondly, an examination of available project descriptions is not very informative. Thirdly, the most important deficiency of the database is the inclusion of activities considered wrongly as 'trade facilitation'. For instance, the database records under TF projects that promote fair trade, others that concern assistance with national accounts and price index data; clearly they do not fit into the WTO classification of TF.

¹⁵ See Annex 3, introductory table.

¹⁶ See for example, OECD, 'Trade Facilitation: The Benefits of Simpler, More Transparent Border Procedures', at <http://www.oecd.org/dataoecd/35/50/8920454.pdf>

The data from annex 3, though deficient in many ways, convey some information regarding the TF activities of the Commission and the MS.

Not surprisingly TF includes many bilateral as well as global or regional projects. Bilateral projects tend to address country specific issues, in particular customs valuation, whereas global or regional projects provide support for implementation of the ASYCUDA system across sets of countries, improvement of transit procedures - by nature a transnational trade facilitation issue - and international TF-related training programmes.

Among the EU donors, the Commission and DFID programmes and projects classified as TF involve significantly greater budgets than those of the others. This might have led to some specialisation and the exploitation of acquired expertise in the TF field. However, the data in the WTO database or made available by other sources do not make it clear whether any such specialisation has consciously taken place either between the Commission and DFID or among the EU donors as a whole. To the extent that TF activities are imbedded in broader programmes this becomes even more complex.

European Commission TF programmes (annex 3, table 2) relate primarily to customs procedures and ASYCUDA.

DFID (annex 3, table 4a) has a significant portfolio of TF projects involving customs services, simplification and harmonization of export procedures, but also of projects which may suffer from the misclassifications mentioned earlier. For example, DFID is currently running a project in Southern Africa “to increase trading opportunities for small-scale farmers and traders by developing common standards across goods and services in the region and improving customs procedures”. The project is budgeted at £ 12 million but the strict TF component is not quantified. Another regional project in Africa is titled the “G8-Preferential Access Scheme Study” and is intended to “simplify and harmonise schemes so that African exporters and trade officials are presented with a more manageable set of tasks”. £ 67 000 has been allocated to this project. Specific country projects include the 2003/4 project for Mozambique which sought to “ensure that the new revenue authority is established and functioning without causing any disruption to the activities and performance of the customs department” but this again seems to be as focused on enhancing revenues as in TF per se. Clearer TF country projects include £ 1,56 million to Mozambique to establish an “effective and efficient customs department with a sustainable improvement in performance as regards revenue and drugs” (1996-2003), to Malawi to “develop an effective, efficient and dynamic customs and excise service” (£ 4,09 million, 1998-2003) or to Tanzania to “strengthen the customs department with priority information systems” (£ 2,2 million, 2001-2006).

An “Innovative trade facilitation programme with the Customs under the Tax Revenue Authority”, which started 6 months ago, is mentioned in a DFID note¹⁷. The donor group which includes the World Bank, GTZ, EU and the IMF is developing a funding basket for a technical assistance programme for the Tax Revenue Authority. This trade facilitation programme will form a component of the TA programme and also have a regional dimension, addressing the East African Customs Union.

¹⁷ DFID, Tanzania, 2005, note status unclear

3 Training for trade

3.1 Definition of Training for trade

The category of TCB activities ranked under ‘training for trade’ in the WTO database specifically includes two types of training, the first being ‘trade negotiation training’ and the second being ‘trade related training and education’. Whereas the first sub-category is well-defined, focusing on specialised and customised programmes to train trade negotiators, the second sub-category is more loosely defined as any human resources development in trade not included under other WTO codes.

Negotiation training thus aims to increase the trainee’s knowledge and skills on trade communication and to build capacity to participate effectively in international trade negotiations; it thereby directly contributes to the country’s capacity to defend (or preserve or gain) its best interests in international fora.

