
Workstream 6 – Deliverable 6B/2F: Summary of Preliminary Evaluation Findings

Revised Report

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March 2019

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Thomas Otter

We were extremely shocked to learn of the death of Thomas Otter, the Team Leader for the TMEA Evaluation, on August 8th 2017.

The staff of Oxford Policy Management and all other members of the evaluation team have been greatly saddened by his unexpected loss.

Thomas was a highly respected and much liked professional, who engaged and motivated all who worked with him. This was reflected in the many tributes that we have received about him.

His contribution to the evaluation, through his intellectual and personal leadership of the team, was greatly appreciated by everyone involved. We will endeavour to continue the work that he began and led so effectively.

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Table of contents

List of tables, figures, and boxes	ii
List of abbreviations	iii
Executive Summary	5
1 Introduction	8
1.1 Evaluation purpose and objectives	8
1.2 Evaluation overview	9
1.3 Purpose of this report	11
1.4 Overview of TMEA	12
1.5 Evaluation Methodology	15
2 Output and programme performance: Results Mapping	22
2.1 SO2 and SO3 (HEQ1 Part A)	22
2.2 SO1 (HEQ2)	25
3 Operational performance	28
4 Programme design	29
4.1 Theory of Change	29
4.2 Relevance	31
4.3 Coherence	32
4.4 Sustainability	34
5 Preliminary Conclusions	36
5.1 HEQ1	36
5.2 HEQ5	37
Annex 1: Evaluation Deliverables	41
Annex 2: Status and evolution of the evaluation questions	44
Annex 2a: Project Evaluation Results SO2	50
Annex 2b: Project Evaluation Results SO3	51
Annex 3a: Programme Level Results S01	52
Annex 3b: Programme Level Results S02	54
Annex 3c: Programme Level Results S03	55
Annex 4: TMEA Governance Structure	58
Annex 5: Survey Questionnaire- SO2 and SO3	59
Annex 6: Assessment of Monitoring and Evaluation Function	61
Annex 7: Stakeholders Consulted	67

List of tables, figures, and boxes

Figure 1:	Evaluation design summary	11
Figure 2:	Logical map of deliverables for report 6B	12
Figure 3:	TMEA TOC	14
Figure 4:	Linear pathway: Improved Infrastructure to Increased Trade	25
Figure 5:	Current leadership and management structure	58
Figure 6:	TMEA Monitoring and Evaluation Checklist- Current Process	63
Table 1:	Mapping evaluation questions to workstreams	9
Table 2:	SO1 project performance judgement criteria	19
Table 3:	SO2 and SO3 project performance scoring and judgement criteria	20
Table 4:	Busia reduction in crossing-time	27
Table 5:	Monitoring and Evaluation Checklist	62

List of abbreviations

CBA	Cost/Benefit Analysis
CBTA	Cross-Border Traders Association
CCTTFA	Central Corridor Transit Transport Facilitation Agency
CEO	Chief Executive Officer
COMESA	Common Market for Eastern and Southern Africa
CoW	Coalition of the Willing
CSO	Civil Society Organisation
DAC	Donor Assistance Committee
DEQ	Detailed Evaluation Question
DFID	Department for International Development (UK)
DRC	Democratic Republic of Congo
EABC	East Africa Business Council
EAC	East African Community
EATTA	East African Tea Trade Association
EIB	European Investment Bank
EIRR	Economic Internal Rate of Return
EPA	Economic Partnership Agreement
EQ	Evaluation Question
ESIA	Environment and Social Impact Assessment
FCS	Foundation for Civil Society (Tz)
FMS	Financial Management System
GOU	government of Uganda
HEQ	Higher Evaluation Question
IBM	Integrated Border Management
KEBS	Kenya Bureau of Standards
KEPSA	Kenya Private Sector Alliance
KES	Kenyan Shillings
KPA	Kenya Ports Authority
KPIs	Key Performance Indicators
KRA	Kenya Revenue Authority
KTF	Kenya Tourism Federation
M&E	Monitoring and Evaluation
MEAC	Ministry of East African Community (TZ)
MIS	Management Information System
MOU	Memorandum of Understanding
MSC	Most Significant Change
NOC	National Oversight Committee
NPV	Net Present Value
NTB	Non-Tariff Barrier
OBR	Office Burundais des Recettes
OECD	Organisation for Economic Cooperation and Development
OPM	Oxford Policy Management
OSBP	One-Stop Border Post
PAD	Project Appraisal Document

PAR	Project Appraisal Report
PIC	Programme Implementation Council
PIT	Project Implementation Team
PMS	Programme Management System
PSO	Private Sector Organisation
RBS	Rwanda Bureau of Standards
REC	Regional Economic Community
RWA	Rwanda Revenue Authority
SCT	Single Customs Territory
SEATINI	Southern and Eastern African Trade Information and Negotiations Institute
SLT	Senior Leadership Team
SO	Strategic Objective
SOP	Standard Operating Procedures
TMEA	TradeMark East Africa
TOC	Theory of Change
TOR	Terms of Reference
TPA	Tanzania Ports Authority
TPSF	Tanzanian Private Sector Federation
TRA	Tanzanian Revenue Authority
UK	United Kingdom
URA	Uganda Revenue Authority
VFM	Value for Money
WCBTA	Women's Cross-Border Traders Association
WS	Workstream
ZFDB	Zanzibar Food and Drugs Board

Executive Summary

1. TradeMark East Africa (TMEA) is a large and complex programme, with over 200 sub-projects implemented at national and regional level, which seeks to lift existing barriers to trade to bring about positive and sustainable change. The UK Department for International Development (DFID) contracted Oxford Policy Management (OPM) to conduct an evaluation of TMEA for learning and accountability purposes. The evaluation aims to: i) test the theory of change (TOC); ii) analyse and, to the extent possible, measure impact on regional trade, growth and poverty (including gender-related aspects) and sustainability; iii) assess the effectiveness of the TMEA programme; and iv) identify lessons learnt that are relevant beyond TMEA.
2. The evaluation design is structured to answer five high-level evaluation questions (HEQs), which are mapped to the TMEA results chain. Evaluation activities are organised into six workstreams, which together will deliver a comprehensive and coherent evaluation of TMEA. The final performance evaluation report will address all the evaluation questions, drawing on all the preceding deliverables.
3. This report is **Deliverable 6B/2F**, and is a summary of preliminary evaluation findings. It provides preliminary *evidence* appropriate to the three high-level evaluation questions. Thus it is a summary combination of the information contained in the reports that have preceded it, namely the “feeder” reports 2B (Institutional and Organisational Assessment), 2C/3A (Strategic Objective 1: Interim Evaluation), 2D/2E (Strategic Objective 2 and 3: Interim Evaluation), and 6A (Preliminary Relevance and Sustainability Assessment), together with explanations of some of the changes that have been made to the initial evaluation plan (see Phase 2 Design Note).

The three high-level evaluation questions are:

- **HEQ1:** *Has the programme been effective in delivering its outputs and outcomes? How has this been affected by the programme’s organisational model and how could this be improved?*
- **HEQ2:** *Have the port and OSBP projects been effective in delivering their outputs and achieving their trade outcome objectives?*
- **HEQ5:** *How robust and verified are the causal links and assumptions in the TOC, what does this imply for the relevance, coherence and sustainability of the programme, and what are the lessons learnt that are relevant beyond TMEA?*

In providing evidence to answer these HEQ questions based on the preceding feeder reports, this report focuses on TMEA project-level performance (i.e. TMEA programme outputs), not on TMEA programme outcomes. References to outcome-level evidence are limited to a provisional assessment of outcomes, which was not carried out as originally planned. Therefore the current report does not offer a robust analysis of the achievement of TMEA’s outcome-level targets. Instead, it offers a provisional assessment of outcomes based on TMEA’s own reporting, rather than on the evaluation methodology (pathway mapping) set out in the inception report. This shortcoming will be addressed in the performance evaluation, which will trace the pathways of TMEA’s components as described in the theory of change and results chains. For a sample of these it will examine outcome achievement and attribution or contribution in detail, and will draw on a range of perspectives, including corporate and private business exporters, to strengthen triangulation for its final evaluation.

4. The TMEA theory of change (TOC) engages across the three strategic objective areas in working towards the objective of trade-enabled pro-poor economic growth. The underpinning logic of its theory of change suggests that TMEA activities can be expected to contribute to the overall goal of increasing trade with the objective of reducing poverty through three main strategic objectives. According to Report 2D/2E, Strategic Objective 2 (SO2) activities are consistent with the TMEA theory of change, whereas this is less obvious for Strategic Objective 3 (SO3). However, given that TMEA has a mandate to address social wellbeing (vulnerable groups and poverty reduction), reaching out with capacity-building activities to these small organisations seems appropriate. Strategic Objective 1 (SO1) seeks to contribute to trade

increase by focusing on ‘Increased Physical Access to Markets.’¹ At the core of SO1 activities are infrastructure works as well as advocacy for and advice on, the adjustments of normative and operational rules and institutional capacity-building for ports and one-stop border posts (OSBPs) (Report 2C/3A, pp.6-7).

5. There is a gap in the theory of change between the so-called corporate level outcome indicators as set out in Annex 3 and the results of projects at outcome level. While the reason for this is reasonably clear on SO2, on SO3 it is more difficult to link the causal pathway of project-level outcomes to the programme-level outcome. For example it is difficult to link an increase in trade in services (indicator 3.2.2) with the TMEA project activities undertaken under SO3. The TOC needs to be looked at in greater detail regarding enabling government reform on port management (SO1) and business activities which contribute to the wider corporate objective of enabling trade and reducing non-tariff barriers (SO3).
6. SO2 projects score well on their relevance to the TMEA theory of change and country strategies. Report 2D/2E suggests that there was a high degree of relevance in terms of country needs, but a slightly weaker degree for TMEA’s overall mandate. No SO3 projects scored low for relevance or showed any major concerns. The evaluation team found the canvas of business competitiveness for SO3 projects was very broad and, in some cases, covered activities that appeared to be less central to the TMEA mandate. SO1 activities are also relevant to local needs and TMEA’s approach is sensible and reasonable. There is rarely a gender perspective within project design documents, nor any attempt to track gender-disaggregated indicators at a project level. This will require on-going work by TMEA to enhance its monitoring and data gathering on its programmes’ engagement with and impacts on women (Report 2D/2E).
7. According to Report 2D/2E (pp. 25-26), under SO2, projects have generally scored well on effectiveness and most projects will achieve their outputs. However, key issues across most SO2 projects have been the lack of institutional capacity, general delays in completion of activities caused by the multi-stakeholder, multi-country aspect of the projects, and changing political circumstances. In a number of cases, capacity-building initiatives had to be changed during the course of implementation. The report suggests that across all projects, extending timelines and allowing more room for probable delays might not lead directly to more effective projects, but would at least allow for more realistic project management.
8. According to Report 2D/2E (pp. 41-42), SO3 projects have also performed well with respect to effectiveness, and have delivered a wide range of different outputs to support business competitiveness, including technical assistance to support traders, and organisational strengthening of civil society organisations and business. Projects have occasionally struggled with issues of internal capacity, which has in some cases been a constraint. There are no projects with any major concerns on outputs achieved. The evaluators have recognised that most outputs were not achieved on schedule, but have not marked the projects down for delayed completion. Most of the stakeholders reported that the projects had a very strong and successful capacity-building component and are achieving successful outcomes. But the TMEA’s ‘canvas’ for what constitutes a relevant project to support business competitiveness is very wide, and there is a strong case to be made that there would be greater influence and achievement from TMEA actions if SO3 had a more narrow and strategic focus on export competitiveness (p. 64).
9. SO1 is generally well-designed and executed, and has provided highly relevant support towards the objective of reducing trade costs. The Busia one-stop border post (OSBP) was considered to be a very well-designed project which is now a good template for new OSBPs in the East Africa Community. The data collected by TMEA shows a reduction in crossing time between Kenya and Uganda from 14 hours to three hours.²

¹ SO2: Enhanced Trade Environment; SO3: Improved Business Competitiveness.

² Source: TMEA. To be validated in phase 2 of the evaluation

10. The work plans and outputs of SO1 port projects were mostly implemented at both ports, despite the project's challenging operating environment. There were some project delays and cost variations, but these were not critical to the overall direction of the project. The *critical shortfall* relates to reform and modernisation, which is a key assumption in the TMEA results framework. Both the Kenya Ports Authority (KPA) and Tanzania Ports Authority (TPA) have struggled with adopting proven best practices in port governance and management. In terms of effectiveness of all three OSBPs, as measured by the achievement of the outputs and capacity-building, projects have performed well. Busia only requires moderate modification – the entrance road from the Kenyan side is too narrow and restricts traffic flow to a single channel, thereby almost negating the improvement in clearance processes and procedures. Malaba was a 'work in progress' at the time of the visit in April 2017, with both the road and bridge works on-going, continuing the support previously provided by the World Bank. The OSBP at Kagitumba/Mirama Hills is the wrong design and is not fit for purpose.
11. Both SO2 and SO3 projects suffered from the lack of absorption capacity of recipient organisations. This means that many of the activities such as support to cross-border traders will not go to scale without further support. This issue also applied to advocacy activities – many of the civil society organisations appeared to struggle with having appropriate internal processes related to risk mitigation and cash flow management, which led to delays in implementation and delivery of outputs. Sustainability issues also affected SO1, with a critical shortfall in reform and modernisation, which is a key assumption in the TMEA impact pathway. TMEA partners generally need to avoid long-term dependency on TMEA, and therefore the process of internal learning from TMEA activities should be given sufficient prominence by all involved.
12. In terms of operational performance, the experts who undertook the Institutional and Organisational Assessment consider that the existing TMEA institutional and organisational model has been broadly effective in successfully delivering the first TMEA strategy (Report 2B, p. 8). Despite several isolated areas for improvement, the assessors identified no systemic flaws or failures (ibid.). The assessment team identified the mix of organisational elements and characteristics which they consider to support the functionality and effectiveness of the model. They reviewed the various organisational options, including those set out in section 8.3.3 (p. 99) of Strategy II, and suggest that any future organisational model should be closely based on the existing model, retaining a special-purpose vehicle (SPV) and a legally-registered not-for-profit organisation. The assessors consider that the current model is appropriate for TMEA's mission, and that change 'for the sake of it' would be unnecessarily complex and expensive. The assessors consider that TMEA has many strengths as an organisation in terms of the quality of its staff, its country level presence and its influencing role, as well as its ability to work flexibly in a changing political economy environment. However, they suggest that more frequent trilateral engagement between TMEA council members, board members and the TMEA senior leadership team could support enhanced governance. TMEA needs to strengthen both its financial reporting in implementation and design, and the governance arrangements and communication between the TMEA members/council and the leadership team. There are also weaknesses in project monitoring which need to be addressed (2B, Annex H).
13. HEQ3 on the likely impact of TMEA on trade outcomes and growth will be answered by the trade and growth impact study, and HEQ4 on poverty and gender will be answered by the poverty and gender impact study in 2019.

1 Introduction

1.1 Evaluation purpose and objectives

The TMEA programme is a high-profile, multi-donor project that seeks to lift existing barriers to trade in order to bring about positive and sustainable change via a complex combination of regional and national initiatives and an investment of over \$500 million in its first phase (which ended in 2017). TMEA is a large and complex programme, with national and regional dimensions and many sub-projects implemented across a number of countries.

The external evaluation of this programme represents a unique opportunity to gain a detailed understanding of its effects, make recommendations for programme improvements and identify lessons that can shape trade reform interventions and policies over the longer term, both in the region and beyond. The evaluation began in August 2015, and is planned to continue until March 2019.

In line with the evaluation terms of reference, the evaluation has two specific purposes:

- **Learning:** Identifying lessons learnt, incorporating them into the remainder of the current programme, and applying them to the design of any potential continuation of the TMEA programme and/or future regional trade integration programmes.
- **Accountability:** Assessing TMEA processes, results and overall value in an independent and impartial manner consistent with generally accepted principles and standards for professional evaluation.

In addition to the two purposes of the evaluation, the terms of reference also identify four core evaluation objectives:

- 1 Test the Theory of Change (**TOC**), assessing all causal links and the robustness of underlying assumptions (including links between trade, growth and poverty reduction), and adjusting the TOC to serve as a reliable guide to interpret the programme and to make programme improvements.
- 2 Analyse and, where possible, measure both the **impact** of regional integration programmes on regional trade, growth and poverty (and on the various stakeholders – in particular men and women separately, poor and vulnerable groups, as well as traders and consumers); and their **sustainability**.
- 3 Assess the **effectiveness** of the TMEA programme, including organisational effectiveness, and whether the programme represents value for money (**VFM**).
- 4 Throughout, identify **lessons learnt relevant beyond TMEA**, i.e. insights into enabling and constraining factors, critical actions and gaps which may apply to future programmes or to other contexts.

The focus of this report (6B/2F) is on the third of these objectives at the level of project performance (but not covering VFM), as outlined in section 1.3 below. The other core evaluation objectives will be addressed in phase 2, including the performance evaluation, the trade and impact study, the poverty and gender impact study, and the VFM study.

1.2 Evaluation overview

The evaluation design is set out in detail in the inception report, which was formally approved by DFID in December 2016.

The evaluation is designed to answer five **High-level Evaluation Questions (HEQs)**, which provide the overarching framework for the evaluation:

- **HEQ1:** Has the programme been effective in delivering its outputs and outcomes? How has this been affected by the programme’s organisational performance and how could this be improved?
- **HEQ2:** Have the port and one-stop border post (OSBP) projects been effective in delivering their outputs and achieving their trade outcome objectives?
- **HEQ3:** What is the likely impact of TMEA on trade outcomes and growth, and what factors are critical in order to ensure the sustainability of positive impacts?
- **HEQ4:** What is the likely impact of TMEA on poverty and gender, and what factors are critical in order to ensure the sustainability of positive impacts?
- **HEQ5:** How robust and verified are the causal links and assumptions in the TOC? What does this imply for the relevance, coherence and sustainability of the programme, and what are the lessons learnt that are relevant beyond TMEA?

Each High-level Evaluation Question will be answered by addressing a set of Detailed Evaluation Questions (DEQs). In total the evaluation will answer 51 DEQs, with the specific approach for each summarised in the Evaluation Matrices provided in Section 4 of the inception report.

The evaluation activities are organised into six separate but coordinated workstreams: a cross-cutting evaluation management workstream (WS1), and **five core workstreams (WS2-6) that correspond to the five High-level Evaluation Questions (HEQs)**, as shown in the following table.

Table 1: Mapping evaluation questions to workstreams

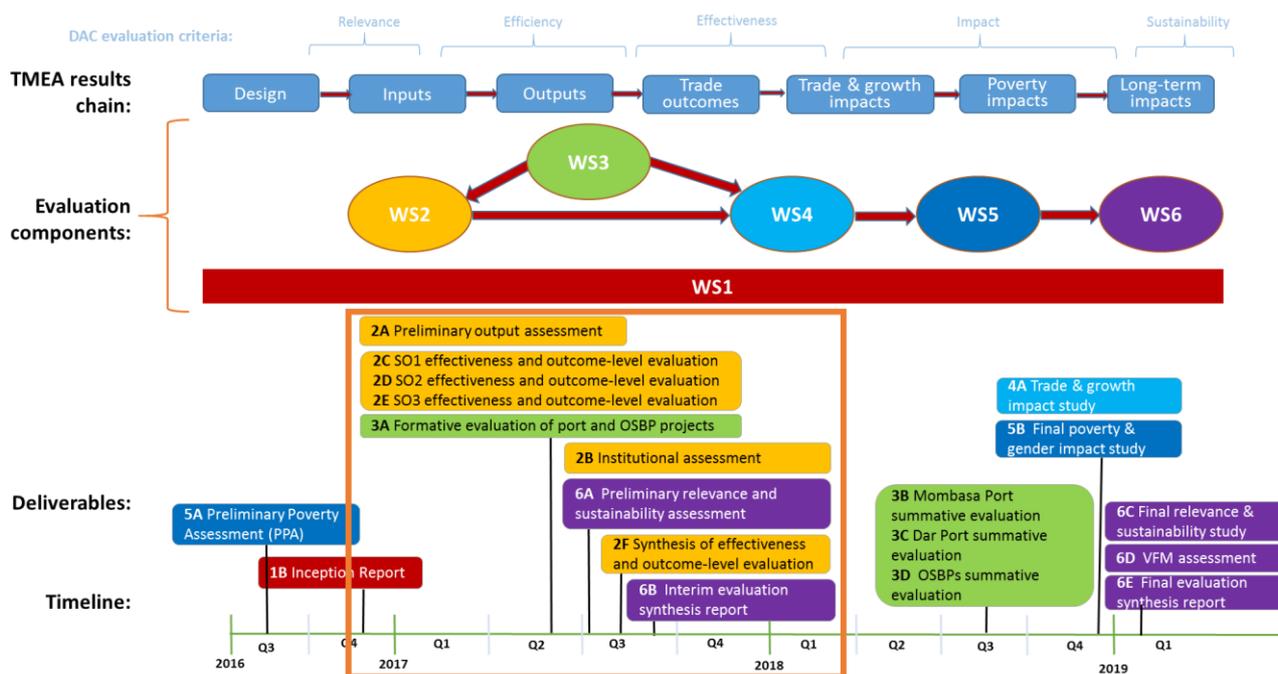
Workstream	Description	HEQ
WS1: Evaluation management, QA and communications	WS1 covers evaluation design, QA, workstream coordination, project management and reporting, stakeholder coordination, <i>ad hoc</i> support to TMEA and communication of results.	<i>Not applicable</i>
WS2: Effectiveness and outcome assessment	<p>WS2 will provide an effectiveness and outcome assessment of the overall TMEA programme. This assesses whether TMEA inputs were deployed as intended, whether they delivered the intended TMEA project outputs and outcomes, and if not, why not.</p> <p>Some reports in WS2 have been completed which answer or partially answer the DEQs under HEQ1</p> <ul style="list-style-type: none"> • 2A Preliminary Output Assessment mapped all projects across all three strategic objectives (SOs) against the TMEA TOC. • 2C/3A Interim outcome evaluation of SO1 • 2D/2E Interim outcome evaluation of SO2 and SO3 • 2B Institutional and Organisational Assessment of TMEA, an expert review which includes the first stage of our Value for Money assessment. <p>The remaining DEQs will be answered by the Performance Evaluation.</p>	HEQ1
WS3: Evaluation of ports and OSBP projects	WS3 will provide formative and summative evaluations of TMEA’s ports and OSBP projects , focusing on outputs, outcomes and effectiveness. These are the TMEA priority SO1 interventions specified in the terms of reference.	HEQ2

Workstream	Description	HEQ
WS4: Trade and growth impact study	WS4 will produce a trade and growth impact study . This will assess whether the delivery of TMEA project outputs achieved the intended outcomes and impact on trade, given the extent to which TMEA outcome objectives were achieved.	HEQ3
WS5: Poverty and gender impact study	WS5 will produce a poverty and gender impact study . This will assess whether TMEA's impact on trade fed through into reduced poverty and greater gender equality, and the factors affecting this, given the extent to which TMEA trade outcome and impact objectives were achieved.	HEQ4
WS6: Strategic review and evaluation summary	The main output of WS6 is a comprehensive final performance evaluation report . This will be the final output of the evaluation (due 2019). It will comprehensively address all the main HEQs, drawing together the evaluative assessments provided in all the preceding deliverables. The key objective will be to explain findings and present lessons learned within the programme, which will also be useful for the wider trade-sector donor programming. WS6 will also produce a final trade and growth report . In addition, the workstream will carry out the second stage of the VFM assessment , initiated under WS2.	HEQ5

Figure 1 below illustrates how the workstreams feed into each other and the intended timeframe for deliverables. Broadly speaking, **the workstreams each focus on a different step along TMEA's results chain**: programme design (relevance) → inputs (TMEA's projects) → outputs → trade outcomes (TMEA's strategic objectives) → trade and growth impacts → poverty and gender impacts → long-term impacts (sustainability).

This report (6B) marks the end of the first phase of the evaluation, as indicated by the orange box in Figure 1. Note that this phase was due to have been completed by the end of Q3 2017, but was delayed following the tragic death of the team leader and the time required to appoint his replacement. Since the report was first submitted, a new work plan and design of phase 2 have been approved (comprising a performance evaluation, trade and impact study, poverty and gender impact study and VFM study), and implementation has begun. As stated in the Phase 2 Design Note (p. 9), the objective of the performance evaluation is to test the TMEA TOC (assessing the causal links and robustness of the underlying assumptions), assess the effectiveness of the TMEA programme (including both its outcomes and organisational effectiveness), and identify lessons learnt for TMEA and beyond (including insights into enabling and constraining factors, critical actions and gaps which might apply to future programmes or to other contexts.)

