



USAID
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Using the Trade Capacity Building Indicator and Project Databases

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Using the Trade Capacity Building Indicator and Project Databases

DISCLAIMER

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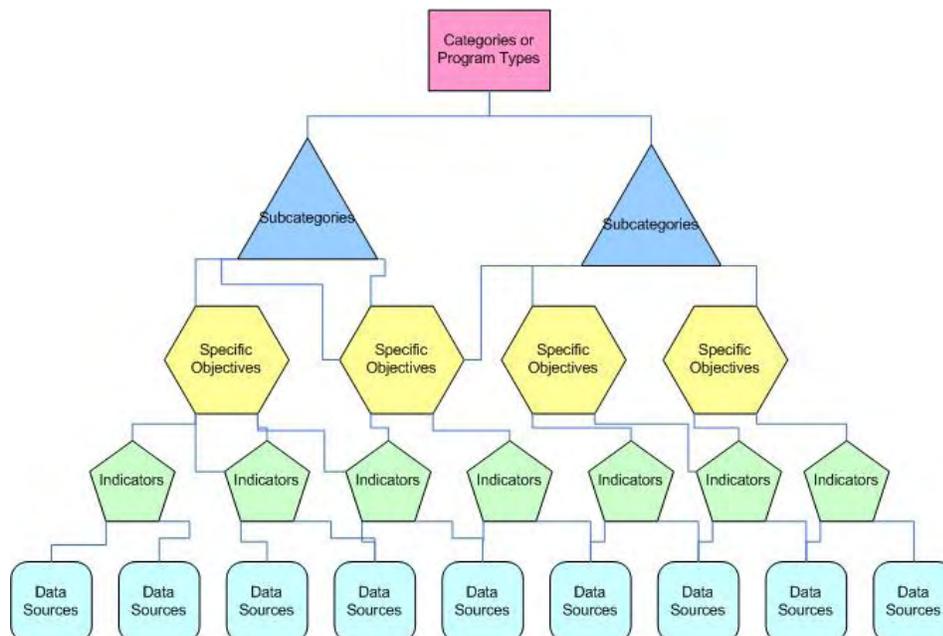
Preface

This manual describes how to use the Trade Capacity Building (TCB) Indicator Database. The database provides a framework for USAID project designers and evaluators to think about how to measure performance for a wide range of TCB assistance programs. The database organizes TCB categories, subcategories, specific program objectives and types, relevant indicators, and data sources into a searchable tool. TCB categories may be added to and updated. This manual also describes how to use the revised TCB Project Database. That database covers only export promotion and customs projects and combines multiyear projects into one multiyear record to facilitate searching by project type and country.

1. TCB Indicator Database

The TCB Indicator Database can be envisioned as a five-level hierarchy of interrelated databases that reflect the cluster approach to evaluation (Figure 1-1). That approach, like the comparative case study approach, seeks patterns among similar projects. To define “similar” one must be able to refine groups of projects according to certain analytical parameters. The top level of the database, *program categories* or *types*, is drawn from TCB database definitions (i.e., export promotion, customs, negotiations). *Subcategories* and *specific project objectives*, the next two levels, are based on an analysis of what results projects were seeking on a macro and micro level and how they went about achieving results (intervention types). Specific objectives usually include the type of intervention and target beneficiary. Together, these three levels function as a project classification system. The next two, *indicators* and *data sources*, link project categories to the kinds of indicators appropriate for measuring results, depending on specific project objectives. Some indicators can be used to measure several different objectives. The data source level provides a variety of data sets and methodologies for creating indices and using the data to measure indicators. Some sources can be useful for measuring several indicators. Each interrelated database has unique fields that contain information about each record in that particular database.

Figure 1-1. Five-level Structure of TCB Indicator Database



THE CONCEPTS

What follows is a brief description of the concepts and typology used to structure the Indicator Database. A much more detailed description is presented in the *TCB Evaluation Manual*.

Project Category

This top level of the database hierarchy refers to whether a project is classified in the USAID database as a customs, export promotion, or negotiations project, or contains elements of all three. Categories are defined in the Indicator Database and may not be modified. In the Project Database, you may change which categories a project falls under. The number of projects in the Project Database by category is as follows:

- Customs 230 projects
- Export Promotion 522 projects
- Negotiations 173 projects

Of the 800 projects in the database, 15 percent have multiple components. The Negotiations category contains mainly the records of projects that share components with the customs and/or export promotion projects. The USAID Database does not have a single “negotiations” category, but a long list of project types that probably should be included in this category (see box).

Evaluators should download records relevant to an evaluation by individual category type and by individual year from the USAID database into Excel and then import them into the TCB Project Database, then eliminate many of the resulting duplicate records. Import procedures are provided in Appendix A.¹

Subcategories

The following subcategories are defined in the TCB Indicator and Project Databases:

- Customs
 - Decrease corruption and increase transparency
 - Improve revenue generation performance
 - Improving control over goods crossing the border
 - Reduce time and cost to trade across borders
 - Strengthening public-private cooperation for customs reform.
- Export promotion
 - Improved business support services and institutions for export
 - Improved e-commerce/e-business skills
 - Improved export products and processes
 - Improved export product marketing
 - Building public-private sector cooperation mechanisms
 - Improved access to trade finance
 - Improved trade promotion strategy design and implementation.

¹ Downloading and duplicate record elimination were beyond the scope of this task order.

Types of Projects in the USAID Database Suitable for Categorization as Negotiations Projects

- **WTO Awareness & Accession** is the sum of assistance in two subcategories:
 - WTO Awareness & Participation is assistance to help governments and private sector institutions benefit from WTO membership, or fully understand benefits.
 - WTO Accession is assistance to help countries meet accession requirements.
- **Specific WTO Agreements** includes assistance that enables countries to better participate in and benefit from particular WTO agreements, as follows:
 - Agreements on Trade in Goods
 - Agreement on Agriculture
 - Agreement on Sanitary & Phyto-Sanitary (SPS) Measures
 - Agreement on Technical Barriers to Trade (TBT)
 - Agreement on Trade-Related Investment Measures (TRIMs)
 - Agreement on Anti-Dumping
 - Agreement on Customs Valuation Methods
 - General Agreement on Trade in Services (GATS)
 - Agreement on Rules of Origin
 - Agreement on Subsidies & Countervailing Measures (CVM)
 - Agreement on Government Procurement
 - Agreement on WTO Trade Policy Review Mechanism (TPRM)
 - Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPs)
 - Agreement on Import Licensing Procedures
 - Agreement on Safeguards
 - Agreement on Disputes Settlement
 - Other Specific WTO Agreements.
- **Regional Trade Agreements**

- Negotiations
 - Development of indigenous analytical capacity
 - Effective participation in international trade negotiations
 - Make trade contribute to economic development and growth
 - Building public-private sector consultation mechanisms.

The USAID TCB Database does not use our subcategories, which were drawn instead from the OECD database, so it will not be possible to use them until the projects in our database are categorized based on the OECD categories. Once this is done, however, this typology should be useful in defining and analyzing subcategories. Subcategories relate to the overall *impacts* that are desired. This is the second level of classification into which TCB projects can be divided in our framework.

Specific Project Objectives

The third level of the database refers to *outcomes* (intermediate and long term). Projects with different outcomes may all contribute to the same *impact*. Likewise, several specific project objectives may be linked to a single project subcategory. So far, we have defined about 60 specific project objectives and linked them to 16 subcategories. (See Appendix B for Predefined Report of Specific Project Objectives by Subcategory.)

Indicators

Traditionally, projects were evaluated according to how efficiently they produced outputs (e.g., training sessions, studies, conferences, numbers of people vaccinated, irrigation ditches dug). After all, unless a project produces outputs efficiently it will have no outcomes, much less impact. And depending on when a project is being evaluated, output may be all that can be evaluated. Measuring intermediate and long-term effects, however, requires collecting a different kind of data. For TCB projects, such data relates to the capacities of individuals, groups, or sectors to improve trade performance. Thus, the Indicator Database includes output, intermediate outcome, outcome, and impact indicators. It is not always possible to say categorically that a measure is one or the other of these types. One project's *outcome* indicator (e.g., trained customs officials), may be another's *output* indicator (e.g., if the goal of a project were to improve Customs agency performance on the basis of having more trained personnel).

Data Sources

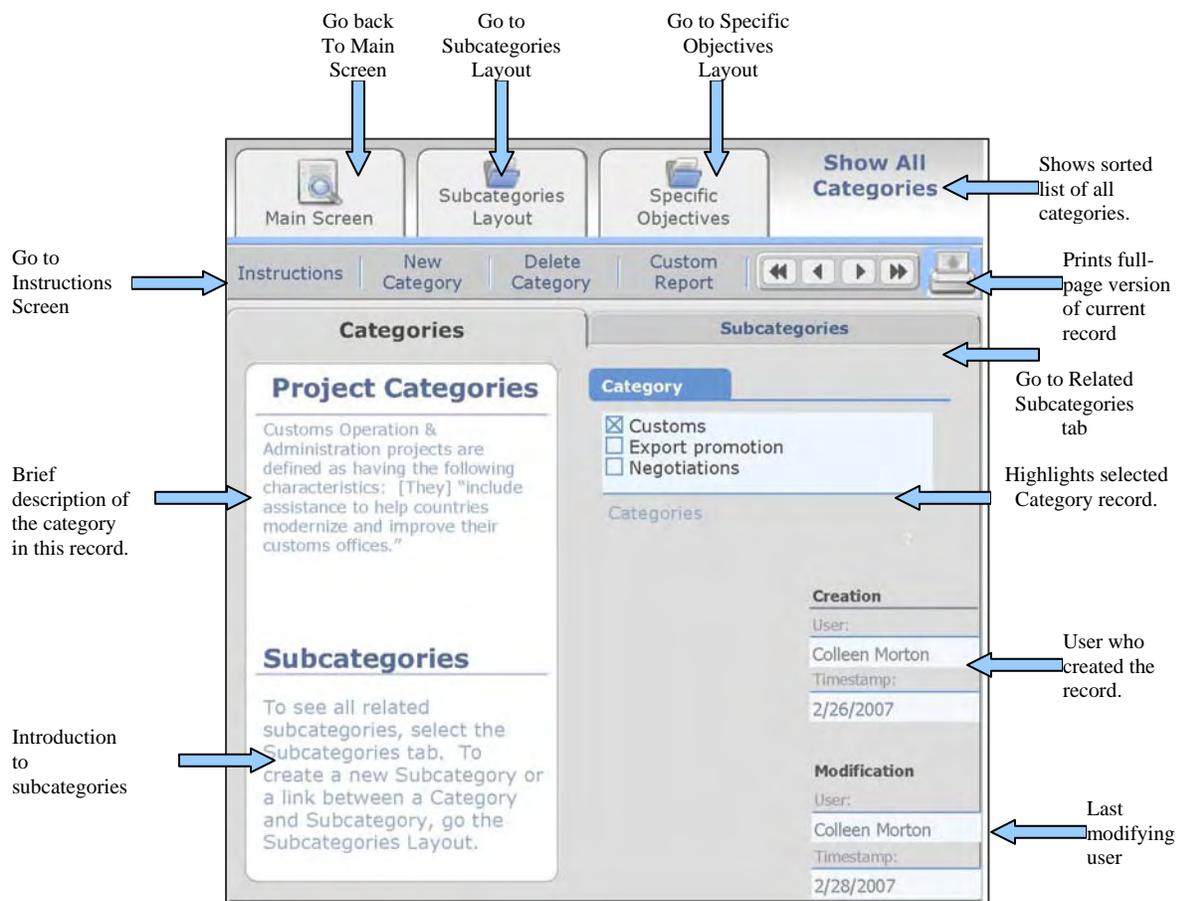
The fifth level of the Indicator Database contains a wealth of information about data sources that may be available to measure indicators. Most sources for measuring output indicators will have to be based on project or client records, and may or may not be aggregatable over a cluster of projects, depending on the homogeneity of the defined output. Again, some data sources, indices, or calculations may serve to measure several indicators, and some indicators can be measured several different ways. For instance, to measure the number of officials trained, one could refer to project records, participant interviews, government records. Likewise, to measure export growth, one could measure several dimensions of growth depending on project focus: growth in target markets, in specific kinds of products, growth excluding currency effects. The Technical Notes tab of the Data Sources notes whether a source is based on a specific statistical method.