On the other hand trade-related training and education (which includes university courses for individuals) might at first hand strengthen more the individual capacity of the person taking the course than the institution which the person concerned might potentially represent; here the link to improved integration into the MTS is thus more indirect. Despite the wide range of potential activities that could fall under this second sub-category (and notably the training and education components of other TCB projects or activities), it appears that records under this sub-category in the WTO database mostly concern stand-alone training and education projects¹⁸.

In the absence of a narrowly defined set of training topics to be included under the category of training for trade, the following might provide guidance as to the content and areas of the specific (negotiation) and general trade-related training activities targeted under the category:

- Training on trade negotiation techniques and skills, including: (i) basic information on the negotiation process; (ii) basic principles, techniques and modalities for negotiations; (iii) simulation exercises and case studies on trade negotiations and dispute settlement; and (iv) use of databases and tool kits.
- Training on trade policy, including: formulation and implementation of trade policy; the provisions of all WTO legal instruments and Agreements; the structure, scope and functioning of the WTO system; issues arising from the Doha Development Agenda.
- Training on specific trade-related topics, either sector-specific (such as identification of markets and products for trade promotion and analysis of market barriers in a specific sector) or general training including the use of analytical tools for market analysis, developing a trade strategy, undertaking trade promotion, measuring and benchmarking of national trade performance, etc.

Annex 3 provides an illustrative list of projects entered by the Member States and the Commission into the WTO database under the two sub-categories for training in trade.

¹⁸ These training/education projects, however, as will be seen below, do not all appear to be strictly related to trade. As a result, the number of entries in this sub-category might well exceed actual trade-related activities.

3.2 Main issues

As is highlighted in one of the Commission's recent project documents dealing with trade issues (see the EC trade.com project document) *'the ACP often lack the institutional capacity and the human resources to fully assess the risks and opportunities arising from their gradual integration in the world economy and therefore to formulate, implement and monitor the appropriate trade policies and agendas for international trade negotiations which are conducive to sustainable development'*.

According to the EC's TRA Guidelines of June 2003, the ability to effectively negotiate in multilateral and regional trade agreements (and later to implement these agreements) appears as one of the three major challenges to be overcome for countries wishing to improve their trade performance and participate effectively in the multilateral trading system. This involves interacting with the WTO and other trade negotiation agendas from a country-specific perspective. The two other challenges are (i) an ability to formulate and implement appropriate trade policies together with the necessary supporting complementary measures and institutions. This involves establishing a trade policy process able to assess and weigh up the implications of trade reform (for example tariff reductions), and (ii) an ability to address supply side constraints and ensure a positive response to improved market access and domestic policy reform. Training for trade is thus one of the possible responses to the constraints thus identified.

One issue that arises from the need to strengthen the ability to negotiate effectively is that the donor country and the beneficiary country will often be opponents at the actual negotiation table: whether or not the provider of negotiation training is best placed to strengthen its potential opponent's capacity to defend its interests remains an open question. Given the potentially conflicting interests but against the background of good intentions, it is possible therefore that negotiation training may be mostly undertaken by third parties with no direct stake in the outcome of the negotiations^{19,20}: indeed, of 108 entries in the WTO databases for negotiation training, more than half concern training delivered by the WTO (and as far as the nine pre-sample countries are concerned, five out of six negotiation training entries are for training delivered by the WTO).

A similarly interesting issue is also emerging from the current focus of the Commission and ACP countries on the EPA negotiations where the Commission is both offering ACP countries technical assistance and training in negotiating the EPAs while also directing the negotiations itself to protect its best interest.

¹⁹ The absence of direct 'bilateral' trade interests does not preclude the defence of other interests or positions such as the resolutely anti-protectionist stance of the WTO.

²⁰ It should also not be forgotten that developing countries benefit from support (training/advice etc) in negotiations which is not recorded in the WTO database since it comes from non governmental sources (pressure groups).