Figure 1: Evaluation design summary



1.3 Purpose of this report

This report is a **summary of preliminary evaluation findings** (Deliverable 6B), and marks the end of the first phase of the evaluation. Its purpose is to provide *preliminary evidence* to the HEQs, based on the evaluation activities undertaken to date and the key findings that are available and approved at this stage. It is important to note that HEQ3 and HEQ4 are not addressed, since these relate to the trade and poverty impact studies, which are yet to take place, and will take place in Phase 2.

This report is structured in line with HEQ1, HEQ2 and HEQ5³:

- Section 2 - Programme Performance: Results Mapping (covering HEQ1 Part A and HEQ2)
- Section 3 - Operational Performance (covering HEQ1 Part B)
- Section 4 - Programme Design (covering HEQ5)

Preliminary evidence to these HEQs is provided, drawing on all the preceding deliverables:

- Preliminary Output Assessment (2A)
- Institutional and Organisational Assessment (2B)
- SO1 Effectiveness and Outcome-Level Evaluations, and Formative Evaluation of Port and OSBP Projects (2C/3A)
- SO2 and SO3 Effectiveness and Outcome-Level Evaluations (2D/2E)
- Preliminary Poverty Assessment (5A)
- Preliminary Relevance and Sustainability Study (6A)

Figure 2 below shows the sequential logic of these deliverables.

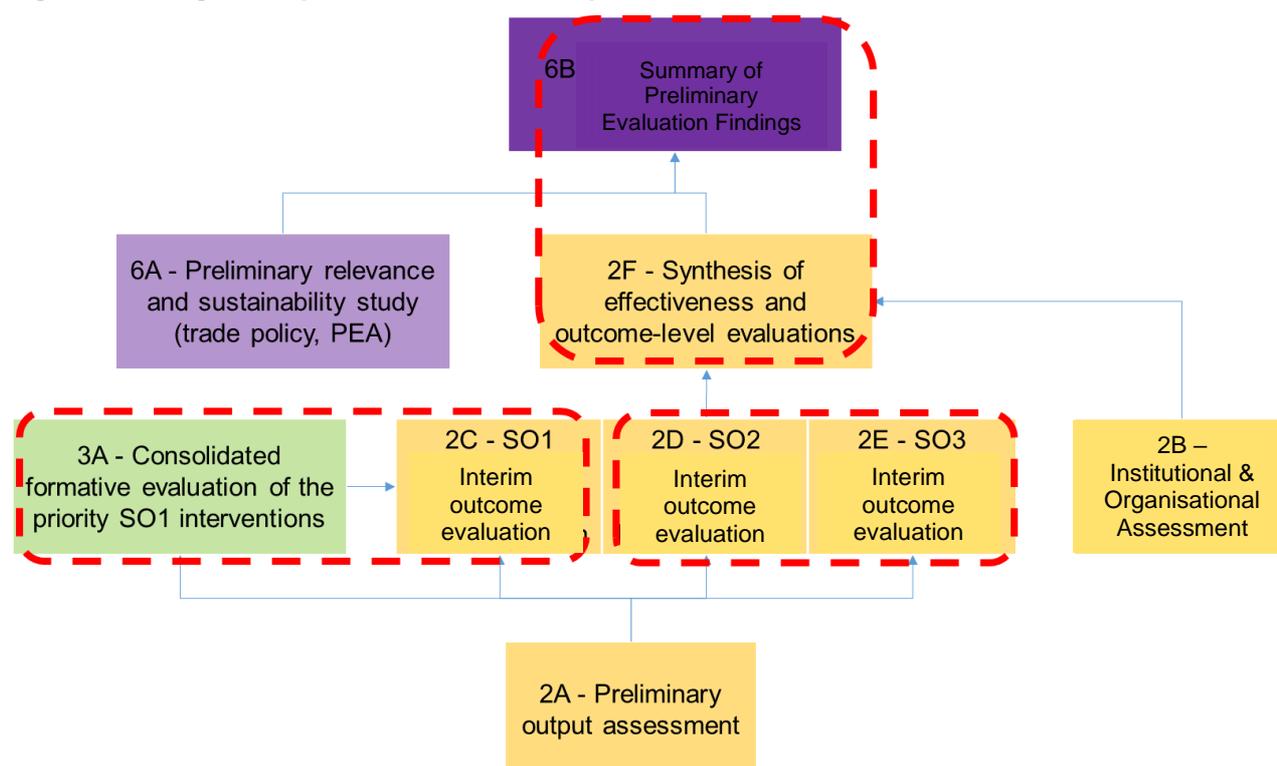
Note that it was agreed with DFID that deliverables 2D and 2E would be combined into a single report. The same applies for deliverables 2C and 3A. Due to delays arising from the need to replace the Team Leader, it was also agreed with DFID that this report would incorporate 2F, which was an initially intended to be a summary of the output level deliverables.

³ Note that this report still refers to the old order of HEQs.

A final deviation to note relates to the scope of 6A. As set out in the inception report, it was intended that this study would include a summary of the preliminary TOC verification exercise (including the pathway mapping stage), to be undertaken under WS2, provided it had been completed by this stage. In fact, for the reasons set out in the methodology section below (section 1.5), the ‘pathway mapping’ stage of the preliminary TOC verification exercise was not completed during this phase of the evaluation, so there is no ‘pathway mapping’ summary in 6A.

The absence of a ‘pathway mapping’ analysis at this stage imposes important limitations on the scope of this report, which are discussed in section 1.5 below. However, it should be noted that deliverable 6B/2F was always intended primarily to draw together evaluation evidence to date, as set out in the inception report (see section 4.6.3). The title of the report has therefore been changed, as this report is not a formal evaluation synthesis.

Figure 2: Logical map of deliverables for report 6B



1.4 Overview of TMEA

The Trade Mark East Africa (TMEA) programme is a high-profile, multi-donor project that seeks to lift existing barriers to trade to bring about positive and sustainable change via a combination of regional and national initiatives. TMEA operates as a ‘special purpose vehicle’ (SPV) funded by donors through a mixture of ‘core’ funding grants (which cover overhead and operational costs) and ‘earmarked’ grants (for specific projects or programme areas).

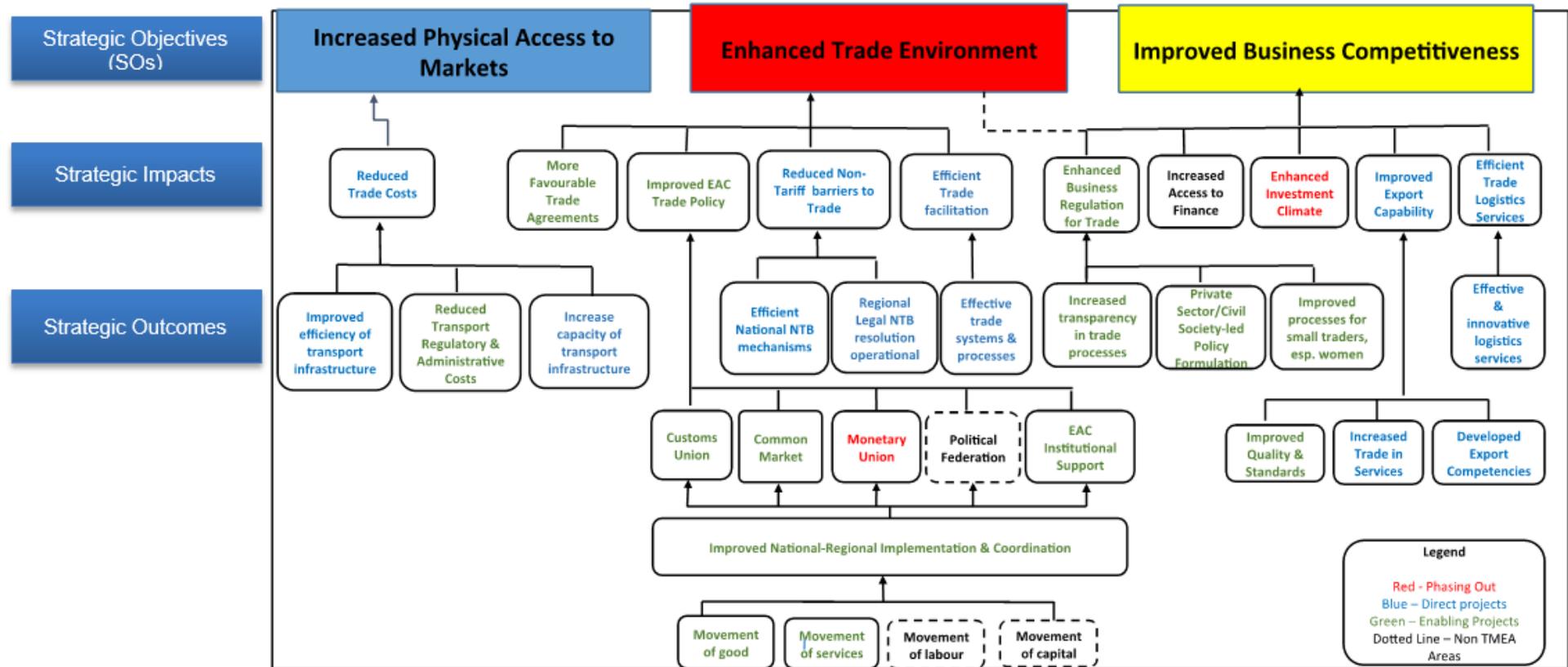
East Africa Community (EAC) countries currently face high trade costs and trade barriers, including non-tariff barriers. By lowering these costs, removing barriers and promoting improved business competitiveness, TMEA should enable the EAC countries to increase trade, and in turn increase economic growth and reduce poverty. This is achieved by supporting projects which contribute to three Strategic Objectives (SOs): (i) Increase access to physical markets (SO1); (ii) Enhance the trade environment (SO2); and (iii) Improve business competitiveness (SO3).

This overarching design logic is illustrated in TMEA’s Theory of Change (TOC), which is shown below (Figure 3). The TOC has been augmented by the evaluation team to indicate how it maps to TMEA’s results framework, identifying Strategic Objectives, Strategic Impacts and Strategic Outcomes. As illustrated in the TMEA TOC diagram below, achieving each of the Strategic Objectives is dependent on a range of specific elements (direct projects; enabling projects; and

non-TMEA factors). While each of the elements is expected to contribute to increasing trade, no single element is in itself sufficient.

The external evaluation of this programme presents a unique opportunity to gain a detailed understanding of its effects, make recommendations for improvements, and identify lessons for trade reform interventions and policies over the longer term in the region and beyond.

Figure 3: TMEA TOC



Source: TMEA

Observation: The blue boxes on the left identify the results chain levels in the TOC used for our results mapping exercise. Reading the blue boxes from top to bottom, we have at the highest level the strategic objectives, whose joint effect is expected to contribute to increased trade. On the next level (below) we have strategic impacts (in some TMEA documents also referred to as ‘sub-impacts’), and on the last level, strategic outcomes. Please note the use of font colours in the TOC cells: blue represents projects with a more likely direct effect on trade increase,⁴ whereas green shows activities contributing to a trade-enabling environment.⁵

⁴ Projects that ‘directly contribute to the attainment of TMEA’s trade increase and time reduction targets (e.g. Ports)’, ‘TMEA TOC explanation note’, May 2014, p. 6.

⁵ Projects that ‘contribute to direct projects or reduce the risk of failure (e.g. Single Customs Territory)’, ‘TMEA TOC explanation note’, May 2014, p. 6.

1.5 Evaluation Methodology

1.5.1 Evaluation Approach

As set out in the inception report, the evaluation questions provide the overarching framework for the evaluation, defining the scope and focus of the entire evaluation (see inception report section 3).

This is implemented through a “verified TOC” evaluation approach, to ensure the overall coherence of the evaluation and provide the framework for the final evaluation. This is based on sequential enhancement of TMEA’s TOC. The existing TMEA TOC has a number of limitations which were highlighted in the inception report and deliverable 2A (see section 4.1.1 below). Specifically, while the TMEA TOC shows possible pathways of results, it does not address the ‘how’ and the ‘why’ of change to be induced through TMEA interventions, as would be expected of a typical TOC.

Therefore, the proposed approach set out in the inception report was to gradually enhance the TOC such that by the end of the evaluation, and through answering the evaluation questions, a ‘verified TOC’ would be developed. The final ‘verified TOC’, which will be completed by the performance evaluation, will identify if, how, why and where changes are succeeding as a consequence of TMEA interventions.

The approach to this verification of the TOC was based on three key mapping exercises:

- **Key exercise 1 – Output Mapping (deliverable 2A):** All TMEA projects have been mapped according to new criteria, different to those used for existing internal TMEA project mapping exercises. We undertook extensive research on the range of programming TMEA has carried out, across the range of its TOC. This included mapping the outputs – at project level – for more than 200 projects. These projects are generally carried out by TMEA’s partners in government, quasi-governmental bodies like the port authorities at Mombasa and Dar es Salaam, private sector organisations (PSOs, sometimes also called Business Membership Organisations or BMOs), civil society organisations (CSOs), and other subcontractors. Projects were mapped by country and region, strategic objective and strategic outcome, and whether they had a direct effect on trade or had an enabling effect.⁶ Projects included activities such as capacity-building, knowledge generation, advocacy and policy advice, institutional strengthening with either soft assistance or hardware, and direct service delivery. Many projects worked in more than one of these categories, and there were some projects focused explicitly on gender, while others included gender as an element of programming. In this way, we allocated outputs and activities to geographical ‘layer’ and output/activity categories, to see “where” and “how” TMEA is aiming to generate change through its projects – both direct interventions and enabling projects. This first *output mapping* step can be understood as a stock-taking of activities and their classification according to specific categories. The output mapping revealed that, although the TMEA TOC lists 19 different strategic impact and strategic outcome areas in its results framework, resources and activities are in fact predominantly **focussed on just eight of these.**⁷
- **Key exercise 2 – Results Mapping (deliverables 2C/3A, 2D/2E):** This exercise consists of mapping the project-level outputs for a sample of 42 case study projects against the programme-level outcome objectives.
 - As set out in the inception report (section 2.3.2), the assessment of each sampled project was intended to cover:
 - the **progress of implementation**, in order to better understand the project’s ability to produce results;

⁶ OPM: Otter, Thomas and Rasulova, Saltanat. Workstream 2; Deliverable 2A. Preliminary Output Assessment. 31 October 2016

⁷ SO1: Reduced trade costs; Efficiency and physical capacity of infrastructure. SO2: EAC trade policy; Trade facilitation; Trade systems and processes. SO3: Improved export capability; Trade logistics; Non-public sector-led policy formulation.

- the **effectiveness of the projects**, against OECD DAC criteria, to test if the project has produced relevant and effective outputs, as required to achieve the expected outcomes (see section 1.5.2 below); and
 - the expected or actual **strength of linkage of the observed effects with the expected outcomes**. This idea can be understood as a qualitative assessment of the likelihood of outcomes materialising, or having materialised, as a result of the outputs of the project (e.g. using the categories weak, average or strong, or using a five-point scale). Level of strength should have been determined based on the best understanding of the evaluators, through triangulation of multiple sources of information (more detailed methodological approaches are provided below). This was meant to be done for both completed and on-going projects.
- o However, **the third step to assess the strength of linkage of the observed effects with the expected outcomes has not been implemented** in this phase of work. Robustly linking the contribution of project-level outputs to programme-level outcomes turned out to be more difficult than had been expected. This is related to the fact that this level of the TMEA TOC is underspecified (as outlined in section 4.1.1 below), so there are no explicitly articulated guiding hypotheses for how each project and activity is supposed to interact with the others to produce the programme-level outcome(s) to which it is intended to contribute.
- **Key exercise 3 – pathway mapping (4A, 5B, 6C, 6E)**: Once findings provided through Key Exercise 2 were available, the last step was the confirmation of whether pathways of change identified in the TMEA TOC are happening or not. The key findings were expected to show the contribution of TMEA to changes at outcome level. In turn, the results from WS4 and WS5 were meant to provide evidence for the materialisation of the outcome pathways leading to impacts (on growth and poverty). These findings were expected to therefore assess the contribution of TMEA to its intended trade and poverty impacts.

Due to a challenging inception phase and the tragic loss of the independent evaluation team leader, the evaluation was unavoidably and significantly delayed. The key difficulty arising from this change to the timeline was that a crucial element of the design proposed in the inception report was not completed: evaluation of the degree to which any outcomes seen in TMEA's data can be directly linked to TMEA's interventions. Consequently, this report is based on a provisional assessment of outcomes, and not the evaluation methodology (pathway mapping) set out in the inception report. This shortcoming will be addressed in the performance evaluation, which will trace the pathways of TMEA's components as described in the theory of change and results chains, and will examine in detail outcome achievement and attribution or contribution for a sample of outcomes. The original TMEA TOC developed in 2011 and revised in 2014 has been modified in accordance with the TMEA results framework for the purposes of the performance evaluation (See Phase 2 Design note, p. 12).

These efforts to map outputs and examine anticipated project results form the basis of the evaluation team's understanding of the programme, in particular the way the TOC and results chains were operationalised into a set of activities designed to achieve programme goals. By bringing together the three strategic objectives of the TOC and the results framework (which offers more detail, in that it breaks down the components into outcomes and outputs that are in turn linked to projects), the evaluation team have developed an elaborated TOC inferred from the levels in the results framework.

The results framework, then, is also a basis for the evaluation work. TMEA refined its component-level strategies in the form of results chains, which might be called mini-TOCs; these will be consulted as a basis for comparison within components in the performance evaluation in phase 2. Alongside work to reconstruct component-level results chains where they do not exist or are weaker, this cross-component element will be a subject of consultation and analysis in the performance evaluation, as part of the effort to respond to evaluation questions and test the TOC, while also examining the effects of that coordinated work on effectiveness.

Examining effectiveness and contribution will involve tracing the component results chains through programme intermediate outcomes and strategic outcomes, as per the elaborated TOC. The mixed

methods evaluation design will seek to substantiate TMEA's claims about their contribution to results – that is, effectiveness – by collecting and analysing internal and external, primary and secondary data relevant to the results chains to answer HEQ2 and its DEQs (in the table below) on TMEA's achievement of intermediate and strategic outcomes, and the remaining DEQs under HEQ5 on the links and assumptions of the TOC, and the relevance, coherence, sustainability and lessons learnt of the programme

1.5.2 Results Mapping

1.5.2.1 Data collection

SO1 – Increased Physical Access to Markets

The basis for the assessment of SO1 project-level performance were the detailed formative evaluations of the SO1 projects. These were based on a detailed review of two ports (Mombasa and Dar es Salaam) comprising five TMEA projects for Mombasa and nine projects for Dar es Salaam (see Report 2C/3A for more details). The three One-Stop Border Posts (OSBPs) (Busia, Malaba and Mirama) comprised a total of 10 projects. The objective was to assess the **progress of implementation** and the **effectiveness of the projects** against OECD DAC criteria, to test if the project has produced relevant and effective outputs, as required to achieve the expected outcomes. The key evidence collected and used for the SO1 project-level performance assessment was the project appraisal report (PAR) and logical frameworks, in which TMEA defines the outputs and outcomes to be achieved by each project. These were complemented by the detailed technical reviews of the two ports and three case study OSBPs conducted by the evaluation team's port and OSBP experts.

SO2 – Enhanced Trade Environment and SO3 – Improved Business Competitiveness

Our data collection process was based on a desk-based review of project appraisal reports, project monitoring reports, TMEA country strategies, internal TMEA evaluations, project deliverables, and any other relevant project documentation (see Report 2D/2E for more details). For a subset of projects, face-to-face interviews were conducted with TMEA staff, partner organisations and beneficiaries during field visits. The sample of 20 projects selected for field visits (see Section 1.5.2.2 below) was drawn up in consultation with TMEA, who prioritised projects for learning purposes. A document review of the projects was then undertaken to prepare for field visits in Tanzania (Dar es Salaam and Arusha), Rwanda, Burundi, Uganda and Kenya. The preparatory desk stage involved a review of the key design documents, including the project appraisal reports (PAR) and results chains, progress reports and monitoring reports. A summary analysis of the key project management and monitoring tools is shown in Annex 6.

The focus of the site visits was to interview recipients of TMEA funding and technical assistance, in order to assess the achievements of the intervention and gauge the extent to which outcomes were likely to be achieved. Open semi-structured interviews were undertaken to validate TMEA's reporting against the PAR, quarterly reports, results framework and monitoring plan. Where possible beneficiaries of TMEA programmes were also interviewed.

Other documentation was used as advised by TMEA or the stakeholders. In particular some independent evaluation reports were reviewed where available. As part of the Institutional and Organisational Assessment (Deliverable 2B), the team also requested information on stakeholders' perceptions of TMEA. The validation process involved consultation with the key recipients of TMEA assistance, including government and EAC senior staff, and trade associations and civil society organisations. Given the time constraints to complete the consultation there was no widespread consultation with wider beneficiaries or field verification of outcomes.

The final stage was to undertake a desk-based review of the remaining 22 projects. This process used a similar approach to the preparatory work described above (namely reviewing project documentation provided by TMEA) and in some cases included some telephone interviews to clarify issues with documentation and triangulate the findings collected so far. A questionnaire (see

Annex 5) was completed for all 42 projects, using semi-structured interviews. The results are shown in Deliverable 2D/2E (Annex 5).

A key part of the evaluation process was to ensure that the Evaluation Team were adequately briefed by the TMEA team. This was crucial because much of the evaluation assessment needed to be contextualised in terms of how and why the project was selected by TMEA, the political economy of the country or institution supported, and issues and constraints influencing the performance of the project.

1.5.2.2 Sample Selection

SO1 – Increased Physical Access to Markets

The SO1 project sample covered the key projects for Mombasa and Dar Ports, and three of the OSBPs (see Report 2C/3A for more details). The three OSBPs were selected to contribute to learning for TMEA, with the aim to:

- Cover different countries (Uganda, Rwanda and Kenya);
- Reflect difference in amounts of trade at borders (Malaba and Mirama Hills/Kagitumba);
- Border posts integrated into regional trade corridors (Malaba and Busia as part of the Northern Corridor); and
- Serve bilateral and local trade (Mirama Hills/Kagitumba).

The Mombasa Port projects were as follows:

- 0911 Mombasa Port Infrastructure
- 0931 Mombasa Port Reform Dialogue
- 0939 Mombasa Port Productivity Improvements
- 0940 Mombasa Port Legal and Regulatory Reform
- 0942 Port Reitz Road Improvement

The Dar Port projects were as follows:

- Project Code 1115: Dar Port productivity improvements
- Project Code 1127: Dar Port infrastructure works
- Project Code 1134: Port reform dialogue and process

The OSBP projects were as follows:

- Busia OSBP (Uganda/Kenya border)
 - Project Code 0928 Busia IBM (Kenya Country Programme)
 - Project Code 1062 Busia IBM (Uganda Country Programme)
 - Project Code 1517 Busia construction (Kenya Country Programme)
 - Project Code 1518 Busia construction (Uganda Country Programme)
- Malaba OSBP (Kenya/Uganda border)
 - Project Code 0938 IBM Kenya
 - Project Code 1061 IBM Uganda
 - Project Code 0953 Additional Construction
- Mirama Hills/Kagitumba OSBP (Uganda/Rwanda border)
 - Project Code 1053 IBM (Uganda)
 - Project Code 1219 IBM (Rwanda)
 - Project Code 1511/2 Construction

SO2 – Enhanced Trade Environment and SO3 – Improved Business Competitiveness

The inception report outlined a qualitative approach of ‘heterogeneous sampling’, designed to cover a maximum diversity of situations of TMEA programme implementation (see Report 2D/2E

for more details). This would ensure maximum representativeness and would allow findings from this portfolio evaluation to suggest conclusions for the full TMEA programme.

In addition, the sample was selected to include the key projects which TMEA had prioritised for learning, provide adequate representation by budget spend and cover all TMEA countries. A total sample of 40 projects, or roughly one quarter of all SO₂ and SO₃ interventions, was agreed. Some 17 projects were identified by TMEA as priority projects, with an additional non-purposive sample of the remaining 25 projects. This ensured that projects were adequately distributed between SO₂ and SO₃, between the TMEA countries, and by other project characteristics (e.g. size).