BECOME FAMILIAR WITH THE DATABASE STRUCTURE

1. On the welcome screen, select the *Project Categories* button. This will take you to the first tab of the Category Database screen. Here you can see a number of different features of the database.

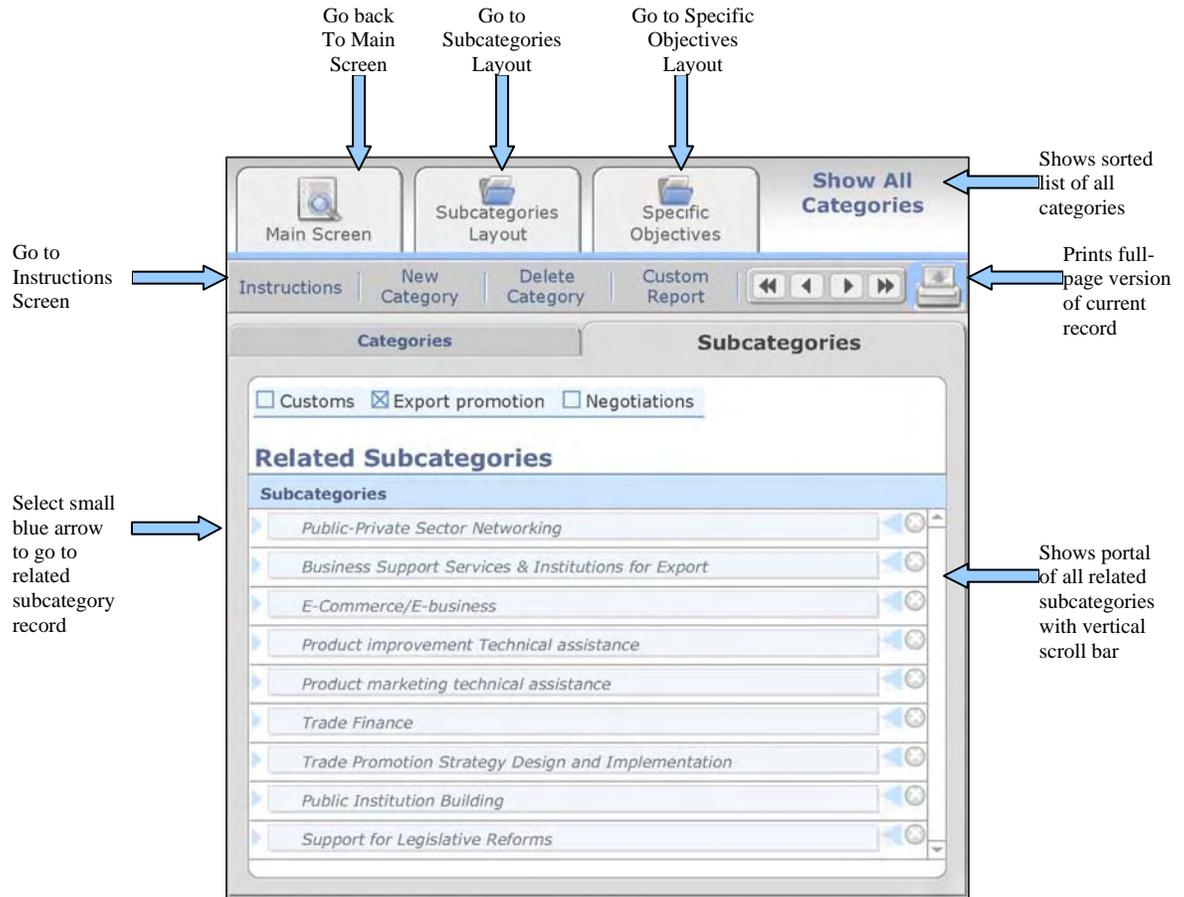


Category Database



2. Selecting the second tab in the Categories database will take you to the Related Subcategories screen.

Related Subcategories



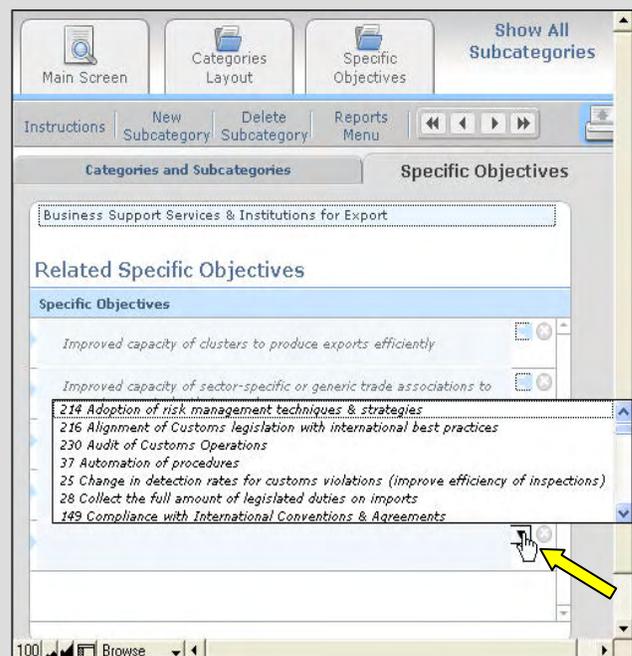
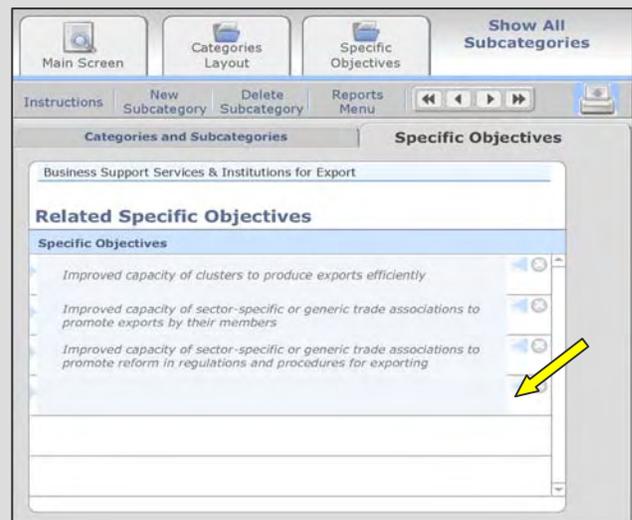
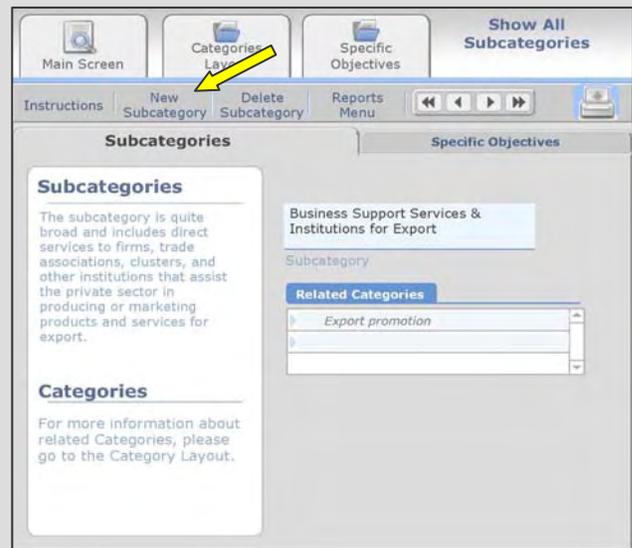
3. To return to the main screen at any time, select the Main Screen tab at the top of the screen. To go to another database select the Subcategories or Specific Objectives tabs, or the small blue arrow to the left of a related record. Similar screens exist for each related database, as illustrated in the following screen shots.

4. At the first tab or page of the Subcategory screen, you can enter a new subcategory record by selecting the New Subcategory button.

5. On the “Specific Categories” tab you can create a link from the subcategory to a specific objective by selecting the large blue arrow in a new line on the right of the portal. Be careful not to delete a link with careless mousing! If you click the “X” instead of the arrow, you will delete the link to the related portal record.

The blue arrow will turn into a black arrow, and a dropdown menu of specific objectives will appear with a scroll bar (the small numbers to the left are the record ID codes). Scroll down until you find the objective to which you would like to link. If the objective does not yet exist, go to the Specific Objectives Layout to create it, and then return to this screen and link it to the desired subcategory.