3.3 Main Commission and MS interventions

Tables 2 and 3 reproduced below are drawn from the WTO database: they give an indication of both the main providers of training and about its main beneficiaries²¹. As mentioned before, it appears that in the area of training for trade negotiation, the overwhelming actor is the WTO which by far and large finances, organizes and holds the majority of training courses, whether in the form of national or regional training courses, workshops or seminars. It organises training for government officials in the form of courses, seminars and workshops and also provides in-country seminars and workshops tailor-made to the country's needs.

By comparison, the Commission's and MS's contributions to negotiation training is both relatively limited in terms of the number of projects (even though the cost is relatively high according to the WTO data) and also indirect in the sense that most assistance in this area involves financing the costs of attendance by beneficiary state representatives at regional workshops organized by other institutions²².

In terms of target beneficiaries, a quarter of the projects are directed towards groups of countries (Africa unallocated, least developed countries, developing countries) but 75% are for country-specific training. Geographically, and not counting possible participation in regional training, only about 21% of projects concerned the ACP countries (14 in Africa, 1 in the Pacific, 4 in the Caribbean). Out of the 90 entries over the period 2001-2004, only 5 concern the pre-sample of countries selected for this study, namely: (i) the UK project 'Ghana trade policy project Phase II' already cited, (ii) one course and one workshop organised by the WTO in Mali on trade negotiations skills and on preparation for the Fifth Ministerial Conference, and (iii) in Tanzania, one national training course and one regional workshop (with Kenya and Uganda) on trade negotiation skills.

Table 2 - Negotiation Training and Trade-Related Training and Education, all donors, all countries

Year	Number of projects		Amount (in US\$ 000)	
	Neg. Traing	TRTE	Neg. Traing	TRTE
2001	18	338	11 187	37 161
2002	22	479	8 264	57 133
2003	33	523	12 798	62 053
2004 *	17	103	5 296	25 235
Total	90	1 443	37 545	181 582

*Source: WTO database; * Partial data.*

For Negotiation Training: 11 unallocated projects and 4 self-financed projects. For Trade-Related Training and Education: 16 unallocated projects: and 1 self-financed project.

²¹ Data for 2004 are partial only. The total number of projects and their value are slightly different between the two tables, Table 1 excluding the self-financed and unallocated projects whereas table 2 includes these.

²² Based on the project descriptions for Denmark, Finland, Italy, the Netherlands, Sweden and the United Kingdom where only the UK entry relates to a bilateral project ('Ghana trade policy project Phase II' the organisation of a workshop with the aim to support Ghana's formulation of pro poor trade policy and prepare them for multilateral, regional and bilateral trade negotiations). Out of the EC's 6 entries, only 2 projects relate to ACPs, one for Nigeria (no project description given) and one for 'developing countries' which might include ACPs (no project description given either).

Table 3 - Projects by donors in Negotiation Training (N.T.) and Trade-Related Training and Education (TRTE)

	Entries into WTO database for 2001 to 2004				Value of projects			
	Number		% of total		in US\$ '000		in % of total value	
	N.T.	TRTE	N.T.	TRTE	N.T.	TRTE	N.T.	TRTE
Commission	6	11	5,8%	0,8%	711	1 078	7,7%	1,7%
EU MS	17	63	16,5%	4,3%	3 300	7 955	35,9%	12,4%
Other bilateral	18	959	17,5%	65,7%	1 858	41 509	20,2%	64,7%
Other multilateral	62	427	60,2%	29,2%	3 333	13 571	36,2%	21,2%
of which WTO	55	336	53,4%	23,0%	2 469	6 680	26,8%	10,4%
Total	103	1 460	100%	100%	9 202	64 113	100%	100%

Source: WTO database. Period 2001-2004.