1.5.2.3 Project performance judgement criteria

SO1 – Increased Physical Access to Markets

A performance rating was applied using a Red-Amber-Green (RAG) scoring system based on OECD DAC evaluation criteria, as shown in Table 2 below. As the SO1 project assessment is formative at this stage (with the summative Performance Evaluation to come in 2019), it was decided to limit the assessment to the DAC criteria of ‘relevance’, ‘effectiveness’ and ‘sustainability’. Specifically, the assessment assessed: (i) the extent to which the activities designed by TMEA have been well designed to meet the objective of reduced transport cost (relevance); whether they have been effective in improving the capacity of the ports and OSBPs, leading to lower transport costs (effectiveness), and whether they are likely to be sustained (sustainability). The basis for assessing relevance and effectiveness were the Project appraisal reports (PAR) and logical frameworks, in which TMEA defines the outputs and outcomes to be achieved by each project.

The assessment was based on the professional judgements of port and OSBP experts for relevance and sustainability, and on key indicators of performance (transport time) and ex ante cost benefit analysis for effectiveness.

Table 2: SO1 project performance judgement criteria

Criteria	Green	Amber	Amber/Red	Red
Relevance	Fits with TMEA mandate and meets needs of stakeholders	Meets with stakeholder needs but only loosely meets TMEA mandate/TOC	Some concerns on fit with TMEA or needs of stakeholders	Not within TMEA mandate
Effectiveness	(i) Outputs to be achieved according to expectation or exceeded (ii) Constraints adequately addressed (iii) Effective capacity-building achieved (iv) Outcomes expected to be achieved	Some concern on the achievement of the outputs and contribution to the outcomes or mixed results in the capacity-building or addressing of the constraints	Major concerns on the achievement of the outputs and outcomes and capacity-building	Limited or no achievement of outputs
Learning and sustainability	(i) Good M&E tools in place to provide good quality of evidence of results (ii) Good promotion and sharing of results and best practices (iii) Capacity transmission processes in place	Some concerns on result reporting or sharing of best practice	Major concerns on result reporting or sharing of best practice	Limited or no evidence of results or sharing of best practice

SO2 – Enhanced Trade Environment and SO3-Improved Business Competitiveness

All projects were given a RAG rating and scored against OECD DAC criteria according to the evaluators' assessment. To allow synthesis and comparability with the RAG ratings, we assigned a score to each RAG rating, from 0-10. We also assigned a weighting to each criterion. The weighting was a reflection of the evaluation team's understanding of the importance of each criterion to TMEA and its projects' performance, as well as the overall objectives of this evaluation. Given the focus on outputs, the highest weightings were given to relevance (30%) and effectiveness⁸ (30%), and lower weights given to efficiency (20%), gender (10%) and learning (10%). This approach allowed RAG ratings for different criteria to be synthesised into an overall score for a project.

The scoring by the evaluation team was based on the evaluators' judgements, using the material made available by TMEA. Evidence was mainly from the written material, as well as interviews with beneficiary/recipient institutions in the case of site visits. Only a limited amount of triangulation with third parties was undertaken, due to limitations of time, and stakeholder interviews were limited to those recipients/beneficiaries with a close involvement in the intervention. Some limited interviews with end beneficiaries (e.g. businesses working on single customs territory (SCT) issues and cross-border traders) were also undertaken. The criterion of efficiency relating mainly to relations between the project and TMEA was not answered for the desk-based portion of the sample. The notes and detailed assessment of each project is set out in detail in Annex 5 of Report 2D/2E.

The judgement criteria, scoring and weighting is summarised in the table below.

Table 3: SO2 and SO3 project performance scoring and judgement criteria

Criteria	Green	Amber	Amber-Red	Red	Weight
Relevance	Fits with TMEA Mandate and meets needs of stakeholders	Some concerns with either TMEA fit or needs of stakeholders	Major concerns on fit with TMEA or needs of stakeholders	Not within TMEA mandate	30%
Effectiveness	(i) Outputs expected to be achieved or exceeded (ii) Constraints adequately addressed (iii) Effective capacity-building achieved (iv) Outcomes expected to be achieved	Some concern on the achievement of the outputs and contribution to the outcomes or mixed results in the capacity-building or addressing of the constraints	Major concerns on the achievement of the outputs and outcomes and capacity-building	No achievement of outputs	30%
Efficiency	TMEA support managed very effectively	Some concerns on efficiency of TMEA support, timeliness on inputs provided	Major concerns on TMEA's support to project and processes	Project failure due to TMEA processes	20%
Gender	Clear gender sensitive strategies and implementation plans incorporated with gender sensitive indicators	If relevant gender addressed but incomplete	Gender not addressed adequately	Gender very relevant but not addressed	10%
Learning and Sustainability	Sustainability of intervention's outputs addressed.	Some concerns on sustainability of a supported	Major concerns on Sustainability	No evidence of results or sharing of best practice	10%

⁸ In projects involving capacity building, the effectiveness score takes capacity building into close consideration.

Criteria	Green	Amber	Amber-Red	Red	Weight
	Good M&E tools in place to provide good quality of evidence of results. Good promotion and sharing of results and best practice	intervention or institution. Some concerns on result reporting or sharing of best practice	Major concerns on result reporting or sharing of best practice		
Scoring criteria (0-10)	10	7	4	0	

2 Output and programme performance: Results Mapping

HEQ 1 (see Table 1) contains two separate types of questions, to assess: (i) whether the programme has been effective in delivering its outputs (DEQ 1.2, 1.3 and 1.4; and (ii) the suitability and effectiveness of the TMEA model. We have therefore separated the answer to HEQ1 into two parts, A and B, with the assessment of the TMEA model set out in section 3, under operational performance (for more details see the Institutional and Organisational Assessment Report 2B).

Section 2.1 and 2.2 provide a preliminary assessment in response to DEQ 1.2, 1.3 and 1.5, with section 2.1 summarising the performance of project activities for SO2 and SO3 at output and outcome level (see Report 2D/2E), while section 2.2 summarises them for SO1 (Report 2C/3A). At output level it is important to look at the extent to which project activities have contributed to the stated results. As discussed earlier, the programme performance assessment presented here is a preliminary assessment of the contribution made by the TMEA portfolio of projects at a macro level to TMEA's strategic objectives. We have conducted this assessment against the outcome indicators defined in the latest available revised corporate TMEA results framework dated 05 October 2016, and achieved results reported by TMEA as at 30 June 2016. However, the Performance Evaluation in phase 2 will take this preliminary evidence further, and will analyse the role of TMEA in contributing to these outcomes with greater rigour.

2.1 SO2 and SO3 (HEQ1 Part A)

HEQ1 Part A (SO2 and SO3): Has the programme been effective in delivering its SO2 and SO3 outputs and outcomes?

For SO2 and SO3 the summary shown here is drawn from the results mapping stage and evaluation deliverable 2D/2E. It covers a total of 42 projects under SO2 and SO3, including 20 site visits across five of the six East Africa Community (EAC)⁹ countries. No visit was undertaken to South Sudan, for security reasons. The summary of evaluation performance of the projects is shown in Annex 2. Annex 3 summarises TMEA's performance at the programme level.

2.1.1 SO2 (Trade-Enabling) output assessment

As Report 2A suggests, SO2 projects predominantly involved the provision of funding and technical assistance to public sector institutions, either at national or regional level. This incorporates support to government institutions such as EAC or national ministries, civil service bodies such as revenue authorities, and independent government-funded organisations. The SO2 portfolio contained 39% of projects, and was allocated 34% of the budget.

The conclusion from the output assessment of the SO2 projects (Report 2D/2E) is that the overall portfolio of projects has performed well, although with some notable shortcomings on gender and learning and sustainability. The projects designed have been broadly **relevant** and **effective** in delivering expected outputs, with the caveat that many have been subject to significant delay. Across these two criteria the portfolio of projects scored mostly green or amber, with only one project rated amber-red, and no red ratings.

Project activities have **generally experienced** delays in implementation, and while this is often due to bureaucracy, the unstable and changing political landscape in a number of TMEA countries has also contributed to these delays. In this regard it was surprising to note that the Country Strategies which set the framework for TMEA assistance have, in a number of cases, not been updated. This was of particular note in Tanzania, where a change in government in 2015 should have led to a review and updating of the TMEA country strategy.

There has been a strong emphasis on **capacity-building** that has often mixed hard technical assistance and equipment with softer training. The overall assessment is that many of the receiving national and EAC institutions have been faced with major funding and capacity

⁹ Burundi, Rwanda, Uganda, Kenya, Tanzania, South Sudan

constraints. This has required TMEA to play a key role to ensure adequate implementation and absorption of the technical assistance. So even though delivery of assistance is outsourced, TMEA staff have an essential role working as a facilitator and in quality assurance, to ensure that project outputs were achieved.

There is strong **stakeholder ownership of the interventions undertaken**, as evidenced by their project experience and their perception of TMEA's role. In some countries it took time for TMEA's mandate to become fully accepted by stakeholders both at national and EAC levels. However, eventually, with the successful delivery of several difficult and ground-breaking initiatives in areas such as single customs territories (SCTs) and non-tariff barriers (NTBs), TMEA's mandate has been generally well accepted and strongly welcomed by the national and EAC stakeholders. The very tangible and visible benefits of the OSBPs are an oft-cited symbol of TMEAs importance to East African economic integration. Given the concerns over the internal weakness of several institutions supported, further TMEA assistance is required and would be well received by stakeholders.

While it is recognised that TMEA has increased its attention to gender in the design, implementation and monitoring of projects, nevertheless many of the projects reviewed were designed around PARs and monitoring frameworks with current reporting which paid little attention to gender.

The quality of output reporting requires improvement. Evidence of project results is often available from evaluation reports and other TMEA documents. However, there is a general lack of consistency in the monitoring and results frameworks, definitions of terms, specification of indicators and reporting. It was also observed that many of the monitoring reports produced by the recipient organisation were not adequately validated or quality assured by TMEA. There were many differences between budgets and indicators contained in the PARs and the quarterly/monitoring reports. It was sometimes unclear whether these differences were due to an inconsistency or as a result of changes that had been made to the programme and results frameworks. There are clear lessons for improvements in TMEA processes. There needs to be a clear anchor and traceability for monitoring reports and clear explanations on changes to budgets, activities and indicators. This affected the ability to learn from projects. Furthermore, several appeared overly dependent on TMEA funding, with no firm strategy for moving towards a sustainable funding model.

The projects have generally contributed to stakeholders' trade-enabling objectives. Furthermore, stakeholders perceive that the activities have generated outputs that have succeeded in contributing to the wider outcomes of facilitating trade and reducing NTBs (Report 2D/2E, p.27).

2.1.2 SO3 (Business Competitiveness) output assessment

According to Report 2A, SO3 projects covered a wide range of different activities, including support to industry associations to increase private sector-led policy formulation, work with informal cross-border traders, and working to increase quality and standards in SMEs through a variety of different mechanisms, including adoption of national standards. Some projects were somewhat atypical in being more akin to market development projects rather than trade promotion projects. 37% of the total TMEA portfolio was SO3 projects, but they only accounted for 13.6% of the budget. This disparity is because both SO1 and SO2 contained large infrastructure projects.

The conclusion from the output assessment of the SO3 projects (Report 2D/2E) is similar to that of SO2 – the portfolio of projects has generally performed well and TMEA's own reporting suggests that results are contributing to the outcomes of greater market access and trade. However, there are some key caveats on relevance and learning and sustainability.

The projects designed are broadly relevant, although some projects, while falling within the TMEA mandate of improving business competitiveness, appear outside TMEA's core area of expertise and mandate. The SO3 portfolio scored lower in relevance than SO2. There are projects that are more akin to typical value-chain development projects, in which it is questionable whether TMEA should be the implementing body. TMEA's mandate with regards to this strategic objective is very

broad, and some consideration should be given to establishing a narrower focus. Some projects working at the bottom of the pyramid have also expanded into developing access to finance, which is outside TMEA's TOC. Considering the importance of access to finance for informal cross-border traders, however, this may be unavoidable.

Projects have been effective in delivering expected outputs, although it should be noted that many have been subject to significant delay. The portfolio of projects scored well across all DAC criteria, with no major concerns on the projects reviewed.

SO3 projects have delivered a range of different outputs to support business competitiveness, including technical assistance to support traders and organisational strengthening of civil society and professional service organisations. These institutions are beginning to use their voice effectively to influence changes in NTB notification and economic integration issues.

TMEA has had an emphasis on undertaking a number of small scale catalytic and innovative projects, including cross-border trading projects which affect a large number of low-income women and men who have been excluded from formal markets. These projects are addressing exclusion in trade, including harassment and access to markets.

As with SO2, project activities have generally experienced delays in implementation, and this is often due to the lack of absorption capacity of the recipient organisation. As an outsourced model for procurement, TMEA staff are tasked with having a close control over the financial and reputational risks in procurement processes, and need to play a key role in quality assurance of the project activities, as well as facilitating implementation with stakeholders.

The issue of data quality highlighted in SO2 also applies, as there is a general lack of consistency in the monitoring and results frameworks, definitions of terms, specification of indicators and quality of reporting. This has a knock-on effect on the ability to learn from projects and understand their long-term legacy. Several SO3 projects were also deemed to have few plans to find alternative sources of financing once TMEA funding comes to an end, thus calling into question their long-term sustainability.

2.1.3 SO2 (Trade-Enabling) and SO3 (Business Competitiveness) outcome assessment

Under SO2 and SO3, TMEA has defined different levels of programme outcomes at strategic output level or programme level, together with their related indicators. This is sometimes referred to as corporate level outcomes. These expected outcomes at programme level are defined separately for SO2 and SO3.

According to 2D2/E (Table 26), SO2 outcomes have already been achieved or are likely to be achieved, per TMEA's own results reporting, with the exception of efforts regarding harmonisation of standards, for which no information was available regarding progress towards expected approval of Mutual Recognition Agreements. The overall trade integration trend indicator provided by the World Bank *Doing Business* study on *Trading Across Borders* improved for all TMEA beneficiary countries except Tanzania. TMEA's reporting suggests that five out of six SO2 targets have been achieved.

For SO3, based on TMEA's own results framework, all expected outcome targets were achieved in 2016 or were likely to be achieved during TMEA I, with the exception of gender targets (Report 2D/2E, table 27). The TMEA results framework does not provide information regarding income increase of small traders (since this has not been measured), but anecdotal evidence from the qualitative field work for this evaluation suggests that such an increase does exist. The impact evaluation of TMEA's effects on trade growth and poverty reduction, to be conducted in 2018, will provide additional information.

The evidence collected by 2D/2E so far indicates a plausible contribution based on the more detailed project level results chains, with indicators moving in a positive direction. In 14 of the 16 outcomes, only two of the defined targets are unlikely to be achieved. Of the two outcomes that

have not yet been measured, one is likely to be achieved. This would bring the overall corporate success rate of accomplishment of outcome targets to 13 targets already achieved or likely to be achieved, out of 16, which is a success rate of 81%.

2.2 SO1 (HEQ2)

HEQ2: Have the port and OSBP projects been effective in delivering their outputs and achieving their trade outcome objectives?

The evaluation was undertaken on a case study basis, with a focus on the two large port interventions at Dar es Salaam (TMEA spend \$12.7 million) and Mombasa (\$27.6 million), and three of the five OSBPs supported by TMEA. A total of 10 TMEA project interventions for the three OSBPs were reviewed.

However, a deeper analysis has yet to be undertaken on whether the income benefits and cost savings of improved port infrastructure and OSBPs are being passed on in the form of lower costs of goods and increased trade, and whether these benefits are pro-poor. Reducing trade costs requires a range of policy and infrastructure interventions that go beyond direct improvements in new infrastructure. There is a relatively long impact pathway for SO1 (see Figure 3), which requires further data collection at the performance evaluation stage to be conducted in 2018-19.

Figure 4: Linear pathway: Improved Infrastructure to Increased Trade



2.2.1 Ports

According to Report 2C/3A, the high-level logic of TMEA's approach to SO1 is sound and highly relevant to the needs of improving trade competitiveness in East Africa. Ports are strategic assets contributing to improved physical access to markets. Mombasa is a major port serving Kenya and inland regional markets of core interest to TMEAs mandate. Dar es Salaam is a major port serving Tanzania and inland markets of core interest to TMEAs mandate. The focus on these two regional gateway (import / export) ports is strongly aligned to SO1. Port performance improvement is needed, and the proposed interventions are reasonable and would likely contribute to reduced trade costs and increased physical access to markets.

The strategic intent of reform was challenging given wider political economy and institutional factors: each port authority was resistant to significant reform. This created a high-risk environment. TMEA's approach was reasonable and logical given the circumstances, but has proved to be only partially effective. Working with the World Bank at Dar Port was a practical and sensible approach, with significant leveraging potential.

The key measure of effectiveness of TMEA activities contributing to improved port infrastructure in order to reduce trade costs has been achieved. Work plans and outputs were substantially implemented and largely within reasonable tolerances given the challenging project operating environment. There were some project delays and cost variations, but these were not critical to the overall direction of the project. Civil works generally progressed satisfactorily in both ports, with some delays, but project execution improved with better guidance and systems supported by TMEA. It is reasonable to conclude that improvements to civil works can be expected to contribute to efficiency gains (and reduced costs); however overall actual improvements need to be measured/ verified in the performance evaluation.

TMEA relationships and investments in capacity-building were generally positive and appreciated at an operational level. TMEA staff and consultants have generally added value according to feedback provided to the evaluators. Project management and controls were deemed to be reasonable, and feedback was provided to the respective organisations to improve based on lessons learned. Sellhorn at the Tanzania Ports Authority (TPA) was performing well on project management systems and working with TPA Project Implementation Team (PIT).

At the operational level, TMEA relationships and interventions with Kenya Ports Authority (KPA) and TPA contributed to enhanced capacity through sharing of information and best practices. The extent to which these were fully embedded in KPA/TPA standard operating procedures is not clear.

The critical shortfall relates to reform and modernisation: both KPA and TPA have resisted adopting proven best practices for port governance and management. The transition to landlord port models in the key container segment has failed at the KPA, and there is resistance to extending this further at the TPA. This is a major risk, and could undermine the effectiveness of potential infrastructure investment. TMEA's expenditure of \$11.96 million disbursed in Dar es Salaam (to end 2016) raises questions about the achievement of a key part of the TMEA strategy for the port, i.e. the transition to a landlord-port model and private sector participation in port operations. TPA resisted this direction (owing to a series of negative and costly experiences with concessions in the past) and TMEA worked with TPA on other priorities, which demonstrates how TMEA was able to move forward despite this resistance.¹⁰

To ensure that these programme-level SO1 outcomes are realised, TMEA needs to continue to play an influencing role in addressing the critical issue of reform and modernisation, as this holds the key to sustained improvements in capacity and efficiency, reducing corruption and thus reduced transport costs to port users. Global best practice – a landlord port with competitive concessions – is well established and proven to work across cargo types. Reform should focus on the critical container segment, where trade growth is likely to be highest and where value is the greatest.

2.2.2 One-Stop Border Posts (OSBPs)

The OSBPs are critical strategic assets contributing to increased physical access to markets. According to Report 2C/3A, the OSBPs fit with TMEA's mandate, have met the needs of the stakeholders, and are relevant in fitting with the mandate of TMEA's SO1. The OSBPs provide the possibility of a faster transit of goods and persons by reducing the documentation required for clearance by customs and other relevant government agencies. In contrast to other donors, TMEA has concentrated on ensuring that the OSBPs are functioning. This has gained TMEA political profile in most East African countries, notably Uganda and Kenya.

The OSBP integrated border management initiative has been one of the key successes of TMEA, and they have played a major role in raising awareness of the importance of border management at a political level (report 6A). They have raised awareness of the critical importance of improving transit times for goods and have gained political traction at the highest level of government, especially in Kenya and Rwanda. President Kenyatta has engaged with Presidents Kagame and Museveni to discuss improving performance along the northern corridors. They agreed to establish an informal Coalition of the Willing (CoW) to improve the transport infrastructure along the Northern Corridor, with OSBPs being a key part of the strategy: Kenya is taking the lead on the port of Mombasa; Uganda on railways; and Rwanda on trade systems (customs, border controls etc.).

In terms of effectiveness (as measured by the achievement of the outputs and capacity-building), as suggested by Report 2C/3A, the performance of the three OSBPs visited is mixed. OSBP project work plans and outputs were substantially implemented and largely within reasonable

¹⁰ TMEA also reports that TPA has since taken steps forward in agreeing to transform the ports they operate into profit centres or independent business concerns, though this has not been independently verified.

tolerances, given the challenging operating environment. There were some project delays and cost variations but these were not critical to the overall direction of the project. The actual outputs and milestones varied somewhat as circumstances evolved. Planned outputs including construction work and planned capacity-building activities under Integrated Border Management (IBM) have been fully delivered, occasionally slightly behind schedule but without major concerns.

Of the three OSBPs evaluated, Busia is the most effective in achieving time reduction in cross-border traffic by utilising the new infrastructure and IBM. Cross-border time comparisons also show that efficiency has considerably improved from 2011 to 2016, with most notably a reduction in the average crossing time from Kenya to Uganda, from 14 to 3 hours.

There are major questions on the potential effectiveness of the Mirama Hills OSBP. According to the team's experience and informed judgement, even an achievement of the expected 60% increase in traffic volumes from other border crossings to Mirama Hills would still not justify the building's design and size

Table 4: Busia reduction in crossing-time

Crossing	2011	2016	Time reduction (%)
Kenya/Uganda	14 hours	3 hours	78.6
Uganda/Kenya	2.6 hours	0.2 hours	92.3

Source: TMEA Busia time and traffic survey

3 Operational performance

HEQ1 (Part B): How has [achievement of output and outcome targets] been affected by the programme's organisational performance, and how could this be improved?

TMEA was established as an independent organisation. It is a not-for-profit company limited by guarantee which is owned by its members, who are the donors. The TMEA council, through the members, appoints the TMEA Board, which is the key decision-making body. An illustration of the governance structure which shows the relationship between the members and council and the executive board which oversees the staff and senior leadership team (SLT) is shown in Annex 4 below. The operational model for TMEA is to have both a regional presence, with offices in each of the East Africa Community (EAC) countries, and regional governance structures, with National Oversight Committees (NOCs) in each of the member countries and regionally throughout the EAC.

A detailed Institutional and Organisational Assessment is set out in Deliverable 2B, presented as expert review as part of this exercise. The assessors conclude that the existing TMEA institutional and organisational model has been broadly effective in successfully delivering the first TMEA strategy (Report 2B, p. 8). Despite several isolated areas for improvement, the assessors identified no systemic flaws or failures (ibid.). The assessment team identified a combination of organisational elements and characteristics which support the functionality and effectiveness of the model. They reviewed the various organisational options, including those set out in section 8.3.3 (p. 99) of Strategy II, and suggest that any future organisational model should be closely based on the existing model, combining a special-purpose vehicle (SPV) and a legally-registered not-for-profit organisation. The assessors consider that the current model is appropriate for TMEA's mission, and that change 'for the sake of it' would be unnecessarily complex and expensive. The assessors consider that TMEA has many strengths as an organisation in terms of the quality of its staff, country-level presence and influencing role, as well as the ability to work flexibly in a changing political economy environment. However, they suggest that more frequent trilateral engagement between council members, board members and the TMEA senior leadership team could support enhanced governance. TMEA needs to strengthen its financial reporting in implementation and design, and to strengthen the governance arrangements and communication between the TMEA members/council and the leadership team. There are weaknesses in project monitoring which need to be addressed (2B, Annex H).

The assessors consider that having a local presence and support to the implementation of the interventions has been a crucial success factor. This has been particularly important with respect to the support provided to some of the smaller catalytic interventions, for example cross-border traders, where capacity is weak and support from the regional offices has been crucial.

TMEA's processes are constantly evolving, which indicates a willingness and commitment to continued performance improvement. However, at the time of the Institutional and Organisational Assessment in April 2017, the assessment team considered that TMEA needed to improve integration of its systems, in particular the organisational performance management system (PMS), financial management system (FMS), VFM management and reporting.

A key recommendation from the assessment team is to prioritise improvements in financial reporting, oversight and competencies on larger, more complex programmes. While the assessment did not have any major concerns on procurement or fiduciary risk management, the assessors felt that project appraisal reviews (PARs), financial due diligence and reporting could all be improved, especially for the large commitments.

4 Programme design

HEQ 5: How robust and verified are the causal links and assumptions in the TOC? What does this imply for the relevance, coherence and sustainability of the programme, and what are the lessons learnt that are relevant beyond TMEA?

The preceding analysis has shown that, on the whole, the TMEA projects have produced good results, and TMEA's own reporting suggests that they are achieving or expected to achieve their outcomes. There is a logic in TMEA engaging across the three strategic objective areas in working towards the objective of trade-enabled pro-poor economic growth, whose causal links and assumptions are widely discussed in the relevant literature and are partially evidence-based. The design of the TMEA programme is relevant and consistent with the needs of the East African Community. This is confirmed in both the results of the projects, and in the institutional and organisational assessment.