Subcategory screens



Specific Objectives screens

The image displays two screenshots of the 'Show All Specific Objectives' interface. The left screenshot shows the 'Subcategories and Objectives' tab, featuring a 'Specific Objectives' section, a 'Subcategories' section with instructions, and a 'Related Subcategories Portal' with a list of subcategories. A yellow arrow points to a row in the portal. The right screenshot shows the 'Indicators' tab, featuring a 'Related Indicators' section with a list of indicators. A red circle highlights a small blue arrow next to an indicator row.

Note that a specific objective may be related to a number of subcategories and that each subcategory shows its link to the relevant category. To go to a related subcategory, select the portal row.

At the second tab of the Specific Objectives screen, jump to an indicator by selecting the *small blue arrow* to the left of any filled in portal row.

To create a link to an indicator, follow the instructions for creating a new objective, above. To create a new indicator, go to the Indicators screen.

Indicators screens

The image displays two screenshots of the 'Show All Indicators' interface. The left screenshot shows the 'Indicators' tab, featuring an 'Indicators' section with a description, an 'Objectives' section with instructions, and a 'Related Specific Objectives Portal' with a list of objectives. The right screenshot shows the 'Data Sources' tab, featuring a 'Related Data Sources' section with a list of data sources.

Data Sources

The screenshot displays two views of the 'Data Sources' page in the TCB Indicator Database. The left view shows a summary of 'Data Sources' and 'Indicators' with a 'Related Indicators Portal' for 'Notifications under the TRIPS Agreement'. The right view shows a detailed form for 'Notifications under the TRIPS Agreement' with fields for Data Type, Numbers and Names of Countries or Areas Covered, Period Covered, Periodicity, Target population, Unit of Measure, and URL.

The screenshot displays the 'Technical Notes' tab in the TCB Indicator Database interface, showing detailed text about 'Notifications under Article 63.2' of the TRIPS Agreement.

Notifications under Article 63.2
[Article 63.2 of the TRIPS Agreement](#) requires Members to notify the laws and regulations made effective pertaining to the subject-matter of the Agreement (the availability, scope, acquisition, enforcement and prevention of the abuse of intellectual property rights). The procedures for the notification of national laws and regulations under Article 63.2 are contained in document IP/C/2. These procedures provide that, as of the time that a Member is obliged to start applying a provision of the TRIPS Agreement, the corresponding laws and regulations shall be notified without delay (normally within 30 days, except where otherwise provided by the TRIPS Council).
 The procedures make a distinction between so-called "main dedicated intellectual property laws and regulations" and "other laws and regulations". Document IP/C/2, paragraphs 6 and 9, and document IP/C/W/9 contain some guidelines for dividing the laws and regulations into these two categories. Main laws and regulations have to be notified in English, French or Spanish; other laws and regulations can be notified in a Member's national language even if this is not one of those three languages. Translations of laws and regulations must be accompanied by the authentic texts of the laws and regulations in question in a national language.

The national treatment and MFN obligations of [Articles 3, 4 and 5](#) of the TRIPS Agreement became applicable to all Members from 1 January 1996, including those Members that avail themselves of the transitional periods provided in [Articles 65.2 and 66.1 of the Agreement](#). The Council for TRIPS has recognized that Members have a number of options for meeting their obligation to notify those laws and regulations that correspond to the national treatment and MFN obligations of Articles 3, 4 and 5 of the Agreement. Further information on these options can be found in document IP/C/9.

Notifications of laws and regulations under [Article 63.2](#) are distributed in the IP/N/1/ series of documents. The documentation of main dedicated intellectual property laws and regulations is distributed in the following sub-series of documents:

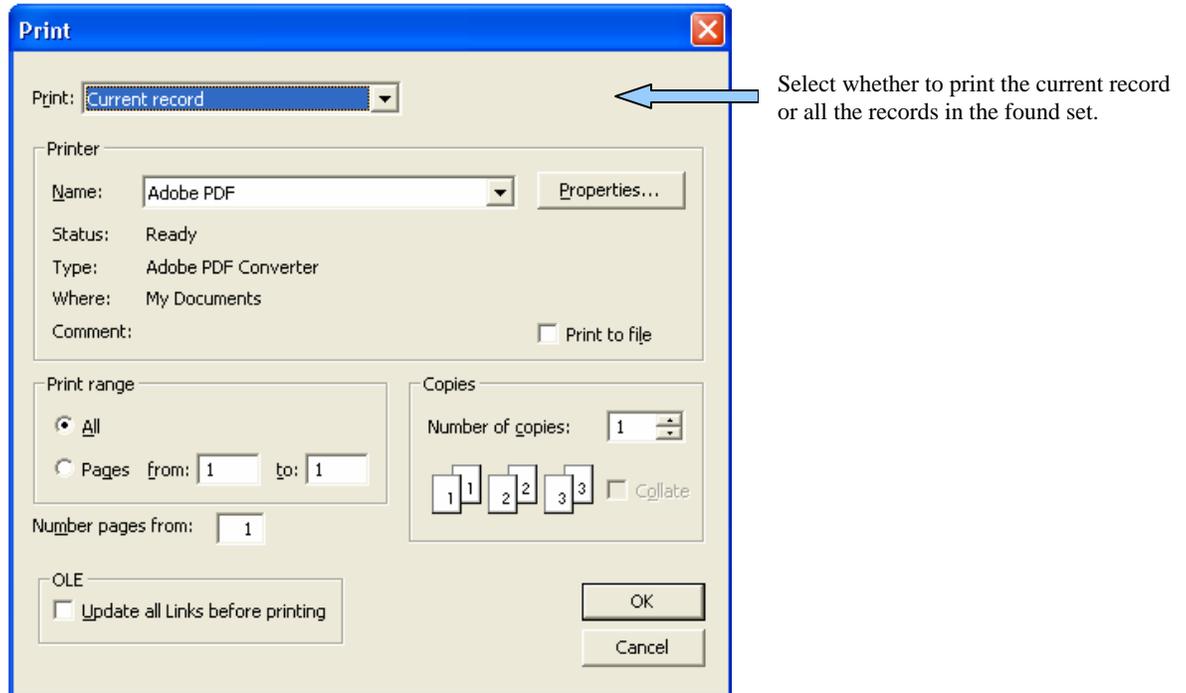
IP/N/1/-C/Copyright and Related Rights	IP/N/1/-L/Layout-Designs (Topographies) of Integrated Circuits
IP/N/1/-T/Trademarks	IP/N/1/-U/Undisclosed Information
IP/N/1/-G/Geographical Indications	IP/N/1/-I/Industrial Property (General)
IP/N/1/-D/Industrial Designs	IP/N/1/-E/Enforcement
IP/N/1/-P/Patents (Including Plant Variety Protection)	IP/N/1/-O/Other

The texts of the laws and regulations referred to in these documents are not contained in the WTO's Documents Online database, since they have not generally been put into electronic form by the WTO Secretariat. However, as provided in Article 2(4) of the Agreement between the World Intellectual Property Organization and the World Trade Organization, the WTO Secretariat transmits to the International Bureau of WIPO a copy of the laws and regulations notified to the WTO Secretariat by WTO Members under [Article 63.2 of the TRIPS Agreement](#) in the language or languages and in the form or forms in which they were received, and the International Bureau places such copies in its paper collection. [The World Intellectual Property Organization](#) makes the laws and regulations contained in its collection available to the public in various ways, including by publishing them in its monthly review "Industrial Property and Copyright", and on-line in its [Collection of Laws for Electronic Access \(CLEA\)](#).

Given the difficulty of examining legislation relevant to many of the enforcement obligations in the TRIPS Agreement, Members have undertaken, in addition to notifying legislative texts, to provide information on how they are meeting these obligations by responding to checklist of questions (document IP/C/5). Responses to these questions are circulated in the IP/N/6- series of documents.

VIEW AND PRINT RECORDS AND REPORTS

The following screens show the various ways to print records (one at a time or in groups).



There are several ways to launch a print request. The first is to select the Reports button on the Main screen, which will bring you to Reports screen. .

Reports Menu



Subcategories by Category Report

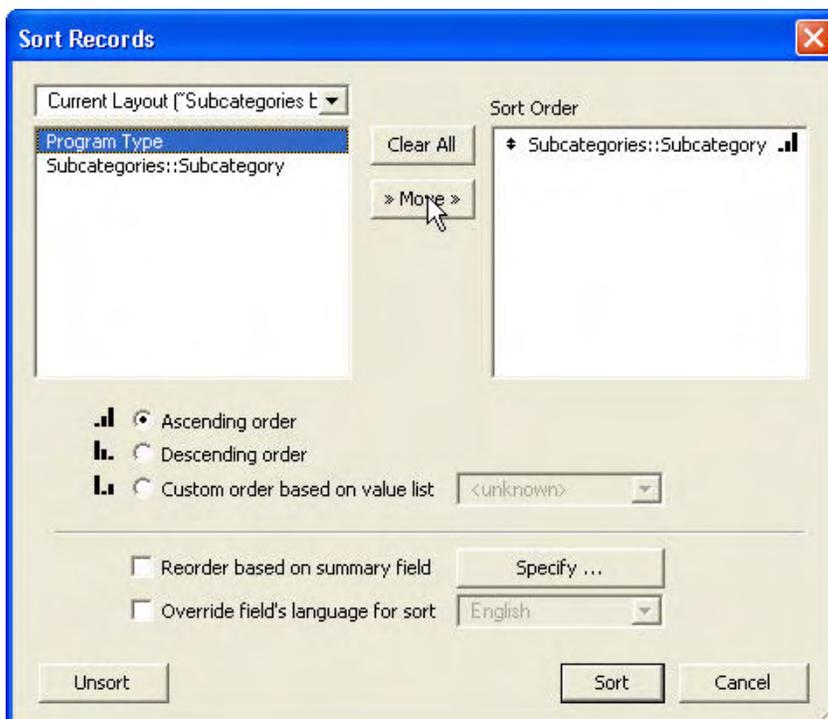
This multipage report includes two fields: the names of all categories, and the names of all related subcategories. The categories are sorted alphabetically and the subcategories are grouped by ID number (not alphabetically) below each category to which they are related (see partial screen shot to the right).

To view but not print, select the “Show All Subcategories” button on the Subcategories Layout.

To make the screen appear exactly the same

- Go to View menu and select “Preview” mode (Ctrl+U). (To return to the subcategories screen in browse mode, press Ctrl+B and select any portal record.)
- Go to the Records Menu and select “Sort Records” (Ctrl+S). In the sort dialogue box, ensure that “Program Type” is dragged from the left box to the right box and then moved above “Subcategories.” Select “Sort.”