As for Trade-Related Training and Education, the loose WTO definition of this category of TCB has presumably contributed to the great number and high value of entries in the WTO database for this category (relative to other categories of TCB). Trade-related training and education appears largely to contain odds and ends, without strict rules for an actual definition of this category. As a result, many non-trade-related training and education projects seem to have found their way into this category, such as training projects for nurses, agricultural staff and the like; nevertheless the category also contains a number of genuinely trade-related training activities such as trade seminars, workshops, fellowships and the like.

The detailed data reported to the WTO database by donor and beneficiary country indicate that:

- in the area of trade-related training education, Member States are more strongly present than the Commission, both in number of projects and their value ;
- the contribution of the MS and the Commission in this area is relatively small compared to that of other bilateral donors which account for almost two-thirds of the projects during 2001-2004 in this area.

It should however be noted that a large number of entries, notably those for Japan which account for 47% of entries and 39.3% of the value of projects entered into the database, appear at first sight almost certainly erroneously categorized as trade-related training.

As for the geographical focus of the current study, only two entries correspond both to Commission or MS and to the sample countries, namely one project financed by Belgium in Tanzania (for training at the Faculty of Commerce and Management on research on savings and credit financing of micro, small and medium enterprises) and one seminar financed by France in Ethiopia. Of the entries for the Commission, 6 out of 11 entries relate to multiple beneficiaries, either developing countries, least developed countries or North of Sahara; these training programmes could therefore potentially have benefited any of the sample countries selected for this current study.

Specific training for trade tools developed by the Commission include the ACP-EPA Project Management Unit (UGP) – Capacity Building in support of the preparation of Economic Partnership Agreements and the ‘trade.com’ project²³. The UGP is a project management unit, set up in partnership with the ACP Secretariat in July 2002, which is in charge of managing capacity-strengthening projects in regional groupings and ACP countries; its budget is €20 million. It seeks to give specific technical support to countries, regional integration organisations, private sector organisations and other non-state-sector stakeholders in the context of their preparation for the EPA negotiations. One of the four specific areas of support concerns training of negotiators in trade policy analysis and negotiation techniques, another concerns seminars, workshops and conferences dealing with trade negotiations. All projects submitted for financing under this UGP facility have to contribute to strengthening national capacities for trade negotiations and formulation of national trade policies (see www.acpepa.org/index.html).

The second trade-training-specific programme ‘trade.com’ was set up in 2004 with a budget of € 50 million over 6 years. It aims to improve the capacity of ACP countries to analyse and implement trade policies, to offer them immediate support in trade negotiations and to strengthen their institutional capacities. The main focus of the programme is on training and on dissemination of information to targeted ACP stakeholders. The project’s four components focus on:

- (i) strengthening analytical capacities (research, local and regional analysis, ..);
- (ii) strengthening of trade capacities through provision of ACP trade experts and training of ACP negotiators with the intended result²⁴ of (a) increasing the effective participation of ACPs in international trade negotiations through provision of technical assistance and training to national and regional trade negotiators and (b) mainstreaming trade policies in development strategies and negotiation agendas;
- (iii) institutional strengthening in the area of trade (especially information, setting up of networks and dissemination of good practices); and
- (iv) programme coordination, including that of other donors.

The project is aimed at all ACP countries; regional integration organisations; ministries and government departments responsible for trade matters; civil society and private sector organisations; research bodies and universities; and any other actors that can assist in realising the objectives of the programme.

²³ See Bilal, S. Houée, S. et S. Szepesi. 2004. Rexpaco - La dimension commerciale du partenariat ACP-UE: l'Accord de Cotonou et les APE (Document de réflexion ECDPM n° 60) Maastricht: ECDPM.

²⁴ Component initially conceived by the Commonwealth Secretariat (ComSec) and the Agence Inter-gouvernementale de la Francophonie (AIF) which will co-finance this component; these institutions can rely on a unique network of trade related research and development institutions to meet the complex issues of recruiting and managing trade experts while ensuring full and balanced geographic coverage of all the ACP countries and regions.