This section collates **preliminary evidence** to most of the Detailed Evaluation Questions that underpin HEQ5, with **partial answers** to certain DEQs, as recorded in Evaluation Question Status, Annex 2. It concerns the overarching strength of the design of the TMEA programme:

- **TOC robustness** – Is the programme design premised on sound evidence and reasonable assumptions (causal and contextual)?
- **Programme relevance** – Is the programme's purpose relevant and useful?
- **Programme coherence** – Is the programme's operational design appropriate (internal coherence), and is it effectively coordinated with other key actors and initiatives operating in the sector (external coherence)?
- **Sustainability of programme impact** – Is the programme set up to ensure its impacts are sustained?

The section draws primarily on the Preliminary Relevance and Sustainability Study (6A) to collect evidence for DEQs 5.3, 5.4, 5.5, 5.6, 5.7, 5.12, 5.13, 5.14, 5.17, 5.18, 5.20, as well as the initial TOC review (report 5A Annex A) undertaken as part of inception for DEQ5.1 and the Institutional and Organisational Assessment (deliverable 2B) for DEQ5.6 and DEQ5.11. Where possible these sources are also complemented with evidence from Reports 2D/2E and 2C/3A. All these questions will be fully answered by the performance evaluation in 2019.

As discussed earlier, the TMEA Theory of Change was not valid, and it was therefore suggested that it should be gradually verified stage by stage, as laid out in the inception report. However, this validation, as discussed earlier, had not been completed by the end of phase 1. Instead, a TOC diagram was elaborated for the purposes of evaluating phase 2 performance, and was aligned to the results framework. This was part of the planning for phase 2, for which OPM and DFID analysed both the preliminary evidence from the phase 1 reports and the evaluation process based on the current design, in order to consider redesigning and refocusing the remaining evaluation work. In the meantime, however, the analysis below is based on the current TMEA TOC.

4.1 Theory of Change

DEQ5.1: To what extent are the causal links and assumptions underpinning the TOC evidence-based or verified?

As discussed in Deliverable 2A, the TMEA TOC does not fulfil the typical standards of a TOC as defined in the literature, i.e. it does not explain why a change materialises and how an expected change occurs. Instead, it represents a set of intended pathways of change, showing links between different results that in a sequential order contribute to the same strategic objective. Since the TMEA TOC neither discusses results chains, nor explains why change might happen, it is not a TOC in the sense understood in the standard development policy literature. In particular, the TOC

does not show outputs and does not clearly refer to programme or project outcomes in its primary levels. The limitations of the TMEA TOC is in itself a key finding.

The previous sections of this report have so far presented the preliminary evidence on the output assessment of TMEA SO1, SO2 and SO3 projects, as well as, where possible, their outcome performance. According to phase 1 deliverables, TMEA projects have generally produced their outputs, and TMEA's own reporting on programme-level outcomes suggests that these are also likely to be achieved. This initial assessment is based on TMEA's own results framework reporting of progress towards programme outcomes, which reports that the TMEA programme's outcomes have already been or are likely to be achieved. As noted, there has been no independent validation of outcome progress by the evaluators at this stage, though this is planned for phase 2.

There appear to be some clear 'evidence gaps' higher up the results chain, especially around linking strategic objectives with the goal of poverty reduction, as well as some other context-related assumptions. The assumptions where these 'evidence gaps' are most apparent are key ones to be tested in the 'trade and growth' and 'poverty and gender' impact studies, and as part of the performance evaluation in 2019.

TMEA refined its component-level strategies in the form of results chains, which might be called mini-TOCs, which will be consulted as a basis for comparison within components in the performance evaluation. Alongside work to reconstruct component-level results chains where they do not exist or are weaker, this cross-component element will be a subject of consultation and analysis in the performance evaluation, as part of the effort to respond to evaluation questions and test the TOC, while also examining the effects of that coordinated work on effectiveness. See section 1.5 for further detail.

Here the section will turn to the wider literature in order to assess the extent of the evidence supporting the TOC assumptions (both causal and contextual) linking TMEA strategic objectives, impact and outcome areas.

The overall programme hypotheses of the TMEA programme are: increased access to physical markets, an enhanced trade environment, and improved business competitiveness leading to increasing trade. Increased trade is believed to contribute to increased economic growth and to subsequently reduce poverty. In sub-Saharan Africa there have been various empirical studies that demonstrate the relationship between trade and gross domestic product (GDP) growth (Mullings and Mahabir 2015; Brucker and Lederman 2012; Chang and Mendy 2012; Balamoune-Lutz 2011). But when it comes to the implications of trade growth on the various dimensions of economic growth – employment creation, poverty alleviation, foreign exchange earnings or savings, among others – evidence is mixed, or sometimes contradictory. The evidence on the link between trade growth and poverty reduction in the long-run is that this link is context-specific.

Findings from the literature on the benefits of improving trade infrastructure (SO1) for increased trade lend support to the TMEA TOC, but without more evidence one cannot assume that the chosen priority infrastructure, while necessary, will be sufficient to drive trade competitiveness within the EAC. The service aspect of good infrastructure is crucial because the impact of infrastructure on users stems from how the infrastructure is used, and not the infrastructure itself. The current quality of trade and transport infrastructure in the East African Community is the second-worst in the world, according to a survey of nearly 1,000 logistics professionals. The challenges TMEA is facing in achieving some crucial port reforms therefore poses serious questions about whether the TOC will hold, which need to be revisited in the performance evaluation and the trade and growth impact study.

The link between reduced transport prices and increased trade is supported by recent work, including Limao and Venables (2001), a paper used by TMEA and many others. However, if the trucking sector is not competitive, reduced transport costs can be retained as rents by large trucking companies and not passed on in reduced transport prices. Furthermore, if distribution services are not competitive, then reduced transport prices may not be passed on to consumers. Moreover, bureaucratic and regulatory export procedures and operations at border posts, as well as inadequate infrastructure capacity, raise such costs. Therefore, complementary policies may be

needed for small and low-income households to benefit from large-scale infrastructure developments.

Evidence on the causal link between an improved business environment (SO2) and increased trade is evident in the literature, but the low level of participation of private actors in the design of trade policies has often resulted in laws and regulations that may impose additional administrative burdens on private business. This again poses questions about whether the TOC will hold, which need to be assessed as part of the trade and growth impact study in phase 2.

The rationale of TMEA is that interventions in support of SO2 have the broad objective of improving *regional and national coordination through developing the capacity of the EAC organs and institutions and Ministries of EAC in each Partner State*.¹¹ While TMEA has been designed as a demand-led facility, it is noted that the TOC has not articulated the extent to which TMEA should be intervening at the EAC level or national government level. The revised strategy reflects the lessons gained and in particular the greater results achieved by working with those member states that are committed to trade reform.¹² Thus an understanding of the political economy of this causal pathway to the improved trade-enabling objective is a key gap in the TOC.

The contribution of improving business competitiveness (SO3) to increased trade is identified in the literature. The literature review undertaken for the trade study Deliverable 6A established that improving trade competitiveness is crucial to economic development, and that there are clear pathways for linking trade competitiveness to economic growth. It has also identified a number of contributing factors that are important to consider in efforts to improve trade competitiveness at the firm level, and in the national, regional and international arenas. A study by Teravaninthorn and Raballand (2008) found that transport prices were higher in sub-Saharan Africa (SSA) relative to many other parts of the world due to lack of competition, enabling high profits. Dawar and Holmes (2011) make a strong case for increased competition in regional markets, fostered by the development of a competition policy.

TMEA has three strategic objectives through which it aims to stimulate trade within East Africa. These three channels have been discussed in the related literature, demonstrating how these objectives may decrease poverty. (For further details, see report 5A annex A). It can be concluded that key TMEA programme hypotheses are not without logic. There is vast literature discussing them, and their causal links and assumptions. The assumptions underpinning the TMEA TOC at the lower levels of the TOC are partially supported by the evidence-base. However, there is lack of evidence to support the causal links higher up the TOC. Therefore, finding empirical evidence to support these channels is challenging, especially given the problem of disentangling causality. This is because trade reforms are often implemented along with other complementary policies that may also stimulate growth. This is where phase 2 performance evaluation aims to contribute to fill this missing evidence gap.

TMEA (Nov. 2016) Corporate Strategy 2017/18-2022/23

4.2 Relevance

DEQ5.3 To what extent does the programme support EAC regional trade development priorities?

TMEA was originally set up to support the implementation of the Protocol for the Establishment of the EAC Common Market (2009) and has been a demand-level facility using the EAC Development Strategy (2011/2 and 2015/6) for providing the framework for TMEA interventions.

TMEA played a significant role in both responding to regional trade priorities of the EAC but also in raising the profile of the importance of improving the trade infrastructure in the EAC including

¹¹ TMEA (Nov. 2016) Corporate Strategy 2017/18-2022/23

¹² TMEA (Nov. 2016) Corporate Strategy 2017/18-2022/23

OSBPs, port efficiency, NTBs and Standards (see Report 6A p. 38). In particular many such issues as NTBs and Standards did not have national-level policies before TMEA's engagement.

DEQ5.4 How have changes in policy and in the political economy in the region impacted on the programme or on its relevance?

There have been major changes in the political economy environment, including instability in Burundi and South Sudan and the major change of political direction in Tanzania in November 2015. The relevance of TMEA is undiminished by the difficult political economy environment (see Report 6A p. 30-31) and understanding of the political economy has been a major success of TMEA in being politically networked but also being strong enough to resist political pressure (see Report 6A p. 27-28). Risk assessment is a key part of TMEA operations. As per Report 2B (p. 27), the assessment team observed that TMEA risk management tends to look mainly at project- and investment-level risks, while their corporate- and enterprise-level risk management is less well developed, despite work on this having recently been undertaken.

4.3 Coherence

DEQ5.5 Do TMEA interventions complement other on-going initiatives (both government and private sector)?

Yes, there are good elements of complementarity with on-going government initiatives under both SO2 and SO1. In particular this includes government infrastructure initiatives on both the Northern and Central Corridors, including the standard gauge railway and the Central Corridor Transit Transport Facilitation Agency (CCTTFA) (see Report 2D/2E pp. 19-20 and 27). This also applies to government initiatives on a number of National Bureaus of Standards and National Monitors of NTBs. Under SO3 there have been a number of initiatives to support business associations (see Report 2D/2E pp. 26-27 and 31) and success has been more notable where the governments have been supportive of the private sector, notably in Kenya, Uganda, Rwanda and Burundi.

DEQ5.6: What are the strengths and weaknesses of the working model observed to date?

The assessment team that undertook the Institutional and Organisational Assessment consider that the existing TMEA institutional and organisational model has been broadly effective in successfully delivering the first TMEA strategy (Report 2B, p. 8). Despite several isolated areas for improvement, the assessors identified no systemic flaws or failures (ibid.). The assessment team identified the mix of organisational elements and characteristics which they consider to support the functionality and effectiveness of the model. They reviewed the various organisational options, including those set out in section 8.3.3 (p. 99) of Strategy II, and suggest that any future organisational model should be closely based on the existing model, retaining a special-purpose vehicle (SPV) and a legally registered not-for-profit organisation. The assessors consider that the current model is appropriate for TMEA's mission, and that change 'for the sake of it' would be unnecessarily complex and expensive.

DEQ5.7 Is the complementarity and coordination between national and regional levels optimal throughout all programme components and activities?

A key strength of the TMEA model is the presence of country offices, with national governance and steering through the national oversight committees (NOCs).

TMEA has been able to adjust its national programmes according to policy developments in the respective countries (see Report 6A p.19) and a key strength of TMEA has been its flexibility to operate according to the national priorities in each of the EAC countries, as well as to provide support to the implementation of the project activities, including an influencing role with the recipient organisations.

It was noted in Report 2D/2E that TMEA has been slow in updating national-level strategies, and in particular that the strategy for Tanzania has not been updated since the significant change of policy direction of the new government in 2015.

DEQ5.11: Is the operational model at donor level appropriate and efficient for delivering TMEA? What are the key enablers which need to be preserved, and what are the remaining constraints arising from donors' systems?

The assessment team that undertook the Institutional and Organisational Assessment consider that the existing TMEA institutional and organisational model has been broadly effective in successfully delivering the first TMEA strategy (Report 2B, p. 8). They reviewed the various organisational options, including those set out in section 8.3.3 (p. 99) of Strategy II, and suggest that any future organisational model should be closely based on the existing model, retaining a special-purpose vehicle (SPV) and a legally registered not-for-profit organisation. The assessors consider that the current model is appropriate for TMEA's mission, and that change 'for the sake of it' would be unnecessarily complex and expensive.

The assessors suggested that investor (donor) relationship management would benefit from more regular engagement between donors, the board and, in particular, the TMEA senior leadership team. An early meeting between TMEA management and donors was recommended, with the aim of finding a way to streamline donor reporting to reduce, where possible, the TMEA management and staff burden without compromising the quality or timeliness of the information provided to donors (Report 2B, pp. 51-52). But it is worth noting that the assessors did not specifically review the relationships between donors and country teams. They note that interaction here tends to be at the level of national oversight committees, and a review of NOC minutes suggests that relationships are functional but could be strengthened by improved communication and reporting. However, this finding is anecdotal at best, and not based on a detailed assessment (Report 2B, p. 30).

DEQ5.12 Did TMEA align with country systems and agencies in an effective manner for ownership, and for impact? How could this be strengthened?

As a demand-led facility, TMEA aligned with country agencies and ministries of East African Cooperation where appropriate, and also engaged with civil society organisations under SO3. In pursuing an influencing agenda, TMEA supported many national agencies in support of trade-enabling activities including trade logistics, OSBPs, NTBs and various national bureaux of standards. It was recommended in Report 2D/2E that more focus be given to SO3 project activities to be more closely aligned with the core TMEA mandate of trade-enabling. SO1 and SO2 projects are recognised as highly relevant to the local contexts according to reports 2D/2E and 2C/3A.

DEQ5.13 Are the focus and activities of TMEA consistent with, and additional to, those of others' development programmes in the region? To what extent has the programme facilitated improved coordination?

TMEA operates as a multi-donor facility, with the participation of the governments of the UK, Finland, Denmark, USA, Canada, Belgium and the Netherlands. TMEA is the main trade-enabling facility for these development partners, and there is very good cooperation and coordination with other major donors who are not part funders, including the European Union. Evidence from annual reviews indicates good cooperation between donors, for example including agreement by the Programme Investment Committee (PIC) to coordinate the annual review process to reduce the risk of overburdening the programme with multiple reviews.

There is evidence of good coordination with non-TMEA donors at the ports (BKD Consulting, 2014). According to Report 2C/3A (p.2), TMEA's strategic direction and focus on reform is consistent with the World Bank policy direction, as is clearly outlined in the Dar es Salaam Maritime Gateway Programme (DSMGP) Project Appraisal Document (PAD). It was also the intent of the Japan International Cooperation Agency (JICA) to support container terminal expansion at Mombasa.

DEQ5.14 What sort of approaches have been more successful in working with regional institutions in Africa?

TMEA encountered resistance to several initiatives aimed at reducing trade costs and lowering external tariffs. This included import-substituting stakeholders lobbying to maintain the status quo on exceptions to the common external tariff, and a lack of government commitment to prioritising liberalisation of the trade in services. (See p. 38).

Report 2D/2E highlights the success of working with the EAC on single customs territories (SCTs). TMEA must take a considerable amount of credit for making significant gains to economic integration in East African through support to the EAC and national institutions. This has been a slow process of building trust, and the TMEA office in Arusha has been crucial in building relations.

TMEA has achieved some major breakthroughs in SO2, especially in areas such as the SCT and reducing NTBs. The EAC is the best performing of the Regional Economic Communities in Africa, and TMEA has played a major role here.

4.4 Sustainability

DEQ5.17 What benefits (both social and financial) of the programme are likely to be sustainable and would continue with or without TMEA (staffing and funding)?

By 2012, with more than 200 activities underway across a wide range of stakeholders, TMEA was viewed by many as the 'go to' agency for trade facilitation and had gained strong credibility and acceptance, as confirmed by interviews across a range of stakeholders including: Ministries of East African Cooperation, national ministries, agencies, civil society and the EAC, as set out in Annex 5 of Deliverable 2D/2E.

TMEA has raised the profile of trade among policy-makers, as reported in Deliverable 6A. Several TMEA activities, including the OSBP, were 'high-profile' and presented excellent public relations opportunities for senior politicians to '*show that they are delivering results*' and can '*get things done*'. More generally, TMEA has played a catalytic role using its convening power to form and facilitate partnerships that deliver transformative investment in East African trade. As stated in the TMEA Strategy II¹³ ...*this institutional comparative advantage reinforces TMEA's ability to adopt a network approach, because TMEA is uniquely placed to build and leverage the necessary partnerships at the regional, national and local levels and with government, private sector and civil society.*

But while this confirms the ownership and acceptance of the TMEA mandate, there are some questions concerning the overall sustainability of the activities undertaken. In some cases TMEA has generated a sustainable economic outcome, for example Project 1212/1221 in Rwanda with the Standards Agency: *This project will have a lasting and sustainable impact on certification programmes in Rwanda. The capacity of the RSB and local consultants to assist in certification has improved significantly. The companies which have been certified have seen a major increase in demand, which has led to an important demonstration effect, incentivising further companies to certify.*

However in other cases there are concerns that TMEA has become a key source of expertise and has created dependence. As noted in Project 1119 MEAC coordination and leadership *Most of the key strategic outputs from TMEA have been produced by consultants, and there is little evidence presented that institutional learning has been achieved. The merger of the MEAC with foreign affairs has limited the long-term benefits of strengthened ministerial capacity, as many of the civil servants trained under TMEA activities have moved on to other roles in the Ministry of Foreign affairs.*

On sustainability, a common feature of the SO3 projects was the lack of absorption capacity of the recipient organisation, so many of the activities such as support to cross-border traders will not go

¹³ TMEA (Nov. 2016) Corporate Strategy 2017/18- 2022/23

to scale without further support. This issue also applied to the advocacy activities, as many of the civil society organisations appeared to struggle with appropriate internal processes relating to risk mitigation and cash flow management, which led to delays in implementation and delivery of outputs. The sustainability of SO2 projects is recognised as weak, and there should have been a greater ex ante understanding of the consequences of TMEA exit. The focus was on supporting trade-enabling activity, with insufficient attention on how the institution could continue without TMEA support (p.32). While such concerns are less of an issue on SO1, a key question remains concerning the long-term effectiveness of infrastructure investments made in the absence of policy reform. The critical shortfall in SO1 relates to reform and modernisation, which is a key assumption in the TMEA impact pathway.

DEQ5.18: What should be the essential components of a future exit strategy in order to sustain impact?

There are sustainability issues across all the strategic objectives of TMEA. It was noted that many of the recipient organisations had weak absorption capacity. While the sustainability of the institution supported may be recognised as weak from the outset, and while this should not be a barrier for TMEA engagement, there should be a greater ex ante understanding of the consequences of TMEA exit on the organisation and project, with the clear articulation and design of an exit strategy for each project identified in the project document.

TMEA has reached the stage where it should now have a critical mass of learning, acquired from its experiences in institution-building with trade-enabling organisations, as well as its direct experience working with business and civil society. It should now be working towards ensuring that the critical mass of projects it has undertaken is translated into evidence-based learning to support its future activities. In order to achieve this transition, TMEA needs to improve the accuracy and thoroughness of its data collection and monitoring processes, and to ensure verification of the self-reported data. As TMEA becomes more of a learning organisation and less of a project facility, greater attention will need to be given to addressing the sustainability of the interventions undertaken, to prevent institutions—especially under SO2—becoming dependent on TMEA.

DEQ5.20: How are stakeholders engaged through the programme and beyond its life, and how do they take TMEA lessons learnt into account?

Key government and EAC stakeholders have become engaged with TMEA on the understanding that it is not a time-bound programme but a long-term trade-enabling project. TMEA has also had to play a major influencing role with the port authorities, to ensure government buy-in for SO1 activities (Report 2C/3A, p.2). TMEA enjoys good engagement from a number of civil society organisations. As highlighted in the Institutional and Organisational Assessment (Report 2B), the 2016 TMEA Annual Review suggests (in paragraph 75) that *'TMEA fails to contribute significantly to knowledge addition of what works and what doesn't work in the wider community'*. Over time, TMEA has developed a wealth of knowledge which could add value to the wider development community in East Africa and beyond. It is understood that TMEA is proposing to focus more resources on external communications when Strategy II is implemented. This will need to go beyond marketing messages to also involve the packaging of relevant learning information targeted at trade players and development organisations. The annual review suggests that non-confidential summaries of all evaluations could be prepared and made publicly available. The assessors support this suggestion but would also recommend the packaging and dissemination of learning captured through the new TMEA knowledge management system (Report 2B, p. 40). In this way, the lessons learnt will inform the need for better internal practices, systems and skills, but also for wider understanding.

5 Preliminary Conclusions

The evaluation methodology described above sets out a series of High-Level Evaluation Questions (HEQs), which were subdivided into Detailed Evaluation Questions (DEQs). Since HEQ2 is really a sub-question of HEQ1, our answer to HEQ2 is incorporated under HEQ1. This report provides preliminary evidence to HEQ1, HEQ2 and HEQ5, based on a condensed summary of the information contained in the reports that have preceded it.

HEQ3, on the likely impact of TMEA on trade outcomes and growth, and HEQ4, on the likely impact of TMEA on poverty and gender, will be assessed in phase 2.

Actionable recommendations are not presented in this report, but there are clear suggestions in the Institutional and Organisational Assessment (Deliverable 2B) for the key priorities to be undertaken to improve financial reporting, oversight and competencies on larger, more complex programmes. Recommendations for improvements to the monitoring and evaluation system are presented in Annex 6. Detailed recommendations will be presented in the final performance evaluation report.

5.1 HEQ1

Has the programme been effective in delivering its outputs and outcomes? How has this been affected by the programme’s organisational model and how could this be improved?

Our output assessment of SO2 projects concludes that these projects have performed well. TMEA must take a considerable amount of credit for making significant improvements to economic integration in East Africa through its support to the East Africa Community (EAC) and national institutions. TMEA has also achieved some major breakthroughs in SO2 especially in areas such as the single customs territory (SCT) and reducing non-tariff barriers (NTBs). The EAC is the best performing of the Regional Economic Communities (REC) in Africa, and TMEA has played a major role here. Overall, there were some weaknesses in programme design in terms of timelines for achieving sustainable results and the lack of consideration of gender.

TMEA can also claim to have contributed towards the other higher objective of an effective regional and national framework for managing trading standards across the EAC. TMEA support has also played a small but not insignificant role in improving the macro-level indicator ‘ease of doing business’ (and the sub-indicator ‘trading across borders’), which are moving in the right direction for all countries apart from Tanzania.

The conclusion from the output assessment of SO3 is similar to SO2. The portfolio of projects has performed reasonably well and many projects are contributing to the outcomes of greater market access and trade, with some weaknesses on efficiency and sustainability. SO3 projects have delivered a range of different outputs to support business competitiveness, including technical assistance to support traders, and organisational strengthening of civil society and professional service organisations. These institutions are beginning to use their voice effectively to influence changes in NTB notification and economic integration issues. However, it can be argued that the focus of some SO3 projects is less central to the TMEA mandate.

Based on TMEA's own results framework, reporting of progress towards programme outcomes shows that the programme’s SO2 outcomes have already been or are likely to be achieved. Targets for SO3 were achieved in 2016 or were likely to be achieved during the first phase of TMEA’s Strategy I, with the exception of the gender targets. The TMEA results framework does not provide information regarding income increase of small traders (since this has not been measured). However, anecdotal evidence from the qualitative fieldwork for this evaluation suggests that such an increase did occur.

TMEA has also had to play a major influencing role with the port authorities to ensure government buy-in to SO1 activities. Work to date has been insufficient for the TMEA objective to become feasible and further strategic work with both port and government authorities will be essential to

achieving SO1. The work plans and outputs were mostly implemented at both ports, with some delays given the challenging project operating environment. It is reasonable to conclude that improvements to civil works would contribute to efficiency gains (and reduced costs) and thus are a “good to do”; however overall actual improvements need to be measured and verified. The *critical shortfall* relates to reform and modernisation, which is a key assumption in the TMEA results framework. In terms of effectiveness of OSBPs, all three have performed well. Busia only requires moderate modification: the entrance road from the Kenyan side at Busia OSBP is too narrow and restricts traffic flow to a single channel, thereby almost negating the improvement in clearance processes and procedures. The building and facilities on the Kenyan side provided for the Kenya Revenue Authority (KRA) and other agencies suffer from lack of maintenance, and both power and water supplies are intermittent.