Subcategories by Category Report		Information
		This report is based on all sub-relationship to a category has
Category	Customs	
	Reduce time and cost to trade across borders	
	Improve revenue generation performance	
	Decrease corruption and increase transparency	
	Strengthening Public-Private Cooperation for Customs Reform	
	Support for Legislative Reforms	
	Improving Control Over Goods Crossing the Border	
	Support for Procedural Reforms	
Category	Export promotion	
	Business Support Services & Institutions for Export	
	E-Commerce/E-business	
	Product improvement Technical assistance	
	Product marketing technical assistance	
	Public-Private Sector Networking	
	Trade Finance	
	Trade Promotion Strategy Design and Implementation	
	Support for Legislative Reforms	



Indicators by Specific Objectives Report

This report groups specific objectives and indicators into one report, showing which indicators are related to which objectives. It also shows indicator type (e.g., output, intermediate outcome, outcome, impact). Under Custom Reports, below, we describe how to create a limited report using the Find option.

Indicators by Specific Objectives Report		Information
This report is based on all indicators for which a relationship to a specific objective has been established.		
Indicator Name	Type of Indicator	
Adoption of risk management techniques & strategies		
Levels of screening vary according to risk of non-compliance (Yes/No)	Output Inter-Outcome Outcome	Impact
Number of trainings on risk management	Output Inter-Outcome Outcome	Impact
Post-release audits are conducted (Yes/No)	Output Inter-Outcome Outcome	Impact
Alignment of Customs legislation with international best practices		
Number of laws or regulations amended or passed	Output Inter-Outcome Outcome	Impact
Audit of Customs Operations		
Integrity audit conducted in line with international best practices (Yes/No)	Output Inter-Outcome Outcome	Impact

Data Source by Indicator Report

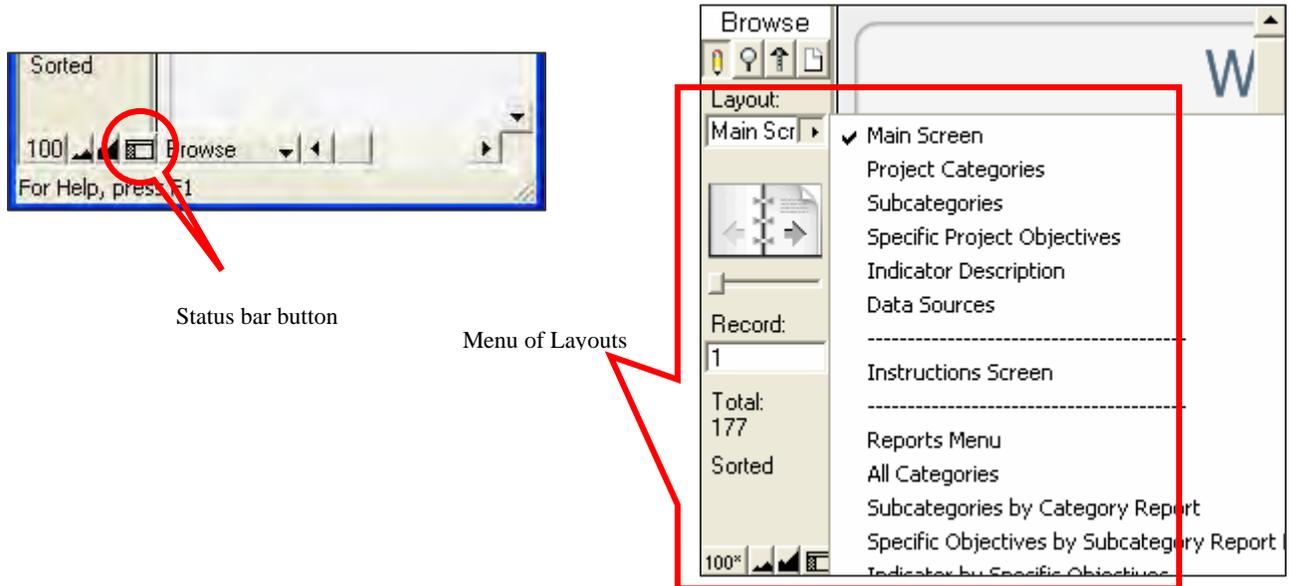
This report groups all indicators and data sources alphabetically by indicator and shows the periodicity of source collection.

Data Sources by Indicator Report		Information
This report is based on all data sources for which a relationship to an indicator has been established.		
Data Source	Periodicity	
Adherence to WTO Agreement on Application of Sanitary and Phytosanitary Measures		
Adherence to Agreement on Application of Sanitary and Phytosanitary Measures		
Annual number of declarations per customs staff		
Annual number of declarations per customs staff from national customs agency records		
Government records		
Changes in Perceived levels of corruption		
Association member interviews		
Corruption Perception Index Transparency International		
Government interviews.		

Custom Reports

To prepare custom reports,

1. View predefined layouts using the *View/Go To Layout* command (*Alt+V, y*), or open the *status bar* on the left of the screen (click on the status bar button at the bottom of the window).



2. Go to the Layout dropdown list and select the desired layout to view and/or print.
3. Select records, sort them, and preview the print.

Requesting, Finding, Selecting Records

Records can be requested by means of “OR,” “AND” or “EXACT” types of searches.

Sample *OR request*:

1. Go to the sidebar and scroll down the menu of layouts to *Specific Objectives by Subcategory Report Layout*.
2. Go to *View/Find* mode or press *Ctrl+F*.
3. Type *improve* in the one-line field that appears on the screen.
4. Press *Ctrl+N* for New Find Request.
5. Type *customs* in the second one-line field that appears on the screen.
6. Press *Find*.

Any record with “improve” or “customs” in that field (the *specific objective* name field) will be returned.

To conduct an AND request, follow steps 1-3, then at step 4 add *customs* to the same line as *improve* and press *Find*. This will return all records with both words in the same field.

For an EXACT request, put quotes around the terms (i.e., “improve customs”).

To print one record or the entire list, go to *File/Print*. You may also choose which pages to print, and Preview the print out by going to *View/Preview* or pressing *Ctrl+U*.

Individual Records

You have two options when printing individual records.

- To print only what is visible on the screen, go to *File/Print* and print the current record or found set.
- To print a full record report (using a different layout) select the print icon on any database layout screen.

To print information in the Technical Notes tab for any data source record separate from the rest of the record, select the print icon on the Technical Notes tab.

If a record has a lot of information, it may print in two or more pages (see below).

Single Data Source Report

Data Source
Notifications under the TRIPS Agreement

Information
 Notifications of laws and regulations under Article 63.2 are distributed in the IP/N/1/ series of documents. The documentation of main dedicated intellectual property laws and regulations is distributed in the following sub-series of documents:

- * IP/N/1/-/C/* Copyright and Related Rights
- * IP/N/1/-/T/* Trademarks
- * IP/N/1/-/G/* Geographical Indications
- * IP/N/1/-/D/* Industrial Designs
- * IP/N/1/-/P/* Patents (Including Plant Variety Protection)
- * IP/N/1/-/I/* Layout-Designs (Topographies) of Integrated Circuits
- * IP/N/1/-/U/* Undisclosed Information
- * IP/N/1/-/L/* Industrial Property (General)
- * IP/N/1/-/E/* Enforcement
- * IP/N/1/-/O/* Other

Related Indicators

Notification to the Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPS)

Printed for: Colleen Morton 1 3/1/2007

More Information Notifications under the TRIPS Agreement

Data Type: individual notifications

Numbers and Names of Countries or Areas Covered: varies by type of notification

Period Covered: 1994 onward

Periodicity: _____

Target population: _____

Unit of Measure: Level of compliance

URL: http://www.wto.org/english/tratop_e/trips_e/intel7_e.htm

To print Technical Notes, select the Print Icon on the Technical Notes Tab.

Comments

WTO - Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPS) concerning border enforcement measures

The TRIPS Agreement obliges the WTO Members to make certain notifications to the Council for TRIPS. These notifications facilitate the Council's work of monitoring the operation of the Agreement and promote the transparency of Members' policies on intellectual property protection. In addition, Members wishing to avail themselves of certain possibilities provided in the Agreement that relate to the substantive obligations have to notify the Council. In order to implement these notification obligations, the Council has adopted procedures and guidelines relating to them. In addition, the Members have agreed to make certain notifications which are not regulated in the Agreement.

Information on notifications relating to technical cooperation can be found under Technical Cooperation in the TRIPS area.

Detailed information on the notification procedures can be found in the Technical Cooperation Handbook on Notification Requirements: Agreement on Trade-Related Aspects of Intellectual Property Rights.

ENTER DATA

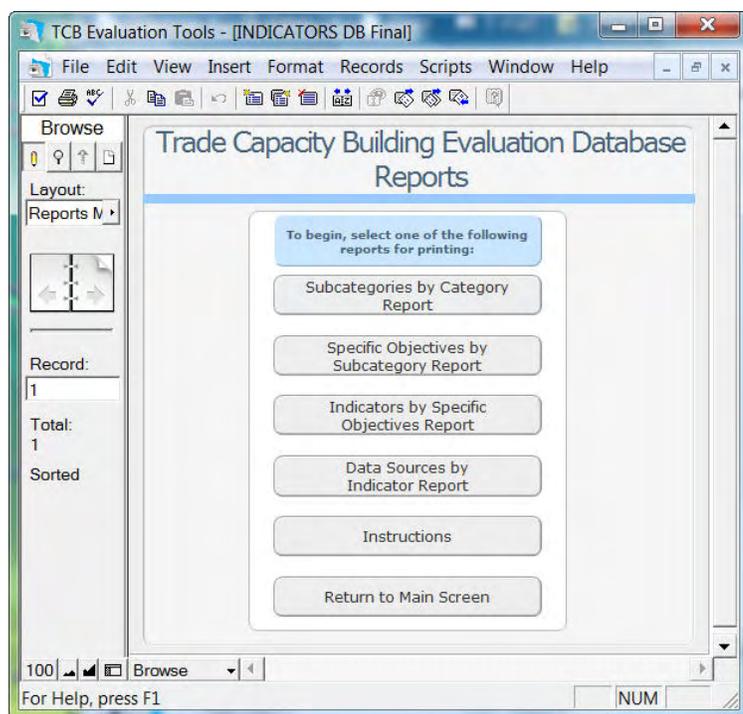
Links can be established only to records that exist. For example, to create a link from an indicator to a data source that is not yet in the database, create a data source record through the Data Source screen. Back at the Indicator screen the new data source will appear in the linking portal when the large blue arrow is selected.