Conclusion: implications for coordination

The above analysis of three selected TCB categories and the overview presented in annex 2 of EU donor policies and institutional mechanisms highlight a number of points of significance for coordination among European providers of TCB.

At policy level the main issue is designing the Multilateral Trading System and its regulations in such a way as to accommodate the needs and concerns of developing countries. This is essentially an issue of coherence, which may need more lobbying than coordination, strictly speaking. The example of the Dutch²⁵, who devote important efforts to analysing the consequences of SPS regulations (for instance, the Maximum Residual Level, MRL regulation, or the Food and Feed Regulation) on developing countries to feed the coherence debate inside the EU, is illustrative.

At implementation level coordination primarily requires good complementarity so as to achieve a distribution of tasks among donors that makes the best use of their respective comparative advantages. This seems to be achieved by a few broad principles shared by all EU donors:

- Large multilateral institutions such as the World Bank and the Commission are best equipped to manage large regional projects dealing with the complex SPS issues and requiring important resources.
- The principle of the Integrated Framework approach is favoured by many donors. The systemic dimension of the trade issues and their complex links with development and poverty issues justify an integrated approach. These multilateral initiatives constitute however a very small share of TCB and their implementation seems to raise specific difficulties.
- Interventions in the trade development area are the most important component of TCB. They are largely the object of bilateral interventions by the Commission and the MS in partner countries but at this stage they constitute a grey area in the sense that desk studies do not permit identification of the TCB components of these activities and even less of the extent to which their implementation by a donor is the result of a voluntary division of labour or of coordination with others.

In addition, the overview of issues and activities for the three selected TCB categories points to some areas where coordination/complementarity among EU donors would generate efficiency and effectiveness gains.

- For certain types of TCB activities, such as streamlining of customs procedures and training of customs staff, the same skills are required of the donor staff whichever the partner country. In these cases there would a priori seem to be scope for allocating specific activities for specialisation by particular donors (the Commission or MS). This could be the case where individual TF or training projects are concerned. Even in the case of a large regional, of ACP-wide, programme led by the Commission there may be advantages in “outsourcing” particular tasks to particular MS.

²⁵ See annex 2, section 4.1.2

- In some activities such as training-for-trade there may be scope for increased joint funding of TCB activities where those activities are managed by a EU donor with particular expertise – or in some cases a language advantage - in the field.

The field visits should help clarify and deepen some of these points.

Another important message emerging from the analytical description of the institutional mechanisms developed by the EU donors is that the increased engagement into TRA after Doha has imposed strengthened coordination mechanisms inside each donor internal administration. In particular, mechanisms that permit a dialogue between specialised departments that used to define their strategies and operations in isolation have been developed. Trade departments have been increasingly aware of the interfacing character of many of their activities and this has encompassed more specialised activities connected to the variety of TCB categories (SPS, agriculture, business to business operations, etc). Many examples, formal and informal, of these internal coordination efforts can be observed:

- the thematic groups in the European Commission and the elaboration of thematic reviews on specific TCB categories;
- the internal coordination between the various components of the French PRCC (MAE, DREE, AfD); it involves an intensified cooperation between development experts, trade experts and specialists of institutional support and technical assistance, and also exchange of staff, joint preparation of projects and co-financing operations;
- etc.

Annex 11 - The Integrated Framework¹

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1. About the Integrated Framework

The Integrated Framework for Trade-Related Technical Assistance to least-developed countries (IF) is a multi-agency, multi-donor program. It assists LDCs to expand their participation in the global economy whereby enhancing their economic growth and poverty reduction strategies.

The IF was inaugurated in October 1997 at the WTO High Level Meeting on Integrated Initiatives for Least-Developed Countries' Trade Development by six multilateral institutions (IMF, ITC, UNCTAD, UNDP, World Bank and the WTO) which, with their distinct competence, could complement each other to deliver greater development dividends to LDCs in the multilateral trading system. The Heads of Agency met in July 2000 to review the IF process and recommended several initiatives to enhance its effectiveness. As a result the IF was revamped.