In terms of operational performance, the assessors who undertook the Institutional and Organisational Assessment (2B) consider that the existing TMEA institutional and organisational model has been broadly effective in successfully delivering the first TMEA strategy, and the special-purpose vehicle (SPV) and a legally registered not-for-profit organisation mode should be retained. They consider that TMEA has many strengths as an organisation in terms of the quality of its staff, country-level presence and influencing role, as well as the ability to work flexibly in a changing political economy environment, but they suggest that more frequent trilateral engagement between council members, board members and the TMEA senior leadership team could support enhanced governance. The assessors further suggest that TMEA needs to strengthen its financial reporting in implementation and design, and its governance arrangements and communication between TMEA members/council and the leadership team. Finally, they note that there are weaknesses in project monitoring which need to be addressed (2B, Annex H).

5.2 HEQ5

How robust and verified are the causal links and assumptions in the TOC? What does this imply for the relevance, coherence and sustainability of the programme, and what are the lessons learnt that are relevant beyond TMEA?

5.2.1 Robustness of the TOC

Is the programme design premised on sound evidence and reasonable assumptions (causal and contextual)?

In terms of the robustness of the Theory of Change, the evaluation team concluded that there is a logic in TMEA engaging across the three strategic objective areas to work towards the objective of trade-enabled pro-poor economic growth, which is discussed in the relevant literature and is partially supported with evidence. The design of TMEA is relevant to and coherent with the needs of the East African Community. This is confirmed in terms of both the results of the projects and in the institutional and organisational assessment. According to reports 2D/2E and 2C/3A, TMEA projects have generally produced their outputs. This initial assessment, based on TMEA's own results framework reporting of progress towards programme outcomes, shows that the TMEA programme's outcomes have already been or are likely to be achieved. As noted, independent validation of outcome progress will be conducted through performance evaluation in phase 2.

There is a disconnect in the Theory of Change between the results of projects at outcome level and the so-called ‘corporate level’ outcome indicators (set out in Annex 3). This disconnect is leading to a lack of focus on TMEA interventions. Greater attention is needed in enabling government reform of port management under SO1, and greater focus required on SO3 to set out business activities which contribute to the wider corporate objective of enabling trade and reducing non-tariff barriers.

In terms of likelihood of achieving its overall impact objectives, the underpinning logic of the Theory of Change suggests that TMEA activities can be expected to contribute to the overall goal of increasing trade with the objective of reducing poverty through its three main strategic objectives. The causal links between these results areas, the goal of increased trade and poverty reduction

have a varied pattern. In particular, according to the relevant literature, the contribution that increased trade makes to poverty reduction is verified in the long-run, although this link is the subject of academic debate and is context-specific, which means that although the theory could be right, it may not hold in practice because of the contextual realities under which TMEA operates. In terms of the contribution that strategically catalytic and enabling infrastructure (SO1), an improved business environment (SO2), and improved business competitiveness (SO3) can make to increased trade, this is supported by relevant literature, but while these three results areas are necessary, they may not be sufficient to drive increased trade. Phase 2 will assess these causal links and TMEA's specific contribution in more detail.

5.2.2 Programme relevance

Is the programme's purpose relevant and useful?

According to the mapping exercise (Report 2A), in addition to the infrastructure investments, TMEA is primarily providing learning, capacity-building, and policy advice, since these are the key activities carried out under the TMEA programme. Although most of the resources go to infrastructure and hardware (53%), most of the activities carried out (63%) seek to build institutional capacities and processes that allow trade actors to make productive use of the provided infrastructure under TMEA projects and beyond. The results mapping exercise found that the lack of specificity in the lower levels of the TOC means that the precise contribution of each project to TMEA's programme-level outcomes is not clear.

SO2 activities are consistent with the TMEA Theory of Change (TOC). The criteria for assessing consistency used here questions whether TMEA is doing the right things with the right beneficiaries to ensure that project outcomes contribute to the wider programme or strategic outcomes. Consistency in this sense is not 100% achieved, since there are some capacity-building activities that are less relevant to the 2014 TOC. However, the emphasis of TMEA priorities and the TOC have changed over time, and these projects were consistent with the TOC at the time. TOC consistency is less obvious for SO3, but given that TMEA has a mandate to pay attention to social wellbeing (vulnerable groups and poverty reduction), reaching out with capacity-building activities to these small organisations seems to be appropriate.

At a higher level, TMEA is relevant in that it supports EAC regional trade development priorities. In fact, TMEA was originally set up to support the Protocol for the Establishment of the EAC Common Market (2009), and has been a demand level facility using the EAC Development Strategy (2011/2 and 2015/6) for providing the framework for TMEA interventions.

Furthermore, the TMEA model has remained relevant in spite of changes in the political economy, but the effectiveness of the activities have unquestionably been affected by political changes in the region. In particular, as set out in deliverable 2D/2E, all activities involving government were suspended for a period in Tanzania, and operations in Burundi and South Sudan have slowed or in some cases ceased (e.g. Burundi Tourism Export capability programme). In the case of the port projects, the effectiveness of TMEA activity has been adversely affected by the reluctance of government to engage in reform of the ports, which was a key assumption behind the Theory of Change. The question remains as to whether TMEA should or could have been more proactive in engaging in supporting reform with an explicit reform pathway (with indicators) on the TMEA Theory of Change.

5.2.3 Programme coherence

Internal coherence

Is the programme's operational design appropriate?

The assessment team conclude that TMEA's existing operational model works. A key strength has been its ability to be both demand-led and flexible in meeting specific needs of the EAC, while maintaining a profile which has enabled TMEA, in some cases, to influence policy in key areas of infrastructure development and trade-enabling. The key weaknesses identified by the assessors

include financial reporting in implementation and design, and strengthening the governance arrangements and communication between the TMEA members/council and the leadership team.

In terms of the operational model at donor level, interviews with donor representatives on the council, and feedback from the CEO and the chair of the TMEA board all suggest that donors wish to have a greater influence on operational matters. This emphasises the need for change through more frequent exchange between donors and the TMEA SLT, and between donors and country programmes. The assessors broadly support a closer relationship between donors and the TMEA SLT, and suggest that this will require a new 'modus operandi' between the council and the board, which should lead to appropriate changes to the TMEA constitution (2B).

External coherence

Is the programme effectively coordinated with other key actors and initiatives operating in the sector?

TMEA interventions generally complement other on-going initiatives (both government and private sector). There are good elements of complementarity with on-going government initiatives under both SO2 and SO1. On infrastructure (SO1), government initiatives on both the Northern and Central Corridors include the standard gauge railway and the Central Corridor Transit Transport Facilitation Agency (CCTTFA) (see Deliverable 6A). This also applies to government initiatives on a number of national bureaux of standards and national monitors of non-tariff barriers. Under SO3 there have been a number of initiatives to support business associations. Success has been more notable where governments have been supportive of the private sector, notably in Kenya, Uganda and Rwanda.

TMEA has also generally aligned with country systems and agencies in an effective manner. As a demand-led facility, TMEA aligned with ministries of East African Cooperation and other country agencies where appropriate, and also engaged with civil society organisations under SO3. TMEA supported many national agencies in support of trade-enabling activities, including trade logistics, OSBPs, NTBs and various national bureaux of standards. There is evidence of good coordination with non-TMEA donors at the ports (BKD Consulting, 2014). TMEA is the main trade-enabling facility for the development partners, and there is very good cooperation and coordination with major donors who are not part funders, including the European Union.

5.2.4 Sustainability of programme impact

Is the programme set up to ensure its impacts are sustained?

There are sustainability issues across all three TMEA strategic objectives. TMEA's exit from SO1 will only be smooth once national and regional authorities start to secure national and international development funding to continue the path set by TMEA. For SO3 (and some SO2 projects), the key issue faced was weakness in the capacity of the recipient organisations. While weak capacity should not be a barrier for TMEA engagement, there should be a greater ex ante understanding of the consequences of TMEA exit on the organisation and project, which should be established as part of the ex ante assessment and programme document. This issue also applied to the advocacy activities.

The civil society organisations appeared to struggle with having appropriate internal processes related to risk mitigation and cash flow management, which led to delays in implementation and delivery of outputs. While such concerns are less of an issue on SO1, the key question remains on the long-term effectiveness of infrastructure investments made in the absence of policy reform. The critical shortfall in SO1 relates to reform and modernisation, which is a key assumption in the TMEA impact pathway.

Finally, it appears that key government and EAC stakeholders have become engaged with TMEA on the understanding that it is not a time-bound programme, but rather a long-term trade-enabling project. TMEA has also had to play a major influencing role with the port authorities to ensure government buy-in to SO1 activities (Report 2C/3A, p.2). There is good engagement with TMEA by

a number of civil society organisations. This perception will need to change to avoid a long-term dependency on TMEA, and therefore the process of internal learning from the TMEA activities has not been given sufficient prominence by either the recipient or TMEA.

Annex 1: Evaluation Deliverables

Deliverables Expected	Key evaluation activities	Deliverables Submitted	Status	
WS1: Evaluation management, QA and communications	WS1: Evaluation management, QA and communications	First draft submitted		Last draft submitted
<ul style="list-style-type: none"> • DELIVERABLE 1A: Inception plan • DELIVERABLE 1B: Inception report (plus supporting documents) 	<ul style="list-style-type: none"> • Preparation for inception phase • Detailed evaluation design • Literature review of empirical work on trade, growth and poverty linkages • High-level PEA study • Initial review of TMEA TOC • Design communications strategy 	<ul style="list-style-type: none"> • DELIVERABLE 1A: Inception plan • DELIVERABLE 1B: Inception report (plus supporting documents) 		Approved 27 Nov 2016
<ul style="list-style-type: none"> • DELIVERABLE 1C: On-going WS1 implementation phase activities 	<ul style="list-style-type: none"> • On-going evaluation oversight and management • <i>Ad hoc</i> support to TMEA on specific M&E issues • On-going communications activities (in line with communications strategy) 	<ul style="list-style-type: none"> • DELIVERABLE 1C: On-going WS1 implementation phase activities 		On-going
WS2: Effectiveness and outcome assessment	WS2: Effectiveness and outcome assessment			
<ul style="list-style-type: none"> • DELIVERABLE 2A: Preliminary output assessment 	<ul style="list-style-type: none"> • Preliminary output assessment 	<ul style="list-style-type: none"> • DELIVERABLE 2A: Preliminary output assessment 	5 May 2017	Approved May 2017
<ul style="list-style-type: none"> • DELIVERABLE 2B: Institutional and Organisational assessment (of TMEA as an organisation) 	<ul style="list-style-type: none"> • assessment / expert review of TMEA's institutional and organisational arrangements 	<ul style="list-style-type: none"> • DELIVERABLE 2B: Institutional and Organisational assessment (of TMEA as an organisation) 	12 Jun 2017	Approved ** March 2019
<ul style="list-style-type: none"> • DELIVERABLE 2C: SO1 effectiveness and outcome-level evaluation (infrastructure investment) 	<ul style="list-style-type: none"> • Review of TMEA SO1 project monitoring reports, the results framework, monitoring data and relevant TMEA-led evaluations • Survey questionnaire of priority SO1 projects • Review of WS3 ports and OSBPs formative evaluation 	<ul style="list-style-type: none"> • Report Combined with 3A • DELIVERABLE 2C/ 3A: Interim Outcome Evaluation 	18 Jul 2017	Approved November 2018
<ul style="list-style-type: none"> • DELIVERABLE 2D: SO2 effectiveness and outcome-level evaluation (trade facilitation) 	<ul style="list-style-type: none"> • Review of TMEA SO2 project monitoring reports, the results framework, monitoring data and relevant TMEA-led evaluations • Survey questionnaire of priority SO2 projects 	<ul style="list-style-type: none"> • Combined report 2D/2E • DELIVERABLE 2C/ 2D: Interim Outcome Evaluation 	Combined report 2D/2E submitted 30 May 2017	Approved February 2019
<ul style="list-style-type: none"> • DELIVERABLE 2E: SO3 effectiveness and outcome-level evaluation (business competitiveness investment) 	<ul style="list-style-type: none"> • Review of TMEA SO3 project monitoring reports, the results framework, monitoring data and relevant TMEA-led evaluations • Survey questionnaire of priority SO3 projects 	<ul style="list-style-type: none"> • Combined report 2D/2E • DELIVERABLE 2C/ 2D: Interim Outcome Evaluation 		
<ul style="list-style-type: none"> • DELIVERABLE 2F: Synthesis of effectiveness and outcome-level evaluations 	<ul style="list-style-type: none"> • Synthesis of deliverables 2A–2E 	<ul style="list-style-type: none"> • DELIVERABLE 2F: Synthesis of effectiveness and outcome-level evaluations 	To be combined with 6B	Approved ** March 2019
WS3: Evaluation of ports and OSBP projects	WS3: Evaluation of ports and OSBP projects			
<ul style="list-style-type: none"> • DELIVERABLE 3A: Consolidated formative evaluation of ports and OSBP projects 	<ul style="list-style-type: none"> • Site visits to ports and OSBPs • Analysis of ports and OSBPs performance data (non-TMEA) • Review of TMEA monitoring reports and data 	<ul style="list-style-type: none"> • Report Combined with 3A • DELIVERABLE 2C/ 3A: Interim Outcome Evaluation 	30 May 2017	Approved November 2018

Deliverables Expected	Key evaluation activities	Deliverables Submitted	Status	
<ul style="list-style-type: none"> • DELIVERABLE 3B: Summative evaluation of Mombasa Port projects 	<ul style="list-style-type: none"> • Site visit to Mombasa Port • Analysis of Mombasa Port performance data (non-TMEA) • Review of TMEA monitoring reports and data 	<ul style="list-style-type: none"> • DELIVERABLE 3B: Summative evaluation of Mombasa Port projects 	Combined report 3B 3C and 3D planned 1 st draft Oct 2018	Phase II Performance Evaluation to be submitted in April 2019
<ul style="list-style-type: none"> • DELIVERABLE 3C: Summative evaluation of Dar Port projects 	<ul style="list-style-type: none"> • Site visit to Dar Port • Analysis of Dar Port performance data (non-TMEA) • Review of TMEA monitoring reports and data 	<ul style="list-style-type: none"> • DELIVERABLE 3C: Summative evaluation of Dar Port projects 		
<ul style="list-style-type: none"> • DELIVERABLE 3D: Summative evaluations of the OSBP projects 	<ul style="list-style-type: none"> • Site visit to OSBPs • Analysis of OSBP performance data (non-TMEA) • Review of TMEA monitoring reports and data 	<ul style="list-style-type: none"> • DELIVERABLE 3D: Summative evaluations of the OSBP projects 		
WS4: Trade and growth impact study	WS4: Trade and growth impact study			
<ul style="list-style-type: none"> • DELIVERABLE 4A: Trade and growth impact study report 	<ul style="list-style-type: none"> • Modelling and econometric analysis • Macro sustainability analysis • Synthesis of the trade impact results from WS3 evaluation of ports and OSBP projects 	<ul style="list-style-type: none"> • DELIVERABLE 4A: Trade and growth impact study report 		Phase II Trade and Growth Impact Study to be submitted in May 2019
WS5: Poverty and gender impact study	WS5: Poverty and gender impact study			
<ul style="list-style-type: none"> • DELIVERABLE 5A: PPA 	<ul style="list-style-type: none"> • Quantitative analysis (poverty profiling; price change poverty impact microsimulation) • Analysis of TMEA systems • Analysis of TMEA projects • Qualitative analysis of poverty impact pathways 	<ul style="list-style-type: none"> • DELIVERABLE 5A: PPA 	May 2016	Approved 23 Oct 2017
<ul style="list-style-type: none"> • DELIVERABLE 5B: Final poverty and gender impact study 	<ul style="list-style-type: none"> • Quantitative analysis (poverty profiling; price change poverty impact microsimulation) • Analysis of TMEA systems • Analysis of TMEA projects • Qualitative analysis of poverty impact pathways 	<ul style="list-style-type: none"> • DELIVERABLE 5B: Final poverty and gender impact study 	Planned 1 st draft Dec 2018	Phase II Poverty and Gender Impact Study to be submitted in May 2019
WS6: Strategic review and evaluation synthesis	WS6: Strategic review and evaluation synthesis			
<ul style="list-style-type: none"> • DELIVERABLE 6A: Preliminary relevance and sustainability study 	<ul style="list-style-type: none"> • Preliminary situation analysis of East Africa trade policy • Review and follow-up on inception report TOC review (including initial PEA study) • Review of evaluation preliminary evidence produced by other workstreams • Final review of TOC (based on all evidence produced) 	<ul style="list-style-type: none"> • DELIVERABLE 6A: Preliminary relevance and sustainability study 	22 Dec 2017	Approved ** March 2019
<ul style="list-style-type: none"> • DELIVERABLE 6B: Summary of Preliminary Evaluation Findings report 	<ul style="list-style-type: none"> • Summary of all preliminary evaluation outputs 	<ul style="list-style-type: none"> • DELIVERABLE 6B: Preliminary Evaluation Findings Report 	25 Jan 2018	Approved ** March 2019
<ul style="list-style-type: none"> • DELIVERABLE 6C: Final relevance and sustainability study 	<ul style="list-style-type: none"> • Situation analysis of East Africa trade policy • PEA study of East African trade sector • Review of evaluation evidence produced by other workstreams • Final review of TOC (based on all evidence produced) 	<ul style="list-style-type: none"> • DELIVERABLE 6C: Final relevance and sustainability study 	Planned 1 st draft Jan 2019	Combined with Performance Evaluation
<ul style="list-style-type: none"> • DELIVERABLE 6D: VFM assessment 	<ul style="list-style-type: none"> • VFM assessment (based on all evidence produced) 	<ul style="list-style-type: none"> • DELIVERABLE 6D: VFM assessment 	Planned 1 st draft Jan 2019	Phase II VFM Assessment to be submitted in September 2019

Deliverables Expected	Key evaluation activities	Deliverables Submitted	Status	
<ul style="list-style-type: none"> • DELIVERABLE 6E: Final performance evaluation report 	<ul style="list-style-type: none"> • Consolidated synthesis of all evaluation outputs 	<ul style="list-style-type: none"> • DELIVERABLE 6E: Final evaluation synthesis report 	<p>Planned 1st draft Mar 2019</p>	<p>Combined with Performance Evaluation</p>

Annex 2: Status and evolution of the evaluation questions

The High-Level Evaluation Questions (HEQs) and Detailed Evaluation Questions (DEQs) contained in the tables below have been slightly updated to reflect changes in implementation, terminology and priority areas for study since the inception report was approved. Where DEQs were answered in previous deliverables, this is noted with the deliverable in bold in the right column.

HEQ1 ¹⁴ and its DEQs	Status and corresponding deliverable(s)
HEQ1: Has the programme been effective in delivering its <u>outputs</u>? How has this been affected by the programme's organisational performance and how could this be improved?	
DEQ1.1 To what extent are TMEA programmes' <u>outputs</u> generally consistent with the programme TOC?	<p>Answered:</p> <ul style="list-style-type: none"> • 2A Preliminary Output Assessment mapped all projects across all three SOs against the TMEA TOC. • 2C/3A Interim evaluation of SO1 answers the question for SO1 • 2D/2E Interim evaluation of SO2 and SO3 answers this question for SO2 and SO3 outputs, based on a sample of 40 projects, with project-specific detail in Annex 5
DEQ1.2 Were project <u>outputs</u> achieved in accordance with plans/expectations and within budget? For on-going projects, what is the likelihood of achieving the project output targets within the programme time-span?	<p>Answered:</p> <ul style="list-style-type: none"> • 2C/3A Interim evaluation of SO1 answers the question for SO1 • 2D/2E Interim evaluation of SO2 and SO3 answers this question for SO2 and SO3 outputs, based on a sample of 40 projects, with project-specific detail in Annex 5
DEQ1.3 What constraints were/are encountered in achieving the project <u>outputs</u> ? What are the reasons for non-achievement of the outputs?	<p>Answered:</p> <ul style="list-style-type: none"> • As above
DEQ1.4 Who were/are the main beneficiaries of the outputs? Are there organisations or groups of people who are negatively affected by the outputs?	<p>Answered for SO1:</p> <ul style="list-style-type: none"> • 2C/3A Interim evaluation of SO1 <p>Partially answered for SO2 and SO3:</p> <ul style="list-style-type: none"> • 2D/2E Interim evaluation of SO2 and SO3 • To be completed in the Performance Evaluation
DEQ1.5 To what extent have supported organisations (i.e. government agencies and the implementing partners) built capacity and capability on	<p>Answered:</p> <ul style="list-style-type: none"> • 2C/3A Interim evaluation of SO1 • 2D/2E Interim evaluation of SO2 and SO3

¹⁴ HEQ1 and HEQ2 have been revised since the inception report. HEQ1 comprises questions about outputs, while HEQ2 and its DEQs will answer questions about outcomes. The latter is to be answered in the performance evaluation, while HEQ1 and its DEQs were answered in the phase 1 deliverables.

HEQ1 ¹⁴ and its DEQs	Status and corresponding deliverable(s)
relevant trade-related matters? ¹⁵	
DEQ1.7 To what extent does TMEA have the management arrangements, systems, processes and human resources appropriate for carrying out its mission (i.e. how suitable are these for the purposes of carrying out its activities)?	<p>STATUS PENDING:</p> <ul style="list-style-type: none"> • 2B Institutional and Organisational Assessment explicitly addresses this question, <i>but some queries have been raised by EQUALS review which are still being addressed</i> • There is also detailed information on management, systems and processes in 2D/2E Interim evaluation of SO2 and SO3 for 40 projects, with project-specific detail in Annex 5
DEQ1.8 To what extent do TMEA's financial (including procurement), human resource and risk management processes enable it to efficiently and effectively manage its contractual relationships with implementing partners?	<p>STATUS PENDING:</p> <ul style="list-style-type: none"> • 2B Institutional and Organisational Assessment explicitly addresses this question, <i>but some queries have been raised by EQUALS review which are still being addressed</i> • There is also detailed information on financial and risk management processes in 2D/2E Interim evaluation of SO2 and SO3 for 40 projects, with project-specific detail in Annex 5 • There is also detailed information on financial and risk management process in SO1 in 2C/3A Interim evaluation of SO1
DEQ1.9 To what extent do the processes TMEA has in place promote organisational learning and sharing of good practices?	<p>STATUS PENDING:</p> <ul style="list-style-type: none"> • 2B Institutional and Organisational Assessment explicitly addresses this question, <i>but some queries have been raised by EQUALS review which are still being addressed</i> • There is also detailed information on organisational learning and good practice sharing in 2D/2E Interim evaluation of SO2 and SO3 for 40 projects, with project-specific detail in Annex 5
DEQ1.10 Are the M&E tools and processes in place appropriate, both in terms of results and in terms of finances? How could they be strengthened?	<p>STATUS PENDING:</p> <ul style="list-style-type: none"> • Our Assessment of Monitoring and Evaluation Function at TMEA explicitly addresses this question – <i>this was previously included as an annex to the Interim Evaluation Synthesis Report (6B) but will now be included as an annex to the Institutional and Organisational Assessment (2B)</i> • 2B Institutional and Organisational Assessment includes a section on this question – <i>this is being re-written in response to the EQUALS review, in line with the M&E function assessment annex referred to in the previous bullet</i> • There is also detailed information on M&E tools and processes in 2D/2E Interim evaluation of SO2 and SO3 for 40 projects, with project-specific detail in Annex 5

¹⁵ “government agencies” were added to DEQ1.5, given that many TMEA activities partner with national counterparts to implement programming. DEQ1.6 on outcomes has been subsumed into the new HEQ2 on programme and strategic outcomes.

HEQ2 and its DEQs	Status	Deliverable(s)
HEQ2^{16,17}: To what extent has TMEA been effective in achieving expected intermediate outcomes and to what extent has TMEA programme been effective in contributing to achieving programme strategic outcomes? Did the programme bring about any unintended outcomes?		
DEQ2.1 To what extent has TMEA contributed to reducing corridor trade times and increasing corridor volumes? ¹⁸	Unanswered	Performance evaluation (3B)
DEQ2.2 To what extent has TMEA contributed to increasing ease of trading across borders?		
DEQ2.3 To what extent has TMEA contributed to enhancing business environment for trade, improving export capabilities and improving efficiency of trade logistics services?		
DEQ2.4 Has TMEA caused any unintended outcomes? What are they and who has been affected?		