2. TCB Project Database

Provided in a separate file on the CD, the TCB Project Database is based on the USAID TCB Database. It includes only records relating to customs and export promotion projects and combines individual annual records for any project that spans several years into one record to ease sorting and categorization.² Two new fields—Project Objectives and Subcategories—correspond to the specific project objectives and subcategories defined in the Indicators Database to facilitate using the two databases side-by-side.

The Project Database also contains several alternative layouts for sorting, viewing, and printing records. The main alternatives are listed on the Reports Menu. The database contains 800 records, so you will want to conduct a search/find before requesting either of these reports. Through the Search screen, you may search by country, start year, end year, project name, and project type. Below is a sample find report based on a specific country (Albania) organized by project type.

Reports Menu



² The TCB Project Database is a flat file and does not replicate exactly the information in the USAID Database. Year-by-year breakdowns of funding for project subcomponents were lost in the process of combining and streamlining the file, although the totals for all project years are accurate. If you need accurate funding information by year, refer to the original USAID TCB Database.

TCB Project Database, Main Screen

TCB Export Promotion and Customs Project Descriptions

Project Name: SME Development

Contract #: OUT-PCE-I-806-99-00002-00

Project Type: Customs X Export Promotion Trade Negotiation

Country_region: Armenia

Description: This activity is directed towards achieving USAID's goal of supporting the growth of the private sector in Armenia. To help achieve this goal, USAID has funded a technical assistance program that includes expansion of access to technical support for businesses; long-term technical support, and market linkages to the United States. This program focuses on the tourism, jewelry/gem stone, IT, and textiles/shoes industries. (Both the FY 02 obligation and cumulative total funds reflect the amount of the activity related to trade capacity building and NOT the whole activity. The percentage allocations only apply to trade-related activities and not the whole of the activity.) Funded and implemented by USAID/Armenia.

Reviewed by: CSM

Date reviewed: 1/17/2007

ID number: 0040

TCB Export Promotion and Customs Project Descriptions

Project Subcategories:

- Analytical Tools
- Business Support Services & Institutions for Export
- Decrease corruption and increase transparency
- Development of indigenous analytical capacity
- E-Commerce/E-business
- Effective Participation in International Trade Negotiations
- Improve revenue generation performance
- Improving Control Over Goods Crossing the Border
- Make Trade contribute to Economic Development and Growth
- Needs Assessments
- Physical Support
- Product improvement technical assistance
- Product marketing technical assistance
- Public Institution Building
- Public-Private Sector Networking
- Reduce cost to trade across borders
- Strengthening Public-Private Cooperation for Customs Reform
- Support for Legislative Reforms
- Support for Procedural Reforms
- Trade Finance
- Trade Promotion Strategy Design and Implementation

Project objectives:

Improve private sector capacity

TCB Export Promotion and Customs Project Descriptions

Country_region: Armenia

Project Start And End Year: 2002 2007

Project Funding: \$185,000.00

Target Population: Individuals Firms Associations Government

Project Documents Available:

- http://pdf.usaid.gov/pdf_docs/PNADD005.pdf
- <http://www.armeniaag.org/>

Project Website: http://www.dai.com/work/project_detail.php?pid=6

Selecting a round button will take you directly to the website where the document is located

Search Screen

Sample Listing for Albania Projects

Project List by Project Type				
Project Name	Project Start/end Years		Project Country_region	
<input checked="" type="checkbox"/> Customs <input type="checkbox"/> Export Promotion <input type="checkbox"/> Trade Negotiation				
Southeast Europe Initiative	2003		Albania	
Technical Assistance for Customs Reform	2003		Albania	
<input checked="" type="checkbox"/> Customs <input type="checkbox"/> Export Promotion <input type="checkbox"/> Trade Negotiation				
Southeast European Cooperative Initiative (SECI) Trade & Transportation Facilitation i	2002		Albania	
<input checked="" type="checkbox"/> Customs <input checked="" type="checkbox"/> Export Promotion <input checked="" type="checkbox"/> Trade Negotiation				
Albanian Center for International Trade	2003	2005	Albania	
<input type="checkbox"/> Customs <input checked="" type="checkbox"/> Export Promotion <input type="checkbox"/> Trade Negotiation				
Enterprise Development Export Market Services Project - EDEM	2004	2006	Albania	
The Global Trade and Technology Network (GTN)	2002		Albania	

3. Design a Cluster Evaluation

The companion to this manual, the *Trade Capacity Building Evaluation Methodologies and Indicators*, explains cluster methodology at length. Under that approach, one learns what has and has not worked in TCB interventions by studying patterns of success and failure across a number of projects with similar goals, contexts, and intervention strategies. The TCB Indicator Database links a hierarchy of project types—a typology—to sets of indicators and data sources. The TCB Project Database allows you to classify projects according to that typology as you learn more about each project. The information downloaded from the USAID TCB Database, however, does not immediately provide enough information to use these typologies. Thus, more research should be carried out based on project summary reports. The Project Database has several fields where the URL locations of electronically available project reports can be recorded.

PERFORMING SEARCHES

Once an evaluator has analyzed project records in detail and has categorized projects using the subcategory and specific objective typology, it will be fairly easy to find groups of projects in specific regions or in other groups of countries. There are many ways to form, constrain, and extend a search request for specific projects in the TCB Project database, but the main factor is the quality of the content of the database. Search possibilities will be greatly enhanced as this database is enriched with more project information and categorizations.

Sample Search—Agriculture Export Promotion Projects in Central America

Find Project Records

1. In the Project Database, go to the Search screen.
2. Put a check in the box next to Export Promotion.
3. Select Central America from the Project Objectives pop-up menu.
4. Type “agri*” into the description field.
5. Press Find.

This search will return 14 records. To extend the set of records, make a new request for *Export Promotion/Central America/coffee* by selecting “Extend Found Set” (under Requests). This search will return 22 records.

Search Screen

Project Type: Customs Export Promotion Trade Negotiation

Start Year: _____

Keyword Search

Name: _____

Description:

Project Country Or Region

<input type="checkbox"/> Afghanistan	<input type="checkbox"/> China (P.R.C.)	<input type="checkbox"/> Honduras	<input type="checkbox"/> Mongolia
<input type="checkbox"/> Albania	<input type="checkbox"/> Colombia	<input type="checkbox"/> Hungary	<input type="checkbox"/> Morocco
<input type="checkbox"/> Algeria	<input type="checkbox"/> COMESA Secretariat	<input type="checkbox"/> India	<input type="checkbox"/> Mozambique
<input type="checkbox"/> Andean ns	<input type="checkbox"/> Costa Rica	<input type="checkbox"/> Indonesia	<input type="checkbox"/> Namibia
<input type="checkbox"/> Angola	<input type="checkbox"/> Cote d'Ivoire	<input type="checkbox"/> Iraq	<input type="checkbox"/> Nepal
<input type="checkbox"/> Argentina	<input type="checkbox"/> Croatia	<input type="checkbox"/> Jamaica	<input type="checkbox"/> Nicaragua
<input type="checkbox"/> Armenia	<input type="checkbox"/> Djibouti	<input type="checkbox"/> Jordan	<input type="checkbox"/> Nigeria
<input type="checkbox"/> Asia ns	<input type="checkbox"/> Dominican Republic	<input type="checkbox"/> Kazakhstan	<input type="checkbox"/> Pakistan
<input type="checkbox"/> Azerbaijan	<input type="checkbox"/> Eastern and Central Africa ns	<input type="checkbox"/> Kenya	<input type="checkbox"/> Panama
<input type="checkbox"/> Bangladesh	<input type="checkbox"/> Ecuador	<input type="checkbox"/> Kosovo	<input type="checkbox"/> Paraguay
<input type="checkbox"/> Benin	<input type="checkbox"/> Egypt	<input type="checkbox"/> Kyrgyzstan	<input type="checkbox"/> Peru
<input type="checkbox"/> Bolivia	<input type="checkbox"/> El Salvador	<input type="checkbox"/> Laos	<input type="checkbox"/> Philippines
<input type="checkbox"/> Bosnia and Herzegovina	<input type="checkbox"/> Eritrea	<input type="checkbox"/> Latin America and Caribbean ns	<input type="checkbox"/> Romania
<input type="checkbox"/> Botswana	<input type="checkbox"/> Ethiopia	<input type="checkbox"/> Lebanon	<input type="checkbox"/> Russia
<input type="checkbox"/> Brazil	<input type="checkbox"/> Former Soviet Republics ns	<input type="checkbox"/> Lesotho	<input type="checkbox"/> Rwanda
<input type="checkbox"/> Bulgaria	<input type="checkbox"/> Georgia	<input type="checkbox"/> Macedonia	<input type="checkbox"/> SACU Secretar
<input type="checkbox"/> Cambodia	<input type="checkbox"/> Ghana	<input type="checkbox"/> Madagascar	<input type="checkbox"/> SADC Secretar
<input type="checkbox"/> Cameroon	<input type="checkbox"/> Global ns	<input type="checkbox"/> Malawi	<input type="checkbox"/> Senegal
<input type="checkbox"/> Cape Verde	<input type="checkbox"/> Guatemala	<input type="checkbox"/> Mali	<input type="checkbox"/> Serbia and Mor
<input type="checkbox"/> Caribbean ns	<input type="checkbox"/> Guinea	<input type="checkbox"/> Mauritius	<input type="checkbox"/> Sierra Leone
<input type="checkbox"/> Central America ns	<input type="checkbox"/> Guinea-Bissau	<input type="checkbox"/> Mexico	<input type="checkbox"/> Slovak Republic
<input type="checkbox"/> Central and Eastern Europe ns	<input type="checkbox"/> Guyana	<input type="checkbox"/> Middle East and North Africa ns	<input type="checkbox"/> Somalia
<input type="checkbox"/> Chile	<input type="checkbox"/> Haiti	<input type="checkbox"/> Moldova	<input type="checkbox"/> South Africa

Andean Countries

- Andean Pact
- APEC
- ASEAN
- Asia
- Caribbean
- CARICOM
- Central America**
- Central/South Asia
- Central/Eastern Europe
- COMESA
- East and Central Africa
- ECOWAS
- Europe & Eurasia
- Former Soviet Republics
- FTAA
- HIPC
- Landlocked
- Latin America
- LAC
- LDC's
- Middle East
- MENA
- Pacific
- Small Islands
- South America
- Southeast Asia

Pair Records with Indicators and Data Sources

If the projects you have found fall into several subcategories or specific objectives groups, start with a broad search and then narrow it as the question focus becomes clearer. For agricultural export indicators, for example, you might want to conduct the following search:

1. In the Indicators Database, go to the first tab of Specific Objectives.
2. Go to Find Mode.
3. Go to the Related Subcategories portal box and enter “product” into the subcategory field.
4. Press *Find* or *Enter*.
5. Print the resulting 8 records and related indicators by selecting the printer icon, or print only some by entering the desired pages in the printer dialogue box.