The IF has two objectives:

- (i) to "mainstream" (integrated) trade into the national development plans such as the Poverty Reduction Strategy Papers (PRSPs) of least-developed countries; and
- (ii) to assist in the co-ordinated delivery of trade-related technical assistance in response to needs identified by the LDC. The IF is built on the principles of country ownership and partnership.

Other key elements for the revamped IF are:

- (i) improved governance structure with the establishment of the Integrated Framework Steering Committee (IFSC) and the expanded IF Working Group (IFWG) for better coordination amongst donors, beneficiary LDCs and the agencies;
- (ii) the establishment of the IF Trust Fund, which finances mainstreaming work, led by the World Bank but also follow-up activities from the studies; and
- (iii) improved coordination of the delivery of trade-related technical assistance amongst bilateral and multilateral donors within a coherent policy framework.

¹ Sources: <http://www.integratedframework.org> ; Development Committee (Joint Ministerial Committee of the Boards of Governors of the Bank and the Fund on the Transfer of Real Resources to Developing Countries), Doha Development Agenda and Aid For Trade, September 12, 2005 ; meetings.

2. IF Members

Agencies

- International Monetary Fund (IMF)
- International Trade Centre (ITC)
- The World Bank Group
- United Nations Conference on Trade And Development (UNCTAD)
- United Nations Development Programme (UNDP)
- World Trade Organization (WTO)

Donors

- Belgium
- Canada (CIDA)
- Denmark (DANIDA)
- European Commission
- Finland
- France
- Ireland
- Italy
- Japan (JICA)
- Netherlands (Dutch Dev. Cooperation)
- Norway (NORAD)
- Sweden (SIDA)
- Switzerland (SECO)
- United Kingdom (DFID)
- United States (USAID)

Least Developed Countries (LDCs)

- Afghanistan
- Angola
- Bangladesh
- Benin
- Bhutan
- Burkina Faso
- Burundi
- Cambodia
- Cape Verde
- Central African Rep.
- Chad
- Comoros
- Democratic Rep. of Congo
- Djibouti
- Equatorial Guinea
- Eritrea
- Ethiopia
- Gambia
- Guinea
- Guinea-Bissau
- Haiti
- Kiribati
- Lao People's Democratic Rep
- Lesotho
- Liberia
- Madagascar
- Malawi
- Maldives
- Mali
- Mauritania
- Mozambique
- Myanmar
- Nepal
- Niger
- Rwanda
- Samoa
- Sao Tome and Principe
- Senegal
- Sierra Leone
- Solomon Islands
- Somalia
- Sudan
- Timor-Lesté
- Togo
- Tuvalu
- Uganda
- United Rep. of Tanzania
- Vanuatu
- Yemen
- Zambia

3. IF Management

The Integrated Framework Steering Committee (IFSC) oversees and governs the IF process. The IFSC, currently chaired by H.E. Mr Hendrik Reé Iversen (Denmark), is a tripartite arrangement with representation from agencies, donors and LDCs.

The day-to-day management of the IF is the Integrated Framework Working Group. The IFWG is chaired by the WTO, and consists of representatives of the agencies and 2 donors (rotating every 6 months; currently USA and Sweden) + 2 LDCs (rotating, 6 month; currently Rwanda and Zambia). The DAC/OECD Secretariat has one observer representative. The IFWG responsibilities include exchange of information, coordination of events, resource management of the IF Trust Fund (when the IFWG is performing IFTF functions), monitoring and evaluation of field level operations.

The WTO houses the IF Secretariat which services both the Integrated Framework Steering Committee (IFSC) and (IFWG) meetings.

The Integrated Framework Trust Fund (IFTF) is managed by the UNDP, on behalf of the six agencies and donors, manages, established under the financial regulations and rules of the UNDP for the receipt and administration of funds and for mobilizing additional resources needed to enhance the programme activities of the Integrated Framework.