HEQ3 and its DEQs	Status	Deliverable(s)
HEQ3: What is the likely impact of TMEA on trade outcomes and growth, and what factors are critical in order to ensure the sustainability of positive impacts?		
Effectiveness: programme-level trade outcomes		
DEQ3.1 To what extent have TMEA interventions, including those of a policy nature, led to a reduction in trade times, trade costs and trade risks? ¹⁹	Unanswered	Trade and growth impact study (5B)
Trade impact		
DEQ3.2 What has been the impact of any achieved trade cost reductions from TMEA on trade (both intra- and extra-regional)? ²⁰	Unanswered	Trade and growth impact study
DEQ3.3 How has any improved trade policy environment led to increased trade?	Unanswered	
Economic growth impact		
DEQ3.4 To what extent has any changes in trade resulting from TMEA interventions contributed to economic growth?	Unanswered	Trade and growth impact study
DEQ3.5 What factors are critical in order to ensure the sustainability of positive impacts? ²¹	Unanswered	

HEQ 4 and its DEQs	Status	Deliverable(s)
HEQ4: What is the likely impact of TMEA on poverty and gender, and what factors are critical in order to ensure the sustainability of positive impacts?		

¹⁶ The original HEQ2 dealt solely with OSBP and ports projects, and was partially answered in the formative evaluation (Deliverable 3A). However, DFID asked for the outcomes question (DEQ1.6) to be more completely answered. This proposed new HEQ is the result.

¹⁷ Being “effective” in achieving outcomes is added in the 18 Sept 2018 draft at DFID’s request, so the language sounds the same as that from the deleted DEQ1.6.

¹⁸ HEQ2 was previously focused only on ports and OSBPs, but is here extended to cover all strategic outcomes. The first three sub-questions were reformulated to correspond to the TOC. DEQ2.4 was added.

¹⁹ The former DEQ3.2 was a repeat of this question, only about policy interventions. These have been combined to ensure context and intervention logic and outcomes are considered together.

²⁰ The word “increased” was removed from modifying “trade”, as the impact has not yet been determined. “Increased” presumed an impact.

²¹ This question, and 4.6, were added in response to DFID’s comment that the HEQ mentions sustainability but the DEQs did not.

HEQ 4 and its DEQs	Status	Deliverable(s)
Poverty impact		
DEQ4.1 What is the nature – and, where possible, scale – of the likely impact of the overall programme and of key TMEA projects in the portfolio on the poor—direct and indirect? Who is affected by potential short- or long-term impacts, both positive and negative, how, and how is the causality working? ²²	Partially answered	Preliminary poverty assessment (5A)
DEQ4.2 In particular, who has benefited from reduced trade costs? How are the benefits in reduced transport time and cost being passed on to poor people through lower prices or lower price increases?	Partially answered	
DEQ4.3 Are complementary policies being adopted to translate the benefits of increased trade into poverty reduction?	Unanswered	Final poverty and gender impact study (5B)
DEQ4.4 Are measures being taken, and are they successful, in mitigating potential negative impacts on any sub-groups – in particular poor people in localised areas?	Unanswered	
Cross-cutting issues		
DEQ4.5 To what extent has the programme benefited <u>women and girls</u> (noting that the programme design did not purport to benefit them equally)? Have there been any negative consequences for women and girls? Has the programme had an impact on relations, including power and influence, between girls/women and boys/men? How could the programme increase benefits to women and girls within its trade focus?	Partially answered	Preliminary poverty assessment (5A)
DEQ4.6 What factors are critical in order to ensure the sustainability of positive impacts?	Unanswered	Final poverty and gender study (5B)

HEQ5 and its DEQs	Status and deliverable(s)
HEQ5: How robust and verified are the causal links and assumptions in the TOC? What does this imply for the relevance, coherence and sustainability of the programme, and what are the lessons learnt that are relevant beyond TMEA?	
Programme relevance: TOC causal links and assumptions	
DEQ5.1 To what extent are the causal links and assumptions underpinning the TOC evidence-based or verified? ²³	Unanswered ; to be answered in the <i>Performance Evaluation</i> Preliminary evidence is provided in <i>6B Interim Evaluation Summary Report</i>
DEQ5.3 To what extent does the programme support EAC regional trade development priorities?	Partially answered in <i>6A Preliminary Relevance and Sustainability Assessment</i> for outputs; to be completed in the <i>Performance Evaluation</i>

²² It is critical to note that this will be speculative and subject to exogenous distortions. Tracing causality rigorously, this far along the results chain, is outside the scope of the evaluation.

²³ We eliminated DEQ5.2 “Are the results framework targets and milestones relevant and realistic?” Given the late advent of this evaluation, a year after the results framework was finalised, support to make targets and milestones more relevant and realistic is unhelpful. This is particularly true in light of their new Strategy II results framework with deeply altered indicators, targets and milestones, and in light of the DFID Annual Reviews’ intensive and detailed suggestions that underpin many of those changes.

DEQ5.4 How have changes in policy and in the political economy in the region impacted on the programme or on its relevance?	Unanswered ; to be answered in the <i>Performance Evaluation</i>
DEQ5.5 Do TMEA interventions complement other on-going initiatives (both government and private sector)?	Partially answered in <i>6A Preliminary Relevance and Sustainability Assessment</i> for projects; to be completed in the <i>Performance Evaluation</i>
Coherence and coordination	
DEQ5.6 What are the strengths and weaknesses of the working model observed to date?	Unanswered ; to be answered in the <i>Performance Evaluation</i> Preliminary evidence is provided in <i>2B Institutional and Organisational Assessment</i>
DEQ5.7 Is the complementarity and coordination between national and regional levels optimal throughout all programme components and activities?	Partially answered : <ul style="list-style-type: none"> • <i>6A Preliminary Relevance and Sustainability Assessment</i> for projects; • To be completed in the <i>Performance Evaluation</i>
DEQ5.8 To what extent does the TMEA model bring greater results than the sum of its parts? How could this be strengthened?	Unanswered ; to be answered in the <i>Performance Evaluation</i>
DEQ5.9 Is using one organisation – a not-for-profit company – the best vehicle for impact on trade, and on poverty reduction through trade? What are the strengths and weaknesses of this approach?	Unanswered ; to be answered in the <i>Performance Evaluation</i> Preliminary evidence is provided in <i>2B Institutional and Organisational Assessment</i>
DEQ5.10 To what extent are the programme's governance arrangements leading to the delivery of high quality and timely outputs?	Unanswered ; to be answered in the <i>Performance Evaluation</i> Preliminary evidence is provided in <i>2B Institutional and Organisational Assessment</i>
DEQ5.11 Is the operational model at donor level appropriate and efficient for delivering TMEA? What are the key enablers which need to be preserved, and what are the remaining constraints arising from donors' systems?	Unanswered ; to be answered in the <i>Performance Evaluation</i> Preliminary evidence is provided in <i>2B Institutional and Organisational Assessment</i>
DEQ5.12 Did TMEA align with country systems and agencies in an effective manner for ownership, and for impact? How could this be strengthened?	Partially answered : <ul style="list-style-type: none"> • <i>2C/3A Interim evaluation of SO1</i> • <i>2D/2E Interim evaluation of SO2 and SO3</i> • To be completed in the <i>Performance Evaluation</i>
DEQ5.13 Are the focus and activities of TMEA consistent with, and additional to, those of others' development programmes in the region? To what extent has the programme facilitated improved coordination?	Partially answered : <ul style="list-style-type: none"> • <i>2D/2E Interim evaluation of SO2 and SO3</i> answers these questions for SO2 and SO3 outputs of a sample of 40 projects, with project-specific detail in Annex 5; and • <i>2C/3A Interim evaluation of SO1</i> for SO1 • To be completed in the <i>Performance Evaluation</i>

DEQ5.14 What sorts of approaches have been more successful in working with regional institutions in Africa? ²⁴	<p>Partially answered in:</p> <ul style="list-style-type: none"> • 2D/2E Interim evaluation of SO2 and SO3 answers these questions for SO2 and SO3 outputs of a sample of 40 projects, with project-specific detail in Annex 5; and • 2C/3A Interim evaluation of SO1 for SO1 • To be completed in the Performance Evaluation
Sustainability	
DEQ5.17 What benefits (both social and financial) of the programme are likely to be sustainable and would continue with or without TMEA (staffing and funding)? ²⁵	<p>Partially answered in:</p> <ul style="list-style-type: none"> • 6A Preliminary Relevance and Sustainability Assessment for outputs • 2D/2E Interim evaluation of SO2 and SO3 answers these questions for SO2 and SO3 outputs of a sample of 40 projects, with project-specific detail in Annex 5 • To be completed in the Performance Evaluation
DEQ5.20 How are stakeholders engaged through the programme and beyond its life, and how do they take TMEA lessons learnt into account?	<p>Partially answered in:</p> <ul style="list-style-type: none"> • 2D/2E Interim evaluation of SO2 and SO3 answers these questions for SO2 and SO3 outputs of a sample of 40 projects, with project-specific detail in Annex 5; and • 2C/3A Interim evaluation of SO1 for SO1 • To be completed in the Performance Evaluation
VFM Assessment	
DEQ5.21 Is the programme providing VFM?	<p>Partially answered in:</p> <ul style="list-style-type: none"> • 2B Institutional and Organisational Assessment • To be answered in the VFM study
DEQ5.22 In which activities/components and countries does the programme achieve higher VFM than others and what are the lessons learnt for driving greater VFM across the board?	Unanswered; to be answered in the VFM study

²⁴ Two DEQs here, sub-titled “Cross-cutting”, have been eliminated. The first read: “What has the impact been on corruption across the various components, notably at border crossings?” While the evaluation team will speak with team members about how corruption might have affected their work, this DEQ could be an impact study of its own. However, TMEA did not directly undertake projects on corruption, so looking for their impacts expends resources on a tangential pursuit. The DEQ on unintended consequences will cover this issue as and when it arises. Moreover, corruption is extremely sensitive in the context, as TMEA continue to interact with institutions that would see this as criticism of a very high and offensive order.

Similarly, DEQ5.16 asked “What impact has the programme had on other issues, such as extractives and environment/climate?” which would examine issues well outside TMEA’s areas of influence and focus. While the Mombasa port project worked on “green port” practices, this is the only substantial, direct TMEA activities related to environment and climate. None related to extractives. TMEA has a difficult enough job to influence the areas it is working on directly, and the evaluation to capture them, without seeking impacts in areas where they didn’t intervene. “Other issues” are better covered under the HEQ2 “unintended impact” question, rather than devoting attention and resources the evaluation team needs for other EQs.

²⁵ DEQ5.18 here read “What should be the essential components of a future exit strategy in order to sustain impact?” Exit strategies were salient at project level (and covered in detail in deliverable 2D/E and its Annex 5), but not at programme level, as TMEA intended to continue operations with or without donor funding. TMEA are currently in Strategy II and talking about “Strategy 3” even today. The evaluation will continue to talk about sustainability in DEQ5.17 and especially 5.20, which was more appropriate to how TMEA operated during Strategy I, when there effectively was no exit strategy. DEQ5.19 read “What is the likelihood that individual results and overall impact will be sustained after existing donors stop funding, and will there be a lasting positive impact on the poor” which is duplicative of DEQ5.17 and the new question at DEQ4.6.

Annex 2a: Project Evaluation Results SO2

Project Code	Country	Project Title	Budget	Relevance	Effectiveness	Efficiency	Gender	Learning and Sustainability	Total
0927	Kenya	Kenya Revenue Authority-customs management systems	12,240,017	100	100	100	100	70	96
1236	Rwanda	Electronic Cargo Tracking System	4,550,000	100	100	N/A	70	100	96
1136	Tanzania	Zanzibar Food & Drug Board(ZFDB)	150,000	100	100	N/A	70	100	96
1240	Rwanda	Rwanda Ministry of Health SWIFT	82,000	100	100	N/A	70	70	93
0126	Regional	Elimination of NTBs	6,200,000	100	100	70	70	100	91
1212 & 1221	Rwanda	RBS institutional capacity strengthened& Direct support to SMEs for product certification (RBS)	4,444,000	100	100	70	70	100	91
0916	Kenya	Reform of standards, regulatory framework and SQMT	1,900,000	100	100	N/A	40	70	89
0916	Kenya	Reform of standards, regulatory framework and SQMT	1,900,000	100	100	N/A	40	70	89
1416	South Sudan	EAC accession plan South Sudan	344,000	100	100	N/A	70	40	89
0223	EAC	Single customs territory	5,027,000	100	100	70	70	70	88
1326	Burundi	OBR: Long-term technical advisers, incl. security costs	12,560,000	100	100	70	40	100	88
0113	Regional	Northern Corridor Transport Observatory	1,017,000	100	100	100	0	70	87
0215	EAC	EAC Secretariat VC equipment	2,740,000	70	100	100	70	40	82
1118	Tanzania	Ministry of Industry and Trade	1,181,000	100	70	N/A	70	70	81
1413	South Sudan	South Sudan Bureau of Standards established	2,346,000	100	70	70	70	70	81
0114	Regional	Central Corridor Transport Observatory	773,000	100	70	N/A	70	70	81
0216	EAC	EAC financial, audit and procurement systems and processes	5,193,000	70	70	100	70	70	76
0915	Kenya	Kenya EPA negotiations	1,714,000	100	70	N/A	40	40	74
1320	Burundi	IFC Business licensing	1,964,000	70	70	N/A	40	70	66
1119	Tanzania	MEAC coordination and leadership	2,582,000	70	40	70	40	0	51

Annex 2b: Project Evaluation Results SO3

Project Code	Country	Project Title	Budget	Relevance	Effectiveness	Efficiency	Gender	Learning and Sustainability	Total
0923	Kenya	EATTA tea product quality standards	25,000						100
1419	South Sudan	Trading out of conflict - Promoting Women Informal Cross Border Traders in South Sudan	400,000						100
1074	Uganda	Amplifying the Influence of Women in National and Regional Trade	500,000						100
1076	Uganda	Tourism: Institutional Capacity and sustainability	336,000						96
0941	Kenya	Advocacy on the single tourism visa - KTF	102,000						93
1129	Tanzania	Support to Tanzania Private Sector Foundation (TPSF)	671,000						91
0453	Regional	Regional Coffee Export Capability	1,555,000						89
0424 & 0448	EAC	EABC institutional and advocacy support & EABC Phase II	601,590						88
0449	Regional	Consolidating Gains for Women Traders in EAC	754,000						88
1229	Rwanda	PROFEMME- women ICBT empowerment & Capacity Building to Women Cross Border Traders in Tanzania	734,000						88
0934 & 0921	Kenya	Kenya trade logistics & investment climate - KEPSA 2 & Kenya trade logistics and investment climate	1,020,000						85
1077	Uganda	National Logistics platform	205,000						85
1356	Burundi	Enhancing Private Sector Capability to Influence Trade Policy Formulation and Implementation	450,000						85
1138	Tanzania	Women Cross Border Traders in Tanzania	384,000						82
1066 & 1071	Uganda	SEATINI-capacity upgrading quality standards	330,000						82
1344	Burundi	Search for Common Ground (Phase I)	56,132						78
1131	Tanzania	Support to Foundation for Civil Society (FCS)	77,000						70

Annex 3a: Programme Level Results S01

S01 – Increased Physical Access to Markets

Intermediate Outcome: Improved implementation of transport laws and enhanced capacity and efficiency of transport infrastructure

Expected results	Indicator	Target (to be achieved during FY 2016/17)	Progress (according to latest available data)	Likelihood of goal being achieved
1. Reduced transport time and increased volumes	Average time to transport goods from Rwanda or Burundi to Mombasa Port or Dar es Salaam Port	<ul style="list-style-type: none"> • 102hrs (Burundi to Mombasa) • 92.65hrs (Rwanda to Mombasa) • 13.5 days or 324 hrs, Kigali to Dar Port 	<ul style="list-style-type: none"> • Rwanda to Mombasa Port remained similar to baseline values (4.4 days – 107hrs) • Significant improvements from Rwanda to Dar Port from 18.9 days to 10.8 days • Baseline transport times from Burundi to Dar Port were not available, achieved 11.8 days 	<ul style="list-style-type: none"> • Unlikely • Already overachieved • No target or baseline available
	Average time to transport goods from Mombasa Port or Dar es Salaam Port to Rwanda or Burundi	<ul style="list-style-type: none"> • 13 days Dar Port to Burundi • 12 days Dar Port to Rwanda • Data on other routes not available 	<p>Northern Corridor:</p> <ul style="list-style-type: none"> • No improvement from Mombasa to Rwanda (5.4 – 5.7 days), no improvement <p>Central Corridor:</p> <ul style="list-style-type: none"> • Baseline 420 hours (17.5 days) Dar Port to Rwanda, achieved 15.4 (as of June 2017) • Baseline 444 hours (18.5 days) Dar Port to Burundi, achieved 15.9 (as of June 2017) 	<ul style="list-style-type: none"> • Unlikely • Unlikely to achieve target
	Total Volume in Tonnes from EAC port to EAC +SS end user (Note: Volumes excluded from Mombasa Port excluded good to DRC. Volumes from Dar Port excluded goods to Zambia and Malawi)	<ul style="list-style-type: none"> • 25,145,820 MT (Mombasa port), • 11,000,000 MT (Dar Port) 	<ul style="list-style-type: none"> • Baseline 9,111,079 tonnes (Dar Port), achieved 11,026,531 MT (June 2017) • Baseline 21,742,280 MT (Mbsa Port), achieved 19,934,692 MT (April 2017) 	<ul style="list-style-type: none"> • Already overachieved • Unlikely
	Total Volume in Tonnes from EAC+SS producer to EAC port (Note: Goods from DRC to the Mombasa Port are excluded. Goods from Zambia and Malawi to the Dar Port are excluded)	<ul style="list-style-type: none"> • 4,707,450 MT (Mombasa Port), • 2,000,000 MT (Dar Port) 	<ul style="list-style-type: none"> • Baseline 2,166,000 (Mbsa), achieved 2,991,249 MT (April 2017) • Baseline 1,787,846 tonnes (Dar port), achieved 1,965,600 MT (June 2017) 	<ul style="list-style-type: none"> • Unlikely • Likely
1.1 Improved implementation of transport laws and enhanced capacity and efficiency of transport infrastructure	Reduction in time (in at least one direction) to cross the border at selected locations	<ul style="list-style-type: none"> • 30% for Busia, Mutukula, Kagitumba/Mirama Hills, Taveta/Holili, Kobero/Kabanga, Tunduma, Nimule/Elegu 	<ul style="list-style-type: none"> • Busia Ke - Busia Ug: 79 % reduction; Busia Ug - Busia Ke: 80 % reduction • Mirama to Kagitumba (Ug-Rw) : 25 % reduction ; Kagitumba to Mirama (Rw-Ug): 8 % increase (as of 2016) • Mutukula Tz - Mutukula Ug: 90 % reduction; Mutukula Ug - 	<ul style="list-style-type: none"> • Already overachieved • Likely • Already overachieved/likely • Likely • Unlikely

SO1 – Increased Physical Access to Markets				
			<p>Mutukula Tz : 67 % reduction as of 2017</p> <ul style="list-style-type: none"> •Taveta – Holili: 82 % reduction; Holili to Taveta: 24 % reduction in 2015, •Kobero – Kabanga: 58 % reduction; Kabanga to Kobero 26 % reduction in 2016. 	
	% of targeted borders that incorporate gender sensitive activities in tandem with statutory IBM activities	100%	100% of planned gender activities have been implemented at the 10 completed target OSBPs	• Achieved
	Average time to import/export goods through the ports of Mombasa and Dar es Salaam (disaggregated by type of cargo)	<ul style="list-style-type: none"> • 2.3 days (Mombasa Imports) • 11 days (Dar import) 	<ul style="list-style-type: none"> • Baseline Mombasa 269 hours/ 11.2 days(import), achieved 5.5 days • Baseline Dar port 384hrs/16days, achieved 11.6 days as of end of June 2017 	<ul style="list-style-type: none"> • Unlikely • Likely
	Average reduction in transit time from Mombasa to Malaba and Busia (e.g. Northern and Central Corridors)	152 hours	<ul style="list-style-type: none"> • Baseline in 2011, 94 hours(3.9 days), achieved • Mombasa to Malaba = 4.5 day/103hrs • Mombasa to Busia = 5.5 days/126hrs as of March 2017 	• Already overachieved
	% of border post and port users satisfied or more than satisfied with infrastructure facilities at targeted borders	<ul style="list-style-type: none"> • 70% for Busia, Mutukula, Kagitumba/Mirama Hills, Taveta/Holili, Kobero/Kabanga, Tunduma, Nimule/Elegu 	<p>No baseline available, achieved:</p> <ul style="list-style-type: none"> • Busia Ke, 18 %; Busia Ug, 50 % • Mutukula Tz, 79 % Mutukula Ug, 73 % • Kagitumba, 67 % Mirama Hills, 63% • Kabanga, 97 %, Kobero, 50 %, Taveta 43.5 %, Holili 45.7 % 	<ul style="list-style-type: none"> • Already overachieved in Mutukula and Kabanga • Likely in Mirama Hills • Unlikely in the remaining OSBPs

Annex 3b: Programme Level Results S02

S02 – Enhanced Trade Environment

Intermediate Outcome: Improving regional and national coordination through developing capacities of the EAC organs and institutions and Ministries of EAC in each Partner State

Expected results	Indicator	Target (to be achieved during FY 2016/17)	Progress (according to latest available data)	Likelihood of goal being achieved
2. Increased ease of trading across borders	Doing Business indicator on ease of Trading Across Borders	TMEA selected the EAC country ranks from the Doing Business sub indicators Trading Across Borders to track performance improvement in EAC trade environment. TMEA does not set targets with the World Bank or national countries on the improvements in trading across borders ranking. Observed improvements between 2010 and 2017 are: Kenya +39 positions (144 to 105), Burundi +16 positions (176 to 160), Rwanda +72 positions (159 to 87), Uganda +12 positions (148 to 136), Tanzania -71 positions (109 to 180). ²⁶		
2.1 Strengthened EAC regional trade integration capacity	Increase in the number of Common Market Protocol and Customs Union commitments (related to trade in goods and TMEA funded) annually implemented	30% of outstanding commitments as identified in the CMS implemented	19% (2015/16) ²⁷	Likely
2.2 Effective trade systems, agencies and procedures	Reduction in overall average customs clearance time (including inspections)	On average, 50% compared to baseline	2015/16 data only available for 3 countries (out of 6): South Sudan already over-achieved, Uganda already achieved, Rwanda off-track.	Likely as an average number but not for all countries
	Efficient implementation of national and regional non-tariff barriers reduction mechanisms	Increase of 15% of processes to be assisted per year	Until 2015/16 processes increased by 27%	Already overachieved
2.3 Effective regional and national framework for managing trading standards across the EAC	Increase in the total number of product standards technically harmonised at regional level	Increase of 3.5 times until 2016/17	57% of accomplishment by 2015/16	Unlikely
	Number of additional tests performed by National Bureaux of Standards	Increase of 15% in average	For Kenya already achieved and other countries on track	Likely
	Reduced testing time (selected ones)	Reduction by 75% (average) by 2016/17	80% in average by 2015/16	Already overachieved
	Number of SMEs certified by NBS	70 companies by 2016/17	91 (2015/16)	Already overachieved
	Number of Mutual Recognition Agreements approved and implemented (regional and bilateral)	5 by 2016/17	No progress reported	N/A

²⁶ Source: TMEA Results Framework and World Bank Doing Business reports. It should be noted that the methodology for calculation changed in 2015, but the trend in the positive improvement in the relative position of East African Countries holds.

²⁷ This and all remaining indicators in this table report following TMEA results framework.