Following these steps will provide a hardcopy or PDF report that you can refer to as you further design your evaluation.

INDICATORS

Find

Layout: Specific

Request: 1

Total: 1

Print

Find

Instructions New Objective Delete Objective Report Menu

Subcategories and Objectives

Specific Objectives

Specific Objective

Related Subcategories Portal

product

Customs Export Promotion Negotiations

Subcategories

To go back to the related subcategory, select the subcategory name in the box to the right. To see all Subcategories, select the Subcategories Layout button at the top of the screen.

Show All Specific Objectives

Show and Set Only

COMBINING PROJECT AND INDICATOR INFORMATION

How can you use lists of projects, indicators, and data sources to design interesting and credible evaluations? As discussed in the *Evaluation Methodologies and Indicators* manual, cluster methodology is participatory—project managers identify the most important questions to be answered and together discover the most important lessons learned from natural variations among projects occurring in different locations, with different participants, and with different levels of resources. Yet one must set boundaries for the amount of variation among the projects or it will be impossible to sort out their impact. It is also important to use the same indicators across an entire cluster, which makes having a broad menu of indicators very useful.

Sample Combination—Agriculture Export Promotion Projects in Central America

The projects resulting from the previous search are shown by country in below (Costa Rica, El Salvador, and Panama had no matching records):

	<u>Ag</u>	<u>Coffee</u>	<u>Total</u>
Honduras	6		6
Nicaragua	2	2	4
Guatemala	3		3
Central America	3	6	9
Total	14	8	22

This list is a feasible set for cluster analysis. In addition, about a third of the projects focused on one specific crop, coffee, which should yield some interesting comparisons with the multiproduct projects. The following are some indicators that may be useful to review with respect to these projects:

Indicator Name	Type of Indicator	Data Source
Diversity of exporting sectors.	Impact	Herfindahl-Hirschman Index of Concentration and Diversification of Exports
		Intensity of local competition, Global Competitiveness Report, WEF
		Nature of competitive advantage, Global Competitiveness Report, WEF
International product (currency adjusted) price comparisons across competitor countries.	Impact	UNCTAD trade statistics
Market diversification	Outcome	Herfindahl-Hirschman Index of Concentration and Diversification of Exports
Number of bottlenecks in production and delivery chain	Intermediate Outcome Output	Baseline studies on time to market for specific products in specific countries
		Before and after project data on costs of production within the value chain or cluster
Number of country or sector-specific brands	Intermediate Outcome	Number of new country or sector-specific brands created Project records
		Tracking Brands
Number of days to market for target products.	Impact	Baseline studies on time to market for specific products in specific countries
Number of firms participating in cluster	Intermediate Outcome Output	Project Records
Number of hits on a country's export-oriented websites	Intermediate Outcome	Export Promotion Agency records

Indicator Name	Type of Indicator	Data Source
		Client firm records
Number of products enhanced	Intermediate Outcome Output	Project Records
Percentage price changes for international buyers	Outcome Output	UNCTAD trade statistics
Percentage reduction in production costs	Intermediate Outcome	Baseline studies on time to market for specific products in specific countries
		Before and after project data on costs of production within the value chain or cluster
Sector market share in target markets	Impact	Extent of regional sales, Global Competitiveness Report, WEF
		Herfindahl-Hirschman Index of Concentration and Diversification of Exports
		Product Performance Index, ITC
Sector or country-specific brand recognition by buyers in target markets	Outcome	Tracking Brands
Share in world market	Impact	Herfindahl-Hirschman Index of Concentration and Diversification of Exports
		ITC Trade Map

Base your selection of indicators on project details and on the question being asked. This list of indicators above shows that comparative indicators exist to measure several different dimensions of these projects' impacts.

Such measurements will ensure that discussion among project managers is based on a factual analysis of relevant data, rather than only subjective opinion about which intervention techniques and approaches seem to bear fruit.

ADDING RECORDS AND MAKING LINKS

The Indicators Database and the Project Database will both benefit greatly from (1) the addition of more information about projects, indicators, and data sources, and (2) further categorization and refinement of indicators as output, intermediate outcome, outcome, and impact.

To add records at the subcategory, specific objective, indicator and data source levels, go to the relevant layout and press the "New Record" button. It is a good idea, however, to first conduct a search to ensure that the exact item or a very similar one is not already in the database.

To insert an Object into the Technical Notes field at the data source level, click on the blank field, then select "Insert" (Alt+I). From the dropdown menu, select "Object" and then follow the instructions in the dialogue boxes. If you insert a Word object, you may edit it later from within the database itself.

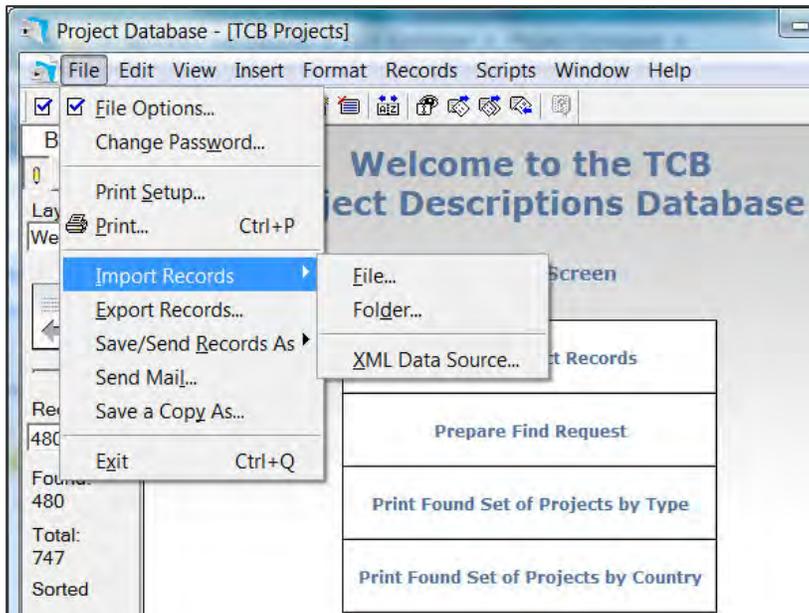
Appendix A. Importing Records

Here we present the steps for importing records from an Excel file, utilizing the fields normally downloaded from the USAID TCB database. Many other types of database files can be imported, but of course the field mapping will need to be adjusted to match existing and imported field structures.

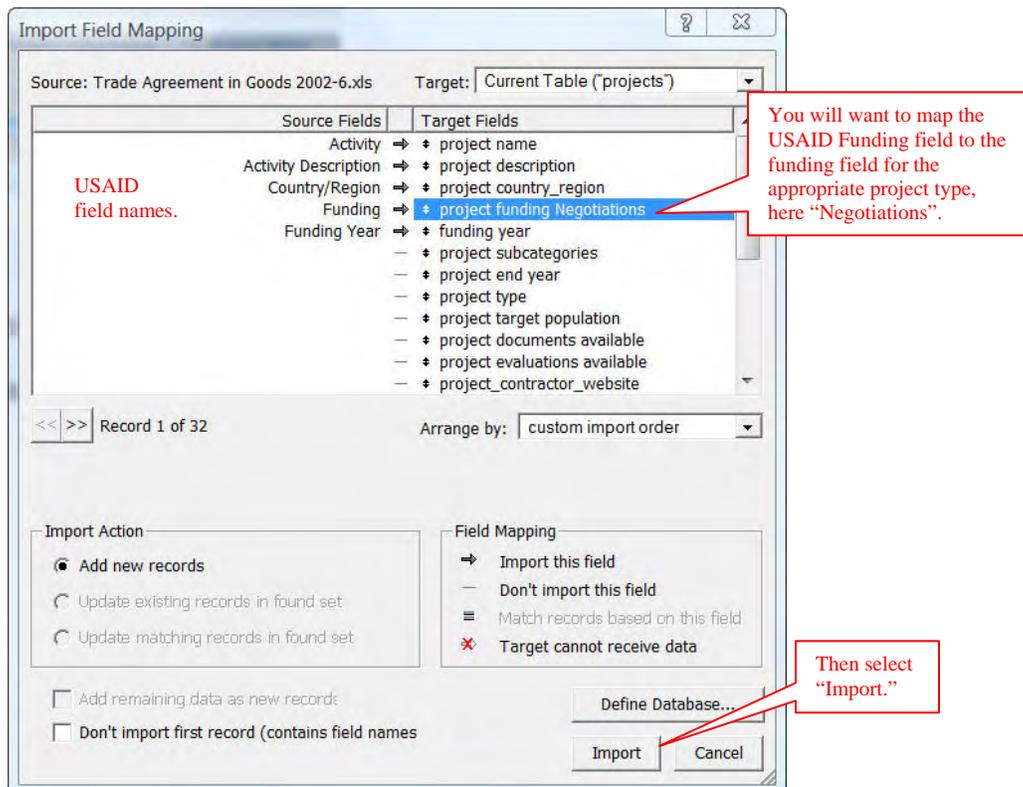
1. Start by creating the Excel file with the records that you want to import into our TCB Project Database. Be sure to add a column for “funding year.” This will allow you to later eliminate duplicate records if you are importing many similar project records.