Since its creation in February 2001, the IFTF has served as a central point for the deposit of contributions to the IF. Contributions have been pledged by both bilateral and multilateral donors towards two finance windows operating simultaneously: Window I, a general fund, for un-earmarked contributions for diagnostic studies and mainstreaming, or Window II for contributions allocated to specific and clearly identifiable programmes for capacity building. The scope and eligibility criteria for disbursements under Window II are currently being discussed.

4. The IF Trust Fund

The IF Window 1 finances the DTIS, to the limit of \$ 300 000 by country.

Window 2 provides some bridging funding (up to \$ 1 000 000 per country whose DTIS and priority action matrices have been approved) for priority projects from the DTIS Action Matrix. The main interest of WTO is that donors involve themselves in the Matrix. Although the objective of the IF is to mobilise donor funding, de facto Window 2 has become the objective of the beneficiary countries because it provides a sort of entitlement to funds.

Status of the Trust Fund:

Contributor	Total Pledges US\$	Disbursements		
		2001	2002	2003
Belgium	692,942	0	692,942	0
Canada	1,331,405	660,264	0	671,141
Denmark	3,281,168	281,168	0	0
Finland	154,497	154,497	0	0
France	538,213	0	0	538,213
Ireland	535,521	299,950	0	0
Italy*	900,000	0	0	0
Japan	500,000	0	500,000	0
Netherlands	330,000	330,000	0	0
Norway	3,815,155	511,946	0	1,303,209
Sweden	1,510,780	328,558	0	982,222
Switzerland**	500,000	200,000	0	300,000
United Kingdom	3,428,572	500,000	1,428,572	0
United States	200,000	0	0	200,000
European Commission	467,176	0	138,168	0
UNDP	300,000	0	300,000	0
World Bank	1,800,000	0	500,000	500,000
TOTAL	19,385,429	3,266,383	3,559,682	4,494,785
Of which:				
Window I	9,156,767	3,266,383	2,366,740	3,523,644
Window II	9,694,118	0	1,192,942	971,141

As of: 3 July 2003 - Source: IF Financial Report prepared by the UNDP.

*The Italian pledge was removed from the IFTF and transferred to ITC.

**Once the TOR for Window II has been finalized, Switzerland will decide on the use of their pledge of US\$300,000 to either Window I or II. However, based on previous discussions and until then, the amount is being placed under Window I.

5. Successive steps of the IF process

- 1) Application.
- 2) Technical review. Preliminary study conducted by the World Bank; the output is a recommendation to accept or not the application.
- 3) Preliminary mission in the country: conducted by the IF agencies to explain the beneficiary the IF process.
- 4) Exploratory mission of the lead agency that will conduct the DTIS: usually WB sends a lead economist to explain and prepare the DTIS.
- 5) Main DTIS mission, with the team leader and his team (in-depth technical work).

- 6) DTIS and Priority Actions Matrix Validation Workshop. Validation usually requires six months after finalisation of the DTIS.
- 7) From this step Window 2 funds are available to fund priority actions in the interval necessary to mobilise more bilateral donor support.
- 8) Integration of DTIS in PRSP: dependent on the time schedule of the PRSP review.
- 9) Donors workshop: concentrates on trade and the matrix, generally to fit their projects in the matrix.

6. Status of LDC participation to the IF²

DTIS and National Validation Workshop Completed by End of 2005	Scheduled to Start DTIS before End of 2005	Scheduled for Technical Review by End of 2005/ Early 2006
<p>**21 countries**</p> <p>Burundi Cambodia Djibouti Ethiopia Guinea Lesotho Madagascar Malawi Mali Mauritania Mozambique Nepal Senegal Yemen Zambia</p> <p><i>Benin Chad Lao P.D.R. Rwanda São Tomé & Príncipe Tanzania</i></p>	<p>**7 countries**</p> <p>Angola Burkina Faso Maldives Niger Sierra Leone The Gambia Uganda</p>	<p>**9 countries**</p> <p>Afghanistan Central African Republic Comoros Democratic Republic of Congo Equatorial Guinea Haiti Liberia Sudan Vanuatu</p>

Note: Countries in italic are those where a national workshop is expected to be completed by the end of 2005.