Annex 3c: Programme Level Results S03

S03 – Improved Business Competitiveness

Intermediate Outcome: Enhancing business regulations for trade, improving export capability and developing efficient trade logistics services

Expected results	Indicator ²⁸	Target (to be achieved during FY 2016/17)	Progress (according to latest available data)	Likelihood of target being achieved
3.1 Enhanced business environment for trade	Number of new/revised policies adopted	28 policies	52 policies (2015/16)	Already overachieved
	Number of new/revised policies adopted that address gender specific issues	19 policies	6 policy reviews finalized and 5 more in process (2015/16)	Unlikely
3.1.1 Private sector/ civil society-led policy formulation	Number of PSO/CSO recommendations adopted	95 recommendations	89 (2015/16)	Likely
	Number of recommendations specific to women traders adopted	22 recommendations	3 (2015/16)	Unlikely
3.1.2 Improved processes for traders, especially women	Reduction of time spent crossing the border for small traders, women traders etc.	75% reduction	75% reduction achieved at 5 borders (2015/16)	Accomplished
	Increase in number of women traders facilitated to trade formally across borders	At least 2,000	11,750 (2015/16)	Widely overachieved
	Increase in number of traders knowledgeable of the key trade processes across the EAC	8,300	14,675 (2015/16)	Widely overachieved
	Average increase in annual income recorded by targeted women traders	No baseline. Sample of Women traders recorded increase in cross-border trade from \$620 to \$1247 from TMEA survey		
3.2 Improved Export Capability	Increase in export revenue on TMEA supported interventions	At least 15% increase- regional; 40%-Rwanda; 60%-Kenya	Evidence of increases in each country but data from Kenya not yet available.	Target cannot be assessed
	Number of entities certified, disaggregated by gender	At least 16 (10 coffee washing stations/ 6 grain warehouses) Total 37- regional; 20-Rwanda; 1750-Kenya	5 farmer groups certified by TRAC 12 Coffee farming groups certified by TWIN	Unlikely

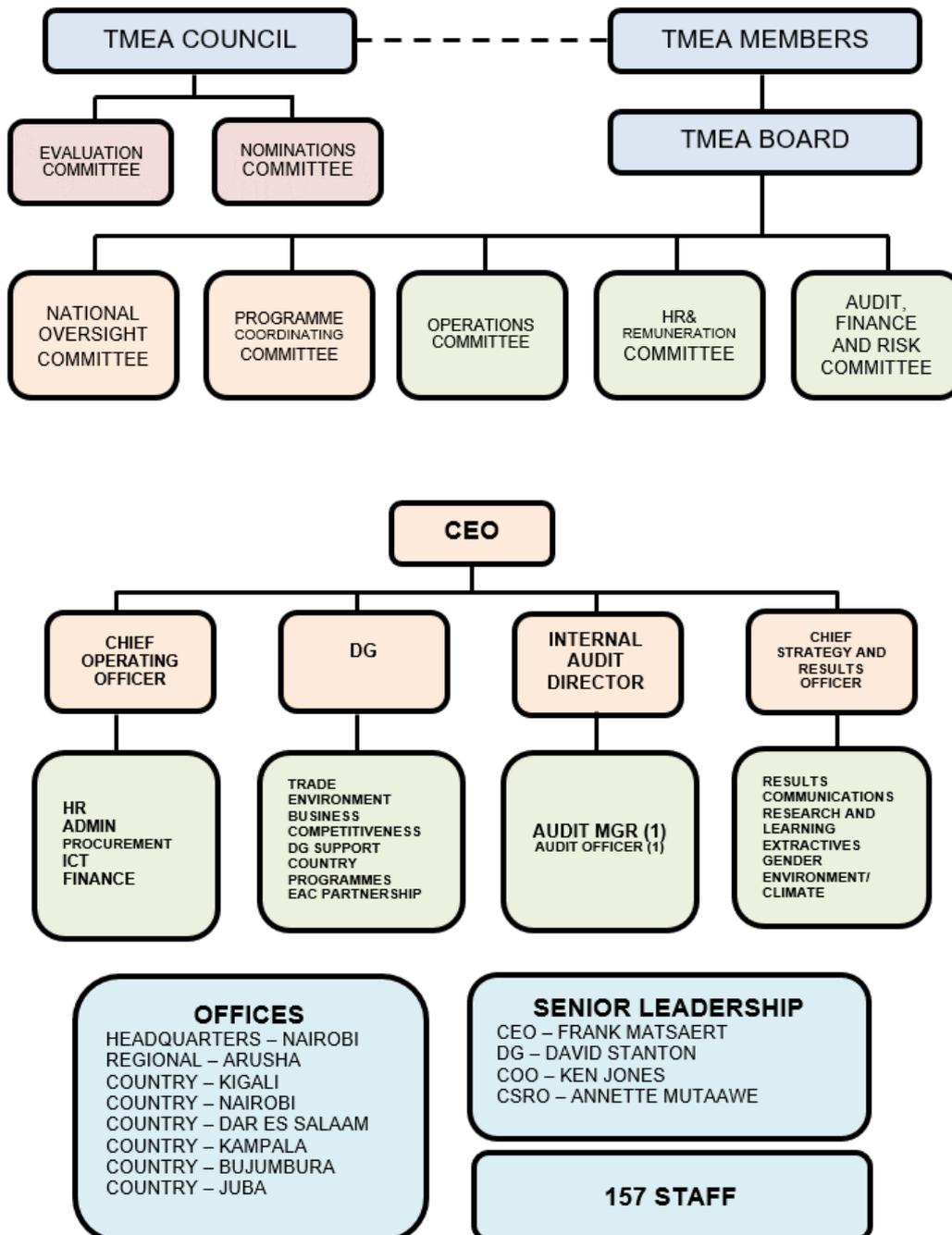
²⁸ All indicators and progress of achievement reported according to TMEA results framework.

SO3 – Improved Business Competitiveness				
	Number of direct and indirect jobs created by TMEA export capability interventions	45 permanent jobs TRAC. Remaining 13 projects to increase in volume	Cumulative jobs- Regional 1247 (345 permanent)	Achieved
3.2.1 Improved quality & standards of goods and services	% reduction in total number of metric tonnes of export cargo rejected at select borders and warehouse facilities	10% Year 1 Overall Target: 15% decrease in post-harvest losses in warehouses = 9,000 MT- regional; 30% reduction- Uganda	Rwanda: n/a Uganda: 75% reduction (135kg)	Partially achieved (Uganda)
	Number of entities (companies, farmer groups) implementing trading standards disaggregated by gender	TBD - Regional; 3- Rwanda; 100- Burundi; 60-100- Uganda;	Regional 17 entities received certification, Rwanda- 37 companies Burundi-116 companies Uganda 13210 farmers trained on EAC Maize standards. Cumulatively 17,575 trained.	Not assessable
3.2.2 Increased Trade in Services	Number of mutual recognition mechanisms operational	2 new MRA (Tourism sector) for 3 partner states (Northern corridor) and implementation of agreed modality for services	Regional: Cumulative 2:-. Hotel classification harmonised and Joint marketing services- tourism campaigns harmonised.	achieved
	Number of business partnerships and multi country products established and sold on TMEA supported interventions	Regional (landlocked countries)- 6 EATP- 150 Burundi-5	Regional cumulative:53; 44 companies established partnerships Burundi- no progress	Partly achieved
	Number of entities accessing new markets disaggregated by country	At least 5 CWS and 50 cooperatives- Regional; 8- Rwanda; 20- Burundi; 100- Kenya	Regional Cumulative:4 farmer groups; 3 Associations 150 women owned SMEs in coffee. Kenya 140 farmer groups Rwanda 21 agri companies Burundi 10 companies exporting Uganda 24 tourism companies	Partly achieved

SO3 – Improved Business Competitiveness				
3.3.1 Effective and Innovative logistics service	Increased compliance with road regulations amongst trained truck drivers	50% increase in level of knowledge.	Project suspended. 53 drivers changed	Not likely to be achieved
	Fuel consumption reduction rate	Saving of 1500 litres/annum/truck for trained drivers		
	Number of new innovations in logistic supported through the LIFT grant fund.	5		

Annex 4: TMEA Governance Structure

Figure 5: Current leadership and management structure



Annex 5: Survey Questionnaire- SO2 and SO3

TMEA effectiveness and outcome assessment (WS2) - questionnaire

Project title				
Project no				
Country				
Duration				
Status				
Total budget (committed)				
Strategic pillar				
Key objectives				
Number	Question	RAG	Notes for interviewer	Comments from site visit/project interviews
Relevance				
DEQ1.1	To what extent are TMEA projects' intended outputs generally consistent with the programme ToC?			
DEQ1.6	To what extent has TMEA been able to achieve expected outcomes (for finalised projects) and what is the general likelihood of ongoing projects achieving their outcomes?			
1.1.1	Are the intended objectives of the project consistent with the TMEA ToC?	Green	This is likely to be the same as the desk analysis unless the interlocutors feel otherwise. What matters here is the degree to which it is meeting the specific needs of the country/region.	
1.1.2	Are the intended objectives of the project consistent with the TMEA Country Strategy?	Amber	Leave blank if it is a regional programme	
1.1.3	Is the project meeting the priority trade enabling needs of the country as identified by project stakeholders?	Green	This is a judgement of the evaluators. It is very unlikely that the project will not be relevant but the stakeholders may have comments on the extent to which it was a priority of the trade enabling needs of the country (and these may differ from those identified in the TMEA Country Strategy). This question touches upon the Paris Declaration Principles.	
DEQ1.4	Who were/are the main beneficiaries of the outputs? Are there organisations or groups of people who are negatively affected by the outputs?			
1.4.1	Was an adequate assessment of the potential negative impacts of the intervention on specific target groups conducted ex ante?	Green	Was adequate consideration given to considering pro-poor/inclusion issues and or the potential negative consequences on key group.	
SECTION RATING	Amber		Red, Amber, Amber-Red, Green	
Effectiveness				
DEQ1.2	Were outputs achieved in accordance with plans/expectations and within budget? For ongoing projects, what is the likelihood of achieving the outputs targets within the project time-span?			
1.2.1	Are the intervention's outputs as designed likely to be achieved?		Note this is not about the satisfaction of the stakeholder, it is about the extent to which the intervention as designed was achieved: Exceed expectations; Met expectations; Partially achieved; Not achieved.	
1.2.1a		Exceeded expectations	Insert the key outputs from the results chain	
1.2.1b		Exceeded expectations	Insert the key outputs from the results chain	
1.2.1c		Met expectations	Insert the key outputs from the results chain	
1.2.1	Overall Achievement	Met expectations	This should be a summative assessment based on relative weighting and importance of outputs	
1.2.2	Have there been some achievements by the projects which were not expected or designed?	N/A	Note this is about any unintended consequences of the project. Yes, No, N/A	
DEQ1.3	What constraints were/are encountered in achieving the outputs? What are the main reasons for non-achievement of the outputs (if any)?			
1.3.1	Have the major expected external constraints in achieving the outputs been addressed effectively?		Constraints should be assessed in terms of the preparedness of the project to deal with known constraints and the extent to which there was an adequate risk mitigation strategy to deal with	
Constraint 1		Met expectations	Populate from desk phase and risk management matrix	
1.3.2	Have the major unexpected external constraints in achieving the outputs been addressed effectively?		Constraints should be assessed in terms of the preparedness of the project to deal with known constraints and the extent to which there was an adequate risk mitigation strategy to deal with unexpected constraints. Exceed expectations; Met expectations; Partially achieved; Not achieved.	
Constraint 1		Met expectations	Populate from desk phase	
1.3.3	Have the major internal constraints been effectively managed in achieving the outputs?		Effectiveness of the management of the project. Exceed expectations; Meet expectations; Partially achieved; not achieved. Note if there were no internal constraints then this is green but we need to be forensic here to find out what is being hidden from us!	
Constraint 1		Met expectations		
1.3.4	Overall assessment of effectiveness in managing constraints	Partially achieved		
DEQ1.4	Who were/are the main beneficiaries of the outputs? Are there organisations or groups of people who are negatively affected by the outputs?			
1.4.1	Were potential negative impacts on key target groups adequately assessed in the design of the intervention?	No	Yes/No N/A. Note this question is not really relevant to projects such as support to standards or where there no identifiable beneficiaries	
1.4.2	How well were the negative consequences on target beneficiaries addressed by the intervention?		Very well managed; effectively managed (according to expectations); partially managed; Not managed	
Target Group 1		Effectively managed		
1.4.3	Were there any negative impacts on key target groups that should have been identified and addressed in the intervention but were not?	N/A	Yes/No/N/A... If Yes Comment	
DEQ1.5	To what extent have supported organisations (i.e. the implementing partners) built capacity and capability on relevant trade-related matters?			

TMEA evaluation – Deliverable 6B/2F: Summary of Preliminary Evaluation Findings

DEQ1.5 To what extent have supported organisations (i.e. the implementing partners) built capacity and capability on relevant trade-related matters?				
1.5.1	Did capacity building a feature in the design of the intervention?		To a major extent, To a minor extent, No, N/A	
Capacity building 1		Exceeded expectations	Description of capacity building undertaken. Note we may categorise this into different types of training, coaching, technical transfer etc. Assess effectiveness according to whether it: Exceeded expectations; met expectations, partially met expectations, was inadequate.	
Capacity building 2		Exceeded expectations	Description of capacity building undertaken. Note we may categorise this into different types of training, coaching, technical transfer etc. Assess effectiveness according to whether it: Exceeded expectations; met expectations, partially met expectations, was inadequate.	
DEQ1.6 To what extent has TMEA been able to achieve expected outcomes (for finalised projects) and what is the general likelihood of ongoing projects achieving their outcomes?				
1.6.1	Are the outcomes as expected by the design of the intervention likely to be achieved?		Note this is not about the satisfaction of the stakeholder; it is about the extent to which the intervention as designed was achieved: Exceed expectations; Met expectations; Partially achieved; Not achieved.	
1.6.1b		Partially achieved	Insert the key outcomes from the results chain. N.B there should not be more than two	
1.6.2	Are there any unexpected outcomes as a result of the intervention?		Free text - note distinction from 1.2.2	
SECTION RATING		Green	Red, Amber, Amber-Red, Green	
Efficiency				
DEQ1.7 To what extent does TMEA have the management arrangements, systems, processes and human resources appropriate for carrying out its mission (i.e. how suitable are these for the purposes of carrying out its activities)?				
1.7.1	How well has TMEA support been managed? How would you describe your relationship with TMEA? What works best in your relationship with TMEA? What works less well in your relationship with TMEA? Are TMEA good communicators?	Managed according to expectations	Very well managed; managed according to expectations; some issues of concern; major concerns, N/A. Provide comments taking into account perspective of TMEA support to key project stakeholders.	
DEQ1.8 To what extent do TMEA's financial (including procurement), human resource and risk management processes enable it to efficiently and effectively manage its contractual relationships with implementing partners?				
1.8.1	How well has TMEA procurement been managed? What is your opinion of the TMEA processes and procedures relating to your project? Do they add value? Why?	Managed according to expectations	Very well managed; managed according to expectations; some issues of concern; major concerns, N/A. Provide comments taking into account perspective of TMEA procurement support to key project stakeholders.	
SECTION RATING		Green	Red, Amber, Amber-Red, Green	
Gender				
1.8.2	Are gender-sensitive strategies and implementation plans incorporated and reflected in the activity budget of the project?	Green		
1.8.3	Have gender-sensitive indicators, including impact indicators, been developed for monitoring and evaluation of the project? If not, will they be?	Amber	Specific means have been included to help ensure equitable control by women and men over the activity output. This should be completed as part of the desk phase and then validated in the field. Potential questions include: Do you monitor by gender? Do you have a gender policy?	
1.8.4	Have gender-sensitive consultation been carried out at all levels and stages of the project?	Green		
SECTION RATING		Green	Red, Amber, Amber-Red, Green	
Learning and Sustainability				
DEQ1.9 To what extent do the processes TMEA have in place promote organisational learning and sharing of good practices?				
What is the legacy? How will the project be managed after the TMEA project ends?				
DEQ1.10 Are the M&E tools and processes in place appropriate, both in regard to results and in regard to finances? How could they be strengthened?				
Comments				
SECTION RATING		Amber-Red	Red, Amber, Amber-Red, Green	
WS2B - Institutional assessment questions				
Q3: What is your opinion of TMEA as a regional trade agency? What does it do well? What could it do better? In your opinion, is TMEA perceived to be a credible and effective trade facilitator in east Africa and in your country? Why?				
Comments				
CONCLUSION AND OVERALL ASSESSMENT				
Summative rating of project	Green			
Comments				

Annex 6: Assessment of Monitoring and Evaluation Function²⁹

Annex 6 offers a background review for answering the evaluation question.

DEQ1.10: Are the M&E tools and processes in place appropriate, both in terms of results and in terms of finances? How could they be strengthened?

The assessment team first maps out the current TMEA monitoring system, based on interviews with staff from the TMEA M&E team, and where relevant highlights key issues within that process. We have drawn on our experience conducting the output and outcome evaluation for Deliverable 2D/2E, working with 5 country offices³⁰ and reviewing 40 projects.

Common problems encountered with M&E reporting are outlined. Evidence from the analysis of both the process and the monitoring reports is used to present a series of recommendations for improving monitoring processes in the future.

Mapping the TMEA Monitoring System

The TMEA monitoring system is based on quarterly self-reporting by partner organisations, using a monitoring system agreed upon by the project implementation team, the M&E team and the partner institution. The monitoring system consists of the results chain, the logframe, the monitoring framework and the monitoring budget. The results chain is a simplified theory of change which sets out the objectives of the intervention, the causal impact pathway and key assumptions behind the intervention logic.

The TMEA M&E team initially encourages the partner organisation to take the lead as much as possible in developing the monitoring system, including the development of key output indicators for regular reporting, with the aim of encouraging ownership and being engaged with TMEA understanding of the system.

Over time the TMEA M&E team increase their inputs with each partner and then prepare a Results Curriculum for TMEA project implementation staff and partner institutions. To help achieve buy-in from TMEA implementation staff, a team member is designated as an “M&E Champion” to act as a focal point for M&E. Where appropriate, some TMEA projects now receive a baseline study at inception, but this is a relatively recent component to the TMEA monitoring framework, and follows initial feedback on TMEA monitoring systems that suggested that without baselines it was very difficult to evaluate progress.

After inception, partners send TMEA a quarterly monitoring report. This report is manually uploaded onto the management information system (MIS) system by a member of the TMEA M&E team, using a pre-set template. A meeting of all relevant stakeholders on the TMEA side, including an M&E representative, is held to discuss the report’s contents and to send comments back to the partner institution. Having received comments from TMEA, the partner organisation submits a revised version of the monitoring report, with the updates requested by TMEA. This amended report is then manually re-submitted into the TMEA MIS system. Completed reports are compiled into programme reports, strategic objective-level reports, and corporate reports.

Six months before project completion, partner organisations are asked to begin working on an end-of-project report. This report is submitted to TMEA, who respond with comments and clarifications. If planned and budgeted, an endline survey is carried out by the partner organisation. Having responded to all the comments submitted by TMEA, the partner submits a final project completion report.

A quality assurance system is in place, which consists of evaluating a project’s set of monitoring reports, monitoring plan, work plan, risk matrix and results chain against a set checklist. The checklist does not focus on individual monitoring reports, but rather on the monitoring system as a

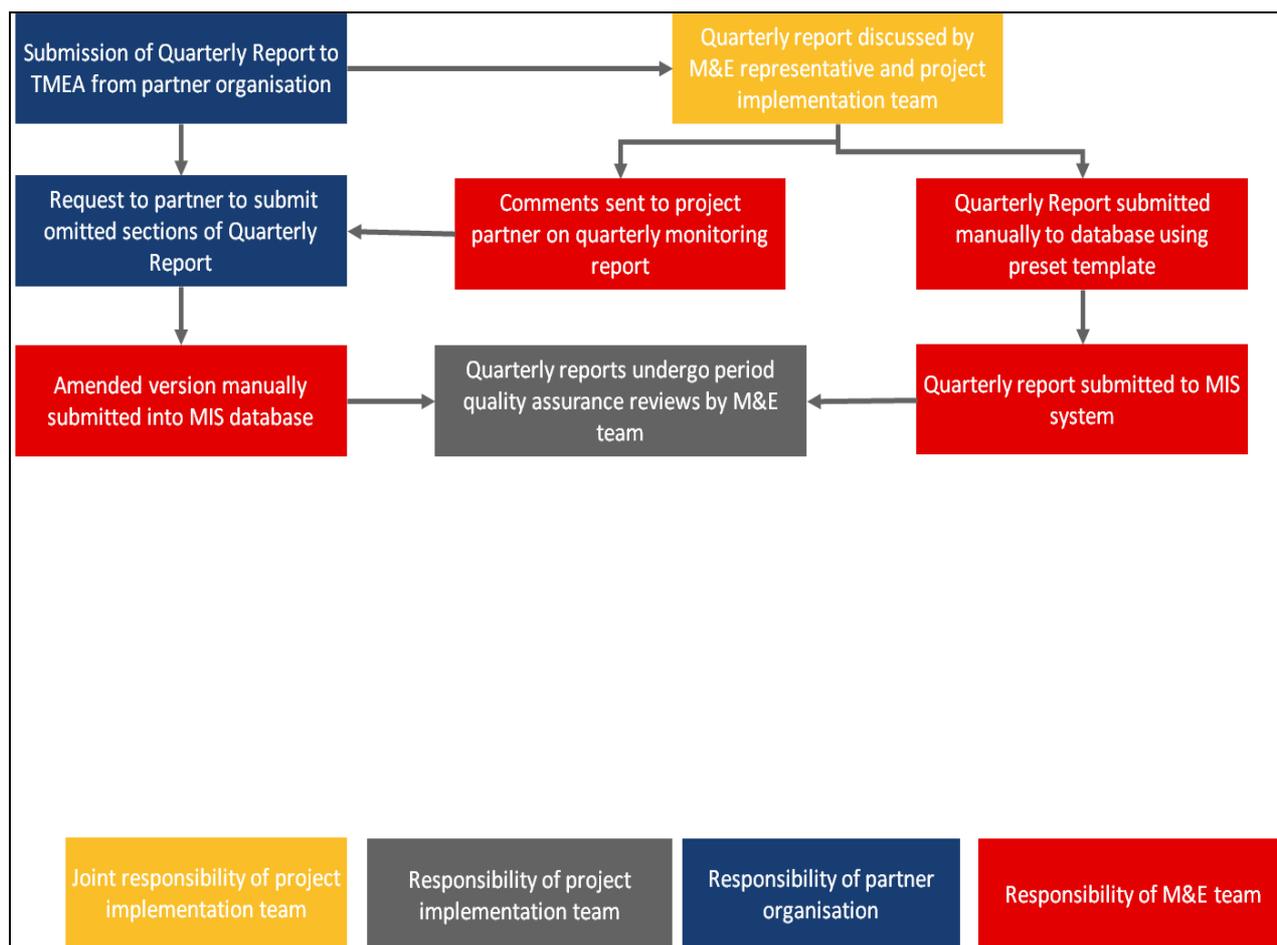
²⁹ Also Annex H of Report 2B

³⁰ Nairobi, Dar-es-Salaam, EAC (Arusha), Kigali, Kampala and Bujumbura

whole. It includes a technical evaluation of the monitoring plan, but not a verification or validation of results. The checklist is shown below.

Table 5: Monitoring and Evaluation Checklist

	Project Element
WORK PLAN	Have all activities been logically sequenced and linked to the supporting outputs?
	Has the amount of time required to start and complete activities and outputs been accurately estimated?
	Do all project outputs have clear and detailed descriptions?
	Has the work plan been updated since the project was initiated to reflect new developments?
MONITORING PLAN	Does the project have a result chain that logically articulates what the project seeks to achieve and how?
	Have all the critical indicators for each important step in the results chain (specifically key outputs and end of project outcomes aligned to the corporate/ national level results framework) been identified and defined?
	Have all project outputs been logically sequenced and linked to the supporting project outcome(s)?
	Do all critical indicators have clear, correct and comprehensive methodology on how progress will be calculated and analysed?
	Do all the critical indicators have baseline information (qualitative or quantitative)?
	Where baseline information is still required, is there a plan and timeline for when baselines will be collected?
	Have all the targets for all the relevant indicators being monitored been set? And the dates when targets will be reached entered into the MIS?
	Is the Monitoring Plan updated to reflect actuals on targets?
RISK PLAN	Have all the risks identified been clearly and comprehensively evaluated? Do they have practical mitigation actions?
	Has the risk matrix been updated at least once every six months to reflect new developments?

Figure 6: TMEA Monitoring and Evaluation Checklist- Current Process

A number of issues in this M&E process have been identified, which has resulted in some processes being changed or adapted. Some of the key issues are as follows:

- **Partners have very limited M&E experience.** Although the TMEA M&E team have tried to remedy this with their Results Curriculum, partners often struggle to develop coherent monitoring plans. The emphasis on partner organisations taking the central role in the development of monitoring system means that indicators are sometimes not appropriate, and outputs, outcomes and impacts are frequently confused.
- **Arranging meetings with all relevant stakeholders can be challenging.** The above process calls for a meeting to discuss each quarterly monitoring report. Gathering together all relevant stakeholders in a timely fashion can be difficult, given that some team members may be travelling or busy on other projects. For more complex projects, team members may be stationed across multiple different locations. Furthermore, since quarterly monitoring reports are all submitted at the same time, this places additional pressure on organising meetings. The result is that some meetings are delayed or cancelled.
- **Comments on monitoring reports sometimes reach partner institutions shortly before the next report is due.** Comments are meant to be submitted to the partner organisation following the meeting on the quarterly monitoring report. This meeting is often delayed, as explained above. One consequence of that is that comments sometimes only reach partners shortly before the next monitoring report is due. In light of that impending deadline, partners often focus on completing the next round of quarterly monitoring reports rather than addressing comments on prior reports.
- **Manual submission of monitoring reports can delay updating monitoring reports.** Monitoring reports are manually uploaded onto the management information system using pre-set templates. Amended or revised monitoring reports are sometimes not uploaded, due to the time resources involved in manually uploading documents and the pressure to finalise project

reports so that programme reports and corporate reports can be prepared. This can lead to some confusion in tracking progress achieved and the time of milestones met.

- **There are limited consequences for partners as a result of not responding to comments.** The current process does not imply any repercussions or consequences for failing to amend a monitoring report following TMEA comments. Some partners, particularly in the private sector, were not particularly responsive to requests for amendments or clarifications. Under a grant scheme, payments can be withheld, but in the case of TMEA, it is sometimes difficult to withhold payment from the beneficiary institution, as they are not contractually involved to deliver to TMEA.
- **Quality assurance reports are often not followed up.** The quality assurance checklist, shown above, can be used to highlight where projects have selected indicators of little value, have not updated indicators, or otherwise have gaps within their monitoring framework. However, the process of following up on quality assurance reports is not clear, with responsibility for updating reports falling to TMEA implementation staff rather than M&E staff.
- **Monitoring budgets are often reappropriated for other uses.** While endline surveys may be planned and budgeted, partners often use these funds for meeting unplanned costs. Final evaluation is not seen as a priority by partners and thus they reallocate those funds. TMEA requests for more data at project completion sometimes go unanswered due to a lack of available funds, regardless of what was in the original budget.

Evidence on the quality of M&E from the output and outcome assessments

As part of the on-going independent evaluation of TMEA, IPE Triple Line carried out an assessment of outputs and outcomes of a representative portfolio of TMEA projects. 20 projects were visited and were assessed using desk reports and interviews with TMEA staff, partner organisations and, where possible, final beneficiaries. A further 20 were assessed using desk reports. This provided ample evidence for the quality of TMEA's monitoring systems.

A key issue in undertaking the evaluation was that the base project documentation supplied was insufficient to conduct an analysis of the output performance of the portfolio. There was a common misspecification and confusion between outputs, outcomes and impact in the monitoring frameworks. These issues have been recognised internally by TMEA; the Concept Paper for the TMEA Special Purpose Taskforce – Managing for Change – noted in the problem statement the “poor quality of key project documents including PARs, M&E plans and reports”.

The quality of reporting varied between countries but in making an overall assessment of the quality of evidence, a distinction needs to be made between the evidence that is available on the TMEA MIS system and provided in the standard monitoring reports, and other documents which were made available to the evaluation team on request during the site visit. The evaluation team observed that the TMEA staff were “on top of their projects” and had evidence of progress, but this was not contained in project documentation.

This issue particularly affected the desk assessment of projects and in many cases necessitated interviews with a project manager or requests for additional information from TMEA in order to obtain a full and detailed view of project progress. In particular, the lack of rigour and standardisation of project reporting with regard to evidence has made it difficult in places to verify the performance of the portfolio.

In some cases, TMEA has contracted independent evaluations of projects which support the evidence base of the portfolio. The main area of shortcoming is the quality of the self-reported monitoring reports provided to TMEA, many of which do not appear to be verified, checked for consistency or quality assured.

The following key issues were identified:

1. Poor alignment between PAR, M&E framework and monitoring reports

In many cases, there were clear inconsistencies between the outcomes, outputs and activities defined in the project appraisal report (PAR) and those used in the monitoring report. It was not clear whether the project had therefore changed, or whether the process of constructing an M&E framework had resulted in changes. More importantly, it sometimes became unclear what the precise outputs of the project were meant to be, and how they linked to the outcomes. It was also noted that there was inconsistency in the M&E frameworks, as some were structured in Excel, while some were Word document templates. These were difficult to link to the quarterly and annual reports, some of which contained long lists of activity indicators which were not linked or categorised according to outputs or outcomes, or clearly shown as being reported against the monitoring framework.

2. Finalisation of documentation and basis of performance assessment.

There was often a complete disconnect in terms of budgets, milestones and milestones between the project PAR and the monitoring reports. As a minimum, it would be expected that there should be a final project document on which the milestones and targets are set and/or a clear paper trail on the agreed change in the budgets, milestones and target is documented.

3. Issues with the quality and structure of quarterly and annual reports

The monitoring reports, both quarterly and annual, are not structured in a way which provides the reader with a clear sense of past achievements and current progress. In particular, the narrative sections of the report would have benefited from additional contextual information to assist in making sense of the activity and output indicators that were included.

As a result, it was generally difficult to ascertain what had been planned compared to what was actually delivered. Where this information did exist, and it was clear that an activity or output had not been achieved as planned, there was often no accompanying explanation or revised date for delivery. Furthermore, there was often little analysis of how this drift from the project plan might affect overall project progress. The quality of reporting provided by the partners to TMEA would suggest that many of these reports have not been validated, analysed and quality assured by TMEA staff.

4. Unclear evidence

A specific area of concern was the lack of evidence provided in the reports. Quarterly and annual reports did not present or reference the means of verification of the indicators reported against, and there was no sense that this had been checked by TMEA. Likewise, the monitoring plans largely did not include the means of verification that would be required against each output or activity indicator. Combined with the lack of analysis in the reporting, this often meant that it was unclear what had simply been reported by the project, what had been verified by the PM, and what type of supporting evidence had been provided. This is not to suggest that the projects are not achieving these outputs, simply that the reporting does not systematically and clearly provide this information.

The evaluators were often provided with the evidence, but this was the result of identifying inconsistencies in the project reporting. It must however be emphasised that in cases where TMEA were asked to provide data on the relevant outputs, they were generally able to provide the evidence. Therefore, TMEA has a large body of evidence and supporting information, but the basic reporting and recording of project deliverables requires improvement.

5. Poorly chosen indicators

Indicators frequently offered little value as to the extent of progress towards outputs and outcomes. Quantitative indicators often failed to capture the full impact of an activity, a point that was made by both partner organisations and TMEA staff. For example, projects under SO3 which were engaged in advocacy often had outcome indicators related to 'number of amendments to legislation'. As

partner organisations and staff within the SO3 team suggested, this indicator prioritised the number of amendments to legislation, rather than the value of each amendment. There were similar issues with quantitative indicators related to technical assistance, or to information dissemination. Partner organisations appeared wedded to using quantitative indicators, even when they had little purpose.

6. Limited disaggregation by gender or youth

Projects are rarely disaggregated by gender or by youth, making it difficult to evaluate levels of distribution that were gender-based or age-based. Even for projects which are specifically focused on gender, indicators are frequently not gender-disaggregated, making it difficult to tell the full extent to which projects are successfully targeting gender-specific problems. For example, projects working with women cross-border traders (WCBTs) used indicators related to the time it took for WCBTs to pass through formal border posts. Through the duration of the intervention, the crossing time fell significantly, from two hours to 15 minutes. However, there was no data point relating to the amount of time it took for male traders to cross the border posts. Without that data, it is impossible to know the extent of gender-based discrimination in this area. TMEA have begun to focus more on mainstreaming gender within M&E.

7. Incomplete compilation of monitoring reports

The evaluation team were frequently given an incomplete set of monitoring documents. A full set would have been the PAR, the logframe, the results chain and all of the quarterly and annual monitoring reports since inception. In some instances, TMEA staff were able to provide additional reports upon request, but it was still not common to find a complete set of quarterly reports since project inception. This could be because of the manual submission of quarterly reports, although that is unconfirmed.

8. Progress towards corporate outcomes difficult to track

The TMEA results framework puts a lot of effort into defining detailed indicators and sub-indicators for corporate outcomes and tries to update available information as often as possible. It fails, however, to provide at a glance an overview about the level of progress towards specific outcomes and milestones under each Strategic Objective. All required information is available but it is not provided in a reader-friendly and evident way (such as in Tables 5 and 6 of this report).

Annex 7: Stakeholders Consulted

Key Stakeholders Interviewed SO1

Name of individual/group	Brief overview of topic	Date
TMEA	Construction of work programme	6/3/17
Peter Omondi, Regional Expert	Detail of individuals to see (TMEA overlooked making appointments)	7/3/17
Federation of East African Freight Forwarders	Cooperation at regional and national level	9/3/17
E. Nanyara, TMEA for Trade Facilitation	NTBs and effect on time release	9/3/17
J. Rotich, Dept. of Trade (external)	Timescale for completing Single Customs Territory	9/3/17
R. Okoth, Dept. of Trade (internal)	Documentation at OSBPs	9/3/17
J. Wakhungu, Min. of Integration (EAC)	Future of domestication of EAC laws	9/3/17
L. Ikonya, Kenya Bureau of Standards	Harmonisation of standards between member states	10/3/17
K. Were, Kenya National Chamber of Commerce	Business concerns over OSBPs	10/3/17
B. Kagira, TMEA Technical Assistant for Trade Policy	Customs duty at external borders	10/3/17
Paul Omondi, KeNHA	Completion of infrastructure at OSBPs	11/3/17
Regional KRA Director and OSBP managers	Discussion on organisation and structure	13/3/17
Manager and staff, Busia OSBP, URA	Walkthrough	13/3/17
Manager and staff Busia KRA and URA	Walkthrough and discussion	14/3/17
Manager and staff, Malaba KRA and URA	Walkthrough and joint meeting	14/3/17
Regional KRA Director and OSBP managers	Wash-up	15/3/17
Manager and staff, Kagitumba URA and RWA	Walkthrough and joint meeting	16/3/17
Meeting with TMEA, Kigali	Discussion on emerging findings	17/3/17
Team meeting	Reporting	17/3/17

List of people met: Kajitumba OSBP / Mirama Hills

Names	Organisation	Email
Akayen Godfrey	Directorate General of Immigration and Migration	gakayezu@migration.gov.rw
Makgem Rodgers	Police – Uganda	rogersmangeri@gmail.com
Kweezi Ronald M.	URA	rkweezi@urag.org
Sgt Kwizwra Joseph	Staff RT80	kwizerajoseph02@yahoo.com
Tumuebaze Judith	Clearing Agent	Tumuebaze.judith@yahoo.com
Ssali K. Harrison	Immigration – Uganda	ssalikharr5@yahoo.co.uk
Bwansi Fred	Biso Mirama Hills, Uganda	bwasiffred@yahoo.com
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Boyumoi Dominiga	Security Officer	bengumoidom@gmail.com
Munyankindi Cossein	Police	Mcassien40@gmail.com
Fred Nziza	L/O – And (RDA)	nzizafred@gmail.com
Mujumi Julius	Police, Mirama Hills, Uganda	
Nyiri Ndekwe Jean Pierre	RSB (Inspector)	mjurindekwejeanpierre@gmail.com
Peter Omondi	Evaluation consultant	Peter_omondi@yahoo.com
Thomas Otter	OPM	thmottes@gmail.com
Ian Scott	Evaluation TFAN	ian.scott1lu@btintarant.com

BUSIA OSBP (Uganda) 13/3/2017

Ssozi Geoffrey Kawere	Sup. Customs Busia
Mr. Egesa Arafat	C./Man Uganda Clearing and Forward
Muhumuza Wilson	Chairman, Exports
Dr Michael Kimanga	V.I. MAAR
Akiyo Michael Kibaya	Customs
Amule Middy	Trade Information Desk Officer (TIDO)
Oyesigeu Wycliffe	Customs Agent
Obaage Kalemba	Customs Agent
Mukose Fred	Customs Agent
Namaasi Daniel (Asp)	Police
Bwire Fredrick	Customs Agent
Wafula Francis	Customs Agent
Mubiru Julius	Customs Officer
Swaga Baliddana Siragi	Immigration
Emmy Walukhu	URA Officer
Lawrence George Christopher	URA Officer

Country	Name	Organisation
Uganda	Ssozi Geoffrey Kawere	URA – Customs
Uganda	Ojatum Michael	TMEA
Uganda	Muhumuza Wilson	Detta Forwarders
Kenya	Davis Kiprop	KRA
Kenya	Everlyne Waula	Port Health
Kenya	Robert Odhiambo	KRA
Uganda	Emmy Walukhu	URA
Uganda	Mukose Fred	Customs Agent
Uganda	Mubiru Julius	Customs Officer
Uganda	Oyesigye Wycliffe B.	Customs Agent
Kenya	Florence Otieno	Women Cross-Border Traders Association (WCBTA)
Kenya	Baliddawa Sinaga Siragi	Immigration
Kenya	Beatrice Sakwa	EAC
Kenya	Chemusto Musa	Boda L/Officer
Uganda	Akinyi Michael	Customs (URA)
Uganda	Dr Michael Kimanga	MAAIF
Kenya	Ndeda Washington	TIDO
Kenya	Edan Mudibo	TIDO
Kenya	Fridah Oyugah	Cross-border female trader
Uganda	Bwoya David	Customs
Uganda	Obaage Kalemba	Customs Agent
Uganda	Bakulupasi Dan	Uganda National Bureau of Standards
Uganda	Auma Annet	EASSI
Uganda	Mariam Babu	Cross-Border Traders Association (CBTA)
Uganda	Egessa Paul	UCIFA
Uganda	Lonja Mike	Customs Agent

Country	Name	Organisation
Uganda	Obura Justus G.	UCIFA
Uganda	Wafula Francis	UCIFA
Uganda	Egessa Arayaf	Chairman CUIFA
Kenya	Denis Onyango	Kenya Bureau of Standards (KEBS)
Kenya	Paul Macharia	Immigration
Uganda	Omolo Godfrey Ongwese	CBTA (Chairman)
Uganda	Amule Middy	TIDO
Uganda	Malinzi James	Manager Export
Kenya	David K. Kimetto	Security
Kenya	Daniel Muturi	TMEA
Uganda	Ayese Silvanus	Security
Kenya	Elizabeth Emodo	CBTA
Uganda	Kenyatta Patrick Wanjala	CBTA

BUSIA OSBP 14/3/2017: Meeting with the Cross-Border Traders

Country	Name	Association	Contact	Number of members
Kenya	Florence Atieno	WCBTA	0725 204013 floridaafis@gmail.com	12,357
Uganda	Barasa Abdul	Uganda National Chamber of Commerce and Industry	0772 481826 homeparkgardens@yahoo.com	
Kenya	Fridah Oyugah	Wamama Pamoja Busia Cross-Border Cooperative	0717 938185 tabufridah@gmail.com	500
Uganda	Ndeda Washington	Trade Information Desk (TID)	+256 774340012 ndedawashingtone@yahoo.com	Facilitate
Uganda	Mariam Babu	Chairperson, Busia WCBTA	0772 962010 mariambabu55@gmail.com	
Kenya	Elizabeth Emodo	WCBTA	0723 268851	
Kenya	Edina Mudibo	WCBTA	0711 484374 akelomudibo@gmail.com	
Uganda	Kenyatta Patric Wanjala	C/P CBTA – Busia	+256 77547704 kepwa52@yahoo.com	
Uganda	Amule Middy	TIDO	+256 782928368 amulemiddy@gmail.com	
Uganda	Auma Annet	EASSI	+256 777054993 aumaannet23@gamil.com	
Uganda	Oundo Godfrey Ongwabe	Chair, CBTA, Uganda	+256 772684078	15,560

Malaba OSBP 14/3/2017

	Name	Association	Contact
Kenya	Benson Kisilu	KRA	kisilu@kra.org
Kenya	Ernest Ndunda	KRA	ndunda@kra.org
Kenya	Milton Anono	Ministry of Health – PPB	milton@pharmacyboardofkenya.org
Kenya	Edgar Ocharo	KEPHIS	eocharo@kephis.org
Kenya	Hudson L. Sivitali	KEBS	sivitarih@kebs.org
Kenya	Felix Kitavau	NIS	willykitavali@gmail.com
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Kenya	Daniel Muturi	TMEA	daniel.muturi@trademarkea.com
	Ian Scott	TMEA	ian.scott1lu@btinternet.com
Kenya	Peter Omondi	TMEA evaluator	peter_omondi@yahoo.com
Uganda	Malinzi James	URA	jmalinzi@ura.go.ug
Uganda	Edmund Rutebembewa	URA	erutebembewa@ura.go.ug
Kenya	John Muriithi	KRA	john.muriithi@kra.go.ke

We are also very appreciative of the assistance given by Sjoerd Visser, TMEA, Director OSBPs, and Daniel Muturi, TMEA Programme Manager, IBM and OSBPs, for their help throughout the field work and for the information and help provided by the many officials from Kenya, Uganda and Rwanda at the three OSBPs visited.

Key Stakeholders SO2 and SO3

No.	Resp Centre / Programme		Project Title	Partner	Key Contact Person	Position / Title	Other Stakeholders / Project Beneficiaries and Contact Person
1	SO2 Regional Programme	SO2	Northern Corridor Transport Observatory	Northern Corridor Transit and Transport Coordination Authority (NCTTCA)	Aloys Rusagara	Head of Programme Transport Policy and Planning	Kenya Revenue Authority (KRA) Kenya Maritime Authority (KMA) Shippers Council of East Africa (SCEA)
2	TMEA EAC Partnership Programme	SO2	EAC Secretariat VC equipment	EAC Secretariat	Jesca Eriyo	DSG, F&A	Ministry East African Community - Edith Mwanje (Permanent Secretary, MEAC Uganda) ICT Policy Center - George Okado (Independent Consultant)
3	TMEA EAC Partnership Programme	SO2	EAC financial, audit and procurement systems and processes	EAC Secretariat	Jesca Eriyo	DSG, F&A	ICT Policy Center - George Okado (Independent Consultant)
4 and 5	SO3 Regional Programme	SO3	EABC institutional and advocacy support and EABC Phase II	East Africa Business Council (EABC)	Lilian Awinja	Executive Director	Tanzania Private Sector Foundation (TPSF) - Godfrey Simbeye (Executive Director) Rwanda Private Sector Federation (RPSF) - Gerard Mkubu (Head of Policy Advocacy) Uganda Clearing Industry and forwarding Association - Kassim Omar (Chairman) Burundi Federal Chamber of Commerce and Industry - Niyutunga Salvator (Ag. Secretary General)
6 and 7	Kenya Country Programme	SO3	Kenya trade logistics and investment climate - KEPSA 2 and Kenya trade logistics and investment climate	Kenya Private Sector Alliance (KEPSA)	Victor Ogalo	Programme Manager - Advocacy	Kenya Association of Manufacturers (KAM) - Dalmas Okendo (Head of Operations) Shippers Council of East Africa (SCEA) - Gilbert Langat (CEO) Fresh Produce Exporters Association of Kenya (FPEAK) - Boniface Mulandi (Programme Manager)
8	SO3 Regional Programme	SO3	Consolidating Gains for Women Traders in EAC	East African Sub-regional Support Initiative for the Advancement of Women (EASSI)	Christine Nankubugwe	Program Director	Cereal Trader at Busia Kenya - Lucy Anyango Cross Border Association for Women at Mutukula - Benouza Jane (Chairperson) Taveta Women Crossborder Association - Rachael Mutuku (Chairperson)

No.	Resp Centre / Programme		Project Title	Partner	Key Contact Person	Position / Title	Other Stakeholders / Project Beneficiaries and Contact Person
9	Uganda Country Programme	SO3	National Logistics platform	National Logistics Platform (NLP)	Chairperson	Merian Sebunya	Uganda Freight Forwarders Association - Jennifer Mwijukye (Chairperson)
10 and 11	Rwanda and Tanzania Country Programme	all SO3	PROFEMME- women ICBT empowerment and Capacity-building to Women Cross-Border Traders in Tanzania	Profemmes (Rwanda), Tanzania Women Chamber of Commerce (Tanzania),	Chantal Umuhoza Mwajuma Hamza	Project coordinator - Profemme Programme Manager	Chamber of Women Entrepreneurs (Rwanda) - Agnes Samputu (Director)
12	Burundi Country Programme	SO3	Enhancing Private Sector Capability to Influence Trade Policy Formulation and Implementation	Burundi Federal Chamber of Commerce (CFCIB)	Salvator Niyitunga	Secretary General	
13 and 14	Uganda Country Programme	all SO3	Strengthening SEATINI'S institutional capacity for enhancing CSO'S strategic engagement on the EAC Regional Integration Process and SEATTINI-upgrading quality standards	Southern and Eastern African Trade, Information and Negotiations Institute (SEATINI)	Jane Nalunga	Country Director	Nakaseke Maize Farmer - Kirabira George Amuru Sesame Farmer - Santa Joyce Laker
15	TMEA EAC Partnership Programme	SO2	Single customs territory	EAC Secretariat	Kenneth Bagamuhunda	Director, Customs	EAC Revenue Authorities (Uganda, Kenya, Rwanda, Tanzania and Burundi)
16	Tanzania Country Programme	SO2	MEAC coordination and leadership	Ministry of Foreign Affairs and East African Cooperation	Amb. Dr Aziz Mlima	Permanent Secretary	Ministry of Industry, Trade and Investment - Prof. Adolf Mkenda (PS, Trade and Investment) Tanzania Private Sector Foundation (TPSF) - Godfrey Simbeye (Executive Director) Foundation for Civil Society (FCS) - Francis Kiwanga (Executive Director)

No.	Resp Centre / Programme		Project Title	Partner	Key Contact Person	Position / Title	Other Stakeholders / Project Beneficiaries and Contact Person
17 and 18	Rwanda Country Programme	SO2 and SO3	RBS institutional capacity strengthened and Direct support to SMEs for product certification (RBS)	Rwanda Standards Board	Raymond Murenzi	Director General RSB	British Standard Institute - Shyam Kumar Gujadhur (Team Leader RSB project) Bakhressa Grain Milling - Julius Ndunga (Milling Manager) Blessed Diaries - Milton Ngirent (Managing Director)
19	Burundi Country Programme	SO2	OBR: Long-term technical advisers, incl. security costs	Office Burundais des Recettes (OBR)			
20	Kenya Country Programme	SO2	Kenya Revenue Authority - customs management systems	Kenya Revenue Authority	Susan Wanjohi	Chief Manager - Customs Reforms and Modernisation	

Key Stakeholders Institutional Review (2B)

1	Senior Leadership Team (SLT) and Senior Management Team (SMT)
2	Njoki Mungai – Programme Management
3	Strategy And Results Team (START) - DG for Organisational Performance (Annette Mutaawe), Acting Results Director, Gender Adviser, Communications Manager
4	Corporate Services Team – COO, R Director, Finance Director, Procurement Director, Administration Manager
5	IT Manager
6	Frank Matseart (CEO) – Several meetings
7	David Stanton (DG) – Two meetings
8	Ken Jones (COO) – Two meetings
9	Director of HR
10	Jason Kapkirwok – Senior Director for Regional Programmes
11	Mark Priestley – Senior Director Country Programmes
12	Joshua Mutunga – Kenya Country Programme Manager
13	Richard Dewdney – DFID and Outgoing Chair of the TMEA Council
14	Tim Lamont – DFID and Member of the TMEA Council and Member of the TMEA Board

15	Kenya Country Office – Ahmed Farah (CD), Simon Kozolo, Mercy Kuruswo, Matther Maiyo and Hannah Ngugi
16	Kenya Implementing Partner – Zipporo Maina – Finance Manager at the Kenya Association of Manufacturers
17	Kenya Beneficiary – Mr Joseph Rotich at the Kenya State Department of Trade
18	Tanzania Country Office – John Ulanga (CD), Elibarki Shammy, Jamal Mbaruk, Smark Koambwe, Sebastian Shumi
19	Regional Office, Arusha – Jason Kapkirwok (RD)
20	Regional Implementing Partners – EAC Secretariat (DG Trade), Tripartite Coordination Unit, CEO of the EABC
21	Rwanda Country Office – Patience Mutesi (CD), Anataria Karimba, David Butera, Jackie Zizane
22	Rwanda Implementing Partner – Rwanda Revenue Authority and Rwanda Private Sector Foundation
23	Uganda Country Office – Moses Sabiiti (CD), Michael Ojatum, Sandra Kirenga
24	Uganda Implementing Partners – Ministry of Trade, Ministry of Works, Unweal Uganda, Siattini Uganda
25	Burundi Country Office – Aime Nzoyihera (CD)
26	South Sudan Country Office – John Bosco Kalisa
27	All Staff Meeting – 65 Personnel
28	Operations Committee Meeting
29	Evaluations Committee Meeting
30	HR and Remuneration Committee Meeting
31	Audit, Risk and Finance Committee Meeting
32	Validation Workshop – CEO, COO, 2x Senior Director and 1x CD
33	Evaluation Team Meeting with David Smith (Tripleline)
34	Evaluation Team Meeting with Robert Kirk
35	Evaluation Team Meeting with Thomas Otter (Team Leader) and Alex Hurrel (Opm)
36	Head of Internal Audit Function
37	CEO of the Rwanda Private Sector Alliance and Member of the Rwanda NOC
38	CEO of the East Africa Business Council and Member of the PCC