	A	B	C	D	E
	Activity	Activity Description	Country/Region	Funding	Funding Year
1					
2	Achievement of Market Friendly Initiatives and Results (AMIR 2.0)	The U.S. Agency for International Development has been supporting Jordan's trade capacity through the Achievement of Market Friendly Initiatives and Results (AMIR). The largest trade capacity building activity in USAID Jordan is the Achievement of Market Friendly Initiatives and Results (AMIR).	Jordan	100,000	2003
3	Achievement of Market Friendly Initiatives and Results (AMIR)	Through several components of AMIR USAID USAID Jordan, through the Achievement of Market-friendly Initiatives and Results (AMIR) Program is working with the government of Jordan (GOJ) on implementation of Jordan's This activity supports local analyst to prepare studies on General Agreement on Trade in Services (GATS) related issues. This process involves data collection, followed by mentoring	Jordan	57,194	2002
4	Achievement of Market-friendly Initiatives and Results (AMIR)	The Albanian Center for International Trade (ACIT) is a three-year program started in September 2003 by the Institute for Contemporary Studies through a cooperative	Jordan	57,500	2003
5	African Trade Capacity Building for General Agreement on Trade in Services (GATS)	The Albanian Center for International Trade (ACIT) is a three-year program started in September 2003 by the Institute for Contemporary Studies through a cooperative	Sub Saharan Africa ns	50,000	2005
6	Albanian Center for International Trade	The Strategic Objective Grant Agreement (SOAG) between the Common Market for Eastern and Southern Africa (COMESA) and USAID East Africa is helping the region	Albania	30,000	2004
7	Albanian Center for International Trade	The purpose of CRECERIS is to create an enabling environment for trade and domestic	Albania	30,000	2005
8	Common Market for Eastern and Southern Africa (COMESA)		Eastern and Central Africa ns	100,000	2006

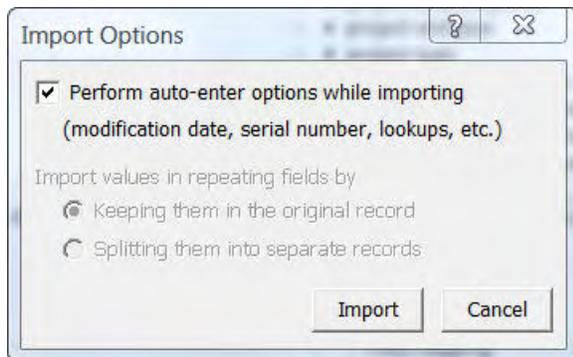
2. Next, open the Project Database and go to **File/Import Records/File**. You will immediately go to a window to browse for the file you want to import.



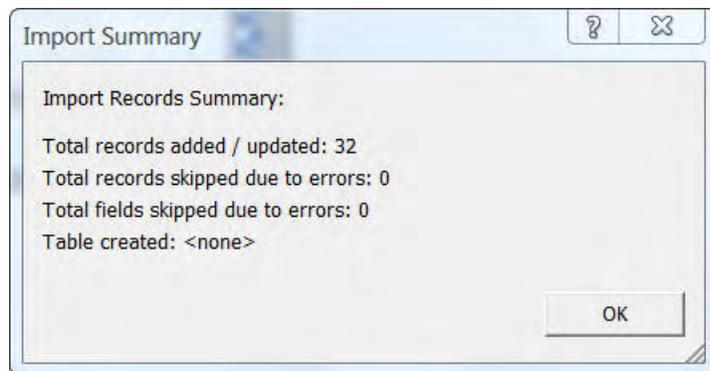
3. Once you have found and selected the file you want to import, you will be asked how you want to map the field names of the imported file to the field names of the existing database. The following figure illustrates the usual field mapping that you would want to employ.



4. At the next screen, you will be asked whether you want to have the database automatically assign Project ID codes, and carry out other automatic tasks. Check the “Perform...” box, then select “Import.”



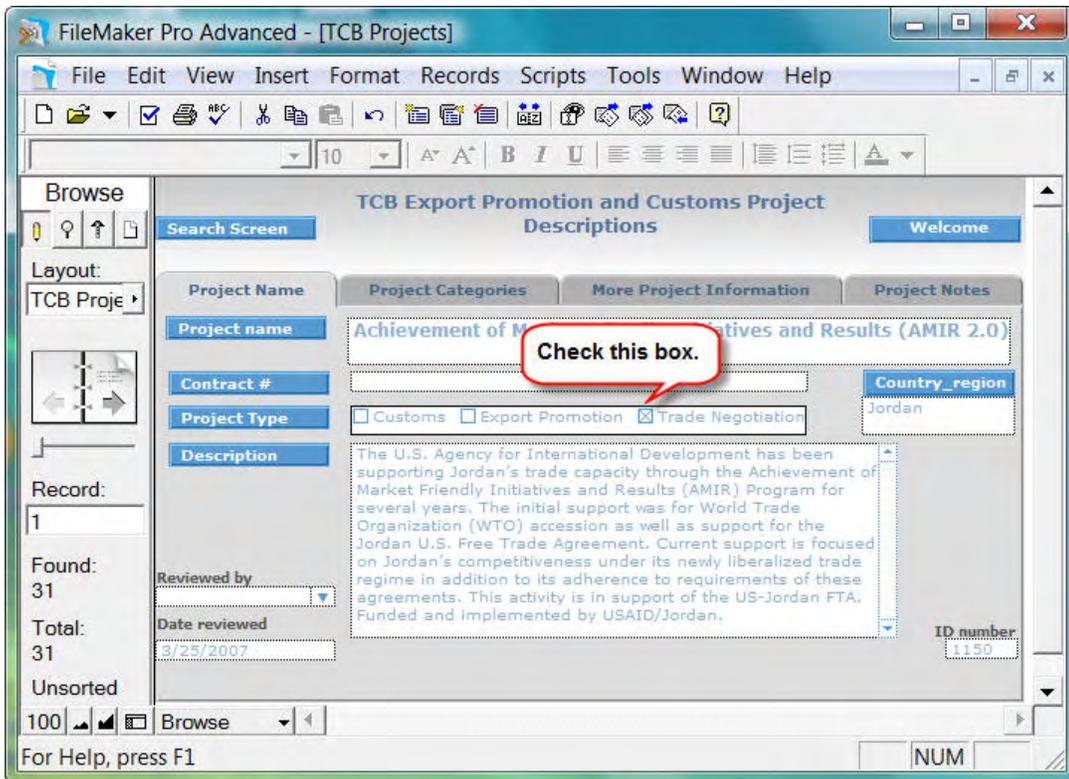
5. You will next see an Import Summary screen letting you know if all the records imported correctly or not. Select “OK.”



6. Perform record manipulations, if desired. You may want to perform some record manipulations on the set of records that you just imported (the “found set”) before merging them with the rest of the records in the database.

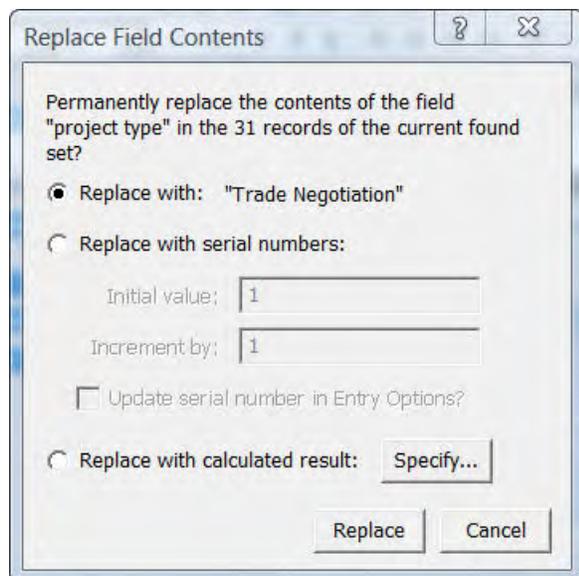
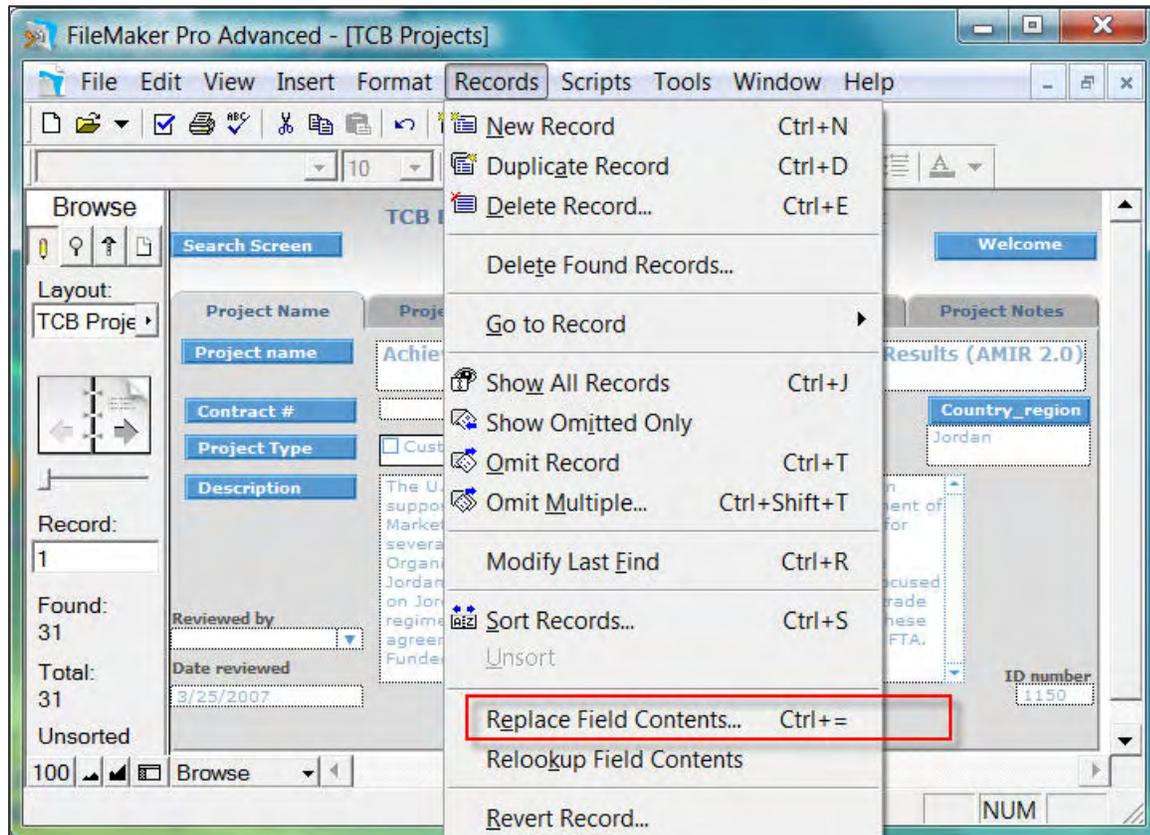
We suggest that you carry out a number of “field replace” operations to categorize a set of records all at once to ease later retrieval, as follows.

To begin, select the appropriate project type in the Project Type field in the Browse layout; in our example we use “Trade Negotiation.”



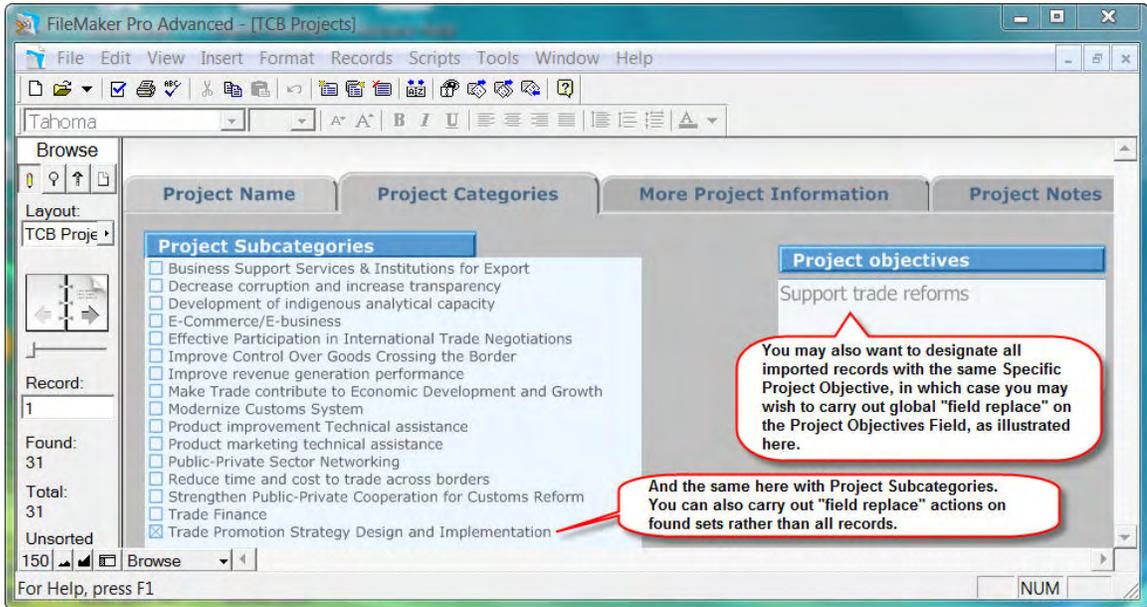
Assuming that all the records are members of the Trade Negotiation project category, you can now perform a “global field replace” to save you the trouble of inserting this category into every record one at a time.

To do this while still in the same record and before clicking on any other field, go to “Record” in the Menu Bar, and select “Replace Field Contents.”

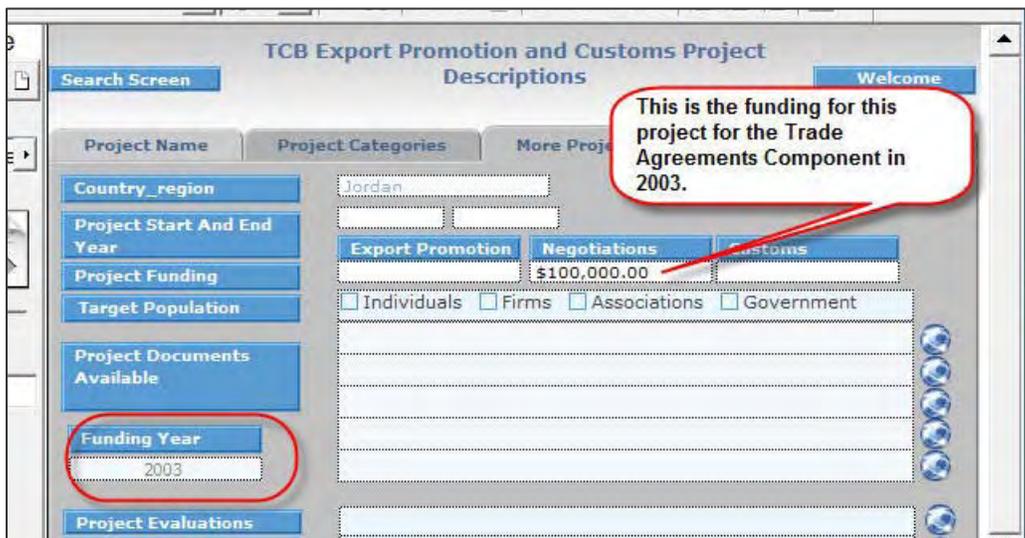


You should then see the Replace Field Contents dialogue box. The box should display the field “project type” and a replace text string of “trade negotiation.” If not, press *Cancel*, revert to the record and reselect the Trade Negotiation box in the project type field. Then, when the dialogue box appears again, and the selections are correct, select “Replace.”

You may want to carry out more global field replace operations on other fields before you merge the records. Following are two more examples.



7. Once you have all the records categorized appropriately, you will want to review the project funding data and probably eliminate duplicate records. See below for a diagram of the fields you should review (in this case the Project Funding field and the Funding Year field).



Note that for most records already in the database, there is no data in the Funding Year field. This is because we have already totaled the funding across all available project years into the appropriate component funding field. See example below for more detail.

The screenshot displays a search interface for 'TCB Export Promotion and Customs Project Descriptions'. The search criteria are as follows:

Field	Value
Country_region	Bolivia
Project Start And End Year	2002 - 2005
Project Funding	\$990,000.00
Target Population	<input type="checkbox"/> Indiv

The interface also shows a 'Record: 6' and 'Found: 82' status. A red callout box contains the following text:

Funding for projects already in our TCB Project Database has been totaled across all the years of the project. In this case, from 2002 to 2005. Duplicate project records for intervening years have been deleted.

This consolidation allowed us to delete all the duplicate year-by-year records for customs and export promotion projects. Year-by-year funding is usually not a critical evaluation parameter, but if it is needed for some reason, the evaluator can always refer to the original USAID TCB Project database records. However, the user is cautioned that these figures (in either database) should not be considered completely accurate and reliable due to misclassification, double counting, and estimation errors.

EXPORTING RECORDS

You may also export records quite easily from the Project Database since it is a flat file. Select the fields that you want to export from the export records dialogue box, and the format of the database that you want to create. Please note that exporting records does not export the layouts, and may not export values in repeating fields (such as Project Objective).

Exporting records from relational databases, such as the Indicators Database, is significantly more complicated, particularly if you would like the records to continue to be related. This requires that you export ALL the related databases, and ALL the record ID codes, and then redefine those relationships in the destination database.

Appendix B. Predefined Reports

This appendix contains the first pages of the four predefined reports of the Indicators Database.

Subcategory by Category Report

Subcategories by Category Report

Information
This report is based on all subcategories for which a relationship to a category has been established.

Category **Customs**

Reduce time and cost to trade across borders
Improve revenue generation performance
Decrease corruption and increase transparency
Strengthen Public-Private Cooperation for Customs Reform
Improve Control Over Goods Crossing the Border
Modernize Customs System

Category **Export promotion**

Business Support Services & Institutions for Export
E-Commerce/E-business
Product improvement Technical assistance
Product marketing technical assistance
Public-Private Sector Networking
Trade Finance
Trade Promotion Strategy Design and Implementation

Category **Negotiations**

Public-Private Sector Networking
Effective Participation in International Trade Negotiations
Development of indigenous analytical capacity
Make Trade contribute to Economic Development and Growth

Specific Objectives by Subcategory Report

Specific Objectives by Subcategory Report	Information This report is based on all specific objectives for which a relationship to a subcategory has been established.
Subcategory Business Support Services & Institutions for Export	
Improve efficiency of export-oriented cluster and/or sector competitiveness	
Improved capacity of clusters to produce exports efficiently	
Improved capacity of sector-specific or generic trade associations to promote exports by their members	
Improved capacity of sector-specific or generic trade associations to promote reform in regulations and procedures for exporting	
Subcategory Decrease corruption and increase transparency	
Audit of Customs Operations	
Automation of procedures	
Decrease in "unofficial payments" to border officials	
Human Resources Development	
Identify Customs performance areas in need of improvement	
Improved accessibility of customs legislations/regulations	
Increase Transparency	
Introduction of independent anti-corruption agencies	
Simplification of Procedures	
Subcategory Development of indigenous analytical capacity	
More coherent and sound local statistics, research and information being produced.	
Strengthen institutional capacities for trade policy or strategy formulation and implementation	
Subcategory E-Commerce/E-business	
Increase utilization of e-commerce and e-business strategies for export.	

Indicators by Specific Objectives Report

Indicators by Specific Objectives Report	Information This report is based on all indicators for which a relationship to a specific objective has been established.
Indicator Name	Type of Indicator
Adoption of risk management techniques & strategies	
Levels of screening vary according to risk of non-compliance (Yes/No)	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Number of trainings on risk management	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Post-release audits are conducted (Yes/No)	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Alignment of Customs legislation with international best practices	
Number of laws and procedures that are not compliant with the WTO Agreement on Pre-shipment Inspection	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Number of laws or regulations amended or passed	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Tariff schedule fully complies with WCO Harmonized System Convention (Yes/No)	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Audit of Customs Operations	
Integrity audit conducted in line with international best practices (Yes/No)	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Automation of procedures	
Percentage of Customs declaration procedures that are automated	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Percentage of payments processed through automated systems	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Percentage of required Customs forms that are available online	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Single Window is in operation (Yes/No)	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Collect the full amount of legislated duties on imports	
Collected taxes as a share of overall imports	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact
Revenue collected per customs staff	<input type="checkbox"/> Output <input type="checkbox"/> Inter.Outcome <input type="checkbox"/> Outcome <input type="checkbox"/> Impact

Data Sources by Indicator Report

Data Source	Periodicity of Collection
Information This report is based on all data sources for which a relationship to an indicator has been established.	
Data Sources by Indicator Report	
Adherence to WTO Agreement on Application of Sanitary and Phytosanitary Measures	
Adherence to Agreement on Application of Sanitary and Phytosanitary Measures, WTO SPS Committee	annual
Adherence to Agreement on Technical Barriers to Trade, WTO TBT Committee	annual
Annual number of declarations per customs staff	
Annual number of declarations per customs staff from national customs agency records	
Customs Agency Records	
Budget of export promotion institution.	
Government Records	
Changes in Perceived levels of corruption	
Association member interviews	
Corruption Perception Index Transparency International	
Interviews with Customs Agency	
Interviews with shippers and freight forwarders	
Opacity Index Pricewaterhouse Coopers	
Cross country comparisons of the perceptions of governmental effectiveness in the	
Trade Support Institutions Index	
Degree of clear division of labor between stakeholders and agencies	
Government interviews.	
Degree of participation in WTO negotiations (number of proposals)	
International organization interviews by evaluators	