The remaining LDCs that may participate in the IF at a later date include Bhutan, Cape Verde, Eritrea, Guinea-Bissau, Kiribati, Myanmar, Samoa, Solomon Islands, Somalia, Timor-Leste, Togo and Tuvalu. They are mostly small island economies or conflict countries. Bangladesh was an original participant in the first phase of the IF but chose not to participate in the re-vamped IF.

² Source: Development Committee (Joint Ministerial Committee of the Boards of Governors of the Bank and the Fund on the Transfer of Real Resources to Developing Countries), Doha Development Agenda and Aid For Trade, September 12, 2005.

7. The Aid for Trade Initiative: proposals for an enhanced IF

Under the Aid For Trade Initiative, the Joint Ministerial Committee of the Boards of Governors of the Bank and the Fund emphasises the contribution of the IF to increased knowledge of trade issues in the countries where it is implemented; the help provided by the diagnostic phase of the IF to raise in-country awareness of the wide array of complementary reforms needed for trade integration and to facilitate a dialogue on trade and growth across Ministries; the knowledge generated by the IF process and its contribution to a more fluid dialogue on trade among LDCs, donors, and trade-related agencies and stakeholders in LDCs. The paper also points on a recent evaluation of the IF by the Bank's Operations Evaluation Department, which highlighted some of shortcomings, summarized as follows:

- Remaining gap between available resources and the expectations of developing countries.
- No systematic follow-up at the country level and therefore implementation is often delayed. Parts of the action matrixes were often not implemented due to lack of donor awareness, developing countries' action and inadequate implementation plans for the matrix.
- In-country capacity and ownership is still too weak, due to:
 - Limited capacity, which often explains the poor reflection of trade issues in PRSPs and government programs.
 - Relatively weak Ministry of Finance facing difficulties to strengthen IF implementation.
 - Weak donor response beyond Window II, and uncertain financing of the DTIS Matrix.

In light of the opportunity for the new IF work program (starting in 2006) to play a more sustained catalytic role in building long-term trade capacity, the Aid for Trade Initiative supports the development of the IF to become an instrument (i) supporting the creation of strong in-country leadership on trade; (ii) promoting the development of a coherent strategy for trade and competitiveness; (iii) supporting this trade push via a multiyear, rolling program of capacity building, and; (iv) promoting and increasing donor coordination on aid for trade, via both multilateral and bilateral channels.

To this end, the Aid for Trade Initiative proposes the following:

- the IF should fund two main types of activities:
 - Multi-year programs of technical assistance and capacity building, and
 - Project preparation (strengthened link between identified large-scale needs in the DTIS and donor funding by financing project preparation in areas of priority).
- The enhanced IF would require predictable, multi-year financing (with resources increased to a sum in the order of \$200–\$400 million, disbursed over an initial 5 year period), strengthened in-country structures to move from diagnostics to implementation, improved links to donor processes to maximize both multilateral and bilateral resources for aid for trade.

- In addition to \$200–400 million for IF countries the Aid For Trade claims for increased donor willingness to fund aid for trade via the PRS process. IF engagement with the private sector and civil society at the country level would also be enhanced.
- Improved monitoring and administration is also expected to place the IF on a sustainable, fully-funded footing, with adequate resources (this involves necessary reforms of the IF governance structure at the global level).
- A further proposal is the creation of a separate Regional/Cross-Country Window to finance diagnostics of regional, or cross-country, impediments to trade